

AGENCY FOR INTERNATIONAL DEVELOPMENT

PROJECT DATA SHEET

1. TRANSACTION CODE

A  
 B  
 C  
 D

Amendment Number

DOCUMENT CODE

3

COUNTRY/ENTITY

Worldwide

2. PROJECT NUMBER

936-5453

3. BUREAU/OFFICE

S&T/RD

4. PROJECT TITLE (maximum 40 characters)

Access to Land, Water, and other  
 Natural Resources II

5. PROJECT ASSISTANCE COMPLETION DATE (FACD)

MM DD YY  
 11 23 1988

6. ESTIMATED DATE OF OBLIGATION  
 (Under "B." below, enter 1, 2, 3, or 4)

A. Initial FY 89

B. Quarter 4

C. Final FY 88

8. COSTS (\$000 OR EQUIVALENT \$1 = )

A. FUNDING SOURCE	FIRST FY 89			LIFE OF PROJECT		
	B. FX	C. L/C	D. Total	E. FX	F. L/C	G. Total
(1) Appropriated Tow	690		690	18,000		18,000
(Grant) S&T	230		230	6,000		6,000
(Loan)						
Other U.S.			460			
1. Reg. Bur./Missions	460		460	12,000		12,000
2. Univ. of Wisconsin	179		179	2,150		2,150
Host Country						
Other Donors						
<b>TOTALS</b>	<b>869</b>		<b>869</b>	<b>20,150</b>		<b>20,150</b>

9. SCHEDULE OF AID FUNDING (\$000)

A. APPROPRIATION/PURPOSE CODE	B. PRIMARY PURPOSE CODE	C. PRIMARY TECH CODE	D. OBLIGATIONS TO DATE		E. AMOUNT APPROVED THIS ACTION		F. LIFE OF PROJECT	
			1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan
(1) EN	230	030						
(2) SD	700	200			5,400*		5,400*	
(3)					600*		600*	
(4)								
<b>TOTALS</b>					<b>6,000</b>		<b>6,000</b>	

\*figures subject to change in accordance with OYB allotment process total will remain the same.

10. SECONDARY TECHNICAL CODES (maximum 6 codes of 3 positions each)

11. SECONDARY PURPOSE CODE

12. SPECIAL CONCERNS CODES (maximum 7 codes of 4 positions each)

A. Code: RR, BHW, RDEV, EQTY, ENV, INTR

B. Amount:

13. PROJECT PURPOSE (maximum 480 characters)

To improve host countries' and the broader development community's understanding of relationships between resource tenure and sustainable agricultural development, income growth, and natural resource management, and to facilitate the application of such understanding to development programs and policies.

14. SCHEDULED EVALUATIONS

MM YY MM YY MM YY

0 3 9 2 | | | 0 1 3 9 7

15. SOURCE/ORIGIN OF GOODS AND SERVICES

000  91  Local  Other (Specify)

16. AMENDMENTS/NATURE OF CHANGE PROPOSED (This is page 1 of 1 page PP (amendment))

APPROVED BY: *Eric Chetwynd, Jr.*

Signature: *Eric Chetwynd, Jr.*

Date: 05 04 1991

DATE DOCUMENT RECEIVED BY AID/... OR FOR AID/... DOCUMENTS DATE OF DISTRIBUTION

AGENCY FOR INTERNATIONAL DEVELOPMENT  
WASHINGTON DC 20523

MAY 4 1988

ACTION MEMORANDUM FOR THE AGENCY DIRECTOR FOR HUMAN RESOURCES,  
BUREAU FOR SCIENCE AND TECHNOLOGY

FROM: S&T/RD, Eric Chetwynd, Jr. (Acting) 

SUBJECT: Project Authorization for the Access to Land, Water,  
and Other Natural Resources II Project (ACCESS II),  
936-5453

Problem: Your approval is required to authorize \$6.0 million in order to support the ACCESS II project's core budget over a 10-year period, beginning in FY 1989. Your approval will also allow the project to accept up to \$12.0 million of regional bureau and field mission contributions. Such contributions will enable the regional bureaus and field missions to participate in the subject project's long- and short-term activities.

Discussion: In 1987, ACCESS I was evaluated by an outstanding evaluation team, which gave the project high marks for the quality and relevance of its research products. The evaluation team noted that the ACCESS project had: (1) substantially enriched the knowledge base on resource tenure issues; and (2) successfully created and strengthened the analytical capability of A.I.D. and host country researchers and policy-makers to deal with some of the most important concerns regarding access to land, water, and other natural resources. At the same time, however, the team expressed concern that major gaps persist in the understanding by the development community and LDCs of the important relationships that exist between resource tenure and sustainable economic development. Thus, the evaluation team recommended continued A.I.D. support for research on land and resource tenure issues beyond the life of the current ACCESS project. The team further recommended that the follow-on project continue to be implemented by the University of Wisconsin Land Tenure Center (LTC), which has proven itself to be the foremost international source of expertise on land/resource tenure issues, and upon which the ACCESS project has become so heavily dependent for its success.

As recommended by the 1987 evaluation team, S&T/RD designed the ACCESS II project. Also in keeping with a recommendation of the 1987 evaluation, S&T/RD will request M/SER/OP to negotiate a non-competitive cooperative agreement and basic ordering agreement with LTC. The project's research activities will be carried out through the cooperative agreement, while technical

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services will be made available through the basic ordering agreement. S&T/RD proposes an initial date of obligation for the project of FY 1989, and a PACD of December 31, 1998.

The goal of ACCESS II is to promote broad-based and sustainable economic growth through the improved use and management of land and other natural resources. The project will expand and improve the knowledge base on land and resource tenure. Equally important, it will assist host governments, A.I.D. field missions, and the rest of the development community to formulate programmatic, policy, and technical solutions to resource tenure-related impediments to economic growth. Activities to be carried out by the project include applied and basic research, information dissemination and networking, and institution strengthening. Such activities will be focused on three common themes which were identified in collaboration with the regional bureaus: (1) land markets and transactions; (2) tenure issues in natural resource management; and (3) institutional and structural dimensions of tenure change. In addition, research will be conducted on two issues which cut across the three common themes: (1) security of tenure; and (2) impact of land and resource tenure arrangements on women.

During project design, S&T/RD asked USAIDs worldwide whether they are interested in participating in ACCESS II's activities, and what their thematic areas of interest are. Twenty-eight USAIDs responded positively and confirmed the importance and relevance of the proposed research agenda of ACCESS II. The large number of USAIDs which have expressed interest in participating in ACCESS II demonstrates that, indeed, a strong demand exists for an improved and expanded knowledge base on land and resource tenure issues.

The project paper for ACCESS II has been reviewed and endorsed by the Rural Development Sector Council and it incorporates comments made by the reviewers.

An Advice of Program Change will be forwarded to Congress following authorization of the ACCESS II project. The FY 1989 OYB contains \$530,000: \$300,000 was obligated to complete the ACCESS I project, and \$230,000 will be used to initiate ACCESS II and the cooperative agreement with LTC. The FY 1990 Congressional Presentation reflects a proposed obligation level of \$600,000.

Recommendation: That you sign the attached PAF.

Attachments:

1. Project Authorization for Funding
2. Project Data Sheet

b

Clearances:

S&T/RD/RRD: JGrayzel	<u>J Grayzel</u>	Date	<u>4/26/89</u>
S&T/RD: LHollis	<u>L Hollis</u>	Date	<u>4/26/89</u>
S&T/PO: HM McKenzie	<u>H McKenzie</u>	Date	<u>5/11/89</u>
S&T/PO: DSheldon	<u>D Sheldon</u>	Date	<u>5/12/89</u>
GC/CP: STisa (Draft)		Date	<u>5/2/89</u>
S&T/HR: RMcClusky	<u>R McClusky</u>	Date	<u>5/3/89</u>

S&T/RD/RRD:GDSteele:4-15-89:5313n

PROJECT AUTHORIZATION FOR FUNDING

Name of Country/Entity: Worldwide  
Project Title: Access to Land, Water, and  
Other Natural Resources II  
(ACCESS II)  
Project Number: 936-5453

1. Pursuant to Section 103 and Section 106 of the Foreign Assistance Act of 1961, as amended, I hereby authorize the Access to Land, Water, and other Natural Resources II Project (ACCESS II), involving centrally-funded planned obligations of not to exceed \$6,000,000 over a ten-year period beginning in FY 1989, subject to the availability of funds in accordance with the A.I.D. OYB/allotment process, to help in financing foreign exchange and local currency costs for the project. The project is also authorized to make use of Economic Support Funds (ESF) and the Development Fund for Africa (DFA), as appropriate. Funding available for the project may also include up to \$12,000,000 in contributions from regional bureaus and A.I.D. missions worldwide.

2. The project will carry out applied and basic research, institution-strengthening initiatives, and information dissemination and networking activities in order to achieve its goal of promoting broad-based and sustainable economic growth through the improved use and management of land and other natural resources. The project will assist host governments, USAIDs worldwide, and the rest of the development community to improve their capability to formulate programmatic, policy, and technical solutions to resource tenure-related impediments to economic growth.

3. The agreements which may be negotiated and executed by the office(s) to whom such authority is delegated in accordance with A.I.D. regulations and Delegations of Authority shall be subject to the following essential terms and covenants and major conditions, together with such other terms and conditions as A.I.D. may deem appropriate:

a. Commodities financed by A.I.D. under the project shall have their source and origin in the cooperating country or the United States, except as A.I.D. may otherwise agree in writing. Except for ocean shipping, the suppliers of commodities or services shall have the cooperating country or the United States as their place of nationality, except as A.I.D. may otherwise agree in writing.

b. Each developing country where training or other assistance takes place under this project shall be deemed to be a cooperating country for goods and services required for the activity taking place in that country.

Approved: Chitra L...

Disapproved: \_\_\_\_\_

Date: May 18, 1989

Clearances:

S&T/PO, DSheldon D. Erbe for Date 5/12/89  
GC/CP, STisa (Draft) \_\_\_\_\_ Date 5/2/89

Drafted by: S&T/RD/RRD:GDSteele:5314n

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## 0.0 SUMMARY AND RECOMMENDATIONS

### 0.1 Summary

Land and resource rights are key determinants of rural income, food access, levels of investment in agriculture, and broader economic growth. Inadequate tenure security can constrain agricultural production and accelerate environmental degradation. It can impede accomplishments in a broad array of development programs and projects, and limit gains to hard-fought economic policy reforms. It has become increasingly apparent that, while secure and equitable access to land and natural resources can contribute to sustainable and broad-based economic growth, inadequate access can reduce efficient resource use as well as threaten a country's social and political stability.

S&T currently funds the Research on Access to Land, Water and Natural Resources (ACCESS I) project which undertakes research and consulting activities on land and resource tenure issues worldwide. Regional Bureaus designated ACCESS I the highest priority activity in the S&T/RD portfolio when the S&T Bureau Action Plan was assessed in July 1986. Substantial regional bureau and mission funding for project research similarly indicates the very high priority given both in A.I.D./Washington and in the field to ACCESS I project themes. The project's mid-term evaluation (May 1987) strongly urged the continuation of ACCESS I beyond its project completion date of July 31, 1989, and the implementation of the follow-on project by the current cooperator, the University of Wisconsin Land Tenure Center (LTC). The Access to Land, Water, and Other Natural Resources II project (ACCESS II) is designed to address these and other major recommendations of the mid-term evaluation.

The basic problem that the ACCESS II project will address is the urgent need of development practitioners for a better understanding of new and emerging land and resource tenure issues and their developmental impact. In addition, the project will assist development practitioners to devise policy and technical solutions to tenure-related impediments to economic growth.

The total cost of ACCESS II is estimated at \$20.150 million over ten years, including \$6.0 million of S&T core funding, \$12.0 million of anticipated contributions from regional bureaus and missions, and \$2.15 million from the University of Wisconsin. The project will be implemented by LTC through a cooperative agreement which will run for five years. An evaluation will be conducted on the fourth year of the project to determine whether major design changes in the next five years of project implementation is necessary.

The goal of ACCESS II is to promote broad-based and sustainable economic growth through improved use and management of land and natural resources. The project purpose is to improve host countries' and the broader development community's understanding of relationships between resource tenure and sustainable agricultural development, rural income growth, and natural resource management, and to facilitate the application of such understanding to development programs and policies.

Accordingly, the project will carry out: applied research, including policy-relevant country studies, data collection and analysis of country-specific resource tenure issues, and action research to test, on a limited scale, available information on alternatives for implementing specific research recommendations; basic research, including the development of research methods, cross-country comparisons of research results, and synthesis of research findings across regions; institution-strengthening initiatives to support those host country institutions positioned to have an effect on policy and program formulation, including the direct involvement of host country institutions in designing and implementing resource tenure research, provision of research assistantships, and participation of host country analysts and policy-makers in project-sponsored short-term training courses, workshops, and conferences; and information dissemination and networking activities through workshops, seminars, and publication of research results.

ACCESS II will draw on the theoretical and empirical research base established by ACCESS I, and will focus all research activities around three "common themes". The common themes are: land markets and transactions; tenure and natural resource management; and institutional and structural dimensions of tenure change. While the project has been designed to concentrate on three common themes for all regions, the research issues under each common theme are expected to vary from region to region. Two research issues, however, cut across regions and common themes. These are issues related to security of tenure and the impact of land and resource tenure arrangements on women.

At the end of the project, the following results are expected:

- Knowledge base on land and resource tenure issues and their developmental impact is substantially expanded and improved;
- Research results and other analytical and methodological information generated by the project are being communicated effectively and in a timely manner to host country/donor

policy-makers and the broader development community, thereby increasing awareness of the policy and programmatic implications of resource tenure factors; and

-Institutional capability exists in participating developing countries to design and implement land and resource tenure research and to draw policy- and program-relevant conclusions and recommendations.

In order to achieve the project purpose and generate the outputs identified for ACCESS II, core support from the S&T Bureau is proposed. In addition, however, as noted repeatedly in ACCESS I's mid-term evaluation, additional sources of core support will be required if A.I.D. is "to keep ahead of the game in knowledge of land tenure development issues". Since the regional bureaus, as well as the S&T Bureau, benefit from the project's research, the mid-term evaluation strongly urged the continuation of regional bureau contribution to the project's core budget. This funding pattern was started in ACCESS I by the Africa Bureau and by the LAC Bureau with its Tenure Security and Land Market Research project.

A new generation of thinking and research on land and resource tenure issues is at hand. This new thinking is concerned with relationships among land markets, rural institutions, efficient and sustainable resource use, and broad-based economic growth. While ACCESS I has established a firm foundation for understanding this new generation of land and resource tenure issues, it has only made a start. More work is urgently needed, and ACCESS II will take the lead for A.I.D. in meeting that need.

## 0.2 Recommendations

A. Authorization of a grant in the amount of \$6.0 million over a 10-year period from the FN (103) and SD (106) accounts, as appropriate. This represents a planned obligation of \$230,000 for the remainder of FY 1989. Section 3.0 provides detailed information on estimated annual obligation requirements through FY 1998 and yearly sources and uses of funds.

The authorization also includes approval to accept contributions from regional bureaus and A.I.D. field missions in order to allow their participation in project activities. Regional bureau and mission contributions of up to \$12.0 million over 10 years, from the 103 account, the 106 account, ESF, and the Development Fund for Africa, is proposed.

## 1.0 BACKGROUND

### 1.1 Project History

The ACCESS project was developed as a four-year activity by S&T/RD in FY 1979. The life-of-project was extended by four years in FY 1984, and again, by another year in FY 1987, bringing the project to its current completion date of July 31, 1989. ACCESS I was initiated in response to the Agency's Policy Determination 72 (1978) which identified the importance of, and A.I.D. policy support for, efforts to improve the land tenure situation in developing countries. ACCESS I extends a relationship between A.I.D. and the University of Wisconsin Land Tenure Center (LTC) which dates back to 1962. This relationship had previously been sustained through a research contract in Latin America and, later, through a series of 211(d) grants.

ACCESS I currently undertakes research, consulting, training, and information dissemination activities related to land and resource tenure issues in Africa and the Latin America and Caribbean (LAC) regions. Regional bureaus designated the ACCESS I project the number one, highest priority activity in the S&T/RD portfolio when they assessed the S&T Bureau Action Plan in July 1986. Substantial regional bureau and mission funding for project research (regional bureau and mission to S&T support ratio of 3:1 in recent years) similarly indicates the very high priority given both in A.I.D./Washington and in the field to ACCESS I project themes.

When ACCESS I was amended in FY 1984, the common theme approach was adopted to focus the project's research work. At this time also, an independent advisory board was formed whose purpose is to forge institutional links outside the LTC, give LTC greater visibility, and reinforce its credibility with A.I.D.. Another innovation which was initiated in the 1984 project amendment is the establishment of a separate ordering agreement (contract) with LTC to accommodate mission requests for consulting services outside of the cooperative agreement.

### 1.2 Evaluations of the ACCESS I Project

In FY 1983, the last year of ACCESS I's first cooperative agreement, S&T/RD commissioned a high level review of LTC and its performance. The review was carried out by a three-person team led by Dr. John Montgomery of Harvard. It also incorporated inputs from twenty-eight well known scholars and professionals working on land tenure-related issues, and inputs from developing country graduates of LTC's Development Studies Program, practitioners, and A.I.D. field missions. Among the major conclusions reached by the Montgomery review team are the

following: (a) LTC has made a substantive and high quality contribution to the rural development literature; (b) land tenure and access issues are still major concerns to A.I.D. missions and their developing country counterparts and further research and consulting are needed; (c) LTC's work on access issues has been well received by A.I.D. and the academic community, and A.I.D. should continue support to LTC; (d) more emphasis should be placed on knowledge generation and research; and (e) LTC's funding should be provided in such a manner so as to ensure a more coherent research program than was developed under the original cooperative agreement (which depended heavily on mission add-ons for research funding). The formation of the independent advisory board which is described above was in response to a recommendation of the Montgomery review team.

In 1987, a mid-term evaluation of the second cooperative agreement with LTC was conducted by a team of four A.I.D./Washington officers (two from the Africa Bureau and one each from the LAC and PPC Bureaus) and an outside evaluator from the U.S. Department of Agriculture. The evaluation team found the project to be on track, and further noted that: (a) ACCESS I has substantially enriched the knowledge base on resource tenure issues (see Annex 2, "Access to Land, Water, and Natural Resources Project [936-5301] Final Report: 1979-1989); and (b) the project has created or strengthened the analytical capability of A.I.D. and host country researchers and policy-makers to deal with some of the most important issues related to resource access. The team's highly favorable assessment of the project's performance led it to conclude that: (a) S&T Bureau's support to the examination of issues of land, water, and natural resource access should be continued beyond the life of ACCESS I, in order to meet the increasing demand for a better understanding of resource tenure issues and their developmental impact; and (b) the follow-on project - ACCESS II - should be implemented by LTC, which has proven itself to be the foremost international source of expertise on land tenure issues, and upon which the project has become so heavily dependent for its success.

The evaluation team made a number of observations and recommendations which figured prominently in the design of ACCESS II. Among them are the following:

(a) The common theme approach has been extremely useful in focusing the project's research. Both the approach and most of the specific themes should be continued beyond the life of ACCESS I.

(b) Knowledge dissemination is critical to maximizing the utility of project research and facilitating the application of generated knowledge to policies and programs. Thus, higher priority should be given to dissemination and outreach activities, including: (i) strengthening the LTC publication program through the recruitment of a technical editor; (ii) providing additional funds for document production and mailing; (iii) conducting workshops and seminars; and (iv) increasing reliance on A.I.D.'s own dissemination facilities (principally through PPC/CDIE/DI) to ease the cost burden on project-specific funds.

(c) Host country collaboration in project research is important because it greatly increases the prospects that research results will have a real impact on policies, programs, and projects, as well as strengthening institutions in developing countries. Thus, host country institutional involvement in project research should be actively sought through: (i) participation of host country counterparts in the project's research activities; (ii) building time for in-country data analysis into the budget for research proposals; and (iii) producing working papers as the research proceeds (rather than waiting for a single document at the end of the research activity) to give host country officials an opportunity to react to the research while it is still on-going.

(d) LTC researchers should be strongly encouraged to publish at least one article/research report/book chapter annually in appropriate academic outlets in order to raise the Center's profile and to achieve a more acceptable balance between basic and applied research.

(e) The project should continue to search for ways to increase awareness of land tenure issues among A.I.D. personnel, host country policy-makers, and the broader development community.

The evaluation team also made management-related recommendations which have also strongly influenced the design of ACCESS II. Among these recommendations are the following:

(a) Since overall benefits of LTC activities accrue to both S&T and the regional bureaus, both should collaborate in meeting the core funding requirements of the project.

(b) In order to avoid the negative consequences of excessive reliance on short-term contracts, the regional bureaus' long-term research requirements for which long-term funding sources can be identified, should be developed.

(c) A.I.D. should continue to ensure that regional bureaus participate directly in the management of the LTC cooperative agreement.

(d) The University of Wisconsin should quantify its contributions to the project.

### 1.3 Rationale for an ACCESS II Project

Land and resource rights are key determinants of rural income, levels of investment in agriculture, and broader economic growth. A report by the Agency's Administrator, Development and the National Interest: U.S. Economic Assistance into the 21st Century, shows that a positive correlation exists between policies, such as those which promote property rights including broad-based and reliable land tenure arrangements, and higher economic growth rates. The linkages between unsuitable rights to land and natural resources and consequent environmental degradation are now also widely acknowledged. It has become increasingly apparent that, while secure and equitable access to land and natural resources can contribute to sustainable and broad-based economic growth, inadequate access can reduce efficient resource use as well as threaten a country's social and political stability.

Over the past several years, the role of land and resource tenure in facilitating or impeding accomplishments of A.I.D. project objectives has also become more widely recognized. In projects on livestock development, rural roads, irrigation, credit, and natural resource management, there are numerous examples of the important role played by tenure. In some cases, project inadequacies have been directly linked to poor knowledge of land or resource tenure arrangements. In others, project success was built on sound attention to land or resource rights.

Land and resource tenure are rapidly becoming important "second generation" policy reform issues in many countries. Changes in tenure are increasingly seen as important to assure the full range of benefits to difficult macroeconomic and price policy reforms. It is also apparent that as population pressure in the developing world continues to mount, land tenure arrangements will see further change and their importance will increase. Recently, other donors and international institutions (e.g. the World Bank, FAO, International Union for the Conservation of Nature) have followed A.I.D.'s lead in documenting the growing importance of land and resource tenure issues to sustainable and broad-based economic growth.

The rationale for an ACCESS II project is threefold. First, land and resource rights and tenure are issues of continuing and growing concern to the AFR, LAC, and ANE Bureaus, as documented in many recent strategy papers (see Section 1.4 below) and regional bureau activities. In addition, the new Agency land tenure policy attaches importance to market-oriented approaches to land rights, which would continue to be explored profitably under ACCESS II. More needs to be known about how land markets function in order to develop measures which will help achieve a more productive agriculture. For example, ACCESS I has begun research and evaluation of an innovative land purchase/land sale program in Guatemala (being implemented by a local PVO, the Penny Foundation, with support from USAID/Guatemala) which uses the free market to improve land distribution and increase agricultural production. ACCESS I is now assessing this program's potential as a model for other countries facing similar circumstances. In Africa, on the other hand, where individualized land holdings are not the prevailing form of tenure, the policy concern in the short term may not be one of improving land markets. Rather, the immediate concern may be to identify policy options and alternatives to help guide transformation of traditional land tenure systems, in order to provide the appropriate incentives and security for adoption of new and improved agricultural technologies. Other urgent issues, including the growing concern from Congress regarding tenure issues and how these relate to natural resource management and biological diversity, will also require further and timely attention.

Second, ACCESS I has generated a substantial knowledge base on land and resource tenure issues (see Annex 2). However, new and important questions have grown out of ACCESS I's research on water rights, tree tenure, grazing rights, common property, and other related natural resource tenure problems. These questions are critical to the achievement of developing countries' and donors' objectives in planning and implementing sustainable agriculture and natural resource management activities. For example, ACCESS I has begun to examine: projects which reestablish incentives for agricultural production and sound land use on former land reform collective farms; land titling projects which provide the security of tenure required for agricultural investment; range and conservation projects which establish new, legally recognized rights to range or resources which have reduced overuse considerably; tree tenure activities designed to encourage the planting and sound use of trees; and activities that clarify traditional rights to agricultural land in ways which encourage greater investments, more farm production, income generation, and economic growth.

Third, ACCESS II (like ACCESS I) would be the major centrally-funded Agency project dealing explicitly with critical equity and distributional issues, and with how these concerns relate to enhanced productivity and sustainable resource management.

A new generation of thinking and research on land and resource tenure issues is at hand. This new thinking is concerned with relationships among tenure security, land markets, rural institutions, efficient and sustainable resource use, and broad-based economic growth. While ACCESS I has established a firm foundation for understanding this new generation of land and resource tenure policy issues, it has only made a start.

#### 1.4 Conformity with A.I.D. Policy and Strategy

ACCESS II's emphasis on creating conditions conducive to broad-based and sustainable economic growth, such as secure resource tenure which encourages individual enterprise and investment, is broadly consistent with the Administrator's Statement for the FY 1990 Congressional Presentation. It is consistent with the objectives of the Agency's Policy Determination 13 (Land Tenure) which calls for support of "programs that broaden the opportunity for access to agricultural land, promote tenure security, and stimulate productive uses of land to ameliorate the barriers to market entry in some LDCs".

The project will implement the four-pillar Agency strategy by putting strong emphasis on collaborative research with host country institutions positioned to have an effect on policy. The project's research will be policy-relevant for each field site, and will be done in a way that builds capacity of host country staff and institutions to frame research questions of immediate policy importance. Research under ACCESS II will thereby not only have continued impact on policy dialogue, but will also serve a critical institution-building role. This has been a tradition of ACCESS I, and it will be strengthened under ACCESS II. The project will also facilitate the creation or strengthening of sustainable private property systems of land and resource rights and the creation of the legal and policy environment for such rights which encourage technology transfer and investment by small farmers. In addition, it is the only centrally-funded project which promotes the "establishment of more equitable and more secure land tenure arrangements", as mandated in the FAA [section 103(b)(1)]. ACCESS II is also consistent with the Agency's agricultural focus statement which emphasizes income generation for the poor majority and expansion of the availability and consumption of food, while maintaining the natural resource base.

ACCESS II supports the S&T Bureau Central Program Strategy Statement (CPSS) for the period FY 87 through FY 89. It contributes to the goals of increased incomes and reduced hunger in several ways mentioned in the CPSS. Its attention to policy analysis and natural resource management will foster the adoption of sustainable agricultural technology as well as the increase in effective demand called for in the CPSS. The CPSS explicitly discusses land tenure as a key factor in its hunger alleviation strategy. The S&T Research Advisory Committee's (RAC) review of the S&T/RD portfolio's consistency with this approach in agriculture emphasized household level analysis and household accumulation of assets as important research questions requiring attention for the successful implementation of the new Agency strategy. Both are key aspects of ACCESS I and ACCESS II research. The levels of regional bureau and mission "buy-ins" to the ACCESS I project were among the highest in S&T/RD's portfolio. This offers a strong indication of the urgent need and level of interest and support, both in A.I.D./Washington and in the field, for the kind of research and analysis being done by LTC under ACCESS I. The May 1987 project evaluation report also pointed to very positive mission response to ACCESS I activities, and noted that the project has been unusually skilled at addressing regional bureau and mission priorities through careful and collaborative research planning.

ACCESS II clearly supports the individual priorities of each of the regional bureaus. In the LAC region, land access and property rights have been recognized since the Alliance for Progress (1960s) as the foundation of these essentially agricultural societies, and as a key to agricultural development. However, the early emphasis given to land reform programs, has, in recent years been superceded by increasing recognition of the key role of market structures in land access, and by concern with smallholder security of tenure and land titling.

The current goals and objectives of the LAC Bureau for agricultural and rural development focus on increasing incomes of the rural poor, while maintaining and enhancing the natural resource base through promotion of sustainable agricultural development strategies. LAC has identified six major types of activities to meet these goals. Two of these, i.e., increasing access to capital and land resources by the region's poor, and protecting the region's natural resource base and the sustainability of agricultural production systems, are directly related to the goal and purpose of ACCESS II.

The LAC Bureau has played a major role in the ACCESS I project. Its Tenure Security and Land Market Research project has

provided critically important technical input and supplemental funding to carry out pioneering land markets research. It is expected that the LAC Bureau will continue to play a key role in ACCESS II.

The LTC's involvement with tenure issues in Africa began in the 1960s with sporadic consultancies by LTC staff. By 1977, LTC's Land Tenure Conference had broad African participation. In 1983, the Africa Bureau Strategic Plan was issued, which explicitly acknowledged that "the complex variety of land tenure patterns and their changing nature is still imperfectly understood by the Bureau". It also recognized the critical role of land tenure in farmer decision-making, and the "need to understand it better in our program/project formulations".

ACCESS II is highly supportive of the goal of the Development Fund for Africa (DFA), which calls for the promotion of sustainable, broad-based, and market-oriented economic growth. The DFA has four strategic objectives, three of which are directly relevant to the objectives of the ACCESS project: strengthening of market-oriented allocation policies; development of long-term increases in productivity; and achievement of food security. The project purpose of ACCESS II is also highly consistent with the goal of the Plan for Supporting Natural Resources Management in Sub-Saharan Africa (1987), which is the Africa Bureau's natural resource management strategy. The Africa Bureau's strong emphasis on improving the management of natural resources in the region as a means of improving and sustaining the productivity of agriculture has led to the inclusion in ACCESS I of a research theme on tenure and natural resources management. The Sahel Sub-Regional Assessment, a recently completed study commissioned by the Africa Bureau, clearly identifies the lack of management plans which recognize the importance of secure land and tree tenure as a major impediment to the adoption of improved technologies in the Sahel.

As with the LAC Bureau, the Africa Bureau has played a key role in ACCESS I, and has made major financial contributions to the project in order to expand the knowledge base on land and resource tenure issues in Sub-Saharan Africa.

The ANE Bureau's submission to the FY 90 Congressional Presentation made repeated reference to the need for greater emphasis on improved management of the environment and the natural resource base, a key concern of ACCESS II. The CP also identifies increasing rural incomes as a key part of the ANE Bureau's strategy, and that, too, plays a leading role in the goal and purpose of ACCESS II. The ANE Bureau's Agricultural Strategy reporting cable from the recent (September 1988)

Agricultural and Rural Development Officers' Symposium also emphasizes the natural resource theme, and noted a need to encourage adoption of policies that assure "secure ownership" of resources. That same cable makes explicit reference to raising rural incomes through "tenure reform", again a clear indication of common interest with ACCESS II.

### 1.5 Relationship to Other Projects

The ACCESS II project supports and complements the objectives of several major activities of the S&T Bureau's Regional and Rural Development Division (S&T/RD/RRD), which is responsible for implementing this project. For example, important complementarities exist between ACCESS II and the Financial Resource Management project (FIRM), which is currently being designed as a follow-on to the current Experimental Approaches to Rural Savings (EARS) project. The primary objective of the latter two projects is to improve the rural population's access to financial resources. Studies have shown that the impact of increased land ownership security depends largely on farmers' access to credit sources, as well as the availability of technology and input/product markets. The Development Strategies for Fragile Lands (DESFIL) project, which is also implemented by S&T/RD/RRD, could gain valuable research information from ACCESS II on the role of resource tenure arrangements in influencing farmers' management of natural resources in the fragile lands of the Latin America and the Caribbean region. Likewise, ACCESS II's research on tenure issues in natural resource management complements the Human Settlement and Natural Resource Systems Analysis (SARSA) project's investigation of the impact on natural resources of various factors, such as planned and unplanned new settlements and indigenous resource management practices. Finally, the formulation of effective strategies for achieving food security in Africa, which is the major objective of the Food Security in Africa project (FSA), requires a good understanding of the relationship between farmers' rights and access to land and natural resources and the productivity of the food and agricultural sector.

Complementarities also exist between ACCESS II and projects outside of S&T/RD/RRD. For example, in S&T/AGR, projects which promote the adoption of improved soil management and conservation technologies, such as the Soil Management CRSP and the Technology for Soil Moisture Management projects, will benefit from ACCESS II's research on tenure issues affecting the adoption of improved natural resource management practices. The ACCESS II project can also provide useful inputs into S&T/AGR's Agricultural Policy Analysis project,

which is designed to assist host governments to formulate improved economic policies affecting agricultural and rural development. The planned Agricultural Water Resources Management project, also of S&T/AGR, can benefit from the research findings of ACCESS II on tenure issues affecting water resources management programs in the AFR and LAC regions. It will be noted that none of these projects have been designed to investigate resource tenure-related issues.

In the regional bureaus, the research agenda of the LAC Bureau's Tenure Security and Land Market Research project is so closely related to that of the ACCESS project that it is implemented by the LTC through ACCESS I. The S&T Bureau hopes to continue this relationship in ACCESS II. In the AFR Bureau, ACCESS II will continue to support the objectives of the Strengthening African Agricultural Research and Faculties of Agriculture project (SAARFA) by generating information on the linkages between land/resource tenure and technology development and adoption. In addition, the ACCESS II project's investigation of tenure issues in natural resource management directly supports the Natural Resources Management Support project's (NRMS) primary objective of enhancing Sub-Saharan Africa's natural resource base. In the ANE Bureau, ACCESS II can provide the Irrigation Support Project for Asia Near East with research information that will assist missions to improve the quality and performance of their irrigation programs.

In order to promote the complementarities between ACCESS II and the projects listed above, the project managers and contractors/cooperatives of those projects will be included in the mailing list of ACCESS II's research documents. In addition, they will be invited to ACCESS II's workshops and seminars, as appropriate.

## 2.0 PROJECT DESCRIPTION

### 2.1 Project Overview

ACCESS II is proposed as a ten-year project. It will draw on the theoretical and empirical research base established by the ACCESS I project, but will focus activities with even greater precision around a set of three carefully defined and discrete common themes: (i) land markets and transactions; (ii) tenure and natural resource management; and (iii) institutional and structural dimensions of tenure change (see Section 2.3 below).

Specifically, the project will carry out the following activities:

-Applied research, defined as research which results in information of more immediate utility and usually based on a first-order analysis. Most of the applied research activities that were undertaken in ACCESS I and are anticipated in ACCESS II serve as the major vehicle for providing advice to field missions on resource tenure factors. Examples of applied work that are expected to be undertaken in ACCESS II include the conduct of policy-related country studies, data collection and analysis of country-specific resource tenure issues, and action-type research to test, on a limited scale, available information on alternatives for implementing specific research recommendations;

-Basic research, defined as research which contributes to theoretical knowledge and makes full use of second-order analysis of information using sophisticated analytical methods. The results of basic research should be suitable for publication in scholarly, refereed journals or books. Examples of areas involving basic research which the ACCESS II project will undertake include the development of research methods, theoretical work, cross-country comparisons and region-wide generalizations;

-Institution-strengthening initiatives which support those host country institutions positioned to have an effect on policy and program formulation. A major aspect of the institution-strengthening component of ACCESS II is the direct involvement of host country institutions in designing and implementing the project's research, and in drawing program- and policy-relevant conclusions and recommendations. In addition, through the provision of research assistantships to host country graduate degree students and through on-the-job training, skills in data collection and analysis methods, policy analysis, and problem solving will be transferred to host country counterparts associated with participating local institutions;

-Dissemination of results and networking through workshops, seminars, publications, active collaboration with PPC/CDIE, and continued performance of the LTC Advisory Board's networking function.

## 2.2 Project Objectives

A. Project Goal - The goal of the ACCESS II project is to promote broad-based and sustainable economic growth through the improved use and management of land and natural resources.

B. Project Purpose - The purpose of the project is to improve host countries' and the broader development community's

understanding of relationships between land/resource tenure and sustainable agricultural development, rural income growth, and natural resource management, and to facilitate the application of such understanding to development programs and policies.

C. End-of-Project Status - The project purpose is achieved if, at the end of the ten-year life-of-project, the following conditions apply: (i) The knowledge base on land and resource tenure issues is substantially expanded and improved; (ii) The research findings and other analytical and methodological information generated by the project are being communicated effectively and in a timely manner to host country and donor policy-makers and the broader development community, thereby increasing awareness of the policy and programmatic implications of resource tenure factors; and (iii) Institutional capability exists in participating developing countries to design and implement resource tenure research and to draw policy- and program-relevant conclusions and recommendations.

D. Project Outputs - The ACCESS II project is designed to produce three categories of outputs which directly support the achievement of the project's purpose. These outputs are described below:

Output 1: Expanded and improved theoretical and empirical knowledge base

The ACCESS II project's applied and basic research will expand and improve the knowledge base on land and resource tenure issues. The project's research activities will be undertaken by: (i) senior researchers associated with LTC; (ii) senior researchers and analysts associated with participating developing country institutions; and (iii) U.S. and host country graduate students working under the supervision of the project's senior researchers. Research will revolve around the following common themes: (i) land markets and transactions; (ii) tenure and natural resource management; and (iii) institutional and structural dimensions of tenure change. Two research issues cut across these three common themes: (i) security of tenure; and (ii) the impact of land and resource tenure arrangements on women.

Over the life of the ACCESS II project, the documents outlined below will be produced which will demonstrate that the knowledge base on resource tenure has been expanded. Improvements in the quality of project research will be assessed through peer reviews of selected research outputs by members of the LTC Advisory Board (comprised of non-LTC scholars and development experts), and through the planned

project evaluations:

-A minimum of five (5) book-length manuscripts will be prepared.

-At least 10 articles and comments will be published in refereed journals, as recommended in the project's mid-term evaluation.

-Two synthesis reports on each of the common themes (one to be produced at the midterm of project implementation and another towards the end of the project) which includes cross-country comparisons and regionwide generalizations will be produced.

-At least one working paper, which discusses interim research results, will be produced for each research activity of over one year in duration in order to give A.I.D. and host country officials an opportunity to provide input into the research while it is still in progress.

-A final report will be prepared which provides policy- and program-relevant conclusions and recommended options for implementation by participating host countries.

-A concept paper will be written before initiating full-blown investigation of a new common theme. The concept paper will provide information on the nature and objectives of research to be undertaken, the general hypotheses to be explored, the issues to be investigated, and the types of research methodology to be employed.

-A state-of-the-art paper (SOAP) will be produced when initiating a research activity on a common theme that has not been previously investigated by LTC under the ACCESS I project. For example, should a major research effort be initiated in the ANE region, a SOAP will be prepared for the common theme(s) that will be studied. In the Africa region, a SOAP will be undertaken when research on the institutional and structural dimensions of tenure change is initiated.

-A report discussing field-level impacts and lessons learned from undertaking action research in at least five (5) locations will be prepared. The action research will test, on a limited scale, resource tenure-related recommendations (e.g., cost-effective alternatives for implementing land registration efforts and the planned research to study the effects of controlled changes in forest code on farmer investment in agroforestry in the Fifth Region of Mali).

-A report will be prepared on every assessment or diagnosis of problems associated with resource tenure-related conditions

which the project undertakes. The report will specifically discuss new or additional knowledge gained from carrying out the assessment or diagnosis.

Output 2: Strengthened and increased number of information dissemination and networking activities

The availability of knowledge, in and of itself, is not a sufficient indicator of the achievement of the ACCESS II project purpose. Effective and timely dissemination of information, and the accessibility of available information to users, are crucial to the achievement of this project's primary objective of facilitating the application of project-generated resource tenure information to development programs and policies.

The ACCESS I project's mid-term evaluation noted that shrinking project resources and rising costs translated into a reduction of the project's information dissemination activities. It underscored the importance of providing sufficient resources for dissemination and networking activities if the utility of research is to be maximized. Consequently, the ACCESS II project was designed to ensure that sufficient resources are channeled to specific information dissemination and networking activities which contribute to the achievement of the project's purpose. More specifically, over the life-of-project, the following will be accomplished which will demonstrate successful achievement of Output 2:

-At least one information dissemination and networking seminar will be held each year to discuss the policy and program implications of region-specific research issues and research methodologies. The participants of these seminars could include A.I.D., host country, other donor officials, and interested development practitioners. Under ACCESS I, a seminar of this nature was held when the Africa Bureau hosted a discussion of the policy implications of tenure issues in natural resource management in the Sahel.

-A least one major workshop on each of the common themes will be held. The workshops will, in most likelihood, be held towards the end of the project to synthesize research findings across regions for each of the common themes. Attendance at these workshops will include A.I.D., host country, other donor officials, and interested development practitioners. They will serve both networking, as well as information dissemination functions.

-The LTC library will be strengthened to perform its information repository and dissemination functions effectively.

-The LTC's publication program will be strengthened. This involves the provision of sufficient resources to maintain the services of a technical editor and the provision of funds for the production and reproduction of reports and other project-generated documents.

-The project's document distribution program will be strengthened. Adequate resources will be made available for document mailing. In addition, the project's mailing list will be updated to ensure that appropriate institutions and individuals receive project-generated reports and other documents. Finally, arrangements will be made to distribute project-related documents through the A.I.D. library (PPC/CDIE/DI) in order to reduce the cost of publications distribution.

-The LTC Advisory Board will continue to perform its networking function. The LTC Advisory Board, which consists of scholars and development experts, has been helpful in assisting the project expand its network.

Output 3: Strengthened developing country institutions

A third factor of crucial importance to the achievement of the project's purpose is the heavy involvement of host country institutions and policy-makers in the project's activities. Involving host country institutions in the project's research activities was emphasized under ACCESS I, and will continue under ACCESS II. National institutions which participated heavily in carrying out research under ACCESS I include: Dominican Agrarian Institute, the Technological Institute of Santo Domingo, and the Superior Institute of Agriculture in the Dominican Republic; the Latin American Faculty of Social Sciences and the San Carlos University in Guatemala; Central American University in El Salvador; Institute for Peruvian Studies in Peru; Agrarian Research Group in Chile; the Makerere Institute for Social Research in Uganda; the Applied Research Unit of Botswana's Ministry of Local Government and Lands; and the Research and Planning Division of Swaziland's Ministry of Agriculture and Cooperatives.

In many cases, serious host country collaboration requires an active institution-strengthening program, a major thrust of this third project output. The experience of ACCESS I and of other reform-oriented projects in the Agency is that the adoption of policy, program, and technical changes is most likely to occur and to be sustained in situations where host government policy-makers and technicians understand and fully support the recommendations. ACCESS II will therefore conduct its policy- and program-oriented applied research in such a way

that host country nationals are major participants in the research process. Their participation will give the research results and recommendations greater credibility and will begin to create a constituency of host country nationals who support and understand the need for project recommended policy, program, or technical changes. Equally important, closer host country collaboration will mean strengthened host country institutional capability to undertake resource tenure research and to draw program- and policy-relevant conclusions and recommendations on a long-term basis.

In many cases, host country involvement in the project research will mean bigger but fewer applied research activities. Enough time and resources will be required to ensure substantive and in-depth collaboration. The ACCESS II project will build on earlier activities in the LAC and AFR regions, and identify a limited number of countries and missions where large, multi-year policy analysis and applied research involving host country nationals will be possible. In the ANE region, where little work has been done under ACCESS I, the first few years of the project will probably see short-term activities with only limited resources and time for host country collaboration. It is expected that once missions begin to have more "hands on" experience with the project and the cooperator, however, they will be willing to make longer-term commitments to applied resource tenure research.

Over the life-of-project, the following will be accomplished which will demonstrate successful achievement of Output 3:

-Every applied research activity of the project will involve serious participation (both in data collection and analysis) by individual(s) from host country institutions. To the extent feasible, preliminary data analysis will be done in-country, and research budgets will reflect this emphasis. In addition, whenever practical, ACCESS II will use individuals from the host country as the lead field investigators, though with appropriate "back-stopping" support from the LTC staff. Finally, as indicated in the discussion of Output 1 above, working papers will be submitted for comments by host country officials while the research is in progress as a means of involving host country officials in the research process. All these are expected to yield major dividends in terms of strengthening local institutional capability to undertake resource tenure research and analysis.

-A minimum of ten (10) host country analysts enrolled in graduate degree programs in the University of Wisconsin, the LTC's Ph.D. in Development Program, or in other universities, will receive research assistantships over the life-of-project.

Every effort will be made to ensure that at least half of the recipients of the project's research assistantships are women. While the project in itself, does not have the resources to fund graduate degree training programs, it will provide assistantships to develop host country students' capability to design, implement, and analyze resource tenure problems.

-A short course will be conducted by LTC at least four times over the life-of-project. The University of Wisconsin has indicated willingness to provide the seed funds to develop the training modules for a short course on resource tenure. Host country analysts, technicians, and policy-makers are expected to comprise the majority of the short course participants. The short course will be designed to improve the participants' understanding and capability to analyze the program, policy, and technical implications of resource tenure factors. Limited resources preclude project funding of the costs associated with sponsoring host country nationals to attend the short courses (e.g., travel, per diem, and acquisition of course materials). Thus, the number of host country participants will depend largely on the availability of funds from sources other than the ACCESS II project (e.g., from USAIDs and other donors). As with the research assistantships, the project will encourage sponsoring agencies and participating host countries to nominate female participants to the short courses.

E. Project Inputs - The impressive level of outputs obtained under ACCESS I could not have been achieved without substantial funding of essential project inputs by the S&T Bureau, the AFR and LAC regional bureaus, field missions, and the University of Wisconsin. S&T core funding has played the critical role in building and maintaining the ACCESS I project staff capability and in initiating research activities. It has been leveraged most effectively throughout the current cooperative agreement to secure additional core and research support from the regional bureaus and the field missions for applied research and consulting. Recent regional bureau and mission contribution levels strongly suggest that this model can indeed be replicated under the ACCESS II project. The S&T-regional bureau-field mission-and University of Wisconsin joint support of the project costs significantly expands returns to the S&T Bureau and LTC, while at the same time helping LAC, AFR and ANE Bureaus meet their emerging priorities.

The following is a brief discussion of projected project inputs:

S&T Contributions (\$6.0 million) - The S&T Bureau's contributions will provide salary support for a core group of research and administrative personnel equivalent to approximately 96 person-months of faculty time, 30 person-years

of senior research personnel time, 40 person-years of administrative and support staff time, and 20 person-years of research assistant staff time. In addition, S&T contributions will provide partial support for the travel costs associated with developing theme research programs (total of \$144,000), and partial support for publishing and disseminating research documents, maintaining the LTC library, and conducting workshops and seminars (total of \$270,000). Table 1 (page 30) provides an annual breakdown of projected S&T contributions over the 10-year life of ACCESS II.

Regional Bureau and Mission Contributions (total of \$12.0 million) - Estimated contributions from the regional bureaus and field missions will be used to augment the S&T Bureau's support for the development of theme research programs and the synthesis and dissemination of research documents. In addition, the regional bureaus and field missions will bear the full cost of undertaking country-specific field research and analysis work. More specifically, it is projected that regional bureaus and field missions will fund an estimated 110 person-years of senior and junior research personnel time to augment the S&T Bureau's contribution to the project's theme research program to and fully fund country-specific applied research activities. Based on the level of regional bureau and mission contributions to ACCESS I and expressions of interest received by S&T/RD to date, it is also estimated that regional bureaus and field missions will provide approximately \$1.3 million to cover the costs of research personnel's international travel and over \$2.0 million to partially underwrite the costs associated with conducting field research (e.g., computers and local transportation), publishing and disseminating research documents, holding workshops, seminars, and training courses, and supporting the LTC library. Table 2 on page 31 provides an annual breakdown of estimated regional bureau and field mission contributions over the 10-year life of ACCESS II.

University of Wisconsin Contributions (total of \$2.15 million) - It is anticipated that the University of Wisconsin will continue to augment the support which the S&T Bureau provides to maintain a core capability within LTC. More specifically, it is estimated that the University of Wisconsin will provide \$1.5 million to purchase and maintain capital equipment and telephones for LTC, to fully fund the LTC library's acquisition budget, to partially fund LTC's supplies requirement, and to pay for the full salary and benefits of a student specialist whose main responsibility is to support LTC's Ph. D. in Development program. In addition, it is estimated that the University of Wisconsin will provide another \$600,000 to support the operation of LTC's Advisory Board and Executive Committee (see Section 5.2) and to cover the salary

and benefits of faculty who serve as advisors to students enrolled in LTC's Ph. D. in Development program and who assist in the design of LTC research activities. Finally, the University of Wisconsin has indicated interest in underwriting the costs of designing the curriculum of a training course in tenure and natural resource management. Table 3 (page 32) provides an annual breakdown of projected contributions from the University of Wisconsin over the 10-year life of ACCESS II.

### 2.3 The ACCESS II Project's Research Agenda

Consistent with the findings of the 1987 mid-term evaluation, the ACCESS II project's research will continue to be conducted using the "common themes" format. The ACCESS II project will build on what has already been learned in ACCESS I, taking full advantage of the advances in knowledge made under the ACCESS I project. However, ACCESS II will take the common theme approach one step further by consolidating the regional common themes (of which there are five each for the LAC and AFR regions) into three cross-regional or worldwide themes. These worldwide common themes are: (i) land markets and transactions; (ii) tenure and natural resource management; and (iii) institutional and structural dimensions of tenure change. While the common themes are now going to be the same across regions (including the ANE region), the research issues under each theme may differ regionally. However, two concerns are common to all the three themes and regions -- (i) security of tenure, including a comparative in-depth analysis of the investment, production, and income effects of enhanced tenure security vis-a-vis associated costs; and (ii) impact of tenure arrangements on women. With regard to the latter, all information that will be generated by the project will be disaggregated by gender, as appropriate. In addition, the ACCESS II project research will investigate specific gender-related research issues, such as:

-What are women's legal rights and status vis-a-vis land acquisition in different country situations? Are women legally permitted to own and inherit land?

-What is the relationship among women's ownership of land, their access to credit, and food/agricultural production?

-To what extent is women's access (ownership and use) to land and other natural resources (e.g., trees) important in terms of increasing household income streams, achieving household food security, improving household nutrition levels, and promoting investment in sustainable natural resource management and conservation practices?

-What are the implications of women owning land versus having some guaranteed use rights? Are women more likely to participate more actively in development when they own and have control over their own land?

It is anticipated that little or no change in the common themes will be made over the life-of-project. What is expected to change, over time, are the research issues that will be investigated under each common theme. Progress in examining research issues under each common theme will be assessed at annual workplan reviews (in A.I.D./Washington) and as part of the scheduled project evaluations. These reviews will indicate what additional research issues need to be investigated and when. The review process will ensure that the project maintains the flexibility necessary to respond to evolving central and regional bureau and mission priorities.

During project design, the LAC Bureau indicated that in the first year of ACCESS II, it would like to assess the research results generated from the LAC region's five common themes (investigated in ACCESS I) rather than start immediately on major new research initiatives. This assessment will determine the direction of the LAC Bureau's future research on land and resource tenure issues. The LAC Bureau's preferred approach is reflected in Annex 3, which discusses the implementation and schedule of ACCESS II's research. Pending completion of the LAC Bureau's assessment, the following sections present proposed common themes and provide an illustrative list of research issues for investigation in the ACCESS II project. A clearer definition of research issues will be made upon completion of pre-research-implementation visits to specific research sites.

#### COMMON THEME 1: LAND MARKETS AND TRANSACTIONS

There is now growing awareness that a free land market can be a powerful mechanism for peacefully distributing land to land-poor farmers, unleashing their productive potential and encouraging entrepreneurial drive. At the same time, the importance of land reform through expropriation may be diminishing, as host country governments grow disillusioned with results and become increasingly concerned with attendant political problems and high financial costs. Yet evidence mounts suggesting that more equitable land distribution can mean important increases in rural incomes and rural demand, and help foster sustainable economic growth. These are urgent concerns that need further research and analysis.

Land Markets is the major theme of A.I.D.'s PD 13 on land tenure, and has been an important research theme under the

ACCESS I project in LAC region. The LAC Bureau's Tenure Security and Land Market Research has played a key role in the evolution of this now worldwide common theme, and has provided vital technical input and an important regional bureau contribution to the centrally-funded ACCESS I project. This support has enabled ACCESS I to document policy distortions caused by government laws on land markets, and to examine initial indicators of impact of a new generation of land market activities in Central America (e.g. through support to the U.S.A.I.D./Guatemala program with the Penny Foundation). U.S.A.I.D. support to this effort recently attracted the attention of the Senate Committee on Appropriations (in an addendum to the Foreign Assistance and Related Programs Appropriation Bill, 1988, Calendar No. 463). It wrote "The Committee commends A.I.D. for expanding its pilot open market land purchase project in Guatemala into a full scale effort, even if modest in size. Evidence to date for this small land distribution program, through the Penny Foundation, indicates dramatic increases in income, productivity and job creation for the small farmer purchasers who are beneficiaries". ACCESS II will continue to provide critical support to this important effort.

The ACCESS II project's research on land markets and transactions will: (i) examine how existing land ownership patterns, market policies, property institutions, and land transfers affect resource use efficiency, equity, investment patterns, and output; (ii) identify potential policy and technical interventions for improving the functioning of land markets to promote rural development and economic growth; (iii) study the policy and program implications of experiences gained by countries which have attempted to resolve land market imperfections; (iv) evaluate the social and economic impact of policies aimed at promoting or liberalizing land markets; (v) study the function and operation of rural and peri-urban land markets and determinants of market structure; and (vi) investigate the impact of land markets on subdivision and fragmentation of holdings, and consequently upon efficiency and risk management.

An illustrative list of proposed research issues for investigation in the LAC and ANE regions include the following:

-What are the means for acquiring land, the characteristics of households involved in land transactions, and the motives for land transfers?

-How do prevailing inheritance laws, national price levels, income trends, and trade policies affect demand for land, land transfers, land prices, and land use and distribution?

-How does tax policy affect the demand for land and land prices? Can land tax policy lead to more efficient land distribution, and how?

-What and how strong are the linkages among market transfers, mortgageability of land, and increased credit supply and demand?

-To what extent do bureaucratic procedures and transaction costs impede land transfers, mortgageability, land access and land registrations?

-How adequate are cadasters and registration systems for increasing tenure security, managing land transfers, identifying land holding patterns, and facilitating land use planning?

-How do the structure, conduct, and performance of land markets affect land distribution by size of holding, tenure type, and gender? How do these aspects of land markets affect farm size and issues of land concentration, uneconomical holdings, fragmentation of holdings, and landlessness?

An illustrative list of issues proposed for investigation in the Africa region includes the following:

-How effective are traditional tenure systems at providing the tenure security necessary to encourage investments in improved agricultural technologies?

-How do land markets and other types of land transactions operate to facilitate or impede secure and equitable land tenure arrangements in areas where customary tenure still prevails?

-How do transactions develop and expand under customary tenure arrangements, and how do land "markets" under customary tenure arrangements differ from markets in individualized tenure areas?

-How viable is tenure evolution (as opposed to reform) as a means of achieving more efficient land utilization?

-What kinds of land and resource tenure arrangements are most conducive to effective market town development?

-How well are land markets functioning in urban and peri-urban areas, and what is the impact of tenure on urban sprawl and farmland conversion?

-Can appropriate intermediate tenure arrangements be defined for secondary centers, like market towns, which are often the

major poles of growth, yet ones which frequently remain under customary tenure long after the national capital has shifted to registered land holdings?

-In areas where the value of land is rising due to the development of market towns, what policy and institutional interventions can be used to protect or promote tenure security?

-Where formal land markets exist, how do the structure, conduct, and performance of land markets affect land distribution by size of holding, tenure type, and gender? How do these aspects of land markets affect farm size and issues of land concentration, uneconomical holdings, fragmentation of holdings, and landlessness?

#### COMMON THEME 2: TENURE AND NATURAL RESOURCE MANAGEMENT

The critical relationships between land/resource tenure arrangements and effective and sustainable natural resource management are rapidly becoming more apparent to host country governments and the international donor community. Projects and programs designed to enhance the natural resource base have been encountering major and costly difficulties where inadequate attention has been devoted to tenure issues. Many of the new and emerging technologies for sustainable agriculture will have only limited impact if the incentives that come with unambiguous tenure are not assured. Lack of clear tenure in trees and tree products is now recognized as an important constraint to increased tree planting in regions as far ranging as the Sahel and South Asia. It is also becoming increasingly recognized that soil conservation technologies stand little chance of adoption on fragile hillsides in Haiti or Thailand if tenure uncertainties remain unresolved. The ACCESS I project research has made major, pioneering strides in this important field, though far more work needs to be done worldwide. Each of A.I.D.'s three regional bureaus identified tenure issues in natural resource management as a "priority theme" during the last ACCESS I Annual Workplan Review (July 1988).

Research in this area will be designed to help orient A.I.D. field missions and host governments to the ways in which tenure strategies can be used to enhance sustainable natural resource management and conservation. Tenure arrangements promise to be a critical component of effective programming in this area, because they offer a proven policy mechanism for increasing user incentives for sound land and resource use. This is especially important in Africa, where most governments have only limited capacity to enforce prescriptions concerning sound land use and conservation. As research under ACCESS I has

suggested, the answer may not lie with increased state control, but rather with the development of effective strategies to alter the existing incentive structures in ways which support sound resource use and management.

Research under this theme will consider how tenure of agricultural holdings affects adoption of new technologies such as agroforestry, and how it influences farmer decision-making regarding long-term investments in soil management and conservation. It will review problems associated with management of resources used in common, such as grazing land, woodlands, fisheries, and wildlife. It will also summarize special tenure issues involved in management or preservation of rare and endangered species or resources, contributing in an important way to Agency efforts to preserve and protect biological diversity.

By and large, there is less variation across regions in the nature of research issues regarding tenure and natural resource management than is the case with the other two common themes. With some exceptions, the following illustrative list of research issues is valid for all three regions:

-What role does government policy play in influencing the land and natural resource use of small farmers and the poorer segments of the population? How does it relate to on-going degradation of the resource base? How does state ownership of natural resources affect farmer and community management of natural resources (e.g., in the Sahel)?

-What is the relationship between tenure security and farmers' adoption of soil and water conserving technologies (including terracing, agroforestry and irrigation) and their use of such practices as fallow, crop rotations, soil erosion controls, and commercial pesticide application?

-How can tenure security be enhanced in a cost-effective way in marginal areas to provide the incentives required for investment in soil conservation and sustainable agricultural practices?

-To what extent is the clearing of tropical rainforests, particularly in frontier areas, the result of unwise government policies. More generally, how can an improved understanding of resource tenure help arrest the problem of accelerating deforestation?

-What is the role of resource tenure in slash-and-burn cultivation, and how do tenure arrangements relate to sustainable forest management?

-How do state ownership and management of irrigation schemes affect farmer incentives and investments?

-How effectively does the market function to determine the size of land holdings, and how consistent is this holding size with the technical and managerial requirements of irrigation schemes?

-Where irrigation disrupts customary patterns of land use in a river basin, how can/should the government reconstitute ethnic or traditional group rights over redefined land areas?

-What are the relationships between tenure security and farmers' participation in watershed development and management programs?

-What policy and institutional mechanisms can be adopted to enhance tenure security and promote farmer investment in areas where the values of land have risen due to improvements, such as the development of irrigation schemes?

-What are the social and economic factors affecting the management of common property resources, such as grazing land and forests?

-What tenure-related issues affect the use and management of biological reserves, special habitats, and rare or endangered plants and animal species?

-What are the tenure factors leading to the concentration of small farmers and landless people on hillsides and other fragile environments?

Substantial and increasing resources will undoubtedly be devoted over the next decade to addressing the major natural resources problems of A.I.D.-assisted countries worldwide. The tenure rules that govern people's access to land, water, and other natural resources will, in many ways, condition the effectiveness of these programs, and therefore should not be ignored. Investments in this important field of research through the ACCESS II project can be expected to have major pay-offs for generations to come, and should enhance the efficiency of numerous Agency policies, programs and projects.

### COMMON THEME 3: INSTITUTIONAL AND STRUCTURAL DIMENSIONS OF TENURE CHANGE

Most of the ACCESS project's research has dealt with property institutions which provide the legal basis for land and resource tenure systems. The ways in which farmers and governments organize themselves to deal with property

institutions, however, constitute another set of institutions which deserve attention. It is these institutions that will be examined in this common theme's research.

There are three sets of institutional forms which affect land/resource tenure systems, their evolution, and their relationship with agricultural development and resource management. These institutional forms are discussed below:

First, there are varied institutional forms for private and community resource management. These institutional forms tend to be correlated with different scales of operation and are a determinant of agrarian structure. Agrarian structure, in turn, affects agricultural and economic development patterns. Inter-regional variability in agrarian structure and scale of operation is common in the LAC and ANE regions, and less so in the heavily smallholder-dominated structures of African countries.

Second, there are institutional forms for resource administration. Institutions responsible for resource administration include public agencies and customary groups. The latter includes institutions which range from being quasi-public to being clearly private (tribes, villages, clans, lineages, and extended families). These institutions commonly regulate the use of farm, pasture, forest land, and water resources. Their effectiveness in resource management is critical to resource conservation efforts in the AFR, LAC, and ANE regions.

Third, there are auxiliary institutions which neither manage nor administer public or communal resources, but affect people's access to and use of such resources. Groups belonging to the land survey profession, whose competence and size can constrain or facilitate tenure change, are an example of this type of institution.

Research under this common theme will involve different emphases in different regions. In the LAC region, the project will seek opportunities to examine several important institutional developments which are affecting changes in agrarian structure. Examples are institutional adjustments involved in: the decollectivization of agriculture; the disintegration of plantation agriculture in the Caribbean; the growth of a more highly capitalized family farm sector; and the growing vertical integration within agriculture through a range of institutional forms. Examples of research issues for investigation in the LAC region include the following:

-What is the role of the capitalizing family farm in relation to the "decollectivization" of agriculture?

-How is the capitalizing family farm affected by the gradual break-up of larger haciendas and plantations?

-How will the capitalizing family farm adjust to growing pressures brought about by fragmentation of holdings, as the market operates to consolidate smaller holdings for greater efficiency?

-How do land and resource tenure systems affect the establishment and development of agro-industrial enterprises?

-How do these enterprises affect a region's agricultural production, land prices, wage levels, and labor availability, and what are the relationships of these to broad-based economic growth?

-What is the most productive tenure status for enterprise workers, and what happens to these workers when enterprises fail (e.g., public and private sugar estates in the Caribbean)?

In Africa, ACCESS I's on-going research points to the difficulty and costliness of state-managed, comprehensive tenure reform. More cost-effective alternatives deserve consideration and ACCESS II will examine these alternatives. Research will focus on institutional arrangements for land administration and on formal and informal dispute settlement mechanisms as a medium through which customary tenure rules evolve to meet the populations' "new" resource needs. Examples of research issues which will be investigated include:

-What is the role of courts and informal dispute settlement institutions in the evolution of customary tenure systems? How effective are these institutions in protecting user rights and providing tenure security?

-Do legal systems which explicitly recognize a role for courts in the development of legal norms permit more rapid tenure evolution?

-Do the different legal cultures inherited from the colonial period have differential effects and offer different opportunities to encourage tenure evolution?

-Are there other cost-effective means to facilitate tenure evolution, such as the phenomenon of local communities "legislating" customary tenure arrangements?

In the ANE region, there is a need to review and synthesize the substantial literature on institutional forms and agrarian structure. The ACCESS II project will seek opportunities to

examine institutional impacts on tenure evolution, similar to the project's research focus in Africa. In addition, it will investigate the relationships between agrarian structure and the development of the agricultural sector, similar to the project's research thrust in the LAC region. Examples of issues which will be investigated include the following:

-How do agricultural policies influence the role and evolution of different types of production units within the overall agrarian structure?

-To what extent does land fragmentation constrain the creation of a modern, commercial agriculture? What are the policy implications of the current trend of land fragmentation?

-What are the employment, income, investment, and productivity implications of the different institutional forms within the agrarian structure, and what is the impact on economic growth of the overall agrarian structure?

-What key institutions are involved in tenure evolution? What are the characteristic tenure change processes of different institutions?

Finally, as part of this common theme's synthesis report, an investigation will be made of the relationships and linkages which exist among the three institutional forms discussed above (i.e., institutions for resource management; institutions for resource administration; and ancillary institutions).

### 3.0 COST ESTIMATES AND FINANCIAL PLAN.

The estimated total cost of ACCESS II over ten years is \$20.15 million. As discussed in the section 2.2. E. (Project Inputs), the S&T Bureau is requested to authorize \$6.0 million over the life-of-project to partially cover the core operating costs of LTC, the development of the project's theme research program, and the synthesis and dissemination of the project's research outputs. Table 1 provides an annual breakdown of estimated S&T-funded inputs. Of the total project cost, it is estimated that the regional bureaus and field missions will contribute \$12.0 million (see Table 2). This estimate is based on a ratio of 2:1 (regional bureaus and missions:S&T core), which is a conservative estimate in light of recent ACCESS I ratios of as high as 3:1. Contributions are anticipated to range from a low of \$40,000 for short-term and preliminary assessments of resource tenure conditions, to a high of over \$1.0 million for longer-term knowledge-building and institution-strengthening research activities. Both long-term and short-term activities

were important to ACCESS I's success, and will continue to be critical features of ACCESS II. Regional bureau and mission contributions will supplement the S&T Bureau's and the University of Wisconsin's support for the common theme research program and the project's information dissemination and networking activities. In addition, regional bureaus and field missions are expected to fully fund the costs of undertaking country-specific field research and analysis work, including initiatives to strengthen host country institutions. Table 3 shows the projected annual breakdown of contributions by the University of Wisconsin to the project. The total estimated level of the University of Wisconsin's contributions is \$2.15 million over ten years.

In Table 4, the sources (i.e., S&T Bureau, regional bureaus, field missions, and the University of Wisconsin) and uses of project funds (i.e., project outputs) are projected on an annual basis. On average, over the life of ACCESS II, about 67% of total funds will be allocated for the expansion and improvement of the knowledge base on resource tenure, 13% will be allocated for dissemination and networking activities, and 19% will go toward supporting the institution-strengthening activities of the project. The remainder, over one-third of 1%, has been set aside for two project evaluations, an institutional assessment, and two project audits (see Section 5.2 below). The uses of funds vary to some degree on a year-by-year basis to reflect differences in project emphasis during the life-of-project. It would be expected that information generation activities will taper off towards the latter years of the project, while information dissemination activities intensify.

In Table 5, the uses of project funds, by common theme, is projected. Based on USAID responses to S&T/RD's request for expressions of interest in ACCESS II (see also Table 6 and Annex 4) it is estimated that approximately 35% - 40% of funds will be allocated for research on the land markets and transactions, 45% - 50% will go to research on tenure issues in natural resource management, and 15% - 20% will be allocated for research on the institutional and structural dimensions of tenure change.

#### 4.0 PROJECT ANALYSES

##### 4.1 Technical Analysis

There are two important technical issues associated with a follow-on ACCESS II project: (i) whether land and resource

**Table 1: Illustrative Input Budget**  
**Summary of Projected S&T Bureau Contributions**  
**(in \$000)**

	<u>1989</u>	<u>1990</u>	<u>1991</u>	<u>1992</u>	<u>1993</u>	<u>1994</u>	<u>1995</u>	<u>1996</u>	<u>1997</u>	<u>1998</u>	<u>TOTAL</u>
1. Senior LTC Researchers	57	135	140	146	151	157	164	170	177	184	1,481
2. Faculty	25	56	56	57	58	59	60	50	50	35	506
3. Staff	28	64	66	68	71	74	77	80	83	87	698
4. Research Assistants	<u>16</u>	<u>37</u>	<u>38</u>	<u>39</u>	<u>41</u>	<u>43</u>	<u>44</u>	<u>40</u>	<u>35</u>	<u>15</u>	<u>348</u>
Sub-total	126	292	300	310	321	333	345	340	345	321	3,033
5. Benefits (21%)	26	61	63	65	67	70	72	71	72	67	634
6. Domestic and International Travel/Per Diem	4	25	35	20	20	15	10	5	5	5	144
7. Other Direct Costs	<u>5</u>	<u>25</u>	<u>26</u>	<u>27</u>	<u>28</u>	<u>29</u>	<u>30</u>	<u>32</u>	<u>33</u>	<u>35</u>	<u>270</u>
Sub-total	161	403	424	422	436	447	457	448	455	428	4,081
8. Overhead (43%)	69	173	182	181	187	192	197	193	196	184	1,754
9. Assessment/Evaluations	-	30	-	50	-	-	-	-	60	-	140
10. Audits	-	10	-	-	-	-	-	-	15	-	25
<b>TOTAL</b>	<b>230</b>	<b>616</b>	<b>606</b>	<b>653</b>	<b>623</b>	<b>639</b>	<b>654</b>	<b>641</b>	<b>726</b>	<b>612</b>	<b>6,000</b>

ASSUMPTIONS FOR CONSTRUCTING TABLE 1:

1. Costs shown in 1989 are for half a year.
2. Price contingency used is 4%, compounded annually.
3. The category, "Other Direct Costs", includes allowances for publication, document dissemination, automation, workshop costs, etc.
4. Level of effort is based on historical figures and expressions of interest by regional bureaus and field missions in ACCESS II's project activities.
5. The estimated weighted average of personnel salaries are: \$50,000/yr. for senior researchers; \$60,000/yr. for faculty; \$18,000/yr. for administrative staff; and \$18,000/yr. for research assistants.

**Table 2: Illustrative Input Budget**  
**Summary of Projected Regional Bureau and Mission Contributions**  
 (in \$000)

	<u>1989</u>	<u>1990</u>	<u>1991</u>	<u>1992</u>	<u>1993</u>	<u>1994</u>	<u>1995</u>	<u>1996</u>	<u>1997</u>	<u>1998</u>	<u>TOTAL</u>
1. Research Personnel	252	476	494	513	533	553	575	520	524	468	4,908
2. Benefits (21%)	53	100	104	108	112	116	121	109	110	98	1,031
3. Domestic and International Travel/Per Diem	30	75	95	150	165	173	178	185	150	100	1,301
4. Other Direct Costs	30	100	150	200	250	280	300	312	324	337	2,283
Sub-total	<u>365</u>	<u>751</u>	<u>843</u>	<u>971</u>	<u>1,060</u>	<u>1,122</u>	<u>1,174</u>	<u>1,126</u>	<u>1,108</u>	<u>1,003</u>	<u>9,523</u>
5. Overhead (26%)	95	195	219	252	276	292	305	293	288	262	2,477
<b>TOTAL</b>	<u>460</u>	<u>946</u>	<u>1,062</u>	<u>1,223</u>	<u>1,336</u>	<u>1,414</u>	<u>1,479</u>	<u>1,419</u>	<u>1,396</u>	<u>1,265</u>	<u>12,000</u>

**ASSUMPTIONS:**

1. Costs shown in 1989 are for half a year.
2. Price contingency used is 4%, compounded annually.
3. Aggregate buy-in ratio of 2:1 is used, based on historical figures and expressions of interest by regional bureaus and field missions in ACCESS II's project activities.
4. The category, "Other Direct Costs", includes allowances for local field research expenses, publications, document dissemination, and workshop costs.
5. The weighted average of salaries of research personnel at three different levels of seniority is estimated at \$45,000 per annum.

**Table 3: Illustrative Budget**  
**Summary of Projected University of Wisconsin Contributions**  
**(in \$000)**

	<u>1989*</u>	<u>1990</u>	<u>1991</u>	<u>1992</u>	<u>1993</u>	<u>1994</u>	<u>1995</u>	<u>1996</u>	<u>1997</u>	<u>1998</u>	<u>TOTAL</u>
<b>1. Direct Support</b>											
- Indirect Cost Return	49	51	53	55	57	59	62	64	67	70	587
- Library	16	16	17	18	18	19	20	20	21	22	187
- Supplies	18	19	20	20	21	22	23	24	25	26	218
- Phone Equipment	8	8	8	9	9	10	10	10	11	11	94
- Salary & Benefits	28	29	30	31	32	33	35	36	38	39	331
- Graduate School Research Support	10	11	11	12	12	13	13	14	14	14	124
- Short Course Design	-	5	-	-	-	-	-	-	-	-	5
<b>Subtotal</b>	<u>129</u>	<u>139</u>	<u>139</u>	<u>145</u>	<u>149</u>	<u>156</u>	<u>163</u>	<u>168</u>	<u>176</u>	<u>182</u>	<u>1,546</u>
<b>2. Indirect Support</b>											
- Advisory Board Participation	1	1	1	2	2	2	2	2	2	2	17
- Executive Committee Participation	8	9	9	9	10	10	11	11	11	12	100
- Ph. D. in Dev. Advising	27	28	29	30	32	33	34	36	37	38	324
- Research Design Activities	14	14	15	15	16	16	17	18	19	19	163
<b>Subtotal</b>	<u>50</u>	<u>52</u>	<u>54</u>	<u>56</u>	<u>60</u>	<u>61</u>	<u>64</u>	<u>67</u>	<u>69</u>	<u>71</u>	<u>604</u>
<b>TOTAL</b>	<u>179</u>	<u>191</u>	<u>193</u>	<u>201</u>	<u>209</u>	<u>217</u>	<u>227</u>	<u>235</u>	<u>245</u>	<u>253</u>	<u>2,150</u>

Costs shown are for half a year.

**Table 4: Illustrative Budget**  
**Summary of Projected Sources and Uses of Funds**  
**(in \$000)**

<u>Sources/Uses (Outputs)</u>	<u>1989*</u>	<u>1990</u>	<u>1991</u>	<u>1992</u>	<u>1993</u>	<u>1994</u>	<u>1995</u>	<u>1996</u>	<u>1997</u>	<u>1998</u>	<u>TOTAL</u>
<b>1. <u>S&amp;T Bureau</u></b>											
- Research Information	184	461	424	422	436	447	458	417	423	398	4,070
- Dissemination/Networks	12	29	61	60	62	64	65	128	130	122	733
- Strengthened H.C. Institutions	34	86	121	121	125	128	131	96	98	92	1,032
- Assessment/Evaluations/Audits		40		50					75		165
Sub-Total	230	616	606	653	623	639	654	641	726	612	6,000
<b>2. <u>Regional Bureaus/Missions</u></b>											
- Research Information	368	757	744	856	935	990	1,035	922	907	822	8,336
- Dissemination/Networks	23	47	106	122	134	141	148	284	279	253	1,537
- Strengthened H.C. Institutions	69	142	212	245	267	283	296	213	210	190	2,127
Sub-Total	460	946	1,062	1,223	1,336	1,414	1,479	1,419	1,396	1,265	12,000
<b>3. <u>University of Wisconsin</u></b>											
- Research Information	86	92	93	96	100	104	109	113	118	121	1,032
- Dissemination/Networks	36	38	39	40	42	43	45	47	49	51	430
- Strengthened H.C. Institutions	57	61	61	65	67	70	73	75	78	81	688
Sub-Total	179	191	193	201	209	217	227	235	245	253	2,150

4. All Sources

- Research Information	638	1,310	1,261	1,374	1,471	1,541	1,602	1,452	1,448	1,341	13,438
- Dissemination/Networks	71	114	206	222	238	248	258	459	458	426	2,700
- Strengthened H.C. Institutions	160	289	394	431	459	481	500	384	386	363	3,847
- Assessment/Evaluations/Audits	-	40		50					75		165
<hr/>											
TOTAL	869	1,753	1,861	2,077	2,168	2,270	2,360	2,295	2,367	2,130	20,150

\* Estimated sources and uses of funds for half a year.

ASSUMPTIONS FOR CONSTRUCTING TABLE 4:

1. FOR S&T, REGIONAL BUREAU AND MISSION CONTRIBUTIONS:

1989 - 1990:	80%	-	Research Information
	5%	-	Information Dissemination/Networks
	15%	-	Strengthened Host Country Institutions
1991 - 1995:	70%	-	Research Information
	10%	-	Information Dissemination/Networks
	20%	-	Strengthened Host Country Institutions
1996 - 1998:	65%	-	Research Information
	20%	-	Information Dissemination/Networks
	15%	-	Strengthened Host Country Institutions

2. FOR UNIVERSITY OF WISCONSIN CONTRIBUTIONS:

All years:	48%	-	Research Information
	20%	-	Information Dissemination/Networks
	32%	-	Strengthened Host Country Institutions

**Table 5: Illustrative Output Budget  
Projected Uses of Funds by Common Theme  
(in \$000)**

	<u>1989</u>	<u>1990</u>	<u>1991</u>	<u>1992</u>	<u>1993</u>	<u>1994</u>	<u>1995</u>	<u>1996</u>	<u>1997</u>	<u>1998</u>	<u>TOTAL</u>
<b><u>APR Region</u></b>											
Common Theme 1	130	257	279	304	325	342	354	344	344	320	2,999
1	240	472	512	557	596	624	649	631	630	586	5,497
3	65	128	140	152	163	170	177	172	173	160	1,500
Sub-total	<u>435</u>	<u>857</u>	<u>931</u>	<u>1,013</u>	<u>1,084</u>	<u>1,136</u>	<u>1,180</u>	<u>1,147</u>	<u>1,147</u>	<u>1,066</u>	<u>9,996</u>
<b><u>LAC Region</u></b>											
Common Theme 1	104	206	223	243	260	272	283	275	275	256	2,397
2	117	231	251	274	293	306	319	310	309	288	2,698
3	40	77	84	91	98	102	106	103	103	95	899
Sub-total	<u>261</u>	<u>514</u>	<u>558</u>	<u>608</u>	<u>651</u>	<u>680</u>	<u>708</u>	<u>688</u>	<u>687</u>	<u>639</u>	<u>5,994</u>
<b><u>ANE Region</u></b>											
Common Theme 1	57	113	123	134	143	150	156	152	151	140	1,319
2	57	113	123	134	143	150	156	152	151	140	1,319
3	59	116	126	138	147	154	160	156	156	145	1,357
Sub-total	<u>173</u>	<u>342</u>	<u>372</u>	<u>406</u>	<u>433</u>	<u>454</u>	<u>472</u>	<u>460</u>	<u>458</u>	<u>425</u>	<u>3,995</u>
<b><u>All Regions</u></b>											
Common Theme 1	291	576	625	681	728	764	793	771	770	716	6,715
2	414	816	886	965	1,032	1,080	1,124	1,093	1,090	1,014	9,514
3	164	321	350	381	408	426	443	431	432	400	3,756
TOTAL	<u>869</u>	<u>1,713</u>	<u>1,861</u>	<u>2,027</u>	<u>2,168</u>	<u>2,270</u>	<u>2,360</u>	<u>2,295</u>	<u>2,292</u>	<u>2,130</u>	<u>19,985*</u>

\*Net of \$165,000 allocated for the planned institutional assessment, evaluations, and audits.

NOTES:

- Common Theme 1: Land Markets and Transactions
- Common Theme 2: Tenure and Natural Resource Management
- Common Theme 3: Institutional and Structural Dimensions of Tenure Change

ASSUMPTIONS FOR CONSTRUCTING TABLE 5:

<u>APR Region:</u>			
Common Theme	1	30%	<u>50%</u>
	2	55%	
	3	15%	
 <u>LAC Region:</u>			
Common Theme	1	40%	<u>30%</u>
	2	45%	
	3	15%	
 <u>ANE Region:</u>			
Common Theme	1	33%	<u>20%</u>
	2	33%	
	3	34%	

\*Percentage allocations of project funds, by region and by common theme within each region, are based on an analysis of USAID expressions of interest in ACCESS II's research agenda (cables received by 4/10/89).

tenure issues continue to be of sufficient concern to A.I.D. and the field missions to warrant the implementation of a centrally managed research project in this area; and (ii) whether LTC is still considered the most technically competent research institution to implement the project and serve as the Agency's primary source of expertise in land/resource tenure issues.

As presented in Section 1.3 (Project Rationale), land and resource rights are key determinants of rural income, levels of investment in agriculture, and broader economic growth. The importance of land and resource tenure is demonstrated in a number of circumstances, including the following:

-Where land and natural resources serve as an important source of income (from farming, forestry, etc.), resource tenure is one of the most important factors in determining income distribution.

-Through their impact on income distribution, land and resource tenure arrangements have crucial effects on the pattern of rural consumption and investment demand. The pattern of rural demand, in turn, affects demand for labor-intensive goods, and therefore, wage rates, employment, and investment policies across the entire economy.

-The pattern of income distribution affected by land tenure also affects national migration patterns, and therefore, labor availability, employment, and wage rates.

-Resource tenure laws and policies are one of the most important sets of rural institutional arrangements. Changing or improving one set of rural institutional arrangements will have critical effects on the broader web of rural institutions.

-Because land markets, labor markets, and credit markets in rural areas are closely and intricately related, changes or constraints in the area of land/resource tenure will have important effects on rural wages, labor markets, and credit markets, with consequent effects on farm profits and rural employment. On the other hand, attention to rural credit or labor markets in the absence of attention to land/resource tenure will have unanticipated or disappointing results.

-Resource tenure and the terms and conditions guiding people's access to and use of natural resources are often critical factors determining whether sound resource management practices will be adopted or whether natural resource degradation will occur.

-Secure land tenure is a critical determinant of whether new agricultural technologies, especially those requiring large investments or a return over several years, are adopted by farmers.

In spite of the importance of the role of land/resource tenure in the economic development process, there are still major information gaps in this area. The ACCESS I project evaluation report (May 1987) confirms this observation and strongly endorsed continued support to the examination of issues of land, water and natural resource access through the LTC. The report argues that "the need for more extensive and more accurate knowledge of land tenure conditions and related areas that impact thereon is certain to increase", and goes on to endorse "continuation of an S&T/RD activity in its portfolio to respond to this demand" (May 1987;35).

Accordingly, the ACCESS II project was designed to address the need of development practitioners for a better understanding of new and emerging land and resource tenure issues and their developmental impact. Developing country and donor policy-makers are constantly confronted with problems of allocating scarce resources among different objectives, such as meeting immediate food security needs, improving agricultural productivity, and enhancing long-term management of the natural resource base. It is increasingly apparent that in order to devise effective strategies to meet these needs, they must have a better understanding of the relationships between people and land/natural resources, and between types of resource ownership, access, and use and the achievement of sustainable economic growth, particularly in the rural and peri-urban areas.

In addition to the urgent need for improved understanding of resource tenure issues and their developmental impact, host country and donor policy-makers and technicians also need assistance in devising policy, program, and technical solutions to tenure impediments to economic growth. Experience under ACCESS I has demonstrated that the project can facilitate this process by: (i) generating research, technical, policy- and program-relevant information on resource tenure factors; (ii) making such research information available to the users; and (iii) and developing host country and donor capabilities to draw technical, policy- and program-relevant conclusions from available research information.

As noted in Section 1.4 above, the goal and purpose of the ACCESS II project are in close conformity with current A.I.D. policy and strategy (e.g. the Administrator's Statement for the FY 89 CP, the S&T Bureau CPSS, the Agency's new agricultural focus on income generation, hunger alleviation and natural

resource management). In addition, however, interest in land and resource tenure issues is not only found in A.I.D.. There is also a growing concern with these issues on the part of other donors and international institutions (e.g. the World Bank, International Union for the Conservation of Nature, the FAO). This indicates that land and resource tenure issues will continue to play a major role in development assistance efforts in the years ahead, and ACCESS II will ensure that A.I.D. maintains its lead in this important field. Urgent Congressional concern with biological diversity, environmental degradation, and more recently, with land markets in Central America, also suggest that the "timeliness" of the ACCESS II of project is indisputable.

Finally, with regard to the technical capability of LTC to implement the ACCESS II project, the ACCESS I project evaluation not only supported the Montgomery evaluation team's conclusion that LTC is a "unique national resource", it went further to say that:

"LTC is a unique international resource, in view of its impact on LDC national land policies and programs, its role in training LDC decision makers and its extensive network of LDC scholars and sometimes collaborators. The LTC has become the foremost repository of knowledge and information on the subject of land tenure" (May 1987;42).

The 1987 evaluation report concluded on the following note:

"The investment in land tenure research, and in the creation and maintenance of the Land Tenure Center may not be immediately tangible, but it has been valuable both to the developing world and A.I.D. in the long term, and the team feels that it is vital that this support be maintained and strengthened" (May 1987;43).

Additional information on LTC's institutional capability can be found in Section 5.1.

#### 4.2 Economic Analysis

The economic feasibility of any project rests upon whether there is a reasonable expectation of generating benefits in excess of project costs, and whether the proposed approach is the most effective one in terms of carrying out the goals and purpose of the project. The benefits that will be derived first-hand from the ACCESS II project will be policy- and program-relevant information, access to available information, and strengthened host country institutions. These are

difficult to assign real market values to, and the usual cost-benefit analysis is neither possible nor appropriate. The project benefits mentioned above, however, will be aimed at setting a foundation for increased dialogue with developing countries on land and resource policy issues. The value of the "second generation" impact of improved policy must be considered. The problems of land and resource tenure access continue to be critically important concerns, and sufficiently widespread so that there is a significant opportunity for shaping policies which would lead to the creation and securing of rights that could materially affect the welfare of small farmers in many developing countries.

There are two ways in which these second generation benefits will be realized. The first is through particular A.I.D. projects which will benefit directly from ACCESS II activities. Experience with ACCESS I demonstrates that a second route will be through more general dissemination of ideas and policy options, both to particular host country governments and to the broader development community, and through training of host country analysts and policy-makers to conduct resource tenure research and draw policy-relevant conclusions. Both these routes are relatively indirect ones, moving from the generation of knowledge, to resulting policy or program change, to changing institutional arrangements regarding land and resource tenure, to modification of the behavior of beneficiaries by enhancing the profitability of adopting new technical practices.

There are essentially five kinds of indirect or second generation benefits which will flow from the ACCESS II project: (i) increased resource efficiency; (ii) environmental benefits; (iii) equity benefits; (iv) enhanced political stability; and (v) broader rural institutional benefits. All these gains will result from changed perceptions, incentives, and behavior of the beneficiaries, although in different ways.

The efficiency benefits will result from the more efficient resource use which improved land and resource tenure arrangements will allow. These new arrangements can either increase incentives to invest more and use more credit for increased production, or help permit more effective factor combinations through land markets.

Environmental benefits, which will result in more sustainable resource use, will flow from the better incentives for conservation and sustainable use of soil, trees, water and other resources which enhanced tenure security will provide. This will include increased adoption of conservation practices, including tree planting and agroforestry techniques. In

addition, because tenure arrangements are so closely tied to use arrangements, improving tenure can place the burden of some natural resource management tasks where these can best be carried out - most often, at the local level. This would be especially important in regions like the Sahel, where heavy state control and antiquated forestry codes are proving to be important disincentives to enhanced resource management practices such as tree planting.

The third category of benefits is equitable access. This is often consistent with more efficient resource use, but the benefits of equitable access extend beyond, to improving the well-being of poor people, improving the distribution of income, and changing the patterns of rural demand. Equitable access to land and resources has been shown to encourage production of labor-intensive, locally produced goods, and is a critical component of sustainable economic growth.

The fourth kind of benefit is enhanced political stability. Land and resource tenure issues are major and urgent concerns in many developing countries (e.g. Central America, the Philippines), and these can play a critical role in shaping the political climate, investment context, and security a country enjoys. History has shown repeatedly that tenure issues, if poorly managed, can tear nations and governments apart, and rend the very fabric of society for generations. However, timely and appropriate responses to tenure concerns can increase agricultural productivity and income generation, improve standards of living, and thereby enhance political stability. ACCESS II will allow the Agency to continue to give direction to, and keep abreast of, latest developments in land and resource policy research, analysis and implementation. This is basic to the broader objectives of the Foreign Assistance Act (FAA). While it is hard to assign a market value to increased political stability, there is no doubt that economic growth and a stable political environment tend to go hand-in-hand.

The last category of benefits from improved land and resource tenure arrangements is the least tangible. It involves changing rural institutional arrangements which go well beyond resource tenure. Few areas of law and policy so affect rural people in such an immediate way as land law and resource policy. Successful changes in land law, especially ones which effectively integrate formal and informal institutional arrangements, can provide a model for other kinds of local institutional arrangements. This can be especially important in contexts where host country governments are weak or in transition. Agriculture, rural development, and natural resource management problems have critical institutional

dimensions. These are often complicated by the lack of strong local institutions. Structuring incentives for better and clearer land and resource rights and use, incentives whereby farmers can use self-initiative and act in ways to improve their own lives, could provide a model for other institutional and legal changes that extend well beyond the realm of land and resource tenure.

The ACCESS II project represents a cost-effective, scientific approach to land/resource tenure research. A worldwide centrally funded project, in particular, would be the most cost-effective project mechanism, because it can tap the stock of knowledge carefully acquired over the years, learn lessons across countries and regions of the world, and avoid duplication of effort. In addition, bringing outside expertise to the local research and policy communities can make both for better research and for a more solid environment for policy change. This can mean more policy changes per development dollar spent.

The S&T/RD experience with the cooperative agreement assistance instrument has been very positive. It has been an effective vehicle for involving researchers in field operations, particularly through its provision for add-ons by A.I.D. field missions. At the same time, it is the best mechanism for supporting systematic knowledge-generating activities. In particular, a "common theme" approach to the applied research effort is considered the most cost-effective way to support systematic knowledge generation. It calls for a consensus on topics of high priority by regional bureaus and the S&T Bureau.

The project will work closely and collaboratively with developing country institutions. While this approach is sometimes slow and costly, the long-term gains that can be realized more than outweigh the added costs. Institutionalizing the research process and capability will help assure that host countries continue to do effective land and resource research and take part in policy debate. As suggested above, a substantial portion of project benefits will occur through non-A.I.D. project and policy dialogue routes, as new ideas and approaches from ACCESS II become known to the broader development community. Work under ACCESS I is now widely known, and so it is quite realistic to expect that major impacts of ACCESS II will occur outside of bilateral A.I.D. activities (e.g. the World Bank).

The ACCESS II project is anticipated to have its most immediate and direct impact on the Agency's many land and resource tenure related activities. For example, PPC's estimates show that between 1980 and 1988, the total cost of A.I.D.-funded

activities related to land and resource tenure amounted to approximately \$190 million. In addition, during that same time period, approximately \$155 million are estimated to have been invested in land settlement and river basin projects. It is reasonable to expect funding for these and related activities to be at least as important during the coming decade, and it would take but a very modest increment in benefits flowing to these other projects from ACCESS II's research to justify the cost of this project. In addition, estimates available of lost agricultural production range from 12 percent in Kenya due to ineffective factor markets (Collier) to 25 percent in Thailand due primarily to farmer inability to obtain loans with untitled land (Feder), with resulting negative consequences in related economic sectors. These estimates boldly underscore the potential returns to enhanced land and resource tenure arrangements, and to the ACCESS II project.

There is clear evidence that LTC has been effective in providing policy-related analysis under ACCESS I. Consequently, there is ample reason to believe, given the continuing and even growing importance of land and resource tenure issues, that significant benefits will result from ACCESS II. It also appears that the proposed project, as designed, is the most cost-effective alternative in terms of meeting both the knowledge-generation and mission-support objectives. Based upon these different considerations, the project can be judged to be economically sound.

#### 4.3 Social Soundness Analysis

A.I.D.'s Social Soundness Analysis (Handbook 3, Appendix 3-F) calls for an assessment of three critical issues: "(1) the compatibility of the project with the sociocultural environment in which it is to be introduced (its sociocultural feasibility); (2) the likelihood that the new practices or institutions introduced among the initial project target population will be diffused among other groups (i.e. the spread effect); and (3) the social impact or distribution of benefits and burdens among different groups, both within the initial project population and beyond."

A. Socio-Cultural Feasibility - ACCESS II is designed to take social soundness considerations into careful account. Empirical evidence suggests that increased land and resource access with tenure security yields major benefits for the poor majority, including enhanced rural incomes, food availability, employment, levels of investment in agriculture, and more sustainable natural resource management. The attainment of the project purpose will mean new and more effective dialogue on

policy-relevant methods to promote secure farmer access to land and natural resources. With appropriate changes in policies, diffusion of project benefits will be substantial, if indirect. Benefits and burdens among different groups, including women, will be carefully assessed in the project's research activities, with strong project emphasis on equity with greater resource efficiency.

A good understanding of existing social structure and social organization, and the way people organize themselves for resource management (including dispute resolution), is basic to effective tenure policy formulation and implementation. The issues related to ACCESS II's common themes require multi-disciplinary research and analysis, and a firm grasp of the local social landscape.

ACCESS I has excelled in conducting multi-disciplinary research, making fine use of anthropologists, rural sociologists, agricultural economists, natural resource management experts, legal experts and other social scientists to analyze the social impact of tenure change. Numerous USAIDs have relied on the project to provide this kind of information. In Guatemala, for example, ACCESS I has carefully examined the effects of tenure change on household income, labor allocation, general welfare, education, access to credit, farm size, and ethnic and gender characteristics. In Swaziland, the project carefully analyzed (in collaboration with a local institution) the traditional tenure system in order to generate policy recommendations consistent with existing values and beliefs. These policy options were designed to build on customary tenure arrangements and offered alternatives for positive tenure evolution with minimal social disruption, rather than abrupt, radical transformations. Local tribal chiefs were carefully invited to participate in ACCESS I/GOS tenure workshops. The Minister of Agriculture and Cooperatives of the GOS concluded that the ACCESS I project's relationship with Swaziland was "an illustration of the type that should be encouraged". There is every reason to expect ACCESS II (to be implemented by the same cooperator) to continue in this same exemplary fashion, with great awareness of the social soundness of all project assistance.

The ACCESS II supports a major objective of one of its ultimate clients - i.e., the small farmers. Secure access to land and natural resources is a major preoccupation of small farmers everywhere, and the dream of "clear title" to provide incentive for investment, and to pass on to one's children, remains strong, especially in Latin America. The project's analysis of customary tenure systems, and its careful attention to the potential social effects of tenure change, is especially

relevant in the African context. Concern with tenure status and investment, and with evolving tenure patterns, speaks to the basic small farmer needs and concerns in Asia. These issues will be of increasing importance in the years ahead, as population pressures continue to mount.

B. The Spread Effect - ACCESS II's emphasis on generating policy- and program-relevant research information implies broad project impact well beyond the target research population. Tenure change generally affects major segments of a country's population, and modification in rural codes and statutes can mean sustained impact for generations to come. Experience under ACCESS I (e.g. the evaluation of the Penny Foundation land markets project in Guatemala, now being looked at as a potential model for other countries facing similar circumstances) indicates that benefits from ACCESS II's research can even spread beyond the host country to other regions of the world.

The indirect effects of policy and technical changes growing out of ACCESS II research will also be broad. Tenure change in rural areas can lead to increased productivity and incomes which, in turn, can help generate greater demand for urban finished goods. Increased agricultural production can lower per unit food prices, stimulate development of secondary employment opportunities, and improve living standards for both urban and rural consumers. Greater access to land, water and natural resources can help arrest rural-urban migration and slow down the problems associated with urban sprawl. The ACCESS II project will get at the heart of these dynamics, and can be expected to have important and broad impacts.

C. Social Impact/Costs and Benefits - ACCESS II will take the lead for the Agency in helping host country policy makers address critical land and resource tenure issues and determine their developmental impact. Project outputs will affect several different audiences nowever, including developing country farmers, other donors, and research institutions.

Through its research, information dissemination, and institution-strengthening activities, the ACCESS II project will assist in improving host country policy-makers' understanding of the the ways in which land and resource tenure affect incentives for agricultural development and sustainable resource use. The project will conduct its policy- relevant research in such a way that host country nationals are major participants in the research process, both to give the research results and their policy implications greater credibility and to begin to create a constituency of host country nationals who

support and understand the need for policy change. Experience under ACCESS I indicates that the more enlightened policy decisions taken as a result of ACCESS II will lead to more efficient and sustainable resource use, and this will have clear and positive impacts on farm-level decision making, including agricultural investment and resource management strategies. This is expected to increase farm income and rural demand, and contribute in a positive way to broad-based and sustainable economic growth.

The LTC will continue to cooperate closely with other donors and research institutions, including the World Bank, FAO, IUCN, and the IARCs. Dissemination of project results will allow important information sharing, and result in more coordinated strategy and policy decisions with other donors (e.g. the recent ACCESS I collaboration between the LTC and the World Bank on tenure issues and natural resource management in the Sahel). A.I.D. has clearly taken the lead on land and resource tenure issues worldwide, and ACCESS II will allow the Agency to keep out in front and help set research and policy directions for the development community for many years to come.

Handbook 3 underlines a discrete set of criteria that are "especially important for assessing social costs and benefits" when dealing with equity and benefits incidence. These are: (i) access to resources and opportunities; (ii) employment; (iii) rural displacement, migration and urbanization; and (iv) changes in power and participation. ACCESS II is designed to take all these criteria into careful account.

-Access to resources and opportunities: Promoting secure farmer access to land and natural resources is central to the ACCESS II project purpose. Resource tenure research is explicitly aimed at broadening resource access and expanding opportunities for participation in economic growth. As noted in Section 1.3 (Project Rationale) above, ACCESS II would be the major centrally-funded Agency project dealing explicitly with critical equity and distributional issues, and with how these concerns relate to enhance productivity and sustainable resource management.

-Employment: Increased tenure security and expanded resource access will have positive impacts on employment, especially in the rural areas. Tenure security is necessary to encourage investment in agriculture, and tenure change can thereby lead to expanded opportunities for productive employment. Increasing incomes mean rising demand for other goods and services, and the secondary impact of tenure change on employment can be significant. Of course, greater resource access will have its most immediate positive employment impact

on the landless and land-poor rural families, offering clear opportunities and incentives for increased participation in the economy.

-Rural displacement, migration, and urbanization: It can be expected that these important phenomena will be positively affected by the kinds of policy change that ACCESS II will help bring about. As noted above, tenure security and increasing access to resources can help arrest rural displacement and rural-urban migration, enhancing living standards for both urban and rural residents. The greater residential stability that clear resource access provides can also enhance family stability, strengthen social relations, and facilitate delivery of vital social services. It increases returns to investment in infrastructure and input provision, and facilitates dynamic economic growth.

-Changes in power and participation: Finally, the activities of ACCESS II can indeed have an impact on the redistribution of power and opportunities for participation. Increasing the tenure security and resource access of small farmers implies an increase in power, though this need not necessarily be at the expense of other groups. For example, ACCESS II's emphasis on using land markets to redistribute land (rather than expropriation by government fiat) allows free market compensation to former owners, while at the same time encouraging shifts of productive resources to more efficient uses.

In addition to analyzing the impact of tenure change on power relations between different social groups, ACCESS II will address related themes at the household level, in the context of looking at land and resource tenure issues and their impact on women. Tenure arrangements hold special importance for women and their role in farm production. The number of female headed households has continued to increase over the past decade, and rural women account for more than one-half of all food production in the developing countries. This suggests a clear and urgent need to take seriously the legal status of women and their right to have secure access to land. However, existing tenure regulations are not always favorable towards women, and in many contexts, women are not allowed to own land, or they lose their rights to land at the dissolution of marriage by death or divorce. This insecurity of tenure has an important impact on women's investment in agriculture, on the availability of food and therefore on levels of consumption, and on the stake and participation of over half the total rural population in economic growth.

The impact of tenure on women is one of the two cross-cutting themes of ACCESS II's research. ACCESS II will look at

critical tenure issues affecting women, especially the specific legal and tenure constraints facing women farmers and reducing their productivity. Recommendations will be generated for administrative, institutional, organizational and policy adjustments that would enable women to have greater tenure security and thus greater participation in economic development. Some illustrative research questions that will be investigated vis-a-vis the impact of tenure on women are discussed in Section 2.3.

Of course, the level of investment in agricultural production by women is dependent on more factors than simply access to land and related resources. Other issues which need close attention include household labor demands, labor constraints on women, and women's access to extension services, credit, and training. These corollary concerns will also be addressed (as appropriate) in ACCESS II's research.

Finally, the enhancement of private property rights, which is central to ACCESS II's purpose, does suggest some exclusion of "non-owners" and a potential reduction in their power. However, this is a basic feature of dynamic and progressive economic systems that strive to provide the greatest good to the greatest number of people. As experience suggests, the free market helps channel resources to their most efficient uses, and these are precisely the kinds of changes in power and participation that the Agency is committed to supporting. ACCESS II will offer a powerful tool for meeting these objectives, enhancing opportunities for broad based economic growth.

#### 4.4 Environmental Analysis: Initial Environmental Examination

Description of Project: Land and resource tenure rights are key determinants of agricultural production and natural resource management. Inadequate tenure constrains agricultural production and accelerates environmental degradation. Appropriate tenure, on the other hand, provides incentives to encourage investment in new technology and in natural resource use and conservation.

ACCESS II is proposed as a ten-year project involving basic research, including development of research methods, cross-country comparisons, and region-wide generalizations; applied research, including policy-relevant country studies and problem-specific work; institution building, by working to support those host country institutions positioned to have an effect on policy; and dissemination of results, through in-country and international workshops and conferences and publications.

ACCESS II will focus research around three "common themes" and two cross-cutting themes. The latter include: (i) land markets and transactions; (ii) tenure and natural resource management; and (iii) institutional and structural dimensions of tenure change. The latter includes the following: (i) security of tenure; and (ii) impact of tenure arrangements on women.

Identification and Evaluation of Environmental Impacts: The project's research, information dissemination, and institution-strengthening activities will have no significant negative effect on land use through changing the character of the land (it will not increase the population, extract natural resources, clear land or change soil characteristics); through altering natural defenses; through foreclosing important uses; or through jeopardizing humans or their works.

The project will have no significant negative effects on water quality, its physical, chemical or biological states, or its ecological balance.

The project will have no significant negative effects on the atmosphere through air additives or pollution, or through land clearing.

The project will have no significant negative effects on natural resources through diversion or altered use of water, or through irreversible, inefficient commitments.

The project will have no significant negative effects on cultures of the region by altering physical symbols or diluting cultural traditions.

The project will have no direct significant negative effects on the socioeconomic situation of the region through changes in economic/employment patterns, population or cultural patterns.

To the contrary, the project will, in very deliberate and significant ways, enhance the environment and increase the sustainability of the resource base, while promoting broad-based participation in economic growth. The "common theme", tenure and natural resource management, in particular, was developed with precisely these objectives in mind, and earlier project research under ACCESS I argues for the likelihood that strong, positive impact on the environment and the resource base can be expected from ACCESS II.

Conclusion and Recommendations: The above evaluation shows that no adverse environmental impacts will be made by the project. The project description further indicates that the project is designed to have highly positive impact on

sustainable land and natural resource management. A negative determination is therefore recommended.

## 5.0 IMPLEMENTATION ARRANGEMENTS

### 5.1 Administration

A. Selection of Cooperating Institution - The non-competitive selection of the LTC to implement the ACCESS II project is proposed. This proposal is based on the following three considerations:

Exceptional Expertise - LTC has been undertaking research on land tenure since 1962 through A.I.D.'s assistance. As indicated in earlier sections of the project paper (e.g., Sections 0.1, 1.2, and 4.1), two evaluation teams have confirmed the exceptional expertise of LTC in conducting land/resource tenure research. The Montgomery evaluation team judged the LTC to be the only U.S. institution with a core program in, and broad cross-regional understanding of land tenure factors. The evaluation team called the LTC a "unique national resource", whose functions are not being performed or even planned by any other individual or group. The 1987 mid-term evaluation explicitly concurred with the Montgomery team's conclusions, and argued that the LTC is not only a unique national resource, but also an international one. A centrally-funded project, like ACCESS II, would allow A.I.D. to continue to play a leading role in setting the LTC's important research agenda, and this is clearly an opportunity that should be exploited by the Agency.

The work of LTC through the ACCESS I project has undergone an important transformation in recent years, with a broadening of perspective from the narrowly defined issues of land tenure and land reform to concern with more general resource tenure themes, and with tenure issues in effective and sustainable natural resource management. LTC's expertise in these areas has grown substantially under ACCESS I, and the Center is now ideally positioned to deal with a number of new and critical policy-related questions that remain unresolved. These include: the relationship of land tenure to rural employment and credit markets; the interaction of land tenure with environmental management; the functioning of land markets in situations (common in developing nations, especially in Africa) where the land market is not legally recognized; the relationship between formal land law and behavior, where behavior is guided by tradition, Islamic law, or expediency; and the relationship between land tenure change and population

growth. These are just some of the issues that the proposed ACCESS II project would take the lead in addressing for the Agency with the expert assistance of LTC.

Unique Library Facilities - LTC maintains a specialized library with approximately 63,000 volumes and 20,000 indexed articles on items dealing with land tenure, agrarian reform, rural development, and related areas. According to the Montgomery evaluation, the LTC library "has provided indispensable support to scholars doing research on land tenure. It has provided documentation services essentially on demand. LTC's extensive services of bibliographics on land tenure developments throughout the world have been a unique aid to researchers. No comparable bibliographic series has existed since the FAO discontinued its modest reference service. Through the occasional papers and reprints, LTC has made available 'fugitive documents' not elsewhere annotated or accessioned. Documentation services such as these are the important 'public good'. They exemplify a relatively small investment that can have a large payoff." The 1987 mid-term evaluation, likewise, recognized the important research and pedagogical support role that the LTC library plays.

Attainment of the Goals of the Foreign Assistance Act (FAA) - In order to make progress towards attaining the goals and objectives of the FAA, informed and effective attention to land and resource tenure issues in a variety of situations is required. Informed attention to these issues includes understanding many different factors, including: (i) the socio-economic dynamics of existing systems of land/resource rights; (ii) the legal and institutional environment in which rights are claimed and enforced; (iii) the effects on agricultural production and income of different tenure systems; (iv) the role of land markets; and (v) the political sensitivity of land and resource tenure issues. These five aspects of land/resource tenure have very different manifestations in different developing country contexts, and tend to be highly complex.

While there are several different entities or individuals with competence in one or more of these areas in one region of the world, only LTC has clear expertise in all these areas worldwide. In addition, LTC has demonstrated an ability to work competently on very sensitive tenure issues in ways that promote the goals of the FAA, without raising problems associated with tenure change in such sensitive situations. Work by LTC staff under the current cooperative agreement in countries like Guatemala, Somalia, the Dominican Republic, Honduras, and Uganda demonstrates the LTC's broad-gauge competence to work on controversial tenure policy issues with a

high national profile in a discreet manner, effecting important changes without treading on sensitivities and powerful interests which could put in jeopardy the achievement of the FAA objectives mentioned above. An illustration of this competence was recently (September, 1988) provided by the Minister of Agriculture and Cooperatives for the Government of Swaziland, in a speech before a BIFAD conference in A.I.D./Washington. The Minister lauded LTC's working relationship with the GOS under ACCESS I, saying that it was "an illustration of the type that should be encouraged". Referring to their joint research on changing customary tenure systems in Swaziland, the Minister noted that project management was "truly collaborative", and that the research findings were relevant for Swazi needs. This illustrates LTC's clear capacity to deal effectively with sensitive land tenure issues under difficult institutional circumstances, and argues strongly for the Agency's continuing relationship with LTC.

B. Assistance Instrument - A cooperative agreement with the LTC is proposed as the assistance instrument to implement the ACCESS II project. The cooperative agreement will be negotiated for a period of five (5) years, subject to the progress of the LTC's program, future A.I.D. priorities, and the outcome of a project evaluation which will be conducted at the beginning of the fourth year of the cooperative agreement. The evaluation will also investigate, among other factors, any major design or implementation changes necessary for the next five years of the ACCESS II project.

The objective of the cooperative agreement is to further strengthen LTC's program of research on land and resource tenure issues in order to enable A.I.D. to achieve ACCESS II's project purpose. The LTC will work collaboratively with the S&T Bureau, regional bureaus in A.I.D./W, field missions, participating host countries, and with other interested donors or development institutions. It will mobilize and apply its resources to generate and disseminate knowledge which can be used to guide the formulation of host countries' and donors' technical recommendations, policies, and programs related to land and resource tenure. It will, likewise, utilize its expertise and resources to develop host countries' institutional capability to undertake land/resource tenure research and to draw policy- and program-relevant conclusions and recommendations.

The cooperative agreement will contain the standard provisions for termination for cause, under which A.I.D. may terminate an agreement if the cooperator fails to comply with the conditions of the agreement.

### C. Project Management

A.I.D. - The outputs and services of the ACCESS II project will be subject to management and oversight by a project officer from the S&T Bureau's Regional and Rural Development Division (S&T/RD/RRD). The project officer will allocate approximately 50% of her/his time to the ACCESS II project. The project officer's management and oversight function involves the provision of overall project/program direction and concurrence with: (i) the project's annual workplans (see description below); (ii) periodic revisions of the workplans; (iii) selection of research sites and formulation of strategies; and (iv) clearance of field visits through A.I.D. missions. This oversight will assure: (i) adequate representation of A.I.D.'s and LTC's respective interests in the project; (ii) appropriate fit of the project's research program with developing countries' interests and with A.I.D. policies; and (iii) coordination with other relevant A.I.D.-funded activities. In addition, the project officer will be responsible for carrying out regular project tasks such as voucher approval, budget preparation, and PIO/T preparation and clearance. The project officer will also be responsible for establishing and chairing a Project Committee, through which the regional bureaus and PPC can participate in providing substantive input and oversight to the ACCESS II project. One of the most important functions of the Project Committee is to review and recommend appropriate S&T/RD action (i.e., approval or disapproval) of proposed annual workplans for the project.

A.I.D. missions in the LAC, ANE and AFR regions will manage ACCESS II field activities in-country, beginning with the preparation of scopes of work for the cooperator. All mission contributions to ACCESS II under the cooperative agreement must be fully consistent with the goal and purpose of the project, including that of building host country technical capacity to independently carry out land and resource tenure research and analysis. Such contributions must also help support LTC's research program.

Advisory Board - The LTC Advisory Board will continue to perform its valuable functions under ACCESS II. Created on the basis of a recommendation by the Montgomery evaluation, the Advisory Board is comprised of non-LTC scholars and development experts. The Advisory Board was established to protect the LTC against administrative and intellectual inbreeding and to give it greater visibility and credibility. The functions of the Board include: (i) reviewing the changing intellectual and policy environment of the field in terms of the LTC's contributions and potential; (ii) considering ways to make greater use of the LTC; (iii) reviewing A.I.D.'s options in

supporting and utilizing the Center; (iv) providing advice on policy matters, such as publication rights and responsibilities; and (v) reviewing and evaluating the LTC's field activities, including the performance of the peer review function described in Section 5.2. B.

Cooperator - The LTC will be primarily responsible for execution of the activities of the project, as stated in this project paper, and as elaborated upon in the terms of reference for the cooperative agreement. Communications between A.I.D. and the LTC, and between USAIDs and LTC headquarters in Madison, Wisconsin, will be the responsibility of the S&T/RD/RRD project officer. The LTC will be expected to keep the project officer fully advised of the status of all field activities done in the context of the ACCESS II project, and of all important communications with field missions.

The LTC Executive Committee, comprised of representatives from various University of Wisconsin departments which participate in or have research and/or teaching relationships with LTC, will continue to provide advisory services to LTC on policy and research matters.

Annual Workplans - Prior to the release of annual core funding allotments for the project, an approved annual workplan will be required. LTC will develop the annual workplans which will specify the level of effort required for the various targeted outputs and the mix of personnel and disciplines needed to accomplish each task. The annual workplan is intended to encourage a clearer understanding of the overall allocation patterns against expected project outputs, and to provide a running assessment of the status of each of the common research themes, and of their relevance to evolving Agency priorities and strategies. The workplan will contain, at a minimum: (i) a brief status report on on-going work; (ii) a budget projection (for the coming fiscal year); (iii) a schedule of planned activities by category and anticipated level of effort; (iv) a justification for proposed research, including a discussion of research objectives, hypothesis, expected outcome, and methodology; (v) an explanation of progress attained against stated objectives; and (vi) a schedule of planned outputs. The workplan should not exceed 20 pages in length, though necessary appendices are permitted.

## 5.2 Project Operations

A. Implementation Plan - This project paper describes the activities, inputs, and outputs for the ten-year life of ACCESS II. Attached as Annex 3 is a proposed implementation

schedule of the project's major activities over the ten-year period. The first annual workplan for the project, which will be developed shortly after a cooperative agreement with LTC is negotiated, will provide more detailed information on planned activities for the first year of the project. In the meantime, the following is a brief discussion of tentative plans for the first two years of project implementation:

LAC Region - Based on communications with the LAC Bureau, the results of ACCESS I research will be synthesized during the first year of the project. This synthesis will help guide the direction of project activities in the region under ACCESS II. Tentatively, a seminar, during which the synthesis of research findings will be discussed, is planned for the beginning of the second year of project implementation. In addition to synthesizing research results, the project plans to develop a concept paper and state-of-the-art paper on tenure issues in natural resource management. Over half of the USAIDs in the LAC region which responded to S&T/RD's inquiry on thematic areas of interest identified tenure issues in natural resource management as a priority research theme for ACCESS II (see Table 6 and Annex 4). The project also plans to hold a six-week training course in Madison, Wisconsin on this topic, every other year, starting in the summer of 1990.

To date, S&T/RD has received indications of interest in the project from twelve posts in the LAC region (i.e., Barbados, Belize, Bolivia, Costa Rica, Dominican Republic, Ecuador, Guatemala (USAID and ROCAP), Haiti, Honduras, Jamaica, and Peru). On the first year of the project, contacts will be made with the A.I.D. posts in these countries to firm up plans for their participation. These contacts will be followed by a development of research scopes of work and the identification of research sites and collaborating local institutions. While it is difficult at this time to predict with certainty the number of research activities that will be initiated within the first two years of project implementation, it appears likely that research could begin in at least three countries within this timeframe.

AFR Region - Eight out of the eleven AFR USAIDs which have expressed interest in participating in ACCESS II have identified research on tenure issues in natural resource management as a priority activity (see Table 6 and Annex 4). In this connection, a long-term applied research activity will be initiated in Mali as part of USAID/Bamako's Village Reforestation project. This activity will start as soon as a cooperative agreement with LTC is negotiated. A second long-term research activity, possibly in Uganda, is planned to be initiated in 1990. In addition, USAIDs in the AFR region

will be invited to nominate participants to the 1990 six-week training course on tenure and natural resource management.

In the area of land markets and transactions, a concept paper will be developed in 1989, and a state-of-the-art paper in 1990. In addition, two long-term research activities on land markets and transactions are planned to be initiated on the first two years of project implementation. Potential research countries include Zimbabwe, Uganda, Lesotho, and Somalia. Discussions with the AFR Bureau and the USAIDs in these countries will be conducted as soon as possible to identify the actual research sites.

To date, the ACCESS project has not conducted any research in Africa on the third common theme, "Institutional and Structural Dimensions of Tenure Change". Thus, during the first year of the project, LTC will undertake a literature review of available information on this topic and prepare a state-of-the-art paper. A concept paper will also be prepared on the first year of the project which identifies and analyzes the relevant research issues under this topic, and discusses how the project plans to proceed in conducting field research in this area. A workshop involving A.I.D. and experts within and outside of LTC will be held in 1990 to review and critique the concept paper. In addition, during the first two years of the project, LTC will carry out a significant effort at networking and developing contacts with researchers in the legal, legal anthropology, and legal sociology community who have been involved in investigating issues related to the institutional and structural dimensions of tenure change in Africa. Tentatively, it is planned that long-term research, preferably in two countries in West Africa (one anglophone and one francophone) will be initiated to explore the impact of two different colonial legal traditions on the evolution of customary tenure through judicial decisions. The two countries (possibly Senegal and The Gambia) will be identified in 1989, and a research proposal will be developed in 1990.

ANE Region - As previously indicated, the ACCESS project has not had any opportunity to conduct long-term research in the ANE region. It appears, however, that there may be opportunities for research in this region under ACCESS II. To date, S&T/RD has received expressions of interest in the project from USAIDs in Egypt, India, Jordan, Nepal, Sri Lanka, and the Yemen Arab Republic (see Table 6 and Annex 4). Because no previous research has been undertaken by LTC in the ANE region, concept papers and state-of-the-art papers on the three common themes will be developed in 1989 and 1990. Discussions will be conducted with USAIDs which have expressed interest in participating in order to identify research sites, develop

Table 6: Thematic Areas of Interest to USAIDs\*

COUNTRY	INTEREST		THEMATIC AREAS OF INTEREST				
	Yes	No	Common Theme 1	Common Theme 2	Common Theme 3	Others	Not Indicated
<b>A. APR Region</b>							
Botswana	X			X			
Kenya (USAID)	X						
Kenya (REDSO/ESA)	X		X	X	X	X	
Lesotho	X		X				
Liberia		X					
Madagascar	X						
Mali	X			X			
Mozambique		X					
Nigeria	X						
Senegal	X						X
Somalia	X			X			
<i>Sudan</i> <del>REDSO/ESA (Nairobi)</del>	X		X				
Zimbabwe	X		X	X	X		
Sub-total	11	2	3	8	3	2	1
<b>B. LAC Region</b>							
Barbados	X		X				
Belize	X		X	X			
Bolivia	X		X			X	
Costa Rica	X		X	X			
Dominican Republic	X		X				
Ecuador	X		X				
Guatemala (USAID)	X		X				
Guatemala (ROCAP)	X						
Haiti	X			X			
Honduras	X		X	X			
Jamaica	X			X	X		
Peru	X			X			
Sub-total	12	0	8	7	1	1	0

COUNTRY	INTEREST		THEMATIC AREAS OF INTEREST				
	Yes	No	Common Theme 1	Common Theme 2	Common Theme 3	Others	Not Indicated
<b>C. ANE Region</b>							
Egypt	X						
India	X		X		X		
Jordan	X			X	X		
Nepal	X			X			
Sri Lanka	X			X		X	
Yemen Arab Republic	X		X	X	X	X	
<b>Sub-total</b>	<b>6</b>	<b>0</b>	<b>3</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>0</b>
<b>TOTAL</b>	<b>29</b>	<b>2</b>	<b>14</b>	<b>19</b>	<b>7</b>	<b>5</b>	<b>1</b>

**NOTES:**

- Common Theme 1: Land Markets and Transactions
- Common Theme 2: Tenure and Natural Resource Management
- Common Theme 3: Institutional and Structural Dimensions of Tenure Change

\*Based on cables received by 5/15/89.

scopes of work, and locate national institutions with whom LTC can collaborate in conducting the research activities. In addition, USAIDs in the ANE region will be invited to send participants to the training course on tenure and natural resource management, which is tentatively scheduled for the summer of 1990.

Implementation by LTC of the ACCESS II project does not exclude its collaboration with other institutions to support land and resource tenure research in particular circumstances. Experience with the ACCESS I project indicates that the subcontracting mechanism for this purpose can be especially useful (e.g. project work with the University of Pittsburgh in Ecuador, FLASCO in Guatemala, Makerere Institute for Social Research in Uganda, Social Science Research Unit in Swaziland), and is therefore encouraged when appropriate. In addition, S&T/RD's growing relationship with Virginia Polytechnic Institute (through S&T/RD's SARSA project) suggests important potential complementarities between LTC and that University. Informal discussions have already been initiated to explore ways to build on mutual interests and complementary expertise. An example of a potential area of collaboration might be the involvement of ACCESS II in Virginia Polytechnic Institute's planned Applied Social Science Center.

B. Monitoring and Evaluation - A system of monitoring and evaluation will be implemented to track and assess the progress of the ACCESS II project. The system is comprised of the following:

Continuous Monitoring - The S&T/RD/RRD project officer will continuously monitor project activities. The project officer will keep the S&T Bureau and the ACCESS II Project Committee informed of progress in each area of activities, and problems which develop, and corrective actions being taken to resolve them.

Annual Workplans - As previously described, the annual workplans will provide information on the progress made in implementing the project during the past year, problems encountered and solution proposed or taken, and planned activities for the coming year of project implementation.

External Evaluations - The status of project implementation and the quality of outputs produced will be formally evaluated two times during the life-of-project (i.e., during the fourth and ninth years). The evaluations will be conducted by a team composed of representatives from the participating regional bureaus and at least one non-A.I.D. specialist with demonstrated experience in an appropriate

discipline related to land and resource tenure. The S&T/RD/RRD project officer and LTC representatives will serve as resource persons for the evaluation team.

The evaluations will assess: (i) the project's progress in accomplishing its goal and purpose; (ii) the extent to which the outputs have been accomplished, the quality of outputs produced, and the contribution of the outputs to the accomplishment of the project's goal and purpose; and (iii) the appropriateness or adequacy of project inputs. The evaluations will also assess whether major management and technical problems exist, and propose solutions to improve project implementation. The first evaluation will be critical in determining any major design changes in project implementation during the last half of the life-of-project. The last evaluation will determine the need for, and the future direction, of any A.I.D. assistance in land/resource tenure research after the life-of-project. The final evaluation will also identify, to the extent possible, ACCESS II's contributions toward the expansion of the knowledge base on land and resource tenure, and the degree to which the project has influenced institutional and policy changes.

Peer Reviews - The continuing relevance and high quality of the project's research outputs are of major importance to the achievement of the project's purpose. Thus, the LTC Advisory Board will conduct peer reviews of selected project research outputs to assess the relevance and quality of LTC's research. These peer reviews will be undertaken twice over the life-of-project to coincide with the planned project evaluations.

Institutional Assessment - A.I.D. has been supporting LTC since 1962, but to date, the Center has not been fully "institutionalized" within its current location - the University of Wisconsin. The institutionalization of the Center has important implications for employment security of its staff. Thus, a one-time external institutional assessment will be undertaken in the second year of the life-of-project to examine the potentials for institutionalizing LTC in its current location. Specifically, the assessment will assess what the potentials are, and identify options for institutionalizing the Center. The latter may include, if found appropriate and feasible, the possibility of situating LTC in another location.

Final Report - As was done in ACCESS I, LTC will be asked to prepare a final report which summarizes its major accomplishments and research findings over the life of the ACCESS II project. Accomplishments which can be traced to the

project that have influenced institutional and policy-related changes in participating countries, and research findings which have added to and advanced the body of knowledge on land and resource tenure, will be highlighted in the final report. This report should be completed before the project's final evaluation is undertaken, so that it can provide inputs into the evaluation process.

ACCESS II PROJECT PAPER ANNEX 1  
LOGICAL FRAMEWORK

LOGICAL FRAMEWORK  
ACCESS TO LAND, WATER, AND NATURAL RESOURCES II

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
<u>GOAL</u>			
To promote broad-based and sustainable economic growth through improved use and management of land and natural resources.	<p>1) Rural incomes from agricultural production are higher as a result of more productive use of land and improved natural resource management practices.</p> <p>2) Export earnings are generated and/or foreign exchange expenditures on imported food commodities are reduced due to improvements in food and agricultural production.</p>	<p>-Government statistics</p> <p>-Government statistics</p>	<p>1) Productivity-increasing technologies and inputs which are acceptable to small farmers are available and accessible.</p> <p>2) Economic incentives for increasing agricultural production are available to small farmers.</p> <p>3) Adequate infrastructure, which allows timely sale and purchase by small farmers of production inputs and outputs, are in place.</p>
<u>PURPOSE</u>			
To improve host countries' and the broader development community's understanding of relationships between land/resource tenure and sustainable agricultural development, rural income growth, and natural resource management, and to facilitate the application of such understanding to development programs and policies.	<u>END-OF-PROJECT STATUS</u>	<p>-Project evaluations</p> <p>-A.I.D., host country, and LTC reports, publications, and other activities</p> <p>-Peer Review</p> <p>-Project evaluations</p> <p>-LTC reports and publications</p>	<p>1) Host countries and A.I.D. continue to have interest and political will to investigate land/resource tenure issues and provide adequate financial/human resource support.</p> <p>2) A.I.D. and University of Wisconsin provide adequate financial support for outreach and dissemination activities.</p>

PURPOSE

END-OF-PROJECT STATUS

thereby increasing awareness of the policy and programmatic implications of resource tenure factors.

3) Institutional capability exists in participating countries to design and implement resource tenure research and to draw policy- and program-relevant conclusions and recommendations.

- Project evaluations,
- Site visits
- Project records
- Host country records

3.1) Host country institutions make counterparts available to participate in research and training.

3.2) Sufficient funds are available for host country participation in project's research and training activities.

OUTPUTS

MAGNITUDE OF OUTPUTS

1) Expanded and improved theoretical and empirical knowledge of land and resource tenure issues, specifically pertaining to three major common themes: (a) land markets/transactions; (b) tenure and natural resource management; and (c) institutional and structural dimensions of tenure change.

-At least one working paper for every research activity undertaken.

-One policy options paper for every research activity undertaken.

-One concept paper for every new common theme and sub-theme initiated.

-One state-of-the-art paper for each new common theme initiated.

-Five book-length manuscripts over LOP.

-One report each on at least 5 limited-scale testing of research recommendations.

-One report on every assessment or appraisal undertaken by project.

-Synthesis reports on each of the common themes.

- Project evaluations
- Project records
- Review of publications
- Annual workplans
- Project reports
- LTC Advisory Board peer review of selected project research outputs

1.1) Host countries and A.I.D. continue to have interest and political will to investigate land/resource tenure issues.

1.2) Financial and human resources are available and adequate to expand and improve knowledge base.

1.3) Funds are available and adequate to support LTC's basic core activities.

OUTPUTS

MAGNITUDE OF OUTPUTS

2) Strengthened and increased number of information dissemination and networking activities.

-At least 10 articles and comments published in refereed journals over LOP.

-At least one seminar per year to discuss findings on region-specific research topics.

-At least one major workshop on each of the common themes.

-A fully functioning LTC library.

-A strengthened publication program.

-A strengthened document distribution program.

-LTC Advisory Board continues to perform its networking function.

3) Strengthened developing country institutions conducting resource tenure research and drawing policy- and program-relevant conclusions and recommendations.

-A host country institution participates in every project research activity.

-Minimum of 10 host country analysts receive research assistantship over the LOP.

-A short course conducted by LTC at least four times over the LOP.

-Workshop/seminar reports

-Annual workplans

-LTC and A.I.D. records

-Project evaluations

-Site visits

2.1) A.I.D. resources are available and adequate to organize workshops/seminars.

2.2) A.I.D. and University of Wisconsin provide adequate and continuous support for the LTC library.

2.3) Sufficient resources are available for publications and document distribution.

-LTC and A.I.D. records

-Project evaluations

3.1) Host country institutions are interested in collaborating in the project's research.

3.2) Host country counterparts are available to participate in the project's research and training activities.

3.3) Adequate resources are available for other costs of degree training outside of CA.

3.4) Adequate resources are available to accommodate host country participation in the project's research (on-the-job training).

OUTPUTS

MAGNITUDE OF OUTPUTS

3.5) University of Wisconsin provides adequate seed funds to initiate short course.

3.6) USAIDs and other sources fund attendance of host country personnel in short courses.

INPUTS

S&T (in \$000)

-Salaries/Benefits	3,667
-Travel	144
-Other Direct Costs	270
-Overhead	1,754
-Evaluations/Audits	165
-Total	<u>6,000</u>

-Project records  
-Annual Workplans  
-LTC records

-Cooperative agreement with LTC will be approved.

-Adequate regional bureau/mission participation will be generated through the buy-in mechanism.

Regional Bureaus/Missions (\$000)

-Salaries/Benefits	5,939
-Travel	1,301
-Other Direct Costs	2,283
-Overhead	2,477
-Total	<u>12,000</u>

University of Wisconsin (\$000)

-Direct Support	1,546
-Indirect Support	604
-Total	<u>2,150</u>

TOTAL (\$000) 20,150

48660

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ACCESS II PROJECT PAPER ANNEX 2  
ACCESS TO LAND, WATER AND NATURAL RESOURCES PROJECT (936-5301)  
FINAL REPORT: 1979-1989

ACCESS TO LAND, WATER AND NATURAL RESOURCES PROJECT (936-5301)  
FINAL REPORT: 1979-1989

Land Tenure Center  
University of Wisconsin-Madison

October 28, 1988

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- In Guatemala LTC contributed to project development work on a land sale guarantee program and a feasibility study of the establishment of a national land bank.

- In the Dominican Republic the Center examined "second generation" problems subsequent to that country's land reform program, and participated in significant policy dialogue around these issues.

This period saw the beginning of LTC's work in Africa, and the Center assisted Missions there in the following ways:\*

- In Liberia LTC provided project design assistance for a program to collect basic data on land holding patterns to serve as the basis for programs of land titling and registration and land use planning and administration.

- In Botswana LTC undertook three separate consultancies, each with important policy inputs. First, the Center examined land tenure in major villages, producing the special study "Observations on Land Tenure and Housing Development in the Major Villages of Botswana." Second, the Agricultural Extension programs of Botswana were reviewed. Third, the LTC Africa Program Coordinator served as a special consultant to the Presidential Commission on Land Tenure and assisted in an early draft of the Commission's report.

- In Mauritania an LTC consultant examined land tenure development in several irrigated perimeters along the Senegal River and identified the fundamental choice between a state-planned tenure system and one which relies upon the evolution of traditional tenure systems to meet new economic needs.

#### B. Research and Training

During this period, LTC undertook five major programs of long-term research and training--four in Latin America, Nicaragua, Ecuador, Honduras and the Dominican Republic, one in Africa, Botswana--and was in the early stages of a sixth program in Mauritania and a seventh with the International Center for Research in Agro-Forestry in Nairobi.

In Nicaragua LTC designed and implemented a program of technical assistance and training to help strengthen the capacity of the GON's Center for Research and Studies on Agrarian Reform (CIERA) of the Ministry of

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\* There were two significant activities in Africa outside the Access Project. In Zambia two LTC consultants prepared the land tenure paper ("Agricultural Land Tenure in Zambia: Perspectives, Problems and Opportunities") for a food strategy study conducted by the Planning Unit of the Ministry of Agricultural and Water Development. They argued that the policy of "land without value" permits inefficient, un-intensive land use, and that the existing system of rationing out almost free a scarce and valuable good should be replaced by a system which recognized the value of land and charged an economic price for its use. In Lesotho the Center assessed alternative models for the organization of groups of farmers and livestock owners, and reviewed the capability of existing organizations to undertake such activity under the rubric of the Agricultural Production and Institutional Support Project.

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ACCESS TO LAND, WATER AND NATURAL RESOURCES PROJECT (931-5301)

FINAL REPORT: 1979-1989

Land Tenure Center  
University of Wisconsin-Madison

I. THE FIRST COOPERATIVE AGREEMENT: 1979 To 1984

During the first five years of the Cooperative Agreement (mid-1979 to mid-1984) LTC's activities consisted of a coordinated program of short-term consulting in direct response to Mission requests, long-term research and training, and special studies and papers. The relationship among the parts of the program was intended to operate as follows: some of the short-term consulting led to long-term programs of research and training; insights gained in both types of field activities fed into the special studies and papers.

A. Short-Term Consulting

In Latin America LTC assisted Missions in the following ways:

- In Nicaragua LTC paid several short-term visits to consult on the agrarian reform program initiated after the Somoza overthrow; these led to a long-term research and training activity discussed below.
- In Barbados the Center analyzed the potential for state interventions in land markets, and produced a special study entitled "Interventions in Land Markets to Benefit the Rural Poor."
- In St. Lucia LTC helped design a national land titling and registration program which included a land sale guarantee.
- In Ecuador the Center worked with the Mission and various GOE agencies to design a long-term program of research and training discussed below.
- In El Salvador LTC analyzed various options for streamlining the operations of Phases I and II of the land reform, including analyses of the roles of cooperatives, a potential program for sale of "excess" lands, research/extension and credit programs, and long-term technical assistance to the Salvadoran agrarian reform and planning unit.

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rather to poor management skills of farmers, unfavorable prices for commodities, inconsistent technical assistance, and poor land quality. Credit use by reform beneficiaries who were members of regional agricultural cooperatives revealed a better repayment rate offset by other substantial problems which could be improved by reducing risks caused by economic uncertainties in the agricultural structure. In general, centrally organized and managed agricultural enterprises seemed to be more successful than other farmer organizations for increasing production and repaying credit.

In the Dominican Republic LTC helped to strengthen the institutional capacity for the evaluation and design of programs of agrarian reform with the longer-range goal of improving agricultural productivity and employment in the reform sector. There were three strands of analysis:

- the most appropriate post-reform management model;
- organizational and technological alternatives for the most productive organization and use of marginal lands assigned to beneficiaries;
- improvement in the management effectiveness of the Dominican Agrarian Institute.

One important result of the research was the drafting of a new law which modified the collective management model of the reform sector, permitting individual family use of the land and maintenance of associations of beneficiaries for certain services and productive functions.

In Botswana LTC undertook a collaborative program of research with the Applied Research Unit (ARU) of the Ministry of Local Government and Lands (MLGL) and at the same time instituted a program of degree training at UW-Madison for staff of the ARU and the Lands Division of MLGL, designed to replace expatriate staff with qualified nationals. For the Lands Division, the new DOL cadre (District Officer-Lands) was trained at UW-Madison, in the M.S. in Land Resources Program. Several small groups of trainees came to Madison over a six year period, a process only completed during the current Cooperative Agreement.

The major theme of this research was the role of local institutions in development and in natural resource management in particular. LTC found that Botswana's new Land Boards continued to provide the broad access to arable land which had been characteristic of the traditional system. A separate examination of land access for resource-poor (often female-headed) households found that their smaller holdings were due not so much to institutional constraints as to their limited labor supply and lack of oxen. These and other studies also revealed, however, a continuing dependence on the part of modern land administration institutions (land boards) upon the lower levels of the traditional land administration hierarchy which those boards had been intended to replace.

The large-scale activities in Mauritania and with the International Council for Research in Agro-Forestry, (ICRAF) although begun in this period, really came to fruition only after 1984, and they are discussed fully in the second part of this report.

Agriculture and Agrarian Reform to design and carry out a program of applied research addressing short- and long-range problems associated with the on-going program of agrarian reform. CIERA staff traveled to Madison for a six-month training program on theoretical, applied and methodological aspects of land reform and rural development, as well as on statistics, mathematics and computer use; special library training was also provided in Madison and in Managua. After the CIERA staff returned to Managua, LTC staff and consultants assisted them in developing and carrying out research on issues of importance to GRN formulation of agricultural policy:

- levels of food production, marketing channels, food security;
- levels of investment and seasonal labor supply for export crops;
- credit and other services to small farmers;
- land reform legislation and titling programs.

One important practical outcome of part of the research activity was an adjustment in wage levels for seasonal workers on export crops (coffee and cotton) which substantially relieved labor bottlenecks and increased marketed output.

In Ecuador LTC cooperated with the AID Mission and the GOE to provide institutional strengthening to the Ecuadoran Agrarian Reform Agency (IERAC) which would enable its staff to undertake research on the on-going agrarian reform process and the tenure and agrarian structural results of that process. Twenty IERAC staff members traveled to Madison for three-month training programs on methods of social science research, comparative agrarian reform, statistical methods, and agricultural social sciences. These staff members then formed the core of the research branch (Estructura Agraria) established within IERAC. LTC provided two long-term resident researchers to work with IERAC in analyzing the agrarian structure of two provinces of Ecuador. The major findings of the research in Chimborazo Province were:

1. As in other post agrarian reform studies, the first generation beneficiaries showed a decided improvement in farm production, family income and general welfare. Increased income flows to beneficiaries resulted in greater local expenditures which in turn, improved local communities' economies.
2. The semi-feudal estates with their systems of tied labor identified in earlier research in Ecuador no longer exist, although thousands of rural families still live on the brink of severe poverty.
3. Future development efforts will be faced with a deteriorated environment, limited amounts of productive lands, and a high population/land ratio, and will have to find alternatives to improve the intensity of sustainable land use as well as employment opportunities outside of direct agricultural production.

In Honduras LTC undertook a series of studies on agrarian credit. Use of credit by the entire agrarian reform sector revealed substantial credit delinquencies attributable not to technical aspects of the credit program but

#### D. The Montgomery Evaluation

In late 1983 a major mid-term evaluation of the Center's Cooperative Agreement was directed by Professor John Montgomery of Harvard University. The evaluators concluded that the content of the Access Project to date had been too much determined by opportunities posed by immediate Mission needs. In the future, it concluded, LTC should seek to pursue an independent, knowledge-building agenda, to be embodied in a set of priority "research themes" developed in consultation with AID.

For its part of the dialogue with AID, LTC staff reviewed the work undertaken in the 1979-1984 period, and grouped the separate activities under a number of rubrics which assisted in identification of the current research themes:

- Land Markets: Barbados, St. Lucia, Guatemala
- Post Reform Experiences: El Salvador, Dominican Republic, Nicaragua, Ecuador
- Registration and Titling: Liberia, St. Lucia, Zambia, Honduras
- River Basin Development: Mauritania
- Agrarian Structure: Ecuador, Nicaragua
- Agrarian Credit: Honduras
- Urban Land Tenure: Botswana
- Marginal Land (Resource Management): Dominican Republic, Botswana, Africa Pastoralism, Lesotho

## II. THE RESEARCH THEME APPROACH: 1984-1989

### A. The LAC Program

The 1984 CA was organized around common themes: Land Titling and Registration, Post Reform Adjustments, Marginal Lands, and Agrarian Structure. Subsequently, with the approval of a LAC Regional Bureau funded project, the common theme of Land Markets was added. Each theme is discussed below.

#### 1. Land Titling and Registration

Individual, private holding of land is the dominant form of property in most of Latin America and the Caribbean. Although the institutional protection of that property form is usually well developed in law and in government policy, private property rights are often subject to constitutional requirements that the property be used productively and in accord with land use regulations, labor codes, and other rules and laws. In addition, private holdings often exist outside of legal protection of private property rights. In Central America, for example, a large portion of agricultural land is privately used but not privately owned (e.g., the municipal lands planted by individual farmers to coffee in Honduras). In some countries, agrarian reforms of the past have resulted in the State's assigning provisional rights to the land to the beneficiaries. In other countries, collective private property forms have evolved outside of the formal legal system, such as family land in the Caribbean.

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### C. State of the Arts Papers and Special Studies

The Pastoralism State of the Arts Paper ("Land Tenure and Livestock Development in Sub-Saharan Africa," by John W. Bennett, Steven W. Lawry, and James C. Riddell) was completed during this period, and published by AID as Evaluation Special Study No. 39 in 1986. The paper resulted from a thorough review of the literature and several study tours in Africa by the authors. They examined the effect of economic change in the pastoral sector on resource management, access to resources, and traditional tenure rules. They developed a model which utilizes the concepts of "production orientation" and "management style" to distinguish among groups of pastoralists and suggest tenure reforms appropriate to each:

1. Large, commercially oriented producers will need exclusive rights to extensive grazing areas, secured either through conversion to freehold or long-term leasehold.
2. Small- to medium-sized producers, even those who market a significant offtake, because of their inability to capitalize private range investments, will require some kind of modified communal tenure, as in grazing associations. The diversity of income strategies which sometimes exists within this segment of the pastoral population means that the development of workable group structures will often be difficult. This is an issue that merits much closer consideration.
3. Smallholder itinerant producers present special problems best dealt with through land use zoning and projects which bolster mixed farming strategies or, in some cases, promote off-farm employment opportunities.

The Land Markets State of the Arts Paper ("Interventions in Land Markets to Benefit the Rural Poor," by Peter Dorner and Bonnie Saliba, issued as LTC Research Paper No. 74, April 1981) focused on a range of measures for creating more active and flexible land markets for the benefit of the rural poor. These include land taxation, land registration, improved instruments of credit financing, and direct state acquisition and disposition. Examples were drawn from the experiences of Latin American countries, the Eastern Caribbean, the U.S., Canada, Australia, and Japan to analyze the reasons for successes and failures. The paper also treats various forms of organization of farming systems to benefit the rural poor, concluding that organizational choice is dependent on local circumstances and must involve the farm families to be involved.

The Special Study "Group Farming" by Don Kanel, Edward Reed and Michael Carter developed a typology of collective farms, assessed reasons for the choice to use collective farming, reviewed the relative successes and failures of systems of management and incentives, analyzed economies of scale, and identified intermediate forms of collectives which combine individual and cooperative activities. The goal of the Study was to review a wide range of experiences rather than to reach conclusions about the relative merits of one or the other.

a. Honduras

In 1982 in Honduras the Mission funded the Small Farmer Titling Project (PTT) to provide property titles to 70,000 small farmers (having less than 50 has.) in seven Departments, where over half of the land area was possessed by farmers but was legally still national or ejidal (municipal) land, i.e., in formal terms publically owned but privately possessed and used. The PTT aimed to improve access to credit, investments in the farms, productivity levels and the overall operation of the land market through the issuance of these land titles to the possessors of the national and ejidal lands.

LTC's research on PTT began with a survey of a random sample of national and ejidal parcels in the first Department incorporated into the PTT, as well as a sample of land holders in a neighboring Department which would not be affected by the PTT. In early 1988 this same set of sampled parcels were re-studied by interviewing their present owners. The data from this panel study are presently being analyzed.

In the interim between the baseline and restudy, two other phases of the research project in Honduras were carried out. In 1985 a mid term assessment of the PTT was done to examine the procedures being utilized and offer the Project the opportunity to make adjustments in any aspects which were found to be unsatisfactory. The assessment identified several problems affecting PTT:

- the legal prohibition against titling parcels less than 5 has. which were not planted to coffee resulted in numerous rejections of requests for titles;
- the implied promise in PTT literature that a title would guarantee access to bank credit;
- the legal requirement that women seeking title to land they held must have children resident with them on the land;
- the existence of an unofficial system for determining rights to land which was functioning well enough in the short run to permit a significant level of land transactions and which may continue to function as an alternative to government titles though it does not meet the requirements of banks and government agencies;
- the concern that titles would unduly stimulate the land market and lead to greater accumulation by large landowners with capital;
- the different perceptions of PTT by recently settled communities (which valued the titling effort) and by older communities (which saw it as another irrelevant government program);
- the degree to which the titling project satisfied peasant aspirations for land.

On the positive side the assessment documented the novel cadastral mapping methods introduced into the project, as well as the computerized mapping facilities which had been created. The achievements of the National Cadastre and the National Agrarian Institute in substantially advancing the

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These historical events have produced situations of ownership insecurity where the possessors of land do not have the certain backing of the courts and the state to protect their claims to ownership. There have been periodic attempts to address this problem of ownership insecurity by transforming usufruct into property rights, by adjudicating conflicting or unclear ownership claims, and by extending the concept of individual private property into areas where traditional, communal or family property prevailed.

Individuals subject to insecure tenure are thought to derive fewer benefits from the land because they lack incentives to invest, accumulate capital and use purchased inputs. Generally, it is thought that they produce less than individuals who enjoy a secure title, they have greater trouble getting access to capital because lending institutions insist on titled property as guarantees for loans, and they have problems in getting a good price for land which prospective buyers may hesitate to purchase because of the lack of marketable title.

However, it is widely recognized that the State's efforts to clarify the ambiguities of ownership through the granting of secure titles can have undesirable effects. First, grants to one individual may extinguish the claims of others, and deprive them of the right to use the land or claim the production. Women, small farmers, absent family members, the poorer and less educated appear to be particularly vulnerable in titling programs. Secondly, title may encourage intensive land use, but if the land is ecologically fragile this may endanger the ecological balance. Finally, a clear title enables the holder to sell land. Newly titled owners may find themselves under economic or other pressure to sell or mortgage their land to already privileged landowners bent on increasing the size of their holdings. One result can be concentration of land ownership on the one hand, and increased landlessness on the other.

The four year research strategy on this theme has been to analyze the experiences of several countries to develop historical and theoretical generalizations and policy recommendations concerning:

- a. the interactions of governments, communities and individuals to define and alter property rights to land;
- b. the reliability of cadastral systems in terms of their accuracy, cost of maintenance, degree of use by different types of land holders;
- c. the impact on agricultural production and the distribution of the benefits derived from that production, of alterations of property rights through expropriation, provisional and permanent titling in individual and group property systems; and
- d. the contribution of an increase in the negotiability of land to increased on-farm investment and production.

Two major research projects have been undertaken to examine the major hypotheses of this theme, a diachronic study begun in Honduras in 1983 and a baseline study carried out in St. Lucia in 1987; a minor activity was undertaken in the Dominican Republic.\*

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\* Work was undertaken in Antigua outside the Access Project.

The implications of this situation, however, are complex. First, the data from the field studies called into question the assumption of the L RTP that the family land tenure form is a constraint to the agricultural development of the country. While there is evidence that family land parcels are not accepted as collateral by banks for loans, in fact, very little land is used as collateral in St. Lucia, individually owned or family. Production credit is available through other mechanisms. Moreover, the field data indicated that family land operators are, by and large, effectively exploiting their land resources, given the constraints under which they operate. The major problems arise in such holdings when there are serious conflicts among the heirs. The conclusion reached in the study is that the advantages of family land should be acknowledged--providing more land to the actual users of land than would probably be the case if all claims were individualized--and institutional mechanisms be created to resolve the conflicts among heirs when they occur, rather than attempting to do away with the entire form.

### c. The Dominican Republic

Partly as a result of the 1985 legislation on associative settlements (which derived from a seminar on the subject organized through the previous project involving the LTC, ISA and IAD), substantial interest continued to be expressed by reform beneficiaries concerning the transfer of ownership of the reformed sector land from the state to the beneficiaries. A study was conducted by the LTC, ISA and IAD in February and March of 1986 of the different situations which might be affected by a titling program, and what factors should be taken into account to maximize the benefits of such a program.

Three case studies were prepared, following the methodology used in previous years. Each case represented a specific priority situation for IAD: (1) the rice settlements, (2) the irrigated valley in Azua, and (3) the colonies on the Haitian frontier and elsewhere.

A summary report "Evolving Property Relations in the Agrarian Reform of the Dominican Republic" was prepared and presented to IAD in early March, 1986 concerning the possible effects of a titling program and the alternative methods which should be considered for different situations. In the majority of the cases studied, the report concludes that definitive individual titles are needed by agrarian reform beneficiaries, especially those growing rice and those contract farming. These farmers argue that individual title would increase their ownership security and improve on-farm investment opportunities. However, the authors caution that some restrictions should apply to the titles to guard against large landowners' propensity to accumulate numerous small holdings from less economically powerful campesinos. The pending election, however, created sufficient complexities so that the planned national level seminar on the topic of land titling was not held. The topic continues to be discussed and some movement on the issue is likely in the near future.

## 2. Land Markets

Land ownership and property rights are the foundations of most societies. In rural Latin America and the Caribbean, land is the fundamental factor of production, the principal means of employment, and a primary source

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preparations for the introduction of the new property system were also documented. The introduction of a data management system into the titling process was also recognized as a major achievement. One result of the assessment was the visit to Honduras by a delegation from Jamaica to study how the PTT was organized in order to implement a similar project in that country.

The mid-term assessment had impacts on both the PTT and the subsequent LTC research. The criteria for issuing a title were amended to allow the inclusion of more than one parcel in a single title, allowing the grouping of parcels of less than 5 ha. into a titleable unit, and Project announcements were modified to diminish false expectations on the part of title recipients. The re-study used information gained in the assessment to test the hypotheses concerning credit, investment, production, income and land markets which underlay the first baseline. The results of these studies are not yet available.

b. St. Lucia

The research in St. Lucia was from the beginning a more wide ranging effort than in Honduras. In St. Lucia the research attempted to evaluate the techniques used in the Land Registration and Titling Project (LRTP), to introduce a new legal system for dealing in land in the country and to improve security of land possession. The intention was also to carry out a baseline study of a sample of parcels and their holders in order to permit a re-study of the same land in the future to examine the notions about the relationships between security of possession and land use and transfer.

The study of the LRTP's achievements and the baseline study of a sample of parcels was planned and coordinated in conjunction with the University of the West Indies and the National Research and Development Foundation in St. Lucia. The data collection was finished in December of 1987, and a draft report prepared, which is presently undergoing revisions.

The systematic mapping of over 33,000 parcels and the adjudication of claims to all parcels, the creation of a new Land Registry, and the formation of a computerized information system for the Registry was accomplished in about three years. The cadastral mapping portion of the project introduced the "general boundary" methodology of boundary demarcation, as part of the new Land Registry's system for describing and transferring rights to land. The management of the LRTP was novel in that a private, foreign company was contracted to do the demarcation, adjudication and other tasks involved in the creation of the new Land Registry.

The major tenure issue affected by the LRTP was the family land tenure form, where a number of heirs hold undivided shares in a piece of land. This situation had been identified in a number of previous studies as being a major constraint on improving the productivity of the land, because of the conflicts among heirs and the unwillingness of local banks to accept such parcels as collateral for loans.

The family land question proved to be more complex than originally envisioned. The LRTP did not significantly reduce the incidence of this tenure form, but rather recorded such parcels as family land (in legal terms, "heirs of an ascendant"), leaving approximately one-third of the agricultural parcels of the country in family land status.

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5. The majority of the rural population has neither sufficient savings nor income-generating opportunities to purchase even small tracts of land.
6. Tenure insecurity.
7. The ethics of land ownership.

B. Major Technical Issues

1. The lack of rural cadastres which accurately identify private, state, and community lands.
2. Land policies--land taxes, inheritance laws, subsidy programs etc.--influence land prices in contradictory ways.
3. No establish institutions nor criteria for farmland appraisals.
4. No existing financing mechanisms for land purchase lending--eg. land bonds.
5. Lack of access to credit and marketing channels for small land purchasers.

Ongoing research demonstrates that effective interventions in tenure systems depend on an understanding of how existing land market operate. Future research aims at helping Latin American policymakers understand what imperfections exist before designing land policies and programs to improve access to land. --

a. The LAC Bureau

The impetus for land market research has come from the Latin American and Caribbean Regional Bureau in Washington, beginning with the 1981 study, "Interventions in Land Markets to Benefit the Rural Poor," by Peter Dorner and Bonnie Saliba. This LTC Research Paper examined a variety of land market policy and programs utilized around the world, concluding that while not a substitute for directly redistributive land reforms, a number of measures for creating more active and flexible land markets may be used to benefit the rural poor in Latin America and the Caribbean.

In September 1986, the LAC Bureau began funding a four-year project to carry out comparative research on land markets. An important objective of the research is to provide an instructive and informative analysis of how rural land markets and land transfers affect rural development efforts. The project's goal is to provide ADOs and LDC policymakers with important land tenure information for key project design and implementation decisions.

Two regional-level studies have been carried out under the auspices of the LAC Project. First, the LTC presented a report for the U.S. Senate in March, 1988, on land markets and land bank programs in Central America. As a follow up to that report, the LTC is preparing a set of land market profiles of Guatemala, Honduras, El Salvador, and Costa Rica. These reports analyze the structural and technical constraints to land market operations which

of wealth, income, and political power. Skewed land distribution, rapid population growth and technological advances are strongly influencing the demand for agricultural land, contributing to significant changes in land use, production structures, and land market operations. These changes in land tenure patterns directly affect the agricultural sector's overall performance.

The purpose of the land market research, which began in 1985, is to study how land ownership patterns, land policies, and property institutions affect farmland transfers in Latin America and the Caribbean. Since many of the reform programs fell short of their goal of redistribution of land for more productive use, attention has increasingly focused on the distributive processes inherent in the land tenure structure and the nature of farmland transfers. (Land transfers include selling, renting, leasing, and bequeathing property and land use rights, fundamental processes of private property systems.) These land transfers are controlled and influenced through both informal customary arrangements and formal legal structures. An important aim of our research is to examine the ways these customs and their manifestations as rules, policies, and laws affect land transfers and land markets.

LTC research also explores the potential for using farmland financing programs to promote rural development in Latin America and the Caribbean through interventions in the land transfer process. Farmland financing programs are important economic policy components of industrialized countries and mortgage financing has existed in several of them for over a century. To date, LTC research has identified the various reasons why governments of so many industrialized countries turned to these programs either to solve a land market problem or to treat the consequences of those problems. Studies have reviewed the potential use of similar programs for the promotion of more efficient resource use and more equitable land distribution in Latin American and Caribbean countries.

Recent LTC research suggests that in Latin America, both agrarian-related structural problems and land market imperfections are inhibiting farmland transfers from large landowners with excess land to landpoor and landless campesinos. A competitive land market which could eventually provide more equitable access to farmland requires homogeneous land units, numerous buyers and sellers, complete freedom of entry and exit for both buyers and sellers, and easy access to information about land transactions including prices and bids.

In summary, the research identifies two categories of land-market problems that must be addressed throughout Latin America:

A. Major Structural Problems and Market Imperfections

1. The consequences of monopolistic landownership.
2. Political backlash from landowners and campesino organizations.
3. Excessively bureaucratic land registration processes.
4. Commercial banking sectors unwilling to lend for long-term land purchases for a variety of reasons.

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d. St. Lucia

In St. Lucia, the LTC helped organize the conference, "Proceeding of a Symposium on Land Registration, Tenure Reform and Land Information Systems" Castries, St. Lucia, October 6-8, 1986 This symposium which provided an opportunity for officials from 12 Caribbean countries to hear papers and discuss the importance of land tenure related problems in the Caribbean. One of the four papers presented by LTC staff concerned land markets in the Caribbean, "Land Transfers and Land Markets", by Randy Stringer.

A second report on land markets in St. Lucia, compared land market transactions between family and nonfamily landholdings. A report submitted to the AID/Barbados mission in May 1988, "Land Market Transactions in St. Lucia: An Analysis of the Baseline Data," by Randy Stringer supports the contention that family lands impede the breakup of parcels. On the other hand, the report concludes that there is little difference between family lands and nonfamily lands in relation to consolidations of landholdings.

e. Honduras

A July, 1988 research report, "Land Transfers and the Land Titling Project in Honduras," by Alex Coles, was funded jointly by the LAC Regional Project and the Honduras Mission. This study analyzes the effects of the Honduran Land Titling Project on land values and land purchases in Santa Barbara, Honduras. The study documents land transfers over a five-year period, concluding that the Land Titling Project had mixed results on land purchases in Santa Barbara. The transactions costs due to the new titles issued by the government are often 10 times higher than the traditional nonlegal transactions, causing most buyers to avoid the new procedures.

3. Post Reform Adjustments

Agrarian reform programs of the 1970s often established large scale collective or cooperative farms. These reforms generally affected large-scale and well-capitalized units; it was anticipated that disruption of the operational scale through redistributive land reform to break up these production units was likely to be expensive in terms of lost output, marketed surplus and export revenues.

Yet, despite these seemingly compelling reasons for a collective agrarian reform model, such collectives came to exhibit notable structural instability, marked by seemingly spontaneous and rapid changes in the form of agricultural production. An LTC research project undertaken in the Dominican Republic in 1983 focused upon this theme of post-reform instability and evolution. Literally two days after hearing official pronouncements of the collective nature of agrarian reform agriculture, the LTC research team discovered that nearly all collective agriculture had dissolved, or was in a process of dissolution. A similar process occurred in Peru and in Honduras. These observations prompt two immediate and straightforward questions:

1. Why does such dissolution occur?
2. What effects does it have on the achievement of productivity and other agrarian reform goals?

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inhibit land transfers from large land owners to landless campesinos. The land market profiles will be presented to the U.S. Senate in March, 1989.

Second, a LTC Research Paper, "Land Transfers and the Role of Land Banks in Rural Development," by Randy Stringer was presented at the ADO Conference in November, 1987. This paper reviews how land ownership patterns, land policies, and property institutions affect farmland transfers in Latin America and the Caribbean. The study examines how customs and their manifestations as rules, policies, and laws affect land transfers and land markets. Finally, it presents guidance on how to proceed with policy and program development to improve access to land through land banking mechanisms based on case studies and examples from various countries.

b. Guatemala

Over the past two years, the land market research project has conducted empirical research on land markets in Guatemala, Ecuador, Honduras, and St. Lucia. In 1987, the LAC Project assisted the Guatemala AID Mission with the evaluation and design of the expanded Penny Foundation Land Purchase Program. This assistance included project paper development, providing the economic, financial, social soundness, and institutional analysis for the project paper. Beginning in April, 1988, and continuing over the next several years, a number of studies will be produced from the Guatemala/LAC Regional collaboration including a comparison of the AID funded land purchase program to government programs at the beneficiary, farm, and organizational level. By October, 1988, over 450 interviews had been conducted of participants in the various land purchase programs. A report on the findings from this large survey, a joint LTC/FLACSO/University of San Carlos effort, will be presented to the Guatemala Mission in April, 1989.

c. Ecuador

In collaboration with the Ecuador Mission, the LAC project has carried out two studies on land markets in Ecuador. Two additional studies began in September, 1988, and will be presented to the LAC Bureau in October, 1989. Granville Barnes completed his work on how cadastres and land registries effect land markets not only in Ecuador, but also in St. Lucia and Honduras. His July, 1988 report, "The Cadastre-Based Land Information Systems in Ecuador, St. Lucia, and Honduras," represents a comparative analysis of the titling systems in the three countries where AID is implementing major land titling projects. The study develops an analytical framework for evaluating land information systems using six criteria: efficiency, cost, quality, utility, complexity, and maintainability. Dr. Barnes documents how the complexity, utility, and efficiency of the land registry in Ecuador influences whether or not buyers obtain full tenure security through a land title.

A second report, "Culture, Society, and Land Transfers in Highland Ecuador" by Mark Thurner was presented at a land market workshop organized by the LTC in September, 1988. This paper documents the social, cultural, and economic aspects of land transfers from two large haciendas to small farmers in Chimborazo, Ecuador. By tracing the history of the two haciendas over the past 60 years, this paper documents the way the land market operated in the two cases, including an analysis of who obtained land, how they financed the purchases, and land prices.

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Land reform agriculture is, of course, more than a short-term production process--it is also a political process concerned with redistribution and the distributional consequences of agricultural economic growth. Study of the economic effects of decollectivization logically extends to its long-term effects on agrarian structure and its consistency with the equity goals of agrarian reform. An early concern voiced about decollectivization was that it opened the door to "re-haciendization." To date, there has been no LTC sponsored empirical work\* on this important question, which is intrinsically longer term in nature.

#### c. Optimal Institutional Choice in Land Reform Agriculture

If it could be unambiguously stated that collective agriculture is unstable because it is intrinsically burdened by internal management problems, then it might easily be concluded that small-scale, redistributive land reform is the best policy. But, as we have seen, the reality of decollectivization is more ambiguous and complex. Analyses of data gathered in 1981, discusses the microeconomics of successful collective agriculture--the factors which seemingly promote the viability of collective agriculture.

At a more basic level, it is important to stress that the menu of institutional alternatives is richer than a binary choice between "collective" and "decollectivized" agriculture. Unfortunately, official policy and unofficial efforts to escape from collective agriculture gone bad often act as though those were the only two choices. Yet theoretically, intermediate or mixed institutional forms would seem to represent the best choice for realizing productivity and equity goals of land reform. A key question is then whether such intermediate forms are truly a viable option and whether they can fulfill their potential.

Little systematic empirical work has been done on this subject to date. However, the emergence of an intermediate production form (the "associative model") in the Dominican Republic offers an excellent research opportunity. In June 1987, a conference was held to plan and coordinate research on this topic in El Salvador, Guatemala, Honduras and Nicaragua. Work is envisioned which will begin comparative analyses in El Salvador and Honduras.

#### 4. Agrarian Structure

Agrarian structure for most Latin American countries has traditionally been bimodal--characterized by a few very large, well resourced farms and many small ones. There are indications that this pattern is changing in a number of countries, however, and LTC is using secondary data to put together as comprehensive a picture as possible of the current agricultural structure in a number of countries. The primary sources of these data are the agricultural censuses from the 1980 round; they will be used to establish a basis for comparison with the 1970 census round, develop a methodology for analyzing the 1990 round and to extrapolate to 2000.

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\* However, other work on Chile suggests that medium units (50 hectares) not haciendas may be the final structural destination for decollectivized agriculture. Carter and Melmed have designed (but not executed) an empirically based simulation study of Peru which promises insight into the stability of decollectivized Peruvian agriculture.

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To these two questions can be added a third, more global question:

3. What is the "optimal" institutional policy for land reform agriculture?

The immediacy and policy relevance of these questions flow from the fact that the observed institutional changes--the tendency to "decollectivization"--directly contradicts the economic theory which underlay the collective agrarian reform model. Either basic land reform policy design was askew, or decollectivization was a path to agrarian disaster.

LTC-supported work under the theme of post-reform adjustments has refined these three basic questions, clarifying the issues involved, and has generated a set of answers to them. Work under this theme can be conveniently summarized by considering each question in turn.

a. The Causes of "Decollectivization"

The early LTC case study field work in the Dominican Republic identified internal management and labor discipline problems as key factors behind decollectivization. This view complemented econometric work on Peru and was later formalized in a formal economic model. Field work initiated in Peru in 1986 (which was jointly funded by LTC, USAID-Lima and the Graduate School of the University of Wisconsin) added external factors to the list of forces underlying decollectivization. Not only did collective agriculture in Peru operate in a generally unfavorable economic environment (a not uncommon occurrence which probably reflects the competing and often conflicting goals which shape land reform policy), but the pressure for decollectivization followed a particular severe deterioration in the economic environment of agriculture. Detailed statistical analysis of data collected on Peru's north coast suggested that a third factor be added to the internal and external factors which explain decollectivization--namely, the interaction between the two. Collective agriculture appears to be particularly sensitive to an unfavorable external environment which can initiate an internal collapse of the cooperation and discipline.

b. Identifying the Economic Effects of Decollectivization

A common and understandable concern (particularly if one accepts the rationale of the collective agrarian reform model) was that decollectivization would bring immediate losses in output--either through declining yields, loss of indivisible infrastructure, or through crop mix shifts as agriculture became "peasantized." While research on this question is still rather thin, the work done to date shows no short run deterioration in yields and little change in cropping patterns following decollectivization in Peru. While the worst fears about decollectivization thus appear to have been unfounded, the report that there was "no deterioration" from an unsatisfactory production situation is hardly good news. Indeed, one of the more interesting results of frontier econometrics is that production potential appears more favorable under collective agriculture than under small-scale decollectivized agriculture. What is uncertain is collective agriculture's ability to realize that potential, given its internal problems and vulnerability to external assault.

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a. Agrarian Reform Settlements

The research in this context occurred in the Dominican Republic, through a series of case studies of settlements which faced the problem of making productive the marginal and unproductive land assigned to agrarian reform beneficiaries through the reform process.

The four cases demonstrated that agrarian reform lands may be marginal in a variety of ways--low quality of the land available, distance from markets, poor communication linkages, and absence of social infrastructure. However, the cases also demonstrated that human ingenuity can find a variety of responses to the challenges of "marginal" lands. And yet, probably the major conclusion of the cases was that human or institutional factors seem to be often as much a part of the marginality of lands as the natural impediments.

b. Soil Conservation and Reforestation Projects

USAID and other donors are taking an ever-stronger interest in direct environmental interventions to preserve or reclaim marginal lands in fragile environments. Such interventions may be confronted by the existence of a set of conflicting interests related to control and use of the land, and may have less success than expected if such interests are not recognized beforehand and taken into account. Projects to transform marginal lands typically include soil conservation and reforestation activities, as well as irrigation along with other heavy investments, usually public, in infrastructure. Tenure-related problems usually arise in such projects.

LTC's research on the tenure aspects of soil conservation and reforestation projects occurred in Haiti. It identified certain types of access to land which negatively affect the probability that the users of the land will make long-term investments in the sustainability of farming. These include first, certain types of informally inherited land, e.g., land informally divided among heirs, and undivided family land.

In many instances of these tenure forms no problems of access and incentives to investments arise, but when conflicts do arise among family members, the implications for long-term investments are very serious. Second, certain types of secondary rights, e.g., temporary use rights from non-family members, private rental arrangements where the renter has limited rights to the use and harvest of trees, almost all types of land which is sharecropped on a yearly basis, land managed by someone who is not the owner, and land rented by the state to private users. The common problem for these types of land access is the presence of multiple, potentially conflicting decision-makers. The user of the land is limited by the demands of other right holders, which forces the user to take into account the desires of the other participants in the decision-making process. In particular, the users must judge what their probabilities are for benefiting from any long-term improvements they might make in the land. Any soil conservation or reforestation efforts must identify the relevant decision makers and devise with them conservation strategies that are mutually acceptable. An alternative is for the state to reduce the number of decision makers through some sort of land adjudication program, giving property rights to the users of the land.

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The initial goal of the activity was to create a simulation model which can trace the evolution of agrarian structure over time and be used to examine the impact of policy alternatives on structural evolution. As the understanding of the process of structural change in Latin American agriculture has deepened, the scope of the model has been expanded to include examination of shifts in internal relations of production on large farms (e.g., the shift from internal sharecropping to wage labor) and of the impact of scale-sensitive mechanized technologies. The key structural features to be modeled as the endogenous outcome of economic choice and interaction include, but are not limited to:

- operational farm size;
- relations of production (e.g., self-cultivation, tenancies, wage labor, etc.);
- type and intensity of production within the farm strata;
- output, employment, and income distribution variables.

Two other pieces of statistical analysis are now part of the project. First, the census data proved appropriate for and amenable to analysis as a Markov time series process; this will complement the simulation model by permitting empirically based projections of future structural evolution. Second, the Brazilian census data has proven to contain a wealth of reliable information on the behavior of different types of farm units. Detailed statistical analysis of patterns of production, accumulation, and employment on different structural strata has been undertaken as a natural complement to the microeconomic simulation model and the aggregate Markov projections.

A major goal is to generate hypotheses on agrarian structure in Latin America, and to establish the degree of substance in existing hypotheses. For example:

- Large farms are becoming smaller and more capitalized.
- Large farms are growing more higher-value crops than they were in 1970.
- The smallest farms are remaining more or less constant in size despite increasing population pressure.
- Large, unproductive estates are rarer than they were in 1970.
- The essence of bimodalism still prevails in 1980, but in a more subtle form.

##### 5. Tenure Issues in Resource Management

Two general contexts have provided the foci of this research: resource management within agrarian reform settlements, and tenure questions which arise with the implementation of soil conservation and reforestation projects.

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4. The disappointing results of drastic tenure reform to date suggest that customary land tenure will persist, but in evolving forms; two trends which are evident are decreasing size of operating units and an increase in the incidence and importance of "secondary" tenures, such as share-cropping.
5. Land administration and policy implementation may be as important as the substance of land policies, and clearly deserve more attention than they have so far received; significant experimentation with new administrative forms is under way, and limited administrative capability is proving an important constraint.

While 1984 saw the inception of a long-term research program in African land tenure, AID required from LTC such advice as could be provided on the basis of existing knowledge, to assist with on going project activities. A second baseline exercise was carried out at the project level. A major paper on "Land Tenure Issues in Project Design and Strategies for Agricultural Development in Sub-Saharan Africa" was prepared (Bruce, 1986). It addressed a number of common misconceptions about customary land tenure, including the mistaken belief that these misleadingly named "communal" systems do not usually provide families with stable and secure rights in their farms. On the other hand, some elements in a customary system can pose serious problems for certain types of projects, and these issues were examined on a project by project basis. Basic tools to address these issues at project level--rather than relying on new national legislation--were identified: local community legislation, contracts based on access to project benefits, general project economic leverage and, in most resettlement irrigation schemes, the ability of the scheme to distribute new titles. The paper concluded that the evidence on cost-effectiveness of major state interventions to attain tenure reform was inconclusive. It recommended AID both study evolutionary change in customary land tenure systems as they adjust to market conditions, and engage in project-level experimentation with tenure innovation to develop viable prototypes for planned tenure change.

## 2. Land Tenure Issues in River Basin Development

LTC proposed this theme on the basis of its early exposure to the irrigated sector in Mauritania under a consultancy and its Mission-funded training and research project, which began in 1983. It was clear that tenure rights had become a battleground in several perimeters and that a culture of over-management had developed on the schemes. A style of "command cultivation" perpetuated tenure insecurity so that plotters could be evicted for failing to grow particular crops or to comply with the complex schedules for irrigation and other farm operations.

Africa Bureau funded a year-long baseline effort. Through a literature review and several country visits, LTC staff developed several case studies and an overview/policy analysis paper was presented to an AID workshop on river basin development in April 1985. The LTC study found that the command cultivation style of scheme administration often locked farmers into export crops and farming practices which were less profitable for the cultivators than food crops. Incentives were seriously undermined. Policy reformers argued that such restrictions were unnecessary. The LTC paper noted that in Africa, unlike Asia, many of the farmers in the schemes had never before

## B. The Africa Program

### 1. Establishing a Knowledge Base

The new emphasis on a systematic approach to knowledge building coincided with the creation of the Center's Africa Program. The early years of the new CA saw the creation of a knowledge "baseline" through a broad review of what was known about land tenure and development in Africa. The review identified critical gaps in knowledge, helped refine the work under the new research themes, and flagged several issues which deserved attention in the future.

The results of this baseline effort were presented in two formats. The first was the "Country Profiles of Land Tenure"—a profile for each of forty Sub-Saharan African countries (Riddell and Dickerman, 1986). The exercise pushed LTC staff to broaden their horizons beyond the several countries in which they had personal experience and those few countries with well-publicized but unrepresentative tenure reforms, such as Kenya and Tanzania.

The summary of findings from the review produced several insights which have informed later formulation of LTC research priorities. Most African countries at independence inherited "dual" land tenure systems, including both a large sector under customary land tenure arrangements and a much smaller sector in which colonial land tenure institutions had been implanted. Attempts to reform inherited tenure structures were remarkably pervasive, affecting much of Africa and largely initiated in the period 1965-1975. Most often, however, these reforms of land tenure rules and institutions "bounced off" existing tenure systems, creating a serious discrepancy in many countries between the system of land tenure embodied in national law and the rules (usually of indigenous origin) which actually controlled the behavior of landholders. More specifically, the profiles study found that:

1. The African countries with relatively good production records over the last twenty years have achieved them under a remarkably diverse set of tenure arrangements, in which customary tenure figures prominently; there is clearly no single tenure arrangement which is requisite in all circumstances for a productive agriculture, though there may be certain basic needs, such as security of tenure, which need to be and can be met in different social and economic contexts by different land tenure arrangements.
2. The prominent trend in the post-independence period has been the establishment of a legal interest on the part of the nation in privately held land, a process whose implications have varied considerably from country to country.
3. "Individualization" of land tenure, which in the 1960's was anticipated on a large scale, has proceeded gradually; the slow pace of change and the continued observance of customary rules even in some areas where individual titles have been registered may reflect the last two decades of agriculture stagnation under price controls.

managed canal irrigation. It proposed a process of dépérissement: certain operations would be under central control for an initial training period while the necessity (and profitability) of cooperation in some operations--specially water management--became clear to farmers, then transferred to farmers. Secure title would accompany the successful assumption of those responsibilities, a carrot rather than a stick. Such residual control as required for efficient water use could be transferred gradually to local water user associations.

The study also examined the issue of optimum holding sizes in irrigation schemes. No broad generalization in this area is possible: an optimum size may exist for a given crop, a given project type and a given prioritization of the many objectives sought by irrigation projects; but there is certainly no optimum size in the abstract. On the other hand, the report recommended that land allocation in irrigated perimeters be planned to allow an expansion of some holdings with time. New irrigators often proceed cautiously, keeping one foot (and a part of the family labor) in rainfed agriculture. The "commas-one" plots initially distributed in many schemes are initially quite as much as they will take up. But after several years, some participants in a successful scheme will be anxious to expand their holdings to a scale permitting a full-time, specialized operation and the possibility should be open to them through a land market or other mechanism. Since this time LTC has had several Mission-funded opportunities to develop further insights into these issues.

The Mauritania Training and Research Project allowed six months of anthropological research in 1985 which clarified the origins of land conflicts in the perimeters there. That study showed:

1. There is a high variability of land tenure in Mauritania, covering a spectrum from areas where basic Islamic principles are closely followed to ones where these same principles are deliberately ignored because they conflict with the rationality of the ecological situation. The most significant of these is that of "indirass" which provides for the extinction of tenure rights which are not exercised for a period of time (usually when evidence of cultivation/occupation disappears: in practice 2-10 years though nominally 10 years in Maliki law).
2. In at least one area of Mauritania land tenure status does not coincide with political status: Haratine (a group of black former slaves) in the M'bout/Foum Gleita region are recognized as full land owners although this is in general viewed as an anomaly in Mauritania and in the Western Sahara and some members of the group continue to pay tithes, which are locally understood as payments of a "protection" type rather than as rent which implies non-ownership.
3. The extended household based on communal ownership of land realizes economies of scale. Thus at the low levels of income typical for Mauritania it produces higher surpluses and its income has a more significant multiplier effect. This in turn generates more local business and artisanal opportunities.

In a brief pre-project land tenure reconnaissance in the Dirol Plain in 1987, it was found that the customary tenure system provides farmers with a

large portfolio of land distributed across the flood plain. This permitted annual reallocation based on the pattern of the flood so as to reward members fairly according to their shares. Fixed individual ownership could greatly increase risk for certain farmers in situations of highly variable annual flooding. The LTC team developed a plan for implementing a scheme of improved recessional irrigation under the customary land tenure system, rather than utilizing state power to take the land and create new holdings. Such an approach would, of course, be less inappropriate in a large irrigation perimeter.

Not all irrigation schemes are large or state-initiated, however. LTC's next important research opportunity came in Swaziland, where a local collaborator examined land tenure on smallholder irrigation schemes in customary tenure areas. The result of a three-month census of such schemes upset negative stereotypes about their viability, which had been based on a few troubled cases and ignored a broad range of successful experience. Contrary to expectations, the study found that chiefs had played very positive roles in the schemes, reallocating land where necessary to provide the proper arrangement of parcels, acting as a link with government agencies and donors, participating in but not dominating the local irrigation committees, and providing discipline for those landholders who failed to meet their obligations to the scheme. Membership in some such schemes on an individual rather than a household basis was found to have provided women with a right of their own to land, a right denied them by the customary tenure system in rainfed agriculture. Somewhat alarmingly, where disputes did arise over the management of the schemes, the flexibility and responsiveness to new needs at local level was not matched at higher levels in the traditional hierarchy. The constraints existed at levels of national political importance.

A research project is currently underway in Senegal which should provide fresh insights. It represents LTC's first opportunity to conduct long-term field research on land tenure issues in irrigation projects in Africa. LTC has embarked on a two and one-half year program of research in connection with AID's Irrigation and Water Management I project. The research examines the experience with tenure arrangements in village irrigation schemes in the Bakel area to be rehabilitated by AID. The central task of the research is to understand the diversity of tenure arrangements adopted on these small perimeters, and the circumstances which led to the adoption of particular models. In particular, the research is examining the consequences of schemes which sought to equalize land access as between castes based on former master and former slave statuses, and how these schemes compare today with schemes which accepted as a given the hierarchical nature of riverain societies. The research will feed directly into LTC's design of a land tenure arrangement for an irrigation perimeter to be constructed under the project.

### 3. Security of Tenure/Land Registration

An interest in the relationship between tenure and productivity has characterized LTC's Africa program since its pre-1984 involvement with land tenure and food security in Zambia. Insecurity of tenure can undermine incentives for long-term investment in agriculture and productivity.

Reforms aimed at providing farmers with greater security have used land registration in some form as a key tool in the process, and as early as the

late 1960s LTC was researching the impacts of land registration in Latin America. In 1984 there were indications that the World Bank had found evidence of a major impact by land registration on productivity. AID and the World Bank agreed to a coordinated program of research in Africa. There is a significant body of experience with tenure reform and land registration in Africa, and the key objective of LTC has been to examine empirically the impact of these programs on productivity and other indicators of welfare.

The LTC's research project has several components: (1) major empirical studies of the impact of tenure reform and registration in four countries; (2) a literature review and synthesis, accompanied by an interim report; and (3) a few country studies based on the secondary literature or short visits. The four major studies range across a spectrum of security of tenure/land registration situations. The studies are described in detail in the 1987-88 Workplan and will be characterized very briefly here, to give a sense of the diversity of cases examined.

Uganda provides a case of conversion of smallholders from customary tenure to freehold under a pilot land registration scheme which registered over 6,000 parcels at Ruzhumbura in Kigezi District in 1958-1962. A research team from Makerere University, in collaboration with LTC, has conducted a study of the pilot area and a control area.

The Somalia study compares landholders with and without long-term leasehold titles from the state to holdings of relatively high value (irrigated) land. Substantial mission funding has permitted long-term studies at two localities in the Shabelli and Jubba Valleys, which are at very different stages of irrigation development.

The Senegal study explores the impact of Senegal's ongoing land tenure reform, which places farmers' security of title in the hands of local land committees and stresses regular use as the basis for rights to land. Carried out in the Peanut Basin, the study also compares land use under "reformed" tenure with that under limited amounts of freehold registered prior to 1964.

The Kenya study is sited in the former White Highlands, where land was distributed to Kenyans after independence. It examines the impact of varying tenure statuses in an area with diversified and vigorous agriculture and an active land market, and is based on a data set collected by the University's Office of International Agricultural Programs in 1986.

The LTC research teams are now out of the field, analyzing their data and writing up their findings. A draft final report is due in March 1989. While any attempt to state findings in detail would be premature, it is possible to state tentatively some patterns which are emerging from the literature review and which appear to be consistent with preliminary analysis of the field research.

1. Where security of tenure provided by customary tenure systems is breaking down (or otherwise does not exist, as in settlement or irrigation schemes), systematic and compulsory registration of all titles in an area may respond to a need broadly felt among the farming population for greater security of tenure.

2. Such programs respond to this need adequately only when coupled with substantive land tenure rules which provide adequate security of tenure. There appear in practice to be serious, though not inevitable, problems with leasehold or use permit systems.
3. Where registration brings land within a tenure regime which creates new powers in the individual owner, such as the rights to exclude use by relatives or wives, or mortgage and sell land, only a relatively few landholders are at the outset likely to take advantage of these opportunities. Most will continue to treat the land as previously.
4. Tenure reform in Africa has tended to concentrate rights to land in male household heads and so has in many cases worsened access by women to land and reduced their security of tenure.
5. Registration systems rely heavily on the voluntary action of registered owners, registering inheritances and transactions, to keep registers up-to-date. There are severe system maintenance problems when a majority of landowners continue to deal with land as they did under the customary system and do not register changes in the status of land.
6. Even in the medium term (20-30 years), the growing divergence between the legal situation shown on the register and popularly-accepted rights in the land, and the disputes generated by that divergence, can create major pressures for a formal reversion to customary legal norms.
7. Some land registration programs are not compulsory and systematic but provide registered title on a voluntary, one-time basis in which the landholder assumes at least partial survey and registration costs. These appear to be better targeted on potential innovators who may take advantage of the opportunities for agricultural entrepreneurship provided by the new title.
8. Such programs have however often been utilized by those who plan to convert land to non-agricultural uses rather than intensify agriculture and those who are securing land for investment purposes and social security purposes, for whom short or even intermediate-term concerns are secondary.
9. In addition, they are commonly used by commercial or governmental elites or traditional land administrators to seize land formerly used by traditional agriculturists or pastoralists. Lack of systematic demarcation of all holdings in an area enhances opportunities to assert title to land owned by others. This tendency has in several countries resulted in a political reaction against such programs and contributed to land nationalizations.

While reporting for AID will be completed in the CA period, publication of articles drawn for the research will run one to two years into the new CA.

#### 4. Changing Traditional Land Tenure

Regional Bureau funding was not available under this theme, so no planned program of comparative research was possible. The major research activity has been the mission-funded research project in Swaziland. The project provided the Center with a unique opportunity for long-term research evaluating the overall viability of a customary land tenure system--as opposed to investigating a single aspect considered to be problematic. LTC developed a framework for analysis which will inform further research of this nature:

1. Basic facts about the system must be confirmed and quantified through field research, rather than reliance placed on dated information.
2. Hypotheses must be developed, drawing upon those basic facts and the concerns of policy makers in government, informed by the comparative experience with land tenure in other African countries.
3. These hypotheses must be tested through field research to establish whether the hypothesized constraints are in fact constraints.
4. When some degree of constraint has been found, three questions must be answered:
  - a. Are all farmers constrained, or only those with particular characteristics?
  - b. Is the constraint counterbalanced by benefits due to the same characteristics of the tenure system, and if so, what is the balance of benefits and costs in changing those characteristics?
  - c. Are there other, non-tenurial constraints which are more immediate and stronger, so that tenure change alone would have little impact?
5. The research must assess whether the tenure system is evolving satisfactorily to meet challenges posed by new economic opportunities, or whether major reforms are necessary.
6. The research must examine whether there are models of tenure change developed under the existing system, or opportunities posed by the structure of the system and its institutions, of which policy-makers could take advantage in planning tenure change.

This project, LTC's largest research initiative in Africa, provided the opportunity to experiment with three innovations in research organization, all of which proved very successful: (1) a core research effort based in the Ministry of Agriculture with several specific pieces of research contracted out to local university researchers; (2) use of findings to develop an options paper rather than a single set of recommendations; and (3) an inter-ministerial reference group and a reference group within the Ministry which met periodically to set issues to be researched, review research design and instruments, consider findings and finally to make recommendations based on their consideration of the options papers. The project organization proved very effective in engaging the interest of policy makers during the course of the research and generating a commitment to the findings.

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On the more substantive side, the project was the first use in a land tenure study of homestead cycle analysis developed by Allen Lowe of CIMMYT. The research undermined the widely-held view in Swaziland that some households are real farmers while others are merely "rural residents," relying on income from wage employment and leaving their land untilled. Calls for land reallocations are based on this model. The research showed that the same homesteads fit these stereotypes at different points in the homestead cycle. Labor allocations within and outside agriculture change as a generation matures. The research pinpointed the key need to be for temporary land transactions (lending and leasing) among these homesteads, and the real problem to be low or non-existent rents coupled with a significant risk to the lender that he or she would not be able to regain possession of the land after the term. More generally, the research found that many anticipated constraints originating in the tenure system showed only muted impact, due to the high opportunity cost to labor in agriculture in the face of more lucrative wage employment in Swaziland or in South Africa. Tenure was a constraint but not the binding constraint, and tenure reform would have little impact on production if returns to labor in agriculture could not be improved at the same time.

This theme also provided LTC with the framework in which it could work on the broad policy issue of the future of a customary land tenure system in a more strictly policy formulation context in Lesotho. LTC staff first assisted the Commissioner of Lands in organizing an inter-ministerial seminar on implementation of Lesotho's 1974 Land Act in the rural areas, then participated in a workshop to orient a new Commission of Inquiry into the operation of the Land Act. A key outcome of these workshops was the repeal of certain provisions of the Act which had undermined the tenure security of those farming within Maseru's expansive municipal boundaries. It was also in the context of the Lesotho work that LTC had the opportunity to study the surprisingly vigorous patterns of land transactions--some recognized and others questionably legal--under the customary land tenure system.

##### 5. Land Tenure Issues in Natural Resource Management

This theme is the successor to a Marginal Lands theme adopted in 1984. In 1984-1986 AID provided no funding for research under this theme.\*

For its research agenda under the CA, LC in 1986 reworked the Marginal Lands theme into a new theme on Land Tenure Issues in Natural Resource Management. Priorities were established in collaboration with Africa Bureau staff involved in preparation of the Bureau's 1987 Policy Paper on Natural Resource Management in Africa. LTC is now pursuing research opportunities

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\* In those years LTC worked primarily in the area of agroforestry with the International Council for Research in Agroforestry (ICRAF) under Ford Foundation funding. Together LTC and ICRAF produced an annotated bibliography, Trees and Tenure (1985) and the Proceedings of an International Workshop on Tenure and Agroforestry (1987). In May 1988, Westview Press published Whose Trees? Proprietary Dimensions in Forestry, edited by Louise Fortmann and Jonn Bruce. The LTC/ICRAF collaboration did not involve any original research, just a culling of neglected resources. It has placed tree tenure high on the research agenda of several donors, and LTC looks forward to a period of fieldwork in this area.

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identified as critical in a concept paper prepared in 1987 in consultation with NRMS staff on: (1) farm tenure issues as they affect alley-cropping and other agroforestry initiatives; (2) common property management issues as they affect management of grazing commons and community forestry; and (3) a set of tenure issues which relate to pressures upon forest, game and biological reserves. Fieldwork began in the summer of 1988 through a series of two week country visits in the Sahel in connection with a special study for CILSS and Club de Sahel on the role of tenure in the management of natural resources, for a conference in early 1989. A "state of the arts" paper will be completed in April 1989. Fieldwork is also underway in Uganda on tenure issues in forest encroachment in collaboration with Makerere Institute for Social Research, with a report due in December 1988. AID/Mali has stated its intention to fund a two year program of research in connection with its village reforestation project.\*

LTC is bringing to this work insights which originated in work in the SOAP on land tenure issues in pastoralist development projects (noted in the first section of this report) and its work on land tenure issues in agroforestry over the last three years. The research under this theme is in a preliminary stage, the first fieldwork only barely launched. LTC is still engaged in the literature review and these are as yet no findings from field research.

## 6. Urban Land Tenure

This theme was proposed for the CA by LTC on the basis of its work on land tenure in major villages in Botswana. Responsibility for urban issues has in recent years been seen by regional bureaus as lying with PRE/H. LTC has been unable to obtain funding from either PRE/H or Africa Bureau for a program of comparative research on these tenure problems. The whole area of town, peri-urban, and urban development beyond the scope of the Housing Guarantee Program has been relatively neglected.

LTC has however been able to develop several opportunities to work on urban tenure issues outside the CA/CROTA framework and so has continued to build expertise in this area.\*\* LTC's first opportunity with in that

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\* LTC is also discussing with ILCA regional programs of research on (1) land tenure and the adoption of alley cropping; and (2) land tenure and the adoption of new technologies in pasture management and with ICRAF and FAO an African/Asian field review of agroforestry project experience with land tenure and related socio-economic issues.

\*\* In the context of LTC's participation in policy review of Lesotho's Land Act, LTC was alerted to the significant role in food production played by agricultural land within what are sometimes very broadly drawn municipal boundaries. In 1985, John Bruce participated in a World Bank-funded review of urban and peri-urban land policy in Banjul, Gambia. The review discovered an almost complete inability of government, in spite of an elaborate land use plan and zoning regulations, to control land settlement patterns at the urban fringe. Instead, the actual patterns of settlement was based on a customary tenure model from rural Gambia. Moreover, the asserted (and long-assumed) ownership of most unregistered land in Banjul by government

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framework was a short-term opportunity to consider issues of tenure in urban development in early 1988, through participation in a RHUDO-organized evaluation of AID's low-cost housing program in Botswana. The study examined the utility of Botswana's Certificate of Right, a low-cost land title given to participants in the self-help housing program. The title is perpetual but in early years could not be readily registered, sold or mortgaged, in part because the low-cost survey approach which kept plot prices down was not up to standards under the Survey Act. While now fully surveyed, registered and mortgageable, the fact that the COR was a restricted tenure in the first years after grant has helped keep the land in the hands of beneficiaries. In many other countries up-grading and low-cost housing projects quickly fall into the hands of wealthier groups, displacing the intended beneficiaries and providing a windfall for the fortunate few. The COR has protected grantees until they could develop a sense of the value of their assets, ensuring they reap the benefits of the rapid appreciation in the value of land following construction of these projects.

### III. THE NEED FOR FUTURE RESEARCH, AND A PROPOSED ORGANIZATION BY THEME

LTC is now in a fifth and final year of the current CA. Work under some of the research theme was begun as early as four years ago. In other cases it was initiated within the last year. The actual implementation of research under each theme has depended upon regional bureau and mission funding. This funding has been approved and come on stream bit by bit over the life of the CA. The research themes and their relevance was reviewed by the 1987 AID Evaluation of the CA, which concluded that the themes should be continued into a new CA, and confirmed plans for a revised Land Tenure Issues in Natural Resource Management in the Africa Program. The LTC Natural Advisory Board reviewed the themes in early 1988 and made the same recommendation. Both reports confirmed that the program of rigorous research focused by themes had begun well, but was still the early stages. In more recent discussions with ST/RD, LTC has been asked if it could reorganize its research agenda to produce a smaller number of themes. LTC has attempted below to indicate the need for further research within the framework of a smaller number of themes discussed with ST/RD. LTC considers that the reorganization should facilitate its efforts. Potential themes for an ANE Program are also suggested.

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--the legal basis of the government's unsuccessful program of land use control--was found to be open to serious legal question. The most important opportunity was under, however, a USIS-funded exchange program between UW and the University of Burundi, which allowed Carol Dickerman of LTC to carry out a two-month study of land markets in Bujumbura. The study examines the special legal characteristics of tenure in land and houses in particular zones of the city. These were created by the colonial regime but still persist. The study concludes that any meaningful analysis of land and housing markets must recognize the existence of several distinct markets, some private and others with the state as the single "seller." The housing market which has developed in the quartiers populaires suggests that an effective housing market can be established with the state in the role of guarantor, without the carrying out of an expensive cadastre or requiring the attentions of a large and costly bureaucracy. Second, while the state will soon move beyond its current role as a major seller of land, it has implemented a transaction fee which will mean that the system of registration of transactions will be user-financed, rather than constituting a drain on public resources.

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Briefly, five research themes are proposed for discussion:

	<u>LAC</u>	<u>AFR</u>	<u>ANE</u>
1. Land Tenure Issues in Natural Resource Management	X	X	X
2. Land Markets, Transactions and Transfers	X	X	
3. Evolving Agrarian Structure	X		X
4. Land Tenure Issues on Irrigation/River Basin Development		X	X
5. Land Tenure Issues in Urban, Peri-Urban and Secondary Center Development		X	

As indicated, several themes would be common to two or three of LTC's regional research programs. The issues in the different regions overlap, but involve significantly different emphases because basic land tenure characteristics differ so decidedly as among regions.

A. The LAC Program

The experience gained from working on the five research common themes in the previous CA indicates that there are new research priorities as well as certain commonalities among some of the themes. The central tenure questions now identified suggest that some simplification of theme structure is desirable. It is proposed that in the new CA the research be organized around three common themes.

1. Land Markets, Transactions and Transfers

This common theme will in effect combine the concerns in the previous CA with security of access to land (land titling and registration) and land markets. The theme will be explored in two parts:

a. Factors Which Affect Market Patterns

One effort will deal with the factors which affect land market patterns, understanding by land market patterns the official or formal and the unofficial or customary transactions in land. Transactions include sales, rentals, sharecropping, leasing and bequeathing of property rights in land, as well as mortgages and land contracts and other conditional transfers. Explanatory factors might include:

- the degree to which land is equally or unequally distributed among owners and users;
- the availability of long term land purchase financing for the land poor;

- inadequate proof of title by sellers;
- bureaucratic and costly land transfer process;
- fiscal policies which affect transaction costs;
- legal prohibition or strict control of certain transfers (such as rentals or sales) for certain geographic areas (e.g., sensitive borders), for certain uses (e.g., zoning to preserve agricultural land) and/or for certain types of land holders (e.g., agrarian reform beneficiaries).
- bank policies concerning the acceptability of land for mortgage guarantees;
- legal and historical segmentation of land markets, transactions and transfers into distinct sub-sectors, including the lands held by small farmers, the lands controlled by indigenous communities and lands traditionally held by commercial farmers and plantations; and
- state investments in infrastructure, such as roads, communication systems, irrigation projects which affect the availability of land for settlement and the demand for land.

b. Effectiveness of Interventions

A second aspect of the research on this theme is an inquiry into the relative effectiveness of different programs which affect one or more of the above factors in order to alter the operations of the land market. Assessment will be done where possible of programs such as:

- land cadastres;
- land titling;
- land purchase financing;
- land reforms;
- legal and administrative reforms to reduce transaction costs;
- revenue generation efforts, in particularly tax programs which favor certain crops, lines of production, or uses of the land.

Through this research evidence will be assembled and analyzed to guide program planners as to the nature and effects of different technical and administrative arrangements which have been used to carry out such programs and which have different effects on dealings in land. Of necessity this aspect of the research effort will assess criteria for judging the effectiveness of the different programs, and apply those criteria in evaluations of specific program experiences, where the opportunities present themselves.

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## 2. Evolving Agrarian Structure

This theme will combine certain elements of the Agrarian Structure and Post Reform Adjustments common themes in the previous CA.

By agrarian structure is meant the ways by which the production processes are organized in agriculture, in particular the nature of the production units and the relative importance of different types of such units. One set of questions refer to the importance and significance of the capitalizing family farms in Latin America agriculture, as the possible evolutionary trend as the larger haciendas and plantations break up, as the agrarian reform group farming experiences decollectivize and as the land market operates to consolidate smaller holdings. A second set of questions address the relative importance of agro-industrial enterprises in the production and marketing processes as agrarian economies move into more commercial, export oriented phases.

### a. The Capitalizing Family Farm Sector

While there is evidence that a medium-sized, capitalized family farm (CFF) sector is emerging at least some places in Latin America, the meaning and significance of the sector is unclear. Is the sector to be understood as an evolving peasant capitalism which shares the labor absorptive characteristics and "uni-modal" egalitarianism of traditional peasant agriculture? Or does the sector rise on the graves of traditional small scale agriculture through a process of land concentration, producing with a mechanized technology and absorbing even less labor than traditional hacienda agriculture?

The ambiguities and uncertainties concerning the CFF sector motivate and structure three lines of future investigation on agrarian structure:

1. Veracity of the "CFF Hypothesis" Systematic evidence on the evolution of agrarian structure has only recently appeared. But will the hypothesis that CFF sector is coming to dominate agrarian structure stand up to further scrutiny? In what circumstances does structure evolve along the CFF path?
2. Mechanisms and Meaning of CFF Structure. The small scale production units created in the wake of the decollectivization of agrarian reform agriculture in Peru and the Dominican Republic (inter alia) present a unique, almost experimental opportunity, to study the economics of structural evolution. These units, which largely reside in highly commercialized and productive sectors, emerge through a political process and not through a market process in which they proved their ability out compete alternative modes of producing for resource control. Will these units survive at their present scale (and factor intensity), or will processes of displacement and land concentration set in? Is there such a thing as a 4 hectare CFF, or will 9 out of 10 small holders be displaced as farm size creeps up toward the 40 hectare range which some authors have equated with CFF agriculture. And, more pointedly, what will the mechanisms and terms of displacement be?

3. **Structural Evolution and the Policy Environment.** Once structural tendencies and their meaning are better understood, evaluation of the impact of policy on agrarian structure evolution will be undertaken. How does the mix of ag sector policies affect, and how might it be modified to favorably affect, agrarian structure?

b. Agro-industrial Enterprises

An alternative path of structural evolution may be the establishment of agro-industrial complexes, which in some contexts vertically integrate production, processing and marketing functions. In some countries, these enterprises are proving their ability to operate in international markets, to assemble resources nationally for the processing and packaging of their products at acceptable quality levels, and to organize the production processes efficiently. There are also instances of problems with such organizational strategies, including environmental problems, seasonal unemployment, and labor-management conflicts.

The questions about the viability of the agro-industrial model for rural development motivate the following questions:

1. Importance of Agro-Industrial Enterprises. To what extent are the agro-industrial enterprises becoming established in agriculture? Under what conditions do such enterprises emerge as important features of the structure of agriculture?
2. Variants of the model. The relations of the agro-industrial enterprise with production units vary greatly from place to place. In some instances the enterprise functions on the basis of production contracts or even simple uncontracted purchases of production from independent producers. In other instances the enterprise owns land and is directly engaged in the production process by utilizing hired labor. The different forms of this enterprise-farmer relationship and the conditions under which they work better should be studied. The emergence and importance of agrarian entrepreneurs linked to the agro-industrial enterprises are phenomena of importance comparable to the CFF sector.

c. Effects of Different Policy Environments

Once the extent and variation of the agro-industrial enterprise model is documented, inquiry into the policy environments which affect its evolution could be undertaken. Tax, credit, export promotion and other state policies could be examined to determine their relevance to the evolution of this component of the agrarian structure.

3. Natural Resource Conservation and Management

Efforts undertaken to improve the long term maintenance and enhancement of the natural resource base are often influenced by the rules and institutions which define how people have access to land, forest and water resources. Furthermore, programs which attempt to improve the natural resource base often have secondary effects on the nature and structure of public and private rights to land, forests and water.

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Two general questions will guide the work done on this Natural Resource Conservation and Management theme.

1. How do the resource degradation problems come about? In particular, what are the roles of government policies and subsidies which influence the land and water resource use behavior of farmers, companies and public sector agencies?

The widely observed problems of soil erosion, deforestation, contamination of rivers, lakes, oceans and underground aquifers are the result of past human uses of the natural resource base. These uses result in large measure from the social rules which provide incentives for certain behaviors and discourage others. Of particular interest are the rules whereby people have access to land, forests and water resources, some of which are the result of governmental legislative or administrative actions, and some the result of traditional social norms.

The efficiency of interventions to resolve the observed natural resource problems will certainly depend to a great degree on the complexity and the force of the factors which gave rise to the problems in the first place. The objective of the research on this sub-theme is to explore the roles of land and water tenure institutions in the emergence of problems such as soil erosion, de-forestation and water resource contamination.

Some examples of questions which could be studied include:

- a. What is the impact of the expansion of extensive agriculture systems into productive land, in combination with population growth? Under what conditions can this combination of factors produce concentrations of small farmers and landless families on hillsides, leading to the overuse of fragile lands?
- b. How does security of access to land and farm size affect the cattle/forest use/soil erosion balance? How does tenure security affect the willingness of farmers to work with technical assistance for: (1) the intensification (higher offtake with small parcel sizes) in livestock production; and (2) sustainable forage production?
- c. To what extent is the clearing of tropical rainforests, particularly in frontier areas, the result of tax policies and other subsidies which attract settlers and in some cases large scale investors, whose claims to the land may depend on their clearing of the forests? or whose profits depend on the rapid harvest of timber, without incentives for appropriate re-forestation or a regenerative agriculture?
- d. To what extent does the rise in the relative cost of labor, or alternatively, the emergence of off farm employment for adult family members, lead farmers to search for chemical substitutes for labor, leading to their over-use and mis-use, which in turn results in health problems for farm families and indirectly in the contamination of water resources?

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2. How do land and water tenure regimes affect the effectiveness of soil conservation, forest reserve management, reforestation and water quality programs?

Substantial resources will undoubtedly be devoted in the coming decades to correcting the major natural resource problems of developing countries. Yet the tenure rules governing people's access to land and water will in many ways condition the effectiveness of these programs and will in turn be affected by these programs.

Those efforts which find ways to incorporate the positive features of tenure regimes and overcome the potentially negative features will show greater cost effectiveness than programs which ignore these regimes and their effects on the behaviors of land users. Of particular importance are the following questions:

- a. What are the relationships between the security of farmer possession of land and their participation in watershed management programs?

Security of possession refers to the means by which landholders (1) defend their rights to use the land, (2) negotiate with other claimants as to who enjoys what benefits of the users' labors, and (3) are able to transfer such rights to buyers or heirs.

In many instances land users who are in conflict with other claimants to the land or who do not have property titles to land feel some insecurity and may be less likely than legally defined owners to make long term investments, such as terraces, drainage ditches, hedges, water catchments, tree planting in the land they hold. They may also not be as likely to maintain such investments over a long period of time, since they may feel that the risks of loss are too great, or that they may not be able to pass their land onto their children.

In other instances, precisely because of the relative insecurity of some land holders, they feel motivated to get involved with soil conservation and re-forestation projects, because the investments they make in the land increase their claim to it. Moreover, the informal, community mechanisms for assuring security of possession can be very effective, if patronage or political influences from the outside are not overly strong and if the distribution of land and other resources is relatively equitable. Certainly the implementation of natural resource management programs will also affect tenure patterns, benefitting some types of holdings and not others.

A research strategy concerning watershed management projects would be a comparison of the participation rates, maintenance inclinations of different types of farmers and effects of resource management programs on: (1) those farmers with full legal title to their land which they themselves cultivate; (2) those with full legal title, but who sharecrop out land; (3) renters (long and short term); (4) possessors of land with a some sort of official certificate; (5) possessors of land with a document proving purchase from a previous holder; (6) land holders who have no documentation to show their ownership; (7) users of family land (land held in undivided ownership by a group of heirs).

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Should different types of farmers show more inclination to participate in the project, and different attitudes toward maintaining the investments they do make, future projects of this sort could include a tenure adjustment component. Should such projects themselves tenure patterns, an assessemnt of the land use and employment implications of tenure changes should be assessed.

- b. What are the impacts of programs for the preservation of forest resources, such as legislation which reserves for a state agency the right to cut timber, or efforts to create national parks or forest reserves for the preservation of forest ecologies?

The tree tenure question is complicated in many instances by the rules issued by agencies responsible for forestry management which attempt to regulate the un-authorized use of the land or timber of a national park or in frontier areas, or the issuance of concessions to timber mills for the harvest of timber from lands which may be privately held even though publically owned.

People use forested land in a variety of ways, for hunting, fishing, harvest of forest food products, harvest of wood for timber, and wood for fuel. Local needs and practices in relation to forests are important for the design of socially acceptable and ecologically sound forest management plans.

These local use patterns and sense of ownership, community or individual, can be strong incentives for land holders to undermine resource preservation and enhancement efforts, or, contrarily to participate in such programs. A sense of powerlessness to protect the rights of local people to forested areas would seem to be a strong disincentive for participating in resource protection and development programs, while local participation on regulation activites can be a powerful incentive for cooperation with such programs.

- c. What are the effects of different tenure patterns on the results of public sector investments in irrigation systems, and how do such investments alter land tenure patterns?

One research question which might be addressed is the effect on tenure patterns of the extension of irrigation systems into areas which did not have access to irrigation water previously. Under such conditions land values increase dramatically, and speculators attempt to get legal title to land which may be unofficially held, leading in some instances to the displacement of small farmers from the land and in some instances serious social conflicts. Where attempted, registration efforts prior to the initiation of the irrigation project could be evaluated to determine the impact on land use, investments, migration, and changes in land distribution patterns.

A second research example would be the determination of the appropriate parcel size for maximixing employment and productivity on the proposed irrigation system, where the distribution of land rights is part of the project.

## B. The Africa Program

### 1. Land Tenure Issues in Natural Resource Management: Carrying Through

The theme has been added to the CA relatively recently and its formulation reflects extended discussions with Africa Bureau in the context of

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the Bureau's policy paper on natural resource management. That formulation addresses tenure issues of both conservation and sustainable production and seeks a better understanding of how land tenure affects the introduction of new technologies. It appears to be serviceable in light of the very positive response by USAIDs to LTC's initiatives and LTC is not disposed to alter those priorities unless AID feels they require adjustment.

The research focuses upon three sets of land tenure issues. First, there are on-farm tenure issues connected with tree planting and other activities on the cultivated holding. LTC is already deeply involved in the area through its relationship with ICRAF, but has so far only been able to work at the literature review level and to draw down on existing research to formulate hypotheses. The need now is to test these hypotheses and perceptions through field research which analyses the incentives of households and individual members of households. We anticipate an excellent opportunity to do this for AID/Mali in connection with its Village Reforestation Project and on a regional basis in collaboration with ICRAF and/or ILCA.

Second, LTC hopes to utilize analytical tools developed in Lesotho research on grazing associations to explore the impact of land tenure on the adoption of new technologies for pasture improvement and management. LTC will seek to elucidate the problems of common property management, such as those which arise in the case of pasture grazed as commons by a grazing association. LTC's research will 1) examine how varied household livestock ownership and household economic strategies create within local communities different interests with respect to regulation of resource use, 2) seek to identify viable approaches to regulation of natural resource use, and 3) evaluate the promise of different institutional forms in achieving effective management. This is a key in LTC's ongoing work for a paper for Club de Sahel and is the topic of current discussion of a regional research program with ILCA.

Third, LTC will explore a set of tenure issues which affect encroachment upon forest, game and biological reserves. The research will examine the ways in which land tenure problems outside the reserve create pressures upon cultivators to move into the reserve and how these can be relieved. It will also examine how incentives for local people to protect a reserve can be created by providing them with a secure interest in production or income from the reserve. LTC is currently pursuing this line of research most directly through its collaborative with Makerere Institute for Social Research on encroachment in a forest reserve in Uganda.

In looking toward its work under a new CA, LTC sees this theme as the highest research priority in its Africa Program.

## 2. Land Markets Transfers and Transactions: Issues Emerging Under the Security of Tenure/Land Registration Theme and the Changing Traditional Land Tenure Theme

Land Markets is the major theme of AID's PD 13 on land tenure, and this has been a research theme on the LAC side under the current CA. A parallel research theme for the Africa Program should be included under a new CA, to provide a convergence for issues which have emerged as important under two existing themes.

LTC's Land Tenure Country Profiles for Africa (1986) identified land transactions as an area poorly understood and deserving of further inquiry. While many customary land tenure systems do not permit sale of land (in the sense of a perpetual alienation of ownership), the profile authors found that the recent literature reflected a growing acceptance of more or less permanent transfers (although their legal status remained ambiguous), and that traditionally acceptable temporary transactions in land (borrowing, leasing, sharecropping, possessory mortgages) were playing a major role in the adjustment of land use rights to accommodate changes in land use.

Under the Changing Traditional Land Tenure theme, in the Swaziland research, LTC found a declining level of such temporary transactions. In a situation where labor- and ox-poor households lease out land to other farmers with these resources, the "tenant" is often the wealthier and more influential party and the "landlord" has difficulty regaining possession of the parcel after the tenancy. Such transactions play a potentially critical role in adjusting landholdings to a homestead cycle which includes periods when a large portion of homestead labor is away in wage employment in South Africa and in Swaziland itself. In Lesotho, the 1986 Land Act Review Seminar targeted land transactions under the customary tenure system as a key issue, and LTC carried out a brief survey for the Commissioner of Lands which revealed a remarkably vigorous market in use rights. In the Senegal research under the Security of Tenure and Land Registration theme, it was found that a major problem with the 1964 Land Act, which declared that rights in land originate in demonstrated land use, was that existing landowning households felt that their customary tenancy arrangements exposed them to claims by the tenants that the land was theirs by right of use, under the Act. In Somalia, LTC has found itself working in a context in which land registration, which is normally expected to facilitate transactions, is administered together with a substantive law which prohibits transactions. To register land is to risk coming within the effective application of that national law.

A research theme on Land Markets, Transfers and Transactions would provide an integrated follow-on to both the Security of Tenure/Land Registration theme and Changing Traditional Land Tenure theme. The former theme has operated quite successfully on a comparative level and we believe it has adequately addressed security of tenure issues, but only scratched the surface on land transactions. Within the Changing Traditional Land Tenure theme land transactions under customary tenure had earlier (the 1986-87 Workplan) been identified as a priority area for further exploration. A Land Transactions theme could cut across the individual/registered and customary tenure sectors, allowing comparative work on the role and functions of transactions within those sectors.

The evolution of ownership structure when land markets are freely active is a subject of enormous importance and debate--especially in African economies where rural property rights are in flux between traditional and fee simple systems. Do active land markets promote efficient exchange of factors between small and large holdings (perhaps transferring land to the resource poor); or do they exacerbate existing inequalities in the distribution of land, and subsequent distortions in resource allocation? Confidence in the former possibility inspires land titling, registration, and other "land market activation" policies. Concern about the latter motivates policies which inhibit market transactions in land.

Many of our models treat land like any other commodity, in spite of the fact that this is not what we observe in the U.S. Only a tiny fraction of agricultural land in the U.S. is transferred each year. This phenomenon is even more pronounced in Africa. Models need to be developed that not only explain the rationale for transacting land, but also the large pool of land that is left alone.

There are several angles of approach to this issue, which are mutually compatible and could possibly be combined within a country project, depending upon the diversity of research situations within the country:

1. There is a need to examine how transactions develop and expand under customary land tenure systems, and how these markets differ from markets in individualized tenure areas. Do they perform the same functions, and how well do they perform them? A major objective of large scale, impersonal land markets is better land utilization through more efficient factor combinations. How far do relatively personalized transactions on a temporary basis achieve this objective?
2. There is a need to examine how land markets in the individualized areas operate. Are they achieving allocative efficiency? If not, why not? And what other impacts are these having which deserve attention at policy level?
3. In those few places with relatively developed land markets, what impact are transactions having upon agrarian structure? Is the impact desirable? Is there a place in the African context for "assisted" land market initiatives such as those AID is pursuing in some countries in Central America?

LTC sees the ultimate objective under this theme as comparative work in three to four countries, on the model of the Security of Tenure/Land Registration theme. We are, however, inclined to propose a different progression of work than under that theme, where attempts were made to initiate research in three countries virtually simultaneously. Initial qualitative inquiry on the ground and model-building suffered from the major investment of time which the coordinator and other LTC staff spent in identifying three sites and in dealing with mission clearances, counterpart arrangements, the intricacies of local currency funding, and orientation to the particular features of three sites at once.

Under the new theme we would propose developing a prototype three-year project in one country. The appropriate site for a prototype project would need to offer a considerable diversity of tenure conditions and transaction types; good local research institutions; and an agricultural economy which is exhibiting some vitality in all tenure sectors. Research would begin with a year during which a literature review, anthropological fieldwork and preliminary economic model-building would take place, followed by the initiation of survey research. LTC would rely heavily on a local research institution for the anthropological research. From at least the beginning of the second year, an LTC resident researcher would be in place, working with the staff of the local research institution. Only well into the survey research, towards the end of the second year of the project, would extension

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of the research program to other countries be attempted. A staggered expansion, one country per year up to four countries, would be appropriate.

3. Urban, Peri-Urban and Market Town Land Tenure: Revitalizing a Dormant Theme

This is a theme which grew out of work on land tenure in the major villages of Botswana prior to the current Cooperative Agreement. It has largely lain fallow due to Africa Bureau's sense (until recently) that urban issues were a matter for PRE/H, and PRE/H's quite limited research interests. LTC was able, in spite of a lack of bureau funding in this area, to work in several urban and peri-urban context during the period of the current CA. Those initiatives have been reviewed in the section on the Urban Land Tenure theme in the part of this report which deals with the current CA. As a result of this exposure to the issues, LTC feels that theme research in this area could be more effectively carried out under a reorganized theme which would examine not only urban and peri-urban tenure issues but those issue which arise in provincial town and market center development.

Several issues need to be explored:

1. Can there be defined appropriate, intermediate tenure arrangements for secondary centers, such as market towns and district capitals, potential poles for rural growth which often remain under customary tenure long after the national capital goes to a system of registered individual holdings?
2. What are appropriate tenure arrangements for land in crop production within municipal boundaries?
3. How do land tenure arrangements affect site and service or housing projects in matters such as recovery of infrastructure costs and retention of land and housing by projected beneficiaries?
4. How well are land market functioning in urban and peri-urban areas, and in the case of peri-urban areas, what is the impact of tenure on urban sprawl and farmland conversion?

This is a relatively new area for LTC and our preference would be to enter it through a prototype project similar to that proposed for a Land Markets, Transactions and Transfers theme. A desirable site would be one which would present a broad range of the issues sketched out above, and good prospects for local collaboration.

4. Land Tenure Issues in River Basin Development: Phasing Down?

This theme grew out of an initial LTC involvement with these issues under the mission-funded project in Mauritania which began in 1982. This coincided with AID's identification in the wake of the Berg Report of river basin development as a key strategy for increased production. There was a great urgency in AID to mobilize what was known about this production context. An LTC project was funded by Africa Bureau very early in the previous CA. Brief field visits were welcomed by Missions which were attempting to develop their own programs in this area and appreciated a centrally-funded input. Based on

these field trips and a thorough review of the literature, a report was already in draft in April 1985, a year after the commencement of the CA. Such field research as has taken place has been through the Mission-funded projects in Mauritania, now completed, and in Senegal (Bakel), where field research is still underway. This progression of activities was in line with the strategy set out for this theme at the beginning of the current CA: an unusually substantial but rapid review of the land tenure experience in irrigation schemes to establish a baseline, funded by Africa Bureau, followed by Mission-funded research in project contexts. The Mauritania Research and Training Project and the Senegal (Bakel) work correspond to this model, and have provided the opportunity for serious research. The Dirol Plain (Mauritania) work was a rapid reconnaissance exercise.

The urgency within AID concerning river basin development issues has passed, but irrigation continues to figure importantly in AID's project activities. LTC has found itself working on tenure in irrigation situations under the Security of Tenure and Land Registration theme in the Shabelli Valley in Somalia--and would have done so on the registered irrigated land in northern Sudan had the security situation permitted. In Swaziland, under the Changing Traditional Land Tenure theme, tenure adjustments in smallholder irrigation schemes in customary tenure areas became a key test of the ability of the customary tenure system to accommodate intensified land use and higher levels of investment.

It should also be recognized that while LTC's work to date under this theme has made important progress on the socio-legal and institutional side, there are several critical economic issues which deserve further inquiry. First, LTC has not had the opportunity to test empirically its tentative conclusions about effective models to balance farmer security of tenure and freedom of management on one hand, and, on the other, the need to manage in a coordinated fashion the common property resource (water) upon which the schemes depend. Similarly there has been no effective comparative analysis of the effect of plot size on irrigation productivity. LTC used an existing aggregated data set from Zimbabwe to develop a model for such analysis, but the results were inconclusive--a risk recognized from the outset given certain characteristics of the data set. LTC would also like to be able to mine the data from Somalia -- where research under another theme was carried out in an irrigation scheme -- to analyse linkages among scale, productivity and factor efficiency; to examine rigorously the potential for land redistribution in an irrigation scheme context, and the impact of land tenure arrangements on optional water rationing.

Given that funding has not been available to pursue certain key issues under the theme in any depth, how should we proceed? If regional bureau funding were available to initiate a comparative program of research in several countries, similar to that carried out under the Security of Tenure/Land Registration theme, it would clearly be justified to maintain it as a separate theme. Our sense is that this is not the case. On the other hand, irrigated agriculture and river basin development remain important project contexts for AID.

There are important questions yet to be answered and there is a prospect of continuing Mission demand for applied research in this area. We are reluctant to see the theme drop out of our research program entirely.

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Further, there are potential complementarities to be gained in continued work under this theme in Africa and for Asia/Near East Bureau, which has tentatively identified land tenure in irrigation as a critical area of concern in a possible regional project with LTC. How can ST/RD best facilitate further research in this area under mission funding when available? It does not seem feasible to us to maintain an important LTC research role in this area through bidding on projects. Without active pursuit by LTC of research opportunities in this area, irrigation projects will not generate discrete research sub-projects on which LTC can bid. Even where such sub-projects were generated, they would be small enough so that costs of bidding would be prohibitive to an institution like LTC which cannot access its own overhead to fund bid-preparation activities. LTC might find a role through sub-contracting to do research activities on tenure for prime contractors on irrigation projects, but this is unlikely to provide worthwhile opportunities for research.

Our conclusion is that this theme should either be extended into the new CA on some basis, or there must be a frank recognition that we are getting out of important research in this area in Africa. A decision on this needs to be made partly in light of the LTC's potential activities in Asia and, in particular, a project now under discussion with AID/Sri Lanka.

#### IV. AN ASIA/NEAR EAST RESEARCH PROGRAM

LTC has on several occasions over the last two years held discussions with representatives of ANE Bureau and Missions concerning land tenure research issues in that region. The Bureau has been attempting to define an appropriate response to the land reform initiative in the Philippines and some Missions, such as AID/Sri Lanka, have identified land tenure as a critical issue in their CDSS exercises. The Land Tenure Center has trained many students from the region over the years and many LTC staff have some experience in the region, but LTC has never had a coherent Near Eastern or Asian Program. The Center began with a Latin America Program and from 1980 expanded into Africa. It has enjoyed regional bureau support in those regions which have permitted an integrated program of research rather than scattered initiatives in response to immediate mission needs.

Three relevant research themes have emerged in the preliminary discussions: Changing Agrarian Structure, Irrigation and River Basin Development, and Tenure Issues in Natural Resource Management. They reflect our tentative perceptions of what issues are important to policymakers in the region and are areas in which LTC has strengths to offer to ANE Bureau.

##### 1. Changing Agrarian Structure

Agrarian structure provides the prism through which agricultural policy is refracted. In countries with a bimodal agrarian structure, where a relatively few production units control most of the land and most farms are small and fragmented, agrarian policies tend to favor the large landlords for producing an agricultural surplus. The majority of the rural population tends to be excluded from government services and subsidies. Such policies are less likely in unimodal systems where landownership and use are more equitably distributed. Policy studies in recent years have identified the unimodal structure of several Asian nations with success stories in economic growth as

a critical factor in that success. Multiplier effects of broad-based growth in agricultural production create demands which spark growth in other economic sectors.

State policies and programs can influence the evolution of the overall agrarian structure, as can market forces and international factors such as changing product demand, balance-of-payments difficulties, and geopolitical calculations. Bimodal systems can become less dominated by large estates, while unimodal systems can evolve into more polarized structures. How agrarian policies influence the role and evolution of different types of production units within the overall agrarian structure deserves special attention.

The production process in agriculture is organized in a wide variety of ways: owner-operated family farms; farming operations constructed from rented, leased, or sharecropped land; large-scale plantations with hired and often seasonal labor forces; farming done on a part-time basis; worker-managed enterprises; agro-industrial complexes which integrate farming operations with product processing and marketing, often in international markets.

The relative importance of one or more of these structural components changes over time, and each type of organization of the production process has its strong and weak points. The issue of agrarian structure becomes salient when there is debate over: (1) the relative productivity of one or the other form of the primary production units, or (2) the distribution of the benefits derived from landownership.

In some regions, the policy preoccupation is with the fragmentation of small holdings. Fragmentation may represent a constraint to the creation of a modern, commercial agriculture which takes maximum advantage of available technological packages. In other regions, the problem may be the conflict between workers and the owners of plantations concerning who should control the surplus produced by the production units. In other areas, the problem may be the debate between owners and renters or sharecroppers concerning the terms of the land use and payment agreements. In yet other areas, the users of the land may not have a secure title, thereby inhibiting their access to credit and their long-term investments in the land and constraining the operation of land markets.

The overall objective of the research under this theme is to inform the debate on the appropriate evolution of the agrarian structure: (1) by documenting and explaining the evolution of that structure over time into its present manifestations; and (2) by generating empirically based information on the employment, income, investment, and productivity implications of the different forms of organization for production within the agrarian structure and of the impact on economic growth of the overall structure itself.

## 2. Land Tenure Issues in Irrigation and River Basin Development.

Considerable attention has been focused on irrigation management in ANE under ST/RD's Water Management Synthesis Project and now by the Irrigation Management Institute (IMI) in Sri Lanka. But the tenure dimension of irrigation has largely been bypassed in this work. LTC believes that the terms on which farmers hold irrigated land and the size of their holdings can

exert a major influence upon realization of the objectives of these projects. IMI recognizes this and has expressed an interest in collaborating with the Land Tenure Center in exploring the role of tenure in the management tool in irrigation schemes. In addition, a narrow focus on irrigated areas has often prevented full understanding of the broader economic environment and incentive structures within which farmers of irrigated land operate. The Center's supplementary focus on River Basin Development takes into account off-scheme land rights and uses by irrigators and their households, both rainfed agriculture and livestock herding. In the context of shifts in land uses and resettlement by irrigation and associated phenomena (dams, reservoirs, altered water levels, etc.), it has permitted effective examination of competition for land for a variety of uses and often by a variety of ethnic groups.

There are several questions which need to be answered through field studies to better inform project design, management, and rehabilitation.

- What are the implications of state ownership, management, and command cultivation sometimes found in large irrigation schemes?
- Does conditioning tenure on observance of pricing/marketing requirements, crop-mix regulations and canal-maintenance obligations constitute a desirable and effective means of control over irrigator production, or do they impose too high costs in terms of tenure security, weakening farmer incentives? What are the alternatives?
- How can optimum size of irrigated holding be determined for a particular situation, taking into account objectives of efficiency and equity and factors such as rates of subdivision and levels of fragmentation? Should markets in land rights be allowed to function to adjust holding sizes?
- Often land allocation has been made to ensure broad participation in the benefits of irrigation. How have various strategies of allocation fared in practice? How can participatory planning strategies with respect to land allocation be implemented in highly stratified and hierarchical local societies?
- Given continuing involvement of irrigators and their households in off-scheme productive activities, does tenure have an effect on the way in which irrigators allocate household labor among various agricultural productive opportunities?
- Where irrigation disrupts customary patterns of land use over a river basin, can (should) government reconstitute ethnic group rights over redefined land areas? How can the legal vacuum created by such disruption of custom best be addressed?
- In smaller irrigation schemes which do not rework the landscape and destroy prior landholding patterns, how do customary land tenure systems affect projects and how should projects deal with land rights under those systems? How can schemes deal effectively with rival claims by villages to land to be placed under irrigation and with situations where schemes cut across existing boundaries between community lands?

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This is by no means an exhaustive list, and polling of ANE missions would certainly provide additional questions for research.

### 3. Tenure Issues in Natural Resource Management.

Four sets of issues capture most of our concerns about tenure issues in the management of natural resources.

How does tenure affect degradation of natural resources? In particular, what are the roles of government policies and subsidies which influence the land and water-resource use behavior of farmers, companies, and public sector agencies? Of particular interest are the rules whereby people have access to land, forests, and water resources, some of which are the result of legislative or administrative actions, and some, the result of traditional social norms.

For instance, what is the impact of the expansion of extensive agriculture systems into productive land in combination with population growth? Under what conditions can this combination of factors produce concentrations of small farmers and landless families on hillsides, leading to the overuse of fragile lands? How does security of access to land and farm size affect the cattle/forest use/soil erosion balance? How does tenure security affect the willingness of farmers to work with technical assistance for: (1) the intensification (higher offtake with small parcel sizes) in livestock production, and (2) sustainable forage production? The objective of the research is to explore the role of land and water tenure institutions in the emergence of problems such as soil erosion, deforestation, and water resource contamination.

On cultivated holdings, land tenure can affect adoption of new technologies such as alley-cropping and other agroforestry measures. There is ample evidence that in Asia and the Near East, as elsewhere, tree cutting and tree planting are influenced by land tenure arrangements. In Nepal, a law enacted several years ago conferred title to land in return for use for three years. Large areas of forest land were cleared to establish title. Now Nepal is granting 99-year leases to holders of forest reserve land to induce them to rehabilitate this denuded reserve land through agroforestry. Customary land tenure systems are poorly understood and often exist in unresolved contradiction with national legislation. Uncertainties emerge where national interests are strong enough to challenge local customary law, and tenure insecurity (which either system alone might have avoided) is the result, with potentially serious effects on agroforestry and other initiatives for sustainable agriculture.

Common property relationships figure importantly in forest and pasture use in the region. Village forestry projects have the same troubled record in this region as elsewhere, though perhaps Asia has a few more success stories than other regions. The extensive landlessness in this region gives particular impetus to forestry initiatives on the commons so as to spread benefits beyond those with individual holdings. As regards management of grazing land, the ecological diversity of the region suggests that a wide range of tenure patterns may be appropriate, ranging from privately owned pasture through long-distance pastoralism. For example, in North Africa and in Eastern and Central Asia, seasonal grazing rights on temporarily

uncultivated land are important, but such arrangements are rare in Southeast Asia.

As regards forest and other reserves, there is a broad tendency for governments in the region to regard all forested land as state land. States in this region generally recognize no peasant rights to forested land, and local forest users and government foresters exist in an adversarial relationship. Local communities commonly perceive local forests as a communal rather than a national resource. There are exceptions, of course, as in the Philippines, where a stewardship contract has been developed which confers management of substantial forest land on local communities. Asia has also seen interesting attempts to integrate agricultural land use by forest laborers into the cycle of commercial forestry through taungya systems, and Thailand is experimenting with more stable tenure arrangements for those who practice taungya. Can the provision of rights to limited and sustainable forest use by local people create an effective local constituency for protection of the reserves? Can better land policies in the areas surrounding reserves relieve some of the pressure on the reserves?

If ANE is interested in pursuing a regional program with LTC, it will be critical that ANE and LTC agree upon a set of priorities. Given the diversity within the region, this will not be easy. Some choices would tend to create a sub-regional focus. The themes set out above are tentative. Their number can be reduced and the content of a theme can be narrowed to some sub-set of concerns which ANE wishes to pursue. If there were to be a regional program, LTC would need to bring a regional land tenure specialist on board as coordinator and, in selecting the coordinator, would need to have a clear sense of both the substantive and the geographic priorities of ANE. LTC proposes that ST/RD and ANE/TR prepare a cable to missions in the region setting out research topics under the proposed themes in order to determine mission interest.

## V. CONCLUSION

Land policy continues to be a central and problematic issue in Third World development. A great deal remains to be learned, and to mobilize more effectively what is now known for use by policymakers and project designers. For LTC, the last four years of work, pursuing an agenda for systematic knowledge building, have been particularly promising. New lines of inquiry have opened as issues are resolved. There is, of course, no finite set of questions to be answered, though plateaus of understanding are sometimes reached. Policymakers in AID play a major role in creating each new generation of research agenda items, as their perception of appropriate agricultural development strategies shifts in relation to experience in the field and changing political environments. LTC remains committed to exploring both the theory and the application of land policy in the Third World, and to providing more policy-relevant insights to AID and national policymakers.

ACCESS II PROJECT PAPER ANNEX 3  
PROJECT IMPLEMENTATION SCHEDULE

ACCESS TO LAND, WATER, AND NATURAL RESOURCES II

PROJECT IMPLEMENTATION SCHEDULE

TIMEFRAME

COMMON THEME: LAND MARKETS AND TRANSACTIONS

First Phase

- Synthesize results of ACCESS I research on land markets/registration/titling in the LAC countries. Year 1
- Write concept paper defining theme issues and state-of-the-art paper defining land market theories. Synthesize research findings and identify research needs. Apply theoretical concepts on several existing data sets. Publish research from ACCESS I on Tenure Security and Land Registration. Years 1-2
- Identify research sites. Conduct pre-research implementation visits to identify research problems, host country research institutions, financial and project planning for country research program (CRP). Years 1-2
- Determine research methodology, develop survey design, develop survey instruments, complete project planning, and implement field research in first CRPs. Years 1-2
- Conduct pre-research implementation visits to subsequent CRPs. Years 2-3
- Use feedback on research methods and data collected in the first CRPs to modify research design, then extend research to other CRPs. Undertake statistical analysis of data, draft final reports and policy papers. Years 2-3
- Conduct region-specific seminar. Year 2
- Analyze data, draft final reports and policy papers, and conduct workshop on research initiated in subsequent CRPs. Years 4-5
- Conduct interim project evaluation. Year 4

Second Phase

- Re-evaluate theme objectives, research methods, and extend research to second phase CRPs. Years 6-8

- Conduct interim project evaluation. Year 7
- Do statistical analysis of data, write reports and policy papers. Conduct workshops and publish articles for second phase CRPs. Years 7-9
- Complete research in second phase CRPs. Prepare research synthesis. Project wrap-up. Year 10
- Conduct common theme workshop. Year 10
- Conduct final project evaluation. Year 10

COMMON THEME: TENURE ISSUES IN NATURAL RESOURCE MANAGEMENT

First Phase

- In LAC and ANE regions, prepare concept paper and undertake literature review and preliminary field work for state-of-the-art paper. In AFR, identify research sites and begin field work in those countries, in collaboration with local institutions. Years 1-2
- Identify research countries in LAC and in ANE for field studies of tenure and resource relationships. Identify national affiliates and begin field research another African country. Year 2
- Identify national affiliates and begin field work in selected countries in LAC and ANE. Complete field research phase in one AFR country. Year 3
- Conduct region-specific seminar. Year 3
- Complete field research in second AFR country. Begin field research in other participating LAC and ANE countries. Year 4
- Conduct interim project evaluation. Year 4
- Complete initial research in countries in participating LAC and ANE countries. Prepare synthesis report on Africa research findings. Year 5

Second Phase

- Identify second phase research sites/initiate research. Years 6-8
- Conduct region-specific seminar. Year 6

- Conduct interim project evaluation. Year 7
- Conduct region-specific seminar. Year 9
- Complete drafting of reports, review findings, and prepare synthesis and recommendations. Year 10
- Conduct common theme workshop. Year 10
- Conduct final project evaluation. Year 10

COMMON THEME: INSTITUTIONAL AND STRUCTURAL DIMENSIONS OF TENURE CHANGE

First Phase

- Synthesize results of ACCESS I research on post reform adjustment and agrarian structure in LAC region. Year 1
- Identify critical structural phenomena and institutions for study. Undertake literature review, and prepare concept paper based on analysis of available data. Years 1-2
- Identify participating countries in in AFR, LAC, and ANE. Identify host country collaborating institutions and develop program of collaboration. Years 2-3
- Undertake long-term and short-term fieldwork in selected countries. Years 3-4
- Conduct region-specific seminar. Year 4
- Conduct interim project evaluation. Year 4
- Review preliminary findings and prepare interim report. Year 5
- Finalize research strategies for second phase. Year 5

Second Phase

- Identify second phase research sites and undertake field work with host country institutions. Year 6
- Conduct region-specific seminar. Year 7
- Conduct interim project evaluation. Year 7

- Complete preparation of research reports and common theme research synthesis. Yrs. 9-10
- Conduct region-specific seminar. Year 10
- Conduct common theme workshop. Year 10
- Conduct final project evaluation. Year 10

ACROSS COMMON THEMES

- Prepare training module for short course. Year 1
- Conduct short course. Yrs. 2, 5  
8 and 10
- Update/modify short-course training modules. Yrs. 3-10
- Prepare project's final report. Year 10

ACCESS II PROJECT PAPER ANNEX 4

EXPRESSIONS OF INTEREST IN ACCESS II PROJECT:  
S&T/RD WORLDWIDE CABLE AND USAID RESPONSES



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PAGE 02 OF 02 STATE 080214

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THIS AREA WILL FOCUS ON RESOURCE TENURE ISSUES WHICH AFFECT ADOPTION OF SUSTAINABLE NATURAL RESOURCE MANAGEMENT AND CONSERVATION STRATEGIES. IT WILL ALSO STUDY THE PROBLEMS ASSOCIATED WITH MANAGEMENT OF RESOURCES USED IN COMMON, SUCH AS GRAZING LAND, WOODLANDS, FISHERIES AND WILDLIFE.

IC1 INSTITUTIONAL AND STRUCTURAL DIMENSIONS OF TENURE CHANGE- THIS RESEARCH THEME WILL FOCUS ON THE WAYS IN WHICH GOVERNMENTS AND THE USERS OF LAND AND OTHER NATURAL RESOURCES ORGANIZE THEMSELVES TO MANAGE AND ADMINISTER RESOURCE USE. IN THE LAC REGION, THE PROJECT PROPOSES TO SEEK OPPORTUNITIES TO EXAMINE INSTITUTIONAL DEVELOPMENTS WHICH AFFECT CHANGES IN AGRARIAN STRUCTURE. IN THE AFR REGION, PROPOSED RESEARCH WILL FOCUS ON INSTITUTIONAL ARRANGEMENTS FOR LAND ADMINISTRATION AND ON FORMAL AND INFORMAL DISPUTE SETTLEMENT MECHANISMS AS A MEDIUM THROUGH WHICH CUSTOMARY TENURE RULES EVOLVE. IN THE ANE REGION, IT IS PROPOSED THAT RESEARCH EXAMINE INSTITUTIONAL IMPACTS ON TENURE EVOLUTION AND THE RELATIONSHIPS BETWEEN AGRARIAN STRUCTURE AND AGRICULTURAL DEVELOPMENT.

7 ST/RD REALIZES THAT USAIDS CANNOT COMMIT THEMSELVES TO PARTICIPATE IN A STILL TO BE APPROVED PROJECT. HOWEVER, THE CONTRACT OFFICE REQUIRES THAT NEW PROJECTS IDENTIFY POTENTIAL AREAS OF INTEREST BY MISSIONS AND QUANTIFY, TO THE EXTENT POSSIBLE, ESTIMATES OF POTENTIAL LEVEL OF MISSION PARTICIPATION. IN ADDITION, ST/RD VIEWS MISSION INPUT TO BE INVALUABLE IN STRENGTHENING DESIGN AND IMPLEMENTATION OF PROPOSED PROJECT.

8 ST/RD REQUESTS THAT USAIDS REVIEW PARAS 5 AND 6 ABOVE AND

IA NOTE WHICH AREAS ARE OF POTENTIAL INTEREST;

IC1 IDENTIFY AREAS OF INTEREST IN LAND AND RESOURCE TENURE RESEARCH WHICH ARE NOT ON THE L.I.S.T.

IC2 PRIORITIZE AREAS OF INTEREST;

IC3 WHERE POSSIBLE, NOTE FOR EACH AREA WHETHER POTENTIAL LEVEL OF INTEREST IS SHORT-TERM (1-6 MONTHS), MEDIUM-TERM (7-12 MONTHS), OR LONG-TERM (OVER ONE YEAR), AND WHETHER POTENTIAL POTENTIAL LEVEL OF ACTIVITY IS LOW (UNDER 50,000), MODERATE (50,000-200,000), OR HIGH (OVER 200,000); AND

IC4 WHERE POSSIBLE, PROVIDE SPECIFIC REFERENCE TO PRESENT RELEVANT USAID ACTIVITIES.

9 ST/RD GREATLY APPRECIATES USAID ASSISTANCE AND WILL ENSURE THAT ACCESS II IS RESPONSIVE TO USAID COUNTRY PROGRAMS. PLEASE DIRECT RESPONSES TO GLORIA STEELE.

ST/RD/RRD. APPRECIATE USAID RESPONSE BY NLT 4-04-89 BAKER

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AIDAC

FOR STANDARD - GLORIA STEELE

E.O. 12309 N/A  
SUBJ: REQUEST FOR USAID INPUT TO NEA STANDARD PROJECT:  
ACCESS TO LAND, WATER AND NATURAL RESOURCES IN

REF: STATE 080214

1. USAID APPRECIATES THE OPPORTUNITY TO COMMENT ON REF SUBJECT. WHILE THE NEA PROJECT WILL ADDRESS IMPORTANT ISSUES IN SUSTAINABLE NATURAL RESOURCES MANAGEMENT, IT IS DOUBTFUL USAID BOTSWANA WILL BE ABLE TO PARTICIPATE DUE TO BUDGETARY CONSTRAINTS.
2. REGARDING REPTEL PARA 8(B) - RESOURCE TENURE ISSUES - USAID SUGGESTS THAT WOMEN'S ACCESS TO AND SECURITY OF RIGHTS TO LAND, TREES, ETC. BE INCLUDED AS PART OF THE RESEARCH. WOMEN IN AFRICA ARE MAJOR USERS OF NATURAL RESOURCES AND ARE GREATLY AFFECTED BY TENURE ISSUES FORDE.

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E.O. 12356: N/A

SUBJECT: REQUEST FOR USAID INPUT TO NEW ST/RO PROJECT:  
ACCESS TO LAND, WATER, AND NATURAL RESOURCES II

REF: STATE 080214

1) WHILE USAID KENYA RECOGNIZES THE EXTREMELY IMPORTANT ROLE THAT ACCESS TO LAND AND OTHER NATURAL RESOURCES PLAYS IN PROMOTING DEVELOPMENT PROGRAMS, WE DO NOT SEE ANY MAJOR INITIATIVES IN THIS AREA BY THE MISSION IN KENYA. IN PART THIS IS BECAUSE OF THE EXTREME SENSITIVITY OF THE ISSUES INVOLVED AND ALSO BECAUSE OF ON-GOING ACTIVITIES BEING UNDERTAKEN BY THE GOK WITH SOME LIMITED ASSISTANCE BY ANOTHER DONOR.

2) GIVEN THE ABOVE, ABOUT THE ONLY OPPORTUNITY TO UTILIZE SUBJECT PROJECT THAT WE SEE AT THIS TIME WOULD BE FOR SOME VERY SHORT TERM ASSISTANCE TO REVIEW EXISTING INFORMATION AND ON-GOING ACTIVITIES AND COMPILE THIS INFORMATION FOR FUTURE REFERENCE. THIS SITUATION COULD CHANGE OF COURSE AS THE MISSION IS NOW IN THE PROCESS OF REVIEWING ITS AGRICULTURAL SECTOR STRATEGY, BUT STILL UNLIKELY THAT MAJOR EFFORTS WILL BE UNDERTAKEN IN THIS AREA.

3) IN SUMMARY WE BELIEVE PROJECT IS CERTAINLY IMPORTANT FROM A GLOBAL POINT OF VIEW BUT DO NOT SEE DIRECT AND SIGNIFICANT USAGE BY THE MISSION IN THE FORESEABLE FUTURE. CONSTABLE

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FOR STATE, CLIFIA STEELE

SUBJECT: NEW 1000 PROJECT: ACCESS TO LAND  
WATER, AND NATURAL RESOURCES

REF: WASTE 0014

1. REDSO/ESA WELCOMES THE OPPORTUNITY TO COMMENT ON THE PROPOSED ACCESS II PROJECT. ACCESS II OUTLINED A QUESTIONABLE RANGE OF HIGH-POTENTIAL RESEARCH AND IMPLEMENTATION ACTIVITIES BY THE UNIVERSITY OF KENYA LAND TENURE CENTER IN THE EAST AND SOUTHERN AFRICA REGION. IT IS IMPORTANT TO MAINTAIN A GOOD PROFIT FOR THIS UNIQUELY QUALIFIED AND EFFICIENT INSTITUTION. THE MORE SO SINCE LAND ACCESS ISSUES CAN BE EXPECTED TO GROW IN IMPORTANCE DURING THE NEXT DECADE IN CONSEQUENCE OF GROWING POPULATIONS AND INCREASING COMPETITION FOR HIGH-POTENTIAL LAND.

2. RESPONSE TO PARA 14: THE AREAS OF APPLIED AND BASIC RESEARCH ARE OF GREAT INTEREST TO US, SINCE THIS CAN CONTRIBUTE TO THE DESIGN AND IMPLEMENTATION OF PROJECTS AND PROGRAMS. REDSO/ESA DOES NOT GENERALLY UNDERTAKE INITIATION-BUILDING ACTIVITIES. THIS IS THE ROLE OF REDSO/ESA IN THE REGION. NETWORKING AND JOINT-VENTURES ARE ALSO OF GREAT INTEREST WITH REGARD TO THE RESEARCH THEMES. BELIEVE THE LAND MARKET TOPIC IN VARIOUS WAYS WILL PROVE TO BE THE MOST CENTRAL TO OUR INTERESTS. TENURE IN RELATIONSHIP TO RESOURCE MANAGEMENT IS ALSO OF POTENTIAL INTEREST, AS IS THE INSTITUTIONAL DIMENSION OF TENURE ADMINISTRATION AND DISPUTE RESOLUTION.

3. RESPONSE TO PARA 15: THE ACTIVITIES AND RESEARCH THEMES OUTLINED IN REFTEL ARE WELL-SUITED TO ANY AREA OF INTEREST LIKELY TO DEVELOP DURING THE NEXT FEW YEARS.

4. RESPONSE TO PARA 16: OUR PRIORITIES ARE AS FOLLOWS:

- PROJECT ACTIVITIES
- ITEM - - - PRIORITY
- APPLIED RESEARCH - 1
- BASIC RESEARCH - 2
- NETWORKING - 3
- INST. DEV. - 4

- RECEIVED THEMES
- ITEM - - - PRIORITY
- LAND MARKETS - 1
- RESOURCE MANAGEMENT - 2
- INSTITUTIONS - 3

5. RESPONSE TO PARA 16: REDSO/ESA'S INVOLVEMENT WILL BE LIMITED TO SHORT-TERM ARRANGEMENTS AT LOW LEVELS OF FUNDING.

6. REDSO/ESA IS INVOLVED IN A BROAD RANGE OF ANALYSIS, DESIGN, EVALUATION, AND IMPLEMENTATION ACTIVITIES THROUGHOUT EAST AND SOUTHERN AFRICA. THE PROPOSED ACCESS II PROJECT SHOULD PROVIDE USEFUL SUPPORT TO PROJECT AND PROGRAM DEVELOPMENT IN AGRICULTURE, PRIVATE SECTOR DEVELOPMENT, AND URBAN/HOUSING DEVELOPMENT. GRIFFIN

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AIDAC

FOR G. STEELE ST/RD/RRD

E. O. 12356 N/A

SUBJECT: REQUEST FOR USAID INPUT TO NEW ST/RD PROJECT:  
ACCESS TO LAND, WATER, AND NATURAL RESOURCES II

REF: STATE 80214

USAID/LESOTHO

1. AS PREVIOUSLY DISCUSSED IN BRIEF WITH G. STEELE IN WASHINGTON, USAID/LESOTHO WOULD ENVISION UTILIZATION OF SUBJECT PROJECT RESOURCES TO ASSIST GOL TO COME TO GRIPS WITH LAND TENURE ISSUES RELATING TO PROTECTION OF LESSOR/LESSEE RIGHTS UNDER MAJOR NEW GOL POLICY THRUSTS FOR COMMERCIALIZATION OF ACTIVITIES IN THE AGRICULTURE SECTOR.
2. SUCH ASSISTANCE WOULD FOLLOW ON SEVERAL PREVIOUS CONSULTANCIES BY LAND TENURE CENTER PROFESSIONALS IN CONNECTION WITH REVIEW OF LESOTHO LAND LAW WHICH WAS PASSED IN 1979.
3. IN THE NEARER TERM, ANTICIPATE NEED FOR SHORTER TERM SERVICES RELATING TO DESIGN OF NEW PROJECT TO FOLLOW LESOTHO AGRICULTURE PRODUCTION AND INSTITUTIONAL SUPPORT (APIS). NEED WOULD BE FOR ASSISTANCE TO DESIGN COMPONENT OF PROJECT RE AREA PARA 1 ABOVE. POSSIBLE DATES: JANUARY--MARCH, 1990. IN THE LONGER TERM, PERHAPS PROJECT COULD ASSIST WITH SHORT TO MEDIUM TERM WORK IN PROJECT IMPLEMENTATION PHASE.
4. WISH TO ADVIS THAT USAID/LESOTHO BELIEVES SUBJECT PROJECT WOULD BE HIGHLY USEFUL NOT ONLY FOR BILATERAL PROGRAMS BUT ALSO FOR SOUTHERN AFRICA REGIONAL EFFORTS IN NATURAL RESOURCES NOW IN DESIGN. JETER

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E.O. 12356: N/A  
SUBJECT: REQUEST FOR USAID INPUT TO NEW ST/RD  
PROJECT: ACCESS TO LAND WATER AND NATURAL  
RESOURCES II

REF: STATE 80214

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USAID/LIBERIA DOES NOT ANTICIPATE MAKING USE OF  
SUBJECT PROJECT. BISHOP

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AIDAC

FOR ST/RD/RRD: G. STEELE

E.O. 12356 N/A

SUBJECT: ST/RD PROJECT ACCESS II

REF. STATE 90214

1 USAID/MADAGASCAR HAS CAREFULLY REVIEWED ST/RD'S PLAN FOR DEVELOPMENT OF ACCESS II PER REFTEL. THE PROJECT PROPOSES TO DEAL WITH A NUMBER OF ISSUES THAT ARE OF LONG TERM INTEREST TO MADAGASCAR WITHIN THE CONTEXT OF THE COUNTRY'S ENVIRONMENTAL ACTION PLAN AND ITS NATURAL RESOURCE MANAGEMENT PROGRAM.

2 SPECIFICALLY, THE ISSUES CONCERNING LAND TENURE AND NATURAL RESOURCE MANAGEMENT HAVE DIRECT RELEVANCE TO THE COUNTRY'S ENVIRONMENTAL ACTION PLAN AND TO ACTIVITIES UNDERTAKEN IN THE CONTEXT OF THE IBRD-SUPPORTED ENVIRONMENT I PROJECT. THE IMPACT OF LAND TENURE AND RESOURCE MANAGEMENT ON SUSTAINABLE AGRICULTURAL YIELDS IS A MATTER OF LONG TERM INTEREST AND WILL CALL FOR A MODERATE LEVEL OF ACTIVITY.

3 PRESENTLY USAID/MADAGASCAR IS INVOLVED IN CONSERVATION AND DEVELOPMENT PROJECTS AT THREE SITES: MASOALA PENINSULA, BEZA MAHAFALY AND AMBER MOUNTAIN.

4 RE REFTEL, PARA 3, USAID/MADAGASCAR WOULD APPRECIATE RECEIVING A COPY OF ANY REPORT OR STUDY UNDERTAKEN IN THE CONTEXT OF ACCESS I ANALYZING QUOTE THE IMPACT OF RESOURCE TENURE POLICIES IN AFRICA ON FARMER INVESTMENT IN SUSTAINABLE NATURAL RESOURCE MANAGEMENT END QUOTE. HULBERT

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AIDAC

FOR GLORIA STEELE, ST/RD/RRD

E. O. 12386: N/A  
SUBJECT: REQUEST FOR USAID INPUT TO NEW ST/RD PROJECT:  
ACCESS TO LAND, WATER AND NATURAL RESOURCES II.

REF: STATE 000214

1. USAID/MALI HAS DEFINITE PLANS FOR BUY-IN TO SUBJECT, TO SUPPORT LAND TENURE COMPONENT OF VILLAGE REFORESTATION PROJECT. RESEARCH THEME OF INTEREST AS PRESENTED IN REFTEL IS 6 (B) WITH ACTIVITIES IN 5 (A), (B) AND POSSIBLY (C). TO DATE LTC HAS PROVIDED INITIAL DESIGN INFO IN AN UNSOLICITED PROPOSAL.
2. MISSION INTEREST IS FOR LONG TERM (2 YRS) AND LEVEL OF ACTIVITY IS HIGH.
3. MISSION HOPES THAT START DATE FOR LAND TENURE COMPONENT STUDY CAN BE C/A JULY 1, 1989  
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AIDAC

AID/W FOR ST/RD/RRD, GLORIA STEELE

E.O 12356: N/A

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SUBJECT: REQUEST FOR USAID INPUT TO NEW ST/RD PROJECT:  
ACCESS TO LAND, WATER, AND NATURAL RESOURCES II

REF: STATE 080214

MISSION DOES NOT ANTICIPATE PARTICIPATION IN SUBJECT  
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AIDAC

AID/W FOR ST/RD/RPD/GLORIA STEELE

E.O. 12356 N.Y.A.

SUBJECT: REQUEST FOR USAID INPUT TO NEW ST/RD PROJECT  
ACCESS TO LAND, WATER, AND NATURAL RESOURCES II

REF STATE 80214

WHILE MISSION BELIEVES ACCESS II WILL BE A HIGHLY USEFUL  
SET OF ACTIVITIES AND SEVERAL AREAS ARE OF INTEREST TO US  
WE CANNOT AT THIS TIME PROJECT THE LEVEL OF MISSION  
PARTICIPATION.

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FOR ST/RD/RRD, G. STEELE

E.O. 12356: N/A  
SUBJECT: REQUEST FOR USAID INPUT TO NEW ST/RD PROJECT;  
ACCESS II

REF: STATE 080214

1. PER REFTEL, THE FOLLOWING IS PRESENTED IN RESPONSE TO  
PARAS 5 AND 6:

- PARA 5. PROJECT PURPOSE IS WELL DEFINED AND ADDRESSES  
AN IMPORTANT ISSUE IN THE SAHEL.
- PARA 6. (A) - NO COMMENT.
- (B) - SENEGAL PLACES A VERY HIGH PRIORITY ON THE  
LAND TENURE, SUSTAINABLE NATURAL RESOURCE  
MANAGEMENT ISSUE.
- (C) - NO COMMENT.

2. USAID/DAKAR HAS BEEN ACTIVELY SPEKING A BETTER  
UNDERSTANDING OF TRADITIONAL AND NATIONAL LAND TENURE  
MECHANISMS TWO STUDIES TO EXPLORE TRADITIONAL SYSTEMS  
WERE UNDERTAKEN BY THE LAND TENURE CENTER, UNIV. OF  
WISCONSIN. ANOTHER IS CURRENTLY UNDERWAY WHICH LINKS  
TRADITIONAL AGRICULTURAL LAND USE, RECESSIONAL  
AGRICULTURE AND THE NEW QUOTE APRES-BARRAGE UNQUOTE LAND  
USE POLICIES THIS STUDY IS BEING IMPLEMENTED BY  
INSTITUTE FOR DEVELOPMENT ANTHROPOLOGY. MOOSE

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FOR ST RD ATTENTION: GLORIA STEELE

E O 12355 N/A
SUBJECT: REQUEST FOR USAID INPUT TO NEW STRD PROJECT
ACCESS TO LAND, WATER AND NATURAL RESOURCES II

REF: STATE 00214

1. USAID/SOMALIA HAS BEEN REQUESTED TO PROVIDE CONSULTANT SERVICES IN LAND TENURE POLICY TO ADVISE GDR ON CHANGES IN LAND LAW '83 AND RELATED LEGISLATION. PROPOSED POLICY CHANGES ARE CONDITIONS TO IMF AND IBRD PROGRAMS. INITIAL POLICY CHANGES FOR IRRIGATED AREAS HAVE TO BE IDENTIFIED BY JUNE 1989. AN ACTION PLAN FOR THEIR IMPLEMENTATION NEEDS TO BE PREPARED BY DECEMBER 1989. NEW LEGISLATION IS EXPECTED TO BE PROMULGATED BY JUNE 1990 AND A PROGRAM FOR MONITORING PROGRESS, ASSESSING IMPACT OF CHANGES AND FORMULATION OF NEW POLICIES INCLUDING RAINFED AREAS AND THE RANGELANDS MAY FOLLOW AND MAY BE FUNDED BY IBRD AND/OR OTHER DONORS. CONSULTANCY WILL THUS GO FURTHER IN LAND TENURE POLICY THAN REGISTRATION WORK NOW BEING DONE IN SOMALIA BY LAND TENURE CENTER, LTD. A BUY-IN INTO ACCESS FOR MEDIUM TO LONG SERVICES MAY BE POSSIBLE DEPENDING ON THE SPECIFIC TASKS THAT NEED TO BE DONE TO DEVELOP AN ACTION PLAN BY DECEMBER 1989 AND DESIGN A LONGER TERM PROGRAM TO ASSIST GDR IN POLICY IMPLEMENTATION.

2. WE HAVE IMMEDIATE NEED FOR 5-6 MONTH TERM CONSULTANCY TO HELP IDENTIFY AND DESIGN POLICY CHANGES WHICH CAN BE MOST FEASIBLY IMPLEMENTED IN THE NEAR TERM AND TO PREPARE A GO FOR A LONGER TERM CONSULTANCY TO WORK WITH THE GDR ON THE ACTION PLAN AND IF NEEDED THE DESIGN OF A LAND POLICY PROGRAM INCLUDING ADMINISTRATION, POLICY FORMULATION AND IMPLEMENTATION. ONE CANDIDATE WHO HAS CONSIDERABLE EXPERTISE IN LAND POLICY AREA IS MICHAEL ROTH. HE HAS BEEN A FREQUENT VISITOR TO SOMALIA AND HAS EXTENSIVELY ANALYSED THE LAND LAW AND ITS LEGISLATION. WOULD APPRECIATE YOUR INQUIRIES INTO EARLIEST AVAILABILITY OF MICHAEL ROTH FOR TWO-THREE WEEK TRY. IF ROTH NOT AVAILABLE WOULD APPRECIATE YOUR RECOMMENDATIONS FOR ALTERNATIVE CANDIDATE WITH EQUALLY STRONG BACKGROUND IN THE AREAS OF LAND POLICY AND LEGISLATION. CRIGLER

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AIDAC

FOR: GLORIA STEELE, ST/RO/RPD

E.O. 12356 W/A  
SUBJECT: SUDAN - REQUEST FOR USAID INPUT TO NEW ST/RO  
PROJECT ACCESS TO LAND, WATER AND NATURAL RESOURCES

REF: STATE 880214

1. MISSION APPRECIATES ST/RO/RPD'S APPROACH IN OBTAINING USAID INPUT AND AREAS OF INTEREST IN THE ACCESS TO LAND, WATER AND NATURAL RESOURCES (ACCESS III) PROJECT.

2. AS REQUESTED PARA 8 OF REFTEL, MISSION RESPONSE FOLLOWS:

(A) AREAS OF POTENTIAL INTEREST. OF THE THREE ACTIVITIES LISTED IN PARA 5 OF REFTEL, MISSION WOULD LIKE TO SUGGEST A COMBINED APPROACH INCLUDING ACTIVITIES UNDER 5 (A) DEALING WITH APPLIED RESEARCH, AND THE ACTIVITIES UNDER 5 (C) DEALING WITH INSTITUTION STRENGTHENING INITIATIVES TO SUPPORT HOST COUNTRY INSTITUTIONS.

--OF THE THREE RESEARCH THEMES LISTED IN PARA 6 OF REFTEL, THE MISSIONS' PRIMARY FOCUS WOULD BE ON 6 (B) - TENURE AND NATURAL RESOURCES MANAGEMENT, FOLLOWED BY 6 (C) - INSTITUTIONAL AND STRUCTURAL DIMENSIONS OF TENURE CHANGE.

(B) AREAS OF INTEREST NOT ON LIST. THE MISSION SUGGESTS INVESTIGATIONS BE CONSIDERED IN SPECIFIC AREAS OF NATURAL RESOURCE TENURE IN THE SUDAN WHICH MAY ALSO BE OF SIGNIFICANCE IN OTHER COUNTRIES IN AFRICA. THIS WOULD INCLUDE TENURE ISSUES IN MECHANIZED FARMING, WATER HARVESTING AND RANGELANDS. THE EXISTING LAWS, REGULATIONS AND/OR THE CUSTOMARY PRACTICES PERTAINING TO THESE THREE TYPES OF LAND USE IN THE SUDAN ARE RATHER VAGUE, SUBJECT TO GROSS MIS-INTERPRETATION, AND IN MANY SITUATIONS HAVE BEEN THE CAUSE OF MAJOR CONFLICTS. THEY ALSO DO NOT ENCOURAGE APPROPRIATE LAND USE AND INVESTMENTS IN LAND IMPROVEMENTS. INVESTIGATIONS THAT WOULD ANALYZE THE TENURE ISSUES OF THESE LAND USES COULD MAKE A SIGNIFICANT CONTRIBUTION TO THE DEVELOPMENT OF APPROPRIATE RESOURCE USE POLICIES AND THEREAFTER LEGISLATION TO IMPLEMENT THESE POLICIES. BRIEF DESCRIPTIONS OF THESE INVESTIGATIONS FOLLOW:

- (i). MECHANIZED FARMING: THE OBJECTIVE WOULD BE TO INVESTIGATE THE LINKAGES BETWEEN SECURITY OF TENURE AND SUSTAINABILITY OF AGRICULTURAL PRODUCTION.
- THE PURPOSE DEVELOPMENT OF A LAND

- TENURE STRUCTURE WHICH WILL ENCOURAGE APPROPRIATE RESOURCE USE THROUGH INTENSIFICATION OF PRODUCTION RATHER THAN ADOPTION OF A NONSUSTAINABLE SYSTEM OF HORIZONTAL EXPANSION AND LAND MINING.

- (ii). WATER HARVESTING: THE OBJECTIVE WOULD BE TO INVESTIGATE THE NATURE AND EXTENT OF EXISTING LAWS, REGULATIONS AND CUSTOMARY PRACTICES DETERMINING USAGE RIGHTS IN AREAS IMPROVED THROUGH EMPLOYMENT OF WATER HARVESTING TECHNIQUES. AND, THROUGH A SERIES OF ASSESSMENTS AND EVALUATIONS, HELP DEVELOP POLICY GUIDELINES TO ENCOURAGE APPROPRIATE RESOURCE USE AND ELIMINATE CONFLICTS.

- (iii). RANGELANDS: THE OBJECTIVE WOULD BE TO INVESTIGATE THE NATURE AND EXTENT OF EXISTING LAWS, REGULATIONS AND CUSTOMARY PRACTICES AS THESE AFFECT THE UTILIZATION AND MANAGEMENT OF RANGELANDS BY THE THREE MAJOR GROUPS OF USERS, NAMELY THE SEDENTARY, THE NOMADIC AND THE TRANSUMANT. AND, AS IN THE CASE OF THE TWO PREVIOUS SUBJECTS, HELP DEVELOP POLICIES THAT WOULD ENSURE REHABILITATION AND DEVELOPMENT OF RANGE RESOURCES FOR THE BENEFIT OF THE COMMUNITIES CONCERNED.

(C): PRIORITIZE AREAS OF INTEREST FOR THE PROJECT ACTIVITIES SUGGESTED, WE WOULD RECOMMEND COMBINING ACTIVITIES A AND C, APPLIED RESEARCH AND INSTITUTION STRENGTHENING

(D): POTENTIAL LEVEL OF INTEREST SHORT TERM, UP TO SIX MONTHS.

3. AS S AND T MUST BE AWARE, CONSIDERABLE WORK HAS BEEN DONE ON LAND TENURE ISSUES IN THE SUDAN, MOST RECENTLY AS PART OF THE DESIGN OF THE WORLD BANK'S FOREST CONSERVATION PROJECT. THERE IS, HOWEVER, VERY LITTLE KNOWN ABOUT THE ASPECTS OF LAND TENURE INDICATED ABOVE. IMPLEMENTATION OF THE LATEST MISSION FORESTRY/NATURAL RESOURCE MANAGEMENT INITIATIVE, THE SUDAN REFORESTATION AND ANTI-DESERTIFICATION PROJECT WAS JUST BEGUN. IT IS EXPECTED THAT AS THE PROJECT IMPLEMENTATION PROGRESSES, MORE INFORMATION WILL BECOME AVAILABLE ABOUT THE PRIORITY AREAS OF INTEREST AND TENURE ISSUES AS THEY AFFECT NATURAL RESOURCE MANAGEMENT IN THE OVERALL CONTEXT OF INCREASING SUSTAINABLE AGRICULTURAL PRODUCTION. AS THE ACCESS II PROJECT BECOMES OPERATIONAL, THE MISSION WOULD EXPECT THAT ESTABLISHED COMMUNICATION LINKS WOULD ENSURE TRANSFER OF THIS MISSION GENERATED INFORMATION TO THE IMPLEMENTORS OF THE PROJECT. ANDERSON

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UNCLAS HARARE 01832

ADM AID

FOR ST/RO, GLORIA STEELE

E.O. 12356: N/A  
SUBJECT: NEW ST/RO PROJECT. ACCESS TO LAND, WATER AND  
NATURAL RESOURCES II

REF: STATE 080214

1. USAID/ZIMBABWE IS CURRENTLY AT PID PREPARATION STAGE IN THE DESIGN OF A NEW SOUTHERN AFRICA REGIONAL PROGRAM PROJECT IN NATURAL RESOURCES MANAGEMENT. THE NRM PROJECT WILL BE FOCUSED ON WILDLIFE CONSERVATION AND UTILIZATION AND ON MANAGEMENT OF WILDLIFE AT THE COMMUNITY LEVEL. IT WILL INCLUDE COMPONENTS IN RESEARCH AND PLANNING, CONSERVATION OF THE RESOURCE BASE, AND REGIONAL COMMUNICATION AND INFORMATION EXCHANGE. THE PROJECT WILL OPERATE PRIMARILY IN A FEW SMALL COMMUNITY AREAS IN BOTSWANA, ZIMBABWE AND ZAMBIA, AND AT THIS TIME IS EXPECTED TO BE BUDGETED AT APPROXIMATELY USDOLS 20 MILLION OVER SEVEN YEARS. NGOS (PVOS) ARE EXPECTED TO PLAY LEADING ROLES IN IMPLEMENTATION.

2. IT IS POSSIBLE THAT USAID/ZIMBABWE WILL HAVE NEED TO DRAW ON THE RESOURCES OF ACCESS II THROUGH BUY-INS, BUT IT IS STILL TOO EARLY TO DETERMINE WHETHER SUCH POTENTIAL MIGHT BE AT THE DESIGN OR IMPLEMENTATION STAGES OR BOTH. EVEN INDICATIVE FIGURES FOR POTENTIAL BUY-INS ARE IMPOSSIBLE AT THIS STAGE, THOUGH OUR FEELING IS THAT IF THEY OCCUR THEY WOULD BE SMALL AND FEW, FOCUSED ON PARTICULAR IDENTIFIED PROBLEMS/ISSUES.

3. SUBJECT AREAS (PER PARAS 5 AND 6 OF REPTEL) OF POSSIBLY GREATEST INTEREST TO THE PROJECT ARE PRIORITIZED AS FOLLOWS: 6.B - TENURE AND NATURAL RESOURCE MANAGEMENT, 6.C - INSTITUTIONAL AND STRUCTURAL DIMENSIONS OF TENURE CHANGE; AND 6.A - APPLIED RESEARCH. RAWLINGS

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UNCLAS BRIDGETOWN 02571

AIDAC

PASS TO GLORIA STEELE, ST/RD/RRD

E.O. 12350: N/A

TAGS: NONE

SUBJECT: RDO/C INPUT TO NEW ST/RD ACCESS TO LAND,  
WATER AND NATURAL RESOURCES II PROJECT

REF: STATE 080214

1. RDO/C MAY BE INTERESTED IN REPLICATING WORK DONE IN  
ST LUCIA UNDER ACCESS I TO OTHER CARIBBEAN ISLANDS,  
GRENADA DOMINICA ST VINCENT AND THE GRENADINES AND  
POSSIBLY THE LEEWARDS.

2. PROPOSED WORK IS TO ASSESS: (1) PROBLEMS AND  
CONSTRAINTS OF PRESENT DEEDS REGISTRATION SYSTEM IN  
TERMS OF COVERAGE TRANSACTION COSTS, UTILITY,  
EFFECTS OF PRESENT SYSTEM ON PRIVATE USERS AND OTHER  
INSTITUTIONAL CONSIDERATIONS, (2) LOW COST OPTIONS  
FOR IMPROVING PRESENT SYSTEM, AND (3) MEANS OF  
ACHIEVING POLICY REFORMS WITH RESPECT TO DIVESTITURE  
OF GOVERNMENT-OWNED AGRICULTURAL LANDS THESE  
ACTIVITIES MAY BE CARRIED OUT IN CONJUNCTION WITH A  
LAND TENURE POLICY REFORM PROJECT PROPOSED FOR  
DEVELOPMENT DURING THE FY90-94 RDSS PERIOD

3. NO COMMITMENTS CAN BE GIVEN AT THIS TIME  
HOWEVER POTENTIAL LEVEL OF INTEREST IS LONG-TERM  
(OVER ONE YEAR), AND POTENTIAL LEVEL OF ACTIVITY IS  
HIGH (OVER DOLS 200,000). CLARK

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ADM AID

FOR ST/RD/RRD. GLORIA STEELE

E. O. 12356: NA

TAGS: NA

SUBJECT: ST/RD PROJECT: ACCESS TO LAND, WATER, AND  
NATURAL RESOURCES II

REF: STATE 000214

FOLLOWING RESPONSES ARE KEYED TO ITEMS REQUESTED IN  
PARA (7) REFTEL.

(A) AREAS OF POTENTIAL INTEREST. (1) LAND MARKETS  
AND TRANSACTIONS (2) TENURE AND NATURAL RESOURCE  
MANAGEMENT.

(B) AREA OF INTEREST NOT LISTED: PLAN, DESIGN AND  
DEVELOPMENT OF HARDWARE/SOFTWARE FOR AUTOMATED  
LAND-TITLING SYSTEMS

(C & D) PRIORITIZED AREAS OF INTEREST (1)  
AUTOMATED LAND-TITLING SYSTEM (MODERATE; SHORT- TO  
MEDIUM-TERM), (2) TENURE AND NATURAL RESOURCE  
MANAGEMENT (MODERATE TO HIGH; MEDIUM- TO LONG-TERM),  
AND (3) LAND MARKETS AND TRANSACTIONS (LOW;  
SHORT-TERM).

(E) PRESENT RELEVANT USAID ACTIVITIES USAID  
ANTICIPATES IMPLEMENTING PROJECT ACTIVITIES TO  
IMPROVE LAND TITLING AND LAND RECORDS TO FACILITATE A  
QUICK AND ACCURATE WAY TO IDENTIFY LAND AVAILABILITY  
AND USE REQUIREMENTS AT THIS STAGE OF PROJECT  
DEVELOPMENT APPEAR TO BE CENTRALIZATION OF LAND  
RECORDS AND DEVELOPMENT OF A SYSTEM TO IDENTIFY,  
RECORD, AND AUTOMATE THE LAND RECORDS SYSTEM EXISTING  
IN BELIZE. RICH

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AIDAC

FOR GLORIA STEELE, ST/RD/RDD

E.O. 12356 N/A  
SUBJECT: REQUEST FOR USAID INPUT TO NEW ST/RD  
PROJECT: ACCESS TO LAND, WATER, AND  
NATURAL RESOURCES II

REF: STATE 080214

1. USAID/BOLIVIA SUPPORTS THE CONCLUSION THAT WIDER ACCESS AND UNAMBIGUOUS RIGHTS TO LAND AND OTHER NATURAL RESOURCES IS KEY TO SUSTAINED DEVELOPMENT AND A MORE RATIONAL USE OF THESE SCARCE RESOURCES. THOSE OF US WHO HAVE BEEN INVOLVED IN THE DESIGN AND IMPLEMENTATION OF PROJECTS WHICH HAVE THE ABOVE OBJECTIVES CAN ATTEST TO A LONG LIST OF DIFFICULTIES ENCOUNTERED. MANY OF THESE DIFFICULTIES OWE THEIR GENESIS TO AN INCOMPLETE OR ERRONEOUS UNDERSTANDING OF THE LAWS, ADMINISTRATIVE SYSTEMS AND CULTURAL INFLUENCES PERTAINING TO LAND TENURE AND WATER AND OTHER NATURAL RESOURCE USE, IN A PARTICULAR COUNTRY.

2. THE MISSION BELIEVES THAT THE RESEARCH EFFORT WHICH THE ACCESS II PROJECT, THROUGH THE LTC, CAN BRING TO BEAR IN EXPANDING OUR KNOWLEDGE ON A COUNTRY-SPECIFIC BASIS IS NECESSARY. THE ACTIVITIES UNDER PARAGRAPH 5 (A), APPLIED RESEARCH, AND 6 (A), LAND MARKETS AND TRANSACTIONS WOULD HAVE PARTICULAR RELEVANCE TO BOLIVIA.

3. UNFORTUNATELY, CURRENT OYB PROJECTIONS WILL SEVERELY LIMIT ANY POTENTIAL USAID/BOLIVIA BUY-IN. HOWEVER, THE MISSION WILL SERIOUSLY CONSIDER UNDERTAKING AN ANALYSIS OF THE CONSTRAINTS TO AND OPPORTUNITIES FOR IMPROVED ACCESS TO LAND AND OTHER NATURAL RESOURCES WHEN FUNDING PERMITS. GREENLEE

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AIDAC

E. O. 12356: N/A  
SUBJECT: ST/RD PROPOSAL PROJECT-ACCESS II

REF: STATE 80214

1. USAID APPRECIATES OPPORTUNITY TO COMMENT ON THE ACCESS II PROPOSED PROJECT.
2. MISSION TENTATIVELY PLANS THE FOLLOWING BUY-INS:

FYS	PURPOSE	LEVEL ACTIVITY
89	REVIEW OF EXISTING TITLING LAWS AND POLICIES-NORTHERN ZONE CONSOLIDATION PROJECT	20,000
89/90	DEVELOP LAND TRANSFER MECHANISM FOR NEWLY CREATED AGRARIAN TRUST	100,000
90	EFFECTS OF TENURE ON WATER-SHED MANAGEMENT. HINTON	30,000

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AIDAC

FOR ST/RD/RRD

E.O. 12356: N/A

SUBJECT: REQUEST FOR USAID INPUT TO NEW ST/RD PROJECT  
ACCESS TO LAND, WATER, AND NATURAL RESOURCES II

REF: STATE 08214/01

- (1) USAID/ECUADOR PRESENTLY HAS A BUY-IN TO THE ACCESS II PROJECT FOR THE LONG-TERM EVALUATION OF THE LAND TITLING PROJECT (518-0059) AND FOR BACKGROUND RESEARCH ON LAND MARKETS. PART OF THE BASE-LINE SURVEY FOR EVALUATION HAS BEEN COMPLETED AND THE RESULTS OF THE FIRST PART OF THE LAND MARKETS RESEARCH WILL BE COMPLETED IN AUGUST 1989. LTC PROVIDED THREE POST GRADUATE STUDENTS TO CONDUCT RESEARCH AS PART OF THEIR THESIS PROGRAMS. CONDUCTED A WORKSHOP WITH PARTICIPANTS FROM OTHER COUNTRIES AND IS COLLABORATING WITH LOCAL RESEARCHERS ON THIS ACTIVITY.
- (2) THE LAND TITLING PROJECT WAS SUSPENDED IN EARLY 1988 DUE TO IMPLEMENTATION PROBLEMS UNRELATED TO LTC'S ACTIVITIES. WE ARE PRESENTLY WORKING WITH ECUADOR'S VICE-PRESIDENT'S OFFICE ON THE REDESIGN OF THE PROJECT STARTING WITH A ONE-YEAR PILOT STAGE TO BE INITIATED IN APRIL OR MAY. VIRGINIA LAMBERT AND RANDY STRINGER OF LTC HAVE PROVIDED EXCELLENT INPUTS TO THIS REDESIGN EFFORT. THE MISSION WILL BE REQUESTING A BUY-IN TO THE ACCESS II PROJECT FOR A SHORT-TERM LTC EVALUATION OF THIS PILOT EFFORT.
- (3) USAID/ECUADOR'S PRIMARY AREA OF INTEREST IN THIS ST/RD PROJECT IS THE APPLIED RESEARCH THEME CONCERNING LAND MARKETS AND LAND TRANSACTIONS. HOWEVER, THE MISSION WILL EVALUATE THE RESULTS OF THE ON-GOING CASE STUDIES IN THREE CANTONS BEFORE DECIDING WHETHER TO CONTINUE WITH A MODERATE MIDDLE TO LONG-TERM BUY-IN TO ACCESS II FOR THIS PURPOSE. HOLWILL

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AIDAC

FOR GLORIA STEELE AFR/TR/ARD/PA

E.O. 12356 N/A  
SUBJECT: REQUEST FOR USAID INPUT TO NEW ST/RO PROJECT:  
ACCESS TO LAND, WATER, AND NATURAL RESOURCES II

REF: STATE CABLE 000214/01 DATED MARCH 15, 1985

1. THIS CABLE IS IN RESPONSE TO REQUEST FOR MISSION  
FEEDBACK ON THE PROPOSED PROJECT ACCESS II TO BE CARRIED  
OUT WITH THE UNIVERSITY OF WISCONSIN LAND TENURE  
CENTER, IN RELATION TO LAND RESOURCES OUTLINED BELOW  
ARE THE AREAS OF RESEARCH THAT WOULD BE APPROPRIATE FOR  
THE LTC TO FOCUS UPON IN THE FOLLOW-ON RESEARCH WITHIN  
THE GUATEMALAN CONTEXT

2. THE SUGGESTED AREAS OF RESEARCH COMPLEMENT THE  
MISSION'S ON-GOING INITIATIVES ADDRESSING THE LAND  
TENURE SITUATION AS SUCH, THERE IS A DIRECT TIE-IN  
WITH USAID SUPPORTED GUATEMALAN LAND MARKET ACTIVITIES.  
THESE AREAS REPRESENT GENERAL ISSUES AND SPECIFIC  
FACTORS THAT CONTRIBUTE TO THE LAND TENURE PROBLEM.

3. THE TOPICS ARE DIVIDED INTO TWO CATEGORIES, POLICY  
ISSUES AND TECHNICAL SOLUTIONS. THE FORMER REPRESENT  
EXISTING IMPEDIMENTS TO ACCESS TO LAND RESOURCES THAT  
WOULD REQUIRE POLICY DIALOGUE INITIATIVES IN ADDITION  
TO RESEARCH, AS THEY IMPLY LEGISLATIVE AND REGULATORY  
REFORM. THE LATTER ARE ALSO RELATED TO THE LEGISLATIVE  
AND REGULATORY IMPEDIMENTS, HOWEVER, THEY REPRESENT  
TECHNICAL SOLUTIONS THAT COULD BE ADAPTED BY THE  
INSTITUTIONS INVOLVED UNDER THEIR OWN AUTHORITY.

4. FINANCE AND CREDIT POLICY ISSUES - BANKING  
REGULATIONS PREVENT SMALL FARMERS FROM OBTAINING LAND  
PURCHASE AND PRODUCTION CREDIT IN THE FOLLOWING WAYS: A)  
COLLATERAL REQUIREMENTS FOR MEDIUM AND LONG TERM LOANS,  
B) MAXIMUM TENORS ON LOANS THAT ARE NOT CONSISTENT WITH  
PURPOSE OF LOANS, C) PERIODICITY OF PRINCIPAL AND  
INTEREST PAYMENTS, D) RESTRICTIONS ON INVESTMENTS  
PREVENT BANKS FROM ADEQUATELY MANAGING LIQUIDITY, E)  
PROHIBITION AGAINST INTER-BANK DEPOSIT AND LOANS REQUIRE  
BANKS TO REPLY TO CENTRAL BANK RE-DISCOUNT FACILITY TO  
COVER LIQUIDITY PROBLEMS, F) THE LACK OF DISTINCTIONS  
BETWEEN REGULAR PASSBOOK SAVINGS AND FIXED TIME DEPOSITS  
IN THE CALCULATION OF RESERVE REQUIREMENTS PREVENTS THE  
BANKS FROM CAPTURING TERM DEPOSIT TO FUND LONG TERM  
LOANS, G) LONG TERM LOANS REQUIRE REAL ESTATE MORTGAGES  
AND RENTERS ARE EFFECTIVELY PREVENTED FROM OBTAINING  
CAPITAL IMPROVEMENT AND PRODUCTION LOANS ON LEASED LAND,  
H) ABSENCE OF A DEFICIENCY RULING GIVES THE BANKS  
RECOURSE ONLY TO THE MORTGAGED ASSET IN THE EVENT OF  
DEFAULT, THUS FORCING BANKS TO REDUCE LOAN TO COLLATERAL  
RATIO

GOVERNMENT POLICIES LINEWISE PREVENT SMALL FARMERS FROM  
OBTAINING LAND PURCHASE AND PRODUCTION LOANS; AND  
INHIBIT ACCESS TO LAND RESOURCES IN THE FOLLOWING: A)  
CURRENT MONEY SUPPLY RESTRICTIONS, B) CENTRAL GOVERNMENT  
COMPETES DIRECTLY FOR BANK DEPOSITS, C) FISCAL STAMP TAX  
IMPOSED ON ALL COMMERCIAL TRANSACTIONS INCREASES COST  
FOR BORROWERS, EXCEPTIONS SHOULD BE MADE FOR  
DISADVANTAGED GROUPS OR SECTORS, D) ABSENCE OF FISCAL  
INCENTIVE PROGRAM FOR FINANCIAL INSTITUTIONS THAT LEAD  
TO DISADVANTAGED GROUPS OR SECTORS.

5. GENERAL PROPERTY REGISTRY/CADASTER - THE ABSENCE OF  
COORDINATION BETWEEN THE REGISTRY AND THE CADASTER  
RESULTS IN THE INABILITY TO DEVELOP AN ACCURATE  
INVENTORY OF LAND AND ITS USES IN THE FOLLOWING WAYS: A)  
ABSENCE OF A READILY ACCESSIBLE AND ACCURATE DATABASE  
HINDERS THE IDENTIFICATION OF EITHER IDLE STATE OR  
PRIVATE LAND, B) DISCREPANCIES ARE PRESUMED TO EXIST IN  
THE ACTUAL LAND AREAS AND THE REGISTERED AREAS, C)  
PROPERTY TAXES ARE UNDER-COLLECTED OR NOT COLLECTED AT  
ALL, D) IDLE LANDS REMAIN OUT OF PRODUCTION AND IDLE  
LAND TAXES SYSTEM SERVES AS AN INCENTIVE TO MAINTAIN  
IDLE LAND AND A DISINCENTIVE TO INVESTMENTS IN FARM  
IMPROVEMENTS, E) INCONSISTENCIES BETWEEN THE REGISTRY AND  
CADASTER REQUIREMENTS, E.G. ALL TITLE TRANSFERS SHOULD  
BE INSCRIBED IN THE PROPERTY REGISTRY, BUT NOT ALL  
PROPERTIES NEED BE REGISTERED WITH THE CADASTER'S OFFICE.

6. TECHNICAL SOLUTIONS - BANKING SYSTEM. A POSSIBLE

ACCESS TO LAND, WATER, AND NATURAL RESOURCES II

CHANGE IN THE FOCUS OF THE TRADITIONAL FINANCIAL  
INSTITUTIONS COULD ADDRESS THE FOLLOWING SHORT-COMINGS:  
A) URBAN BASED INFRASTRUCTURE LIMITS SERVICE TO THE  
RURAL AREAS, B) CONSERVATIVE ASSET BASED LENDING LIMITS  
CREDIT TO THOSE WHO HAVE ASSETS THAT CAN BE PLEDGED, C)  
LABOR INTENSIVE OPERATION DICTATES THAT IN TIMES OF  
LIMITED LIQUIDITY, LENDING IS FOCUSED ON LOW COST RISK  
TRANSACTIONS AND BORROWERS, D) ACTIVE USE OF SECURITIES  
INVESTMENT PORTFOLIO AND CENTRAL BANK RE-DISCOUNT  
FACILITY, RATHER THAN TOTAL DEPENDENCE UPON DEPOSIT  
MONEY, COULD ALLOW BANKS TO MANAGE LIQUIDITY AND ATTEND  
TO THE TERM CREDIT MARKET.

TECHNICAL SOLUTIONS-GENERAL PROPERTY REGISTRY HINDERS  
LAND MARKET ACTIVITY THROUGH DELAYS IN THE TITLE SEARCH  
AND REGISTRATION PROCESS BECAUSE OF THE FOLLOWING: A)  
INFRASTRUCTURE LIMITATION OF THE REGISTRY OFFICES, B)  
ANTIQUE MANUAL OPERATING PROCEDURES, C) MANUAL SYSTEM  
RESULTS IN RESTRICTED PHYSICAL ACCESS, D) PRIORITY OF  
THE WORK SCHEDULE IS DICTATED BY THE COMMISSION BASED  
FEES, E) INACCURACY OF THE MANUAL REGISTRATION SYSTEM IS  
IN QUESTION, F) THE ABSENCE OF A LINKAGE BETWEEN THE  
REGISTRY AND THE CADASTER PREVENTS VERIFICATION OF  
PROPERTY OWNERSHIP, PROPERTY SIZE, PROPERTY LOCATION AND  
THE EXISTENCE OF EXISTING LIENS AND ENCUMBRANCES.

7. BASED UPON THE FOREGOING, THE FOLLOWING TABLE IS THE  
PRIORITIZATION OF THE AREAS OF INTEREST

AREA OF INTEREST	LEVEL OF INTEREST	LEVEL OF ACTIVITY
POLICY ISSUES		
GOVERNMENT REGULATIONS	H	L
BANKING REGULATIONS	H	L
GENERAL PROPERTY REGISTRY	S	H

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TECHNICAL SOLUTIONS		
BANKING SYSTEM	L	H
GENERAL PROPERTY	S	H
REGISTRY, MICHEL		

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INFO LADR-03 LACE-01 EAST-01 GC-01 GCLA-01 ES-01 TDP-06  
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TO SECSTATE WASHDC 1451

UNCLAS GUATEMALA 05650

AIDAC

ROCAP

ST/RC G. STEELE

E.O. 12356: N/A  
SUBJECT: ST/RC PROJECT: ACCESS TO LAND, WATER AND  
NATURAL RESOURCES II

REF: STATE 08021 4

1. ENVIRONMENTAL AND NATURAL RESOURCES STRATEGY FOR  
CENTRAL AMERICA IDENTIFIED SEVERAL TENURE RELATED  
ISSUES CONTRIBUTING TO DETERIORATION OF NATURAL  
RESOURCES AND LOSS OF BIOLOGICAL DIVERSITY. ROCAP IS  
PREPARING PP TO INITIATE EXECUTION OF STRATEGY.  
SUBJECT ST PROJECT COULD PROVIDE FUTURE ASSISTANCE TO  
FURTHER EXPLORE TENURE RELATED ISSUES.

2. EXAMPLES OF POSSIBLE TOPICS INCLUDE  
(A) TENURE AS A FACTOR IN EXPANSION OF LIVESTOCK  
PASTURE IN FORESTED AREAS.  
(B) RIGHTS OF EXISTING INHABITANTS IN NEWLY DECLARED  
NATIONAL PARKS AND BIOLOGICAL RESERVES.  
(C) DE FACTO AND DE JURE LAND RIGHTS OF INDIGENOUS  
POPULATIONS AND EFFECT ON NATURAL RESOURCE MANAGEMENT.

3. ROCAP ENCOURAGES CONTACT BETWEEN LAND TENURE CENTER  
AND THE TROPICAL AGRICULTURAL RESEARCH CENTER (CATIE)  
IN TURRIALBA COSTA RICA. CATIE HAS DEVELOPED  
EXTENSIVE NETWORK WITH CENTRAL AMERICAN UNIVERSITIES  
AND RESEARCH INSTITUTIONS. IN ADDITION A SMALL CORPS  
OF U.S. UNIVERSITIES HAVE FORMALIZED AGREEMENTS OF  
COOPERATION WITH CATIE. THESE NETWORKS COULD PROVE  
USEFUL IF A TENURE RELATED RESEARCH PROGRAM WAS  
DEVELOPED IN CENTRAL AMERICA. HOGAN, MICHEL

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TO SECSTATE WASHDC PRIORITY 0558

UNCLAS PORT AU PRINCE 01763

AIDAC

E. O. 12356: N/A  
SUBJECT: INPUT ON NEW START PROJECT: ACCESS TO LAND,  
WATER AND NATURAL RESOURCES ??

REF: STATE 382214

1. (BA) TENURE AND NATURAL RESOURCE MANAGEMENT.
  2. (BE) NONE.
  3. (BC) N/A.
  4. (BC) SHORT TERM AT LOW LEVEL OF ACTIVITY AND  
MEDIUM TERM AT MODERATE LEVEL OF ACTIVITY.
  5. (BE) CONTINUING TECHNICAL ASSISTANCE TO TARGETED  
WATERSHED MANAGEMENT PROJECT 521-01911 ON EFFECTS OF  
LAND TENURE ON NATURAL RESOURCE MANAGEMENT. MISSION  
HAS CONCLUDED TWO ACTIVITIES REGARDING THIS ISSUE UNDER  
ACCESS I AND IS VERY PLEASED WITH THE UTILITY OF LTC'S  
ASSISTANCE.
  6. OTHER IMPROVEMENTS SHOULD BE MADE IN CURRENT  
PROCEDURES OF ACCESS I IN THE FOLLOWING AREAS:
    - (A) PROMPT NOTIFICATION OF MISSION WHEN BUY-IN'S ARE  
NEGOTIATED.
    - (B) PROMPT FOLLOW-UP MAILING OF CONTRACT AMENDMENTS  
FROM AID W TO MISSION AND
    - (C) PROMPT ADVISE OF BILLING CLEARLY LABELLED BY THE  
ACTIVITY FOR WHICH REIMBURSEMENT IS REQUESTED
- TO WIT: AID W ADVISE OF BILLINGS FOR ACTIVITIES  
COMPLETED IN FY 1987 AND FY 1988 UNDER ACCESS I HAS NOT  
YET BEEN RECEIVED.  
MCKINLEY

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AIDAC

FOR ST/RO/RRD GLORIA STEELE

E.O. 12956 N/A  
SUBJECT: REQUESTED USAID INPUT TO REV ST/RO PROJECT:  
ACCESS TO LAND, WATER, AND NATURAL RESOURCES I)  
(ACCESS I))

REF: STATE 00214/01

1. MISSION HAS REVIEWED REPTL WITH INTEREST,  
GIVEN USAID/HONDURAS HISTORY OF PARTICIPATION IN  
LAND TITLING, IRRIGATION, FORESTRY, AND NATURAL  
RESOURCES PROJECTS. PER AID/W REQUEST PARAGRAPH 0,  
WE HAVE FOLLOWING COMMENTS.

A. AREAS OF POTENTIAL INTEREST INCLUDE LAND  
MARKETS AND TRANSACTIONS, THE RELATIONSHIPS  
INVOLVING LAND RIGHTS AND NATURAL RESOURCE  
MANAGEMENT FOR SUSTAINABLE PRODUCTION, INSTITUTIONAL/  
POLICY ISSUES INVOLVING LAND, AND COMMON PROPERTY  
RESOURCE USE.

B. IT MIGHT BE USEFUL TO CONSIDER RESEARCH  
RELATED TO THE ROLE OF CREDIT IN THE CONTEXT OF  
OTHER PROPOSED RESEARCH ON LAND MARKETS AND THE  
TENURE STRUCTURE.

C/D WHILE WE HAVE IDENTIFIED TENTATIVE AREAS OF  
MAJOR INTEREST, IT IS IMPOSSIBLE AT THIS TIME TO  
ESTIMATE POTENTIAL AREAS OR LEVELS OF INTEREST,  
SINCE TWO MAJOR RELATED PROJECTS ARE EITHER IN EARLY  
STAGES OF DEVELOPMENT OR PRE-IMPLEMENTATION.

E. MISSION PORTFOLIO INCLUDES THE FOLLOWING  
BILATERAL PROJECTS ASSOCIATED IN SOME WAY WITH THE  
PROPOSED ACCESS I) PROJECT.

- 1. NATURAL RESOURCES MANAGEMENT/522-0160 (PACD  
5/89).
- 2. SMALL FARMER LAND TITLING/522-0173 (PACD  
8/89).
- 3. FORESTRY DEVELOPMENT/522-0246 (PACD 9/83).
- 4. IRRIGATION DEVELOPMENT/522-0268 (PACD 8/83).
- 5. AGRICULTURAL LAND SALE FUND (ESF)
- 6. LAND USE AND PRODUCTIVITY ENHANCEMENT/522-  
0282 (NEW START)
- 7. AGRICULTURAL DEVELOPMENT/522-0336 (PROPOSED)

2. ALTHOUGH MISSION IS INVOLVED IN VARIOUS  
INITIATIVES RELATED TO ST/RO PROPOSED PROJECT MOST  
ANTICIPATED TA AND RESEARCH NEEDS FOR ONGOING  
PROJECTS HAVE ALREADY BEEN SCHEDULED. HOWEVER,  
USAID IS VITALLY INTERESTED IN MANY OF THE PROPOSED  
ACCESS I) COMPONENTS, AND FUTURE COLLABORATION ONCE  
PROJECT IS BETTER DEFINED. WILL APPRECIATE  
INFORMATION RE PROJECT BUDGET, PLANNED START-UP-DATE,  
ETC. AS PROJECT DEVELOPMENT PROCEEDS.  
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TO SECSTATE WASHDC 1025

UNCLAS TEGUCIGALPA 06988

FOR ST/RO/RRD, GLORIA STEELE

AIDAC

E.O. 12350: N/A

SUBJECT: ACCESS TO LAND, WATER AND NATURAL RESOURCES II

REF: STATE 080214

1. USAID/HONDURAS AGRICULTURE AND RURAL DEVELOPMENT OFFICE WISHES TO EXPRESS INTEREST AND SUPPORT FOR DEVELOPMENT OF SUBJECT PROJECT BY ST/RO UNDER PREDECESSOR PROJECT. EXCELLENT ASSISTANCE HAS BEEN PROVIDED TO THE MISSION'S SMALL FARMER TILLING PROJECT (522-0173). A LONG-TERM IMPACT EVALUATION HAS BEEN CONDUCTED SINCE 1983 BY THE LAND TENURE CENTER, IN ADDITION TO SEVERAL OTHER STUDIES AND ANALYSES. THESE EFFORTS HAVE CONTRIBUTED A LOT TO THE UNDERSTANDING OF LAND USE, TENURE, TECHNICAL AGRICULTURE AND INSTITUTIONAL ISSUES IN HONDURAS, AND HAS ORIENTED THE THINKING ON FUTURE PROJECT INTERVENTIONS A GREAT DEAL TOWARDS RESOLUTION OF TENURE AND LAND USE PROBLEMS.

2. GIVEN ITS INTEREST IN PROMOTING MORE INTENSIVE YET SUSTAINABLE LAND USE AS PART OF A GROWTH AND EMPLOYMENT ORIENTED STRATEGY, ARO OFFICE HAS STRONG INTEREST IN PROPOSED PROJECT ACTIVITIES IN THE THREE AREAS OUTLINED IN REFTEL. IF NECESSARY TO LIST IN TERMS OF PRIORITY, WE WOULD LIST THEM AS FOLLOWS: 1) LAND MARKETS AND TRANSACTIONS; 2) TENURE AND NATURAL RESOURCE MANAGEMENT; 3) INSTITUTIONAL AND STRUCTURAL DIMENSIONS OF TENURE CHANGE. LAND POLICY REFORM; FISCAL AND TAX INCENTIVES FOR THE MOTIVATION OF MORE INTENSIVE LAND USE; GREATER DEFINITION, TRANSPARENCY, AND FACILITY OF TRANSFER OF TENURE RIGHTS; AND DEVELOPMENT OF LAND FINANCING MECHANISMS AND MARKETS ALREADY ARE IDENTIFIED AS SOME AREAS. AMONG OTHERS, OF POTENTIAL FUTURE PROJECT SUPPORT ON PART OF MISSION THIS DOES NOT, HOWEVER, CONSTITUTE NOR SHOULD BE INTERPRETED AS DEFINITE MISSION COMMITMENT. POTENTIAL DEGREE OF SUPPORT IS HIGH, BOTH OF LONG AND SHORT TERM NATURE. BRIGGS

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TO SECSTATE WASHDC PRIORITY 9964

UNCLAS KINGSTON 02969

ADM AID

FOR GLORIA STEELE, ST/RD/RRD

E.O. 12356, N/A  
SUBJECT USAID/JAMAICA RESPONSE TO REQUEST FOR  
INPUT TO NEW ST/RD PROJECT: ACCESS TO LAND, WATER,  
AND NATURAL RESOURCES II

REF: STATE 080214

1. ALTHOUGH USAID/JAMAICA IS UNABLE AT THIS TIME TO ESTIMATE POTENTIAL LEVELS OF BUY-IN TO THIS PROPOSED NEW ST/RD PROJECT, WE ARE ABLE TO EXPRESS INTEREST IN AND SUPPORT FOR ITS DESIGN. THE MISSION'S FY 90 - 91 ACTION PLAN INCLUDES A NEW PROJECT DESCRIPTION FOR A FY 91 PROJECT TENTATIVELY TITLED AGRICULTURAL PRODUCTIVITY ENHANCEMENT WHICH WILL BE FOCUSED ON LAND AND WATER RESOURCE ISSUES IN AGRICULTURE INCLUDING ACCESS TO LAND RESOURCES. THEREFORE, WE VIEW THE NEW ACCESS II PROJECT AS BEING OF INTEREST TO THIS MISSION.

2. PLEASE KEEP MISSION INFORMED OF ANY CHANGES IN PROJECT DESIGN OR FOCUS, AS WELL AS PROGRESS IN PROJECT DESIGN. WE ARE ESPECIALLY INTERESTED IN WHEN ST/RD EXPECTS TO HAVE THE NEW ACCESS II PROJECT AUTHORIZED/OBLIGATED AND READY FOR MISSION BUY-INS. (REF: ARDO: RLOWENS/APRVD: ARDO: SFRENCH) SOTIRHOS

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AIDAC

FOR ST/RD/RRD AND PPC/WID

E. O. 12356: N/A  
SUBJECT: REQUEST FOR USAID INPUT TO NEW ST/RD PROJECT:  
ACCESS TO LAND, WATER AND NATURAL RESOURCES II

REF: STATE 00214

1. MISSION APPRECIATES OPPORTUNITY TO PROVIDE FEEDBACK ON THE SUBJECT PROJECT IN LINE WITH MISSION'S STRATEGY/PORTFOLIO IN THE NATURAL RESOURCE MANAGEMENT AREA WE WOULD BE MOST INTERESTED IN THE TENURE AND NATURAL RESOURCE MANAGEMENT RESEARCH THEME PREVIOUS NATURAL TROPICAL FOREST MANAGEMENT ACTIVITIES SUPPORTED BY THE MISSION HAVE INVOLVED MANAGEMENT OF NATIVE COMMUNAL FOREST LANDS WITH LESS INVOLVEMENT IN AREAS WITH A DIFFERENT TENURE PATTERN THE RELATIONSHIP BETWEEN TENURE AND RESOURCE MANAGEMENT IS AN IMPORTANT AREA FOR RESEARCH UNFORTUNATELY WE ARE UNABLE TO SUPPORT IT BECAUSE OF BUDGET CONSTRAINTS
2. MISSION WOULD BE INTERESTED IN INSTITUTIONAL STRENGTHENING INITIATIVES WHICH ALLOW PERUVIAN ENVIRONMENTAL NGOS-AND GOVERNMENTAL ENTITIES SUCH AS THE GENERAL DIRECTORATE FOR FORESTRY TO BE MORE AWARE OF TENURE/NATURAL RESOURCE ISSUES AND RESEARCH FINDINGS BY PARTICIPATING IN WORKSHOPS, ETC. AS REQUESTED IN REFTEL PARAGRAPH 01. POTENTIAL LEVEL OF INTEREST IS MEDIUM-TERM AND, BECAUSE OF BUDGET CONSTRAINTS, POTENTIAL LEVEL OF ACTIVITY IS LOW
3. MISSION'S WOMEN IN DEVELOPMENT COORDINATOR NOTED THAT, PER PARA 02 B' CABLE DESCRIPTION DID NOT CONTAIN INDICATIONS OF GENDER DISAGGREGATED COLLECTION, ANALYSIS AND USE OF DATA. PERHAPS PPC/WID COULD ASSIST WITH TECHNICAL ASSISTANCE RESOURCES TO IDENTIFY AND ADDRESS GENDER CONSIDERATIONS IN THE REDESIGN OF ACCESS, EARS, AND SAREA EFFORTS. LION

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FM AMEMBASSY CAIRO  
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AIDAC

E.O. 12356: N/A  
SUBJECT: REQUEST FOR USAID INPUT TO NEW ST/RD PROJECT:  
ACCESS TO LAND, WATER, AND NATURAL RESOURCES II

REF: STATE 080214

MISSION IS UNABLE AT THIS TIME TO IDENTIFY, WITH ANY DEGREE OF SPECIFICITY, ACTIVITIES TO BE SUPPORTED BY SUBJECT PROJECT WHICH WE FIND OF POTENTIAL INTEREST. THE LAND MARKETS AND TRANSACTIONS AND INSTITUTIONAL AND STRUCTURAL DIMENSIONS OF TENURE CHANGE ACTIVITIES COULD CONCEIVABLY BE OF SOME INTEREST IN THE FUTURE IF OUR INTEREST IN NEW LANDS DEVELOPMENT IN EGYPT INCREASES.  
COVEY

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PAGE 01 NEW DE 08428 111241Z ACTION AID-00

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UNCLAS NEW DELHI 08428

AIDAC

E.O. 12336: N/A SUBJECT: REQUEST FOR US\$10 INPUT TO NEW ST/RC PROJECT: ACCESS TO LAND, WATER AND NATURAL RESOURCES II

REFERENCE STATE 880214

1. THE SUBJECT OF THE NEW ST/RC ACCESS II PROJECT IS OF CONSIDERABLE INTEREST TO US/INDIA IN PARTICULAR TO THE ONGOING AND PLANNED ACTIVITIES OF THE OFFICE OF NATURAL RESOURCE MANAGEMENT. LAND TENURE CENTER MATERIALS ARE CURRENTLY BEING USED TO GUIDE A NATIONAL SOCIAL FORESTRY STUDY ON COMMON PROPERTY RESOURCES AND SHOULD FEED INTO THE MISSION SPONSORED COLLABORATIVE RESEARCH PROGRAM OF WORLD RESOURCES INSTITUTE. NATURAL RESOURCES TENURE ISSUES MAY ALSO BE INCORPORATED INTO THE PROPOSED RMA&T PROJECT. HOWEVER FUNDING AND PORTFOLIO CONSTRAINTS WILL LIKELY PRECLUDE MORE THAN POTENTIAL SHORT-TERM LOW FUNDING BUY-INS DURING THE NEXT FIVE YEARS.

2. IN SUPPORT OF THE MISSION'S COLLABORATIVE SCIENCE AND TECHNOLOGY FOCUS FOR THE FUTURE, THE MISSION WOULD PLACE PRIORITY ON ACCESS TO INSTITUTIONAL STRENGTHENING INITIATIVES (PARA 5.C) WHEREBY INDIAN INSTITUTIONS WITH RESEARCH CAPABILITY AND BEST LINKAGES TO RESOURCE MANAGEMENT PROJECTS AND POLICY FORMULATION IN THE FIVE REGIONAL INSTITUTIONS ASSOCIATED WITH THE RMA&T PROJECT COULD UPGRADE THEIR SOCIAL SCIENCE KNOWLEDGE AND SKILLS ON THE SUBJECT AND INTEGRATE TENURE ISSUES WITH OTHER NEW TECHNOLOGY APPLICATIONS SUCH AS GIS.

3. THIS PRIORITY IMPLIES INCREASED EMPHASIS ON INFORMATION DISSEMINATION AND NETWORKING (PARA 5.D). CURRENTLY, LAND TENURE CENTER PUBLICATIONS, WHILE KNOWN TO A FEW EXPERTS IN THE FIELD, ARE INACCESSIBLE AND GENERALLY UNKNOWN TO PROGRAM PLANNERS AND PROJECT PERSONNEL. FURTHER EFFORTS ARE REQUIRED TO TRANSLATE SCHOLARLY PUBLICATIONS INTO OPERATIONALLY USEFUL MATERIALS WHICH CAN BE OBTAINED IN-COUNTRY AT ACCESSIBLE COSTS. INFORMATION TECHNOLOGIES ALSO APPEAR TO BE A CONSIDERATION.

4. THEMATICALLY, RESOURCE TENURE ISSUES WHICH AFFECT ADOPTION OF SUSTAINABLE NATURAL RESOURCE MANAGEMENT AND CONSERVATION STRATEGIES (PARA 6.B), WOULD APPEAR MOST IMPORTANT FROM INDIA'S (OR THE MISSION'S) PERSPECTIVE. ON BOTH PRIVATE AND PUBLIC LANDS, SUSTAINABLE AGRICULTURE, GRAZING AND FOREST MANAGEMENT ARE HEAVILY DEPENDENT ON TENURE SYSTEMS WHICH NEED MORE EXPLICIT UNDERSTANDING AND

5. INSTITUTIONAL ARRANGEMENTS (PARA 6.C) AT BOTH THE CUSTOMARY AND GOVERNMENTAL LEVEL APPEAR TO BE THE PRIMARY FACTORS AFFECTING RESOURCE TENURE ISSUES. THESE WOULD THUS NEED TO BE ADDRESSED IN DEALING WITH THIS THEME, PARTICULARLY IN THE INDIAN CONTEXT WHERE INSTITUTIONAL JURISDICTIONS OVERLAP (I.E. COMMON PROPERTY LANDS) OR ARE LACKING (I.E. RANGE LANDS).

6. WITHIN THE CONTEXT OF THE OVERALL MISSION PORTFOLIO THE EXPECTED CONSTRAINTS IN FUNDING, POTENTIAL MISSION BUY-INS WOULD HAVE TO BE IN THE SHORT-TERM (4-6 MONTHS TOTAL FOR THE NEXT FIVE YEARS) AT LOW OR LOW TO MODERATE FUNDING LEVEL (UNDER DOLS. 100,000) AND WOULD PROBABLY OCCUR WITHIN THE CONTEXT OF THE PROPOSED T.A. (PROFESSIONAL DEVELOPMENT) PROGRAM UNDER THE NATIONAL SOCIAL FORESTRY PROJECT OR THE PROPOSED NEW RMA&T PROJECT. HUBBARD

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AIDAC

E. O. 12356: N/A  
SUBJECT: REQUEST FOR USAID INPUT TO NEW ST/RD PROJECT:  
ACCESS TO LAND, WATER AND NATURAL RESOURCES II.

REF: STATE 080214 OF MARCH 15, 1989

USAID JORDAN'S COMMENTS CONCERNING REFTEL FOLLOW:

1) DUE TO THE LIMITED FUNDS AVAILABLE, USAID/JORDAN DOES NOT PLAN TO PROVIDE ANY FINANCIAL ASSISTANCE TO SUBJECT PROJECT

2) USAID/JORDAN AND THE MINISTRY OF MUNICIPAL AND RURAL AFFAIRS AND THE ENVIRONMENT (MMRAE) ARE CURRENTLY PREPARING A NATIONAL ENVIRONMENTAL STRATEGY (NES) FOR JORDAN WHICH WILL BE COMPLETED BY THE END OF 1990. AFTER COMPLETING THE NES, MMRAE WILL NEED TECHNICAL ASSISTANCE IN THE FIELD OF NATURAL RESOURCES MANAGEMENT, ADOPTION OF SUSTAINABLE NATURAL RESOURCES POLICIES AND INSTITUTION BUILDING. THIS ACTIVITY SHALL REQUIRE A SHORT TERM LEVEL OF EFFORT.

3. THE MINISTRY OF AGRICULTURE MAY REQUIRE A SHORT TERM TECHNICAL ASSISTANCE IN THE FIELD OF DEVELOPMENT AND MANAGEMENT OF WOODLAND, LAND GRAZING, INLAND FISHERIES AND LAND FRAGMENTATION/AGGREGATION.

4) USAID/JORDAN AND GOVERNMENT OF JORDAN WOULD BE HAPPY TO BUY-IN WHEN AND IF THE TECHNICAL ASSISTANCE ACTIVITIES MENTIONED IN PARAS 2 AND 3) ARE PROVIDED UNDER SUBJECT PROJECT AND IT COMES TO EXISTENCE.  
(DRAFT AAHMAD APPR. LWEISS).  
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PAGE 01 KATHMA 07638 310807Z  
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TO SECSTATE WASHDC 3549

UNCLAS KATHMANDU 07638

AIDAC

AID/M FOR GLORIA STEELE, ST/RO/RDD

E.O. 12356: N/A  
SUBJECT: NEW ST/RO PROJECT: ACCESS TO LAND, WATER AND  
NATURAL RESOURCES II

REF: STATE 040714

1. USAID/M CONCURS WITH THE PREMISE BEHIND THE SUBJECT PROJECT THAT ACCESS TO, AND TENURE STATUS REGARDING, THE PRODUCTIVE RESOURCE BASE ARE CRITICAL FOR EQUITABLE AND SUSTAINABLE DEVELOPMENT. THE PARTICIPATION AND ORGANIZATION OF USERS RELATED TO THIS AND IS REFLECTED IN USAID/NEPAL'S PRIVATE AGENCIES. CURRENTLY, A RESEARCH PROGRAM ON SUCH ISSUES IS BEING DEVELOPED JOINTLY BY DECENTRALIZED FINANCE AND MANAGEMENT PROJECT CONSULTANTS AND NEPALI RESEARCHERS.

2. THE LINKAGE EXPLICITLY MADE BETWEEN SUSTAINABLE RESOURCE MANAGEMENT AND ECONOMIC GROWTH COULD ALSO BE APPROACHED FROM THE PERSPECTIVE OF THE INDIVIDUAL OR GROUP/FIRM INVESTOR AND THE INCENTIVES WHICH ARE NEEDED TO ENCOURAGE ENVIRONMENTALLY SUSTAINABLE AND ECONOMICALLY VIABLE PRIVATE INVESTMENT DECISIONS AND BEHAVIOR AT THAT LEVEL. THE FORCES DRIVING PRIVATE INVESTMENT DECISIONS ULTIMATELY HAVE THE MOST SIGNIFICANT EFFECT ON NATURAL RESOURCE USE AND MANAGEMENT PRACTICES SINCE THE LARGEST GROUP OF USERS AND LARGEST VOLUME OF INVESTMENT COMES FROM PRIVATE SOURCES. CLEARLY ACCESS TO, DECISION-MAKING CONTROL OVER, AND BENEFITS DERIVED FROM, THE USE OF PRODUCTIVE NATURAL RESOURCES ARE CRITICAL ELEMENTS. BUT SO TOO ARE OTHER ECONOMIC ISSUES (E.G. RELATING TO INPUT AND OUTPUT PRICES, SUBSIDIES, MARKET EFFICIENCY AND ACCESS, FISCAL AND MONETARY POLICIES). THE POLICIES AND ACTIONS WHICH INFLUENCE THE BROADER INVESTMENT ENVIRONMENT (PUBLIC AND PRIVATE) AND THEIR RELATIONSHIP TO MICRO DECISION-MAKING LEVELS (FARMER, ENTREPRENEUR, FIRM) AND HOW THIS LEADS TO THE WISE OR UNWISE USE OF THE PHYSICAL ENVIRONMENT, ARE LESS UNDERSTOOD THAN THOSE RELATING TO ACCESS AND TENURE. YET, THESE FAIL TO RECEIVE ADEQUATE ANALYSIS AND ATTENTION. LINKING THE AGENCY'S MACRO-ECONOMIC POLICY CONCERNS, PRIVATE ENTERPRISE OBJECTIVES AND THOSE FOR EQUITABLE AND SUSTAINABLE DEVELOPMENT IS ENORMOUSLY CHALLENGING AND IS ONLY PARTIALLY DEALT WITH UNDER THE SCOPE OF THE SUBJECT PROJECT AS WE UNDERSTAND IT. WE IN THE FIELD, ARE ASKED TO STRUGGLE WITH SUCH ISSUES AND LINKAGES WITH LESS THAN COHESIVE SUPPORT FROM CENTRALLY SUPPORTED PROJECTS.

3. IN THAT SAME VEIN, FOR SOME OF US, THE CROSS-OVERS BETWEEN THE PURPOSE AND SERVICES OF RELATED CENTRAL PROJECTS, (E.G. ACCESS TO LAND, WATER AND NATURAL RESOURCES, RURAL AND REGIONAL INCOME GENERATION AND

RESOURCE MANAGEMENT; DECENTRALIZED FINANCE AND MANAGEMENT; NATURAL RESOURCES MANAGEMENT SYSTEMS-AFRICA; DESFIL-LATIN AMERICA; ISPAH-ASIA/NEAR EAST) CREATE CONFUSION. IT WOULD BE USEFUL TO HAVE THESE AND OTHER SAT OR REGIONAL BUREAU PROJECTS ORGANIZED NOT JUST BY TITLES BUT ALSO BY PRINCIPAL FOCUS AREAS, AND PLACED WITHIN THE FRAMEWORK OF KEY AGENCY DEVELOPMENT THEMES, THUS PERMITTING SOME COMPARATIVE REVIEW AT THE AID/V LEVEL AND A BETTER WAY FOR THE FIELD TO IDENTIFY THE MOST SUITABLE CHOICE OF SUPPORT PROJECT.

4. THE FOLLOWING POINTS REFER TO THE QUESTIONS IN PARAGRAPH 8. OF THE REFTEL.

- (A) AREAS OF POTENTIAL INTEREST - APPLIED RESEARCH, INSTITUTIONAL STRENGTHENING, INFORMATION DISSEMINATION.
  - 
  - (B) AREAS OF INTEREST NOT ON THE LIST - ECONOMIC POLICY LINKS TO PRIVATE RESOURCE INVESTMENTS/USE DECISIONS, ENVIRONMENTAL CONSEQUENCES, AND SUSTAINABLE GROWTH.
  - 
  - (C) AS LISTED IN (B) AND (A) ABOVE, IN THAT ORDER.
  - (D) PRIORITY (B) REFLECTS A LONG-TERM INTEREST; (A) ARE MEDIUM TO SHORT-TERM. OUR CAPACITY TO FUND SUCH PROJECTS IS LOW TO MODERATE.
- FRAMA



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INCOMING TELEGRAM

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UNCLAS SANAA #2885

AIDAC FOR ST/RD/RRD, GLORIA STEELE

E.O. 12356: N/A  
SUBJECT: ACCESS TO LAND, WATER AND NATURAL RESOURCES  
11 (ACCESS)

REF: STATE 88214

1. MISSION SUPPORTS AMENDMENT TO SUBJECT PROJECT. WE BELIEVE THAT PROJECT IS CORRECTLY TARGETED ON SIGNIFICANT TOPICS RELATED TO AGRICULTURAL DEVELOPMENT. MISSION IS NOW PREPARING RESEARCH AGENDA FOR PREPARATION OF CDSS AND IN THE NEAR FUTURE WILL BE GATHERING WHAT RESEARCH HAS BEEN CONDUCTED IN YEMEN TO DATE ON TOPICS NEEDED FOR CDSS PREPARATION. AFTER THIS REVIEW OF EXISTING WORK, MISSION MAY BE INTERESTED IN ACCESS SUPPORT AND/OR BUY-IN FOR ANY ADDITIONAL ANALYTICAL WORK THAT MIGHT BE NECESSARY.

2. PER PARA 8 REFTEL, MISSION'S RESPONSES TO PARA 5 ARE AS FOLLOWS:

A. MISSION MIGHT BE INTERESTED IN APPLIED RESEARCH INTO SELECTED SUBJECT AREAS. MISSION'S TECHNICAL SERVICES AND FEASIBILITY STUDIES PROJECT COULD PROVIDE SOME FUNDING. MISSION WOULD APPRECIATE ACCESS PROJECT'S HELP IN IDENTIFYING AND POSSIBLY FUNDING SPECIALIZED TECHNICAL ASSISTANCE.

B. AT THIS TIME MISSION DOES NOT ANTICIPATE FUNDING BASIC RESEARCH INTO ANY OF THESE TOPICS, ALTHOUGH SUCH RESEARCH MIGHT BE UNDERTAKEN AS A RESULT OF PREPARATION AND AID/W REVIEW OF CDSS IN MID-FY 1990.

C. MISSION ANTICIPATES SOME INSTITUTIONAL STRENGTHENING ACTIVITIES FOR YARG POLICY MAKING AGENCIES UNDER MISSION'S AMENDED PARTICIPANT TRAINING PROJECT. AGAIN, ACCESS TO SPECIALIZED TECHNICAL ASSISTANCE MIGHT BE USEFUL. SUCH TRAINING WOULD PROBABLY NOT TAKE PLACE UNTIL FY 1990.

D. DEPENDING ON WHAT RESEARCH MISSION ACTUALLY UNDERTAKES, WE MIGHT USE SEMINARS AND SIMILAR MECHANISMS TO DISSEMINATE RESEARCH FINDINGS. IT IS TOO EARLY TO PREDICT WHAT WE MIGHT DO IN THIS WAY.

3. PRIORITY OF MISSION INTERESTS PER PARA 6 ARE AS FOLLOWS:

A. LAND MARKETS AND TRANSACTIONS. AMONG TOPICS LISTED THIS IS MISSION'S HIGHEST PRIORITY INTEREST. LAND PURCHASE IS PRIMARY FORM OF SAVINGS IN YEMEN, IN PART BECAUSE YARG/BANK POLICIES DISCOURAGE BANK SAVINGS THOUGH LABOUR IS MOVING OUT OF AGRICULTURE, LAND IS VALUABLE BECAUSE OF HIGH VALUE OF SELECTED CROPS AND DEMAND FOR LAND AS SAVING. WE WILLIVE LAND IS IN FALL

OVERPRICED THOUGH WE CANNOT SUBSTANTIATE IT WITH EXISTING DATA. WE MAY DECIDE TO UNDERTAKE SOME STUDY IN THIS AREA AS PART OF OUR CDSS, DEPENDING ON A REVIEW OF EXISTING WORK.

B. TENURE AND RESEARCH MANAGEMENT IS THIRD PRIORITY SINCE MISSION'S NEW AGRICULTURE PROJECT WILL DEAL DIRECTLY WITH THE QUESTION OF WATER AND LAND USE MANAGEMENT FOR AGRICULTURE.

C. INSTITUTIONAL AND STRUCTURAL DIMENSIONS OF TENURE CHANGE IS SECOND PRIORITY. WE SENSE THAT THE PRIMARY FACTOR IN LAND TENURE AND USE IS PRESENT HIGH LEVEL IN LAND AS A MEANS OF SAVINGS AND YARG POLICY ENCOURAGING THIS TREND. OUR ONLY LIKELY WORK IN THIS AREA MIGHT BE YARG POLICY ON SAVINGS AS A MEANS OF STIMULATING SAVINGS AND INVESTMENT THROUGH THE FORMAL BANKING SYSTEM. WE ARE UNLIKELY TO TAKE ON ANY OTHER KIND OF INSTITUTIONAL ANALYSES RELATED TO LAND USE AND LAND POLICY.

4. MISSION APPRECIATES OPPORTUNITY TO COMMENT ON PROPOSED PROJECT. DUNBAR

ACCESS II PROJECT PAPER ANNEX 5  
CONCEPT PAPER

AGENCY FOR INTERNATIONAL DEVELOPMENT  
WASHINGTON, D C 20523

APR 11 1988

ACTION MEMORANDUM FOR THE SENIOR ASSISTANT ADMINISTRATOR  
FOR SCIENCE AND TECHNOLOGY

FROM: S&T/HR, Antonio Gayoso (AG)

SUBJECT: Concept Paper -- Land and Natural Resource Access  
Project (ACCESS II)

Problem: Your authorization is requested to design a ten-year \$20 million (\$6.25 million S&T core, \$13.75 million estimated buy-in) Land and Natural Resource Access Project as a follow-on activity to the Research on Access to Land, Water, and Natural Resources Project, 936-5301 (ACCESS I).

Discussion: ST/RD currently funds the ACCESS I project which undertakes research and consulting activities on land and resource tenure issues in Africa and Latin America and the Caribbean. Regional Bureaus designated the ACCESS I project the number one, highest priority activity in the ST/RD portfolio when they assessed the S&T Bureau Action Plan in July 1986. Substantial Regional Bureau and mission funding for project research (a total buy in to core ratio of almost 3 to 1) similarly indicates the very high priority given both in A.I.D./W and in the field to ACCESS I project themes.

A recent mid-term evaluation of the ACCESS I project found it to be on track and to have had important impact on policies and projects in many countries. The project has (a) substantially enriched the knowledge base on land tenure issues, and (b) created or strengthened the analytical capacity of A.I.D. and host country researchers and policy makers to deal with some of the most important issues related to access to land and natural resources, and to how this affects agricultural production and natural resource management. The evaluation determined that these issues will be of increasing importance in the years ahead, and urged continuation of land tenure research and the ACCESS I project themes beyond the current LOP. They concluded that substantial dividends have resulted from A.I.D.'s long-term, institution building assistance to the Land Tenure Center, a center of excellence that is now playing a major role in addressing the needs of U.S.A.I.D., host countries, other donors, and the scholarly community on critical matters of land tenure and natural resource access.

The basic problem the ACCESS II Project will address is the urgent need of development practitioners for a better understanding of land tenure issues and their developmental impact. Developing country policy-makers confront problems of allocating scarce resources to different and often

conflicting objectives, such as meeting immediate food security needs, improving agricultural productivity, and enhancing long-term management of the resource base. It is increasingly apparent that in order to devise effective strategies to meet these needs they must have a better understanding of the relationships between people and land, and between types of ownership and resource access and more efficient and sustainable resource use.

We propose a ten-year, \$20 million follow-on project, to ACCESS I, which would begin in FY89, to continue to come up with answers and solutions to critical and rapidly evolving questions of land and natural resource tenure. Funding would be in the following annual amounts (gradually increasing to offset rising costs and sustain project capacity):

<u>FY</u>	<u>Core S&amp;T Funding</u>	<u>Regional Bureau/ Mission Funding</u>
89	530,000	1,200,000
90,91	1,200,000 (600,000/yr)	2,800,000 (1,400,000/yr)
92,93	1,250,000 (625,000/yr)	3,000,000 (1,500,000/yr)
94,95	1,290,000 (645,000/yr)	3,000,000 (1,500,000/yr)
96,97,98	1,980,000 (660,000/yr)	3,750,000 (1,250,000/yr)
TOTAL.....	6,250,000	13,750,000

The ACCESS I project has focused on the LAC and AFR regions, concentrating its research on common themes developed in close collaboration with those regional bureaus. However, ANE has recently shown a growing interest in the project, and it is likely that ACCESS II will include research with ANE as well.

The rationale for an ACCESS II project is threefold. First, land and resource rights and tenure are issues of continuing and growing concern to AFR, LAC, and ANE Bureaus, as documented in many recent strategy papers and regional bureau activities. In addition, the new Agency land tenure policy attaches importance to market-oriented approaches to land rights, which would continue to be explored profitably under ACCESS II. Growing concern from Congress regarding tenure issues and how these relate to natural resource management and biological diversity will also require further and timely attention.

Second, ACCESS I has created a substantial base of knowledge and answered a number of questions regarding land and resource tenure issues. At the same time new and important research questions have grown out of this research, regarding water rights, tree tenure, grazing rights, common property and other related natural resource tenure problems. These questions are critical to the achievement of many U.S.A.I.D., Regional

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Bureau, and Agency objectives in planning and implementing sustainable agriculture and natural resource activities. Solid answers can best come from a coherent, sustained, and long-term central research activity, rather than from a number of unrelated U.S.A.I.D. and Regional Bureau-funded activities. The strength of ACCESS I, and its substantial accomplishments, derive precisely from integrating such activities into a coherent and focused program of basic and applied research and technical assistance which can permit consistent cross-country comparisons and regionwide generalizations. The same model is needed for further useful land tenure research.

Third, ACCESS II (like ACCESS I) would be the major centrally-funded Agency project dealing explicitly with critical equity and distributional issues, and with how these concerns relate to enhanced productivity and resource management.

The goal of the ACCESS II project will be to promote sustainable agricultural development and natural resource management. The project purpose will be to assess, develop, and disseminate project and policy relevant methods to promote secure small farmer access to land and natural resources in ways that achieve that goal. The objective of the project is to improve understanding of the ways in which land and resource tenure factors affect agricultural development and natural resource use, and to bring to bear land and resource tenure knowledge on policies which affect land distribution, agriculture, and natural resource management.

ACCESS II is consistent with the S&T Bureau Central Program Strategy Statement (CPSS). It contributes to the goals of increased incomes and reduced hunger in several ways mentioned in the CPSS. Its attention to policy analysis and natural resource management will foster the adoption of sustainable agricultural technology as well as the increase in effective demand called for in the CPSS. The CPSS explicitly discusses land tenure as a key factor in its hunger alleviation strategy.

ACCESS II will implement the four pillar Agency strategy by putting strong emphasis on collaborative research with host country institutions positioned to have an effect on policy. The policy dialogue, and the institution building which are part of it, will have as their goals the creation or strengthening of sustainable private property systems of land and resource rights and the creation of the legal and policy environment for such rights. This encourages technology transfer and investment in new technology by small farmers, which supports increased resource productivity and income generation. This can stimulate local demand, regional economic development and trade.



ACCESS II PROJECT PAPER ANNEX 6  
STATUTORY CHECKLIST

5C(2) - PROJECT CHECKLIST

Listed below are statutory criteria applicable to projects. This section is divided into two parts. Part A includes criteria applicable to all projects. Part B applies to projects funded from specific sources only: B(1) applies to all projects funded with Development Assistance; B(2) applies to projects funded with Development Assistance loans; and B(3) applies to projects funded from ESF.

CROSS REFERENCES: IS COUNTRY CHECKLIST UP TO DATE? HAS STANDARD ITEM CHECKLIST BEEN REVIEWED FOR THIS PROJECT? Yes; Yes

A. GENERAL CRITERIA FOR PROJECT

1. FY 1989 Appropriations Act Sec. 523; FAA Sec. 634A. If money is sought to obligated for an activity not previously justified to Congress, or for an amount in excess of amount previously justified to Congress, has Congress been properly notified? Yes
2. FAA Sec. 611(a)(1). Prior to an obligation in excess of \$500,000, will there be (a) engineering, financial or other plans necessary to carry out the assistance, and (b) a reasonably firm estimate of the cost to the U.S. of the assistance? Yes
3. FAA Sec. 611(a)(2). If legislative action is required within recipient country, what is the basis for a reasonable expectation that such action will be completed in time to permit orderly accomplishment of the purpose of the assistance? NA

4. FAA Sec. 611(b); FY 1989 Appropriations Act Sec. 501. If project is for water or water-related land resource construction, have benefits and costs been computed to the extent practicable in accordance with the principles, standards, and procedures established pursuant to the Water Resources Planning Act (42 U.S.C. 1962, et seq.)? (See A.I.D. Handbook 3 for guidelines.) NA
5. FAA Sec. 611(e). If project is capital assistance (e.g., construction), and total U.S. assistance for it will exceed \$1 million, has Mission Director certified and Regional Assistant Administrator taken into consideration the country's capability to maintain and utilize the project effectively? NA
6. FAA Sec. 209. Is project susceptible to execution as part of regional or multilateral project? If so, why is project not so executed? Information and conclusion whether assistance will encourage regional development programs: No, because this is a worldwide research project. It does support the objectives of regional programs, e.g., the natural resource management program of the Africa Bureau.
7. FAA Sec. 601(a). Information and conclusions on whether projects will encourage efforts of the country to:  
(a) increase the flow of international trade; (b) foster private initiative and competition; (c) encourage development and use of cooperatives, credit unions, and savings and loan associations; (d) discourage monopolistic practices; (e) improve technical efficiency of industry, agriculture and commerce; and (f) strengthen free labor unions.  
(a) No  
(b) Yes  
(c) Yes, to the extent that land ownership provides access to credit.  
(d) No  
(e) No  
(f) No
8. FAA Sec. 601(b). Information and conclusions on how project will encourage U.S. private trade and investment abroad and encourage private U.S. participation in foreign assistance programs (including use of private trade channels and the services of U.S. private enterprise). NA

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9. FAA Secs. 612(b), 636(h). Describe steps taken to assure that, to the maximum extent possible, the country is contributing local currencies to meet the cost of contractual and other services, and foreign currencies owned by the U.S. are utilized in lieu of dollars.
10. FAA Sec. 612(d). Does the U.S. own excess foreign currency of the country and, if so, what arrangements have been made for its release?
11. FY 1989 Appropriations Act Sec. 521. If assistance is for the production of any commodity for export, is the commodity likely to be in surplus on world markets at the time the resulting productive capacity becomes operative, and is such assistance likely to cause substantial injury to U.S. producers of the same, similar or competing commodity?
12. FY 1989 Appropriations Act Sec. 549. Will the assistance (except for programs in Caribbean Basin Initiative countries under U.S. Tariff Schedule "Section 807," which allows reduced tariffs on articles assembled abroad from U.S.-made components) be used directly to procure feasibility studies, prefeasibility studies, or project profiles of potential investment in, or to assist the establishment of facilities specifically designed for, the manufacture for export to the United States or to third country markets in direct competition with U.S. exports, of textiles, apparel, footwear, handbags, flat goods (such as wallets or coin purses worn on the person), work gloves or leather wearing apparel?
13. FAA Sec. 119(q)(4)-(6) & (10). Will the assistance (a) support training and education efforts which improve the capacity of recipient countries to prevent loss of biological diversity; (b) be provided under a long-term agreement in which the recipient country agrees to protect ecosystems or other

The project has a strong emphasis on involving host country institutions in the project's research. Thus, in-kind contribution will be provided by participating host countries.

NA

No

No

- (a) Yes, the project will provide training in undertaking research on tenure issues in natural resource management.
- (b) NA

- wildlife habitats; (c) support efforts to identify and survey ecosystems in recipient countries worthy of protection; or (d) by any direct or indirect means significantly degrade national parks or similar protected areas or introduce exotic plants or animals into such areas?
- (c) Yes, to a certain extent.  
(d) No
14. FAA Sec. 121(d). If a Sahel project, has a determination been made that the host government has an adequate system for accounting for and controlling receipt and expenditure of project funds (either dollars or local currency generated therefrom)? NA
15. FY 1989 Appropriations Act. If assistance is to be made to a United States PVO (other than a cooperative development organization), does it obtain at least 20 percent of its total annual funding for international activities from sources other than the United States Government? NA
16. FY 1989 Appropriations Act Sec. 538. If assistance is being made available to a PVO, has that organization provided upon timely request any document, file, or record necessary to the auditing requirements of A.I.D., and is the PVO registered with A.I.D.? NA
17. FY 1989 Appropriations Act Sec. 514. If funds are being obligated under an appropriation account to which they were not appropriated, has prior approval of the Appropriations Committees of Congress been obtained? NA
18. State Authorization Sec. 139 (as interpreted by conference report). Has confirmation of the date of signing of the project agreement, including the amount involved, been cabled to State L/T and A.I.D. LEG within 60 days of the agreement's entry into force with respect to the United States; and has the full text of the agreement been pouched to those same offices? (See Handbook 3, Appendix 6G for agreements covered by this provision). NA

E. FUNDING CRITERIA FOR PROJECT

1. Development Assistance Project Criteria

a. FY 1989 Appropriations Act Sec. 578  
(as interpreted by conference report for original enactment). If assistance is for agricultural development activities (specifically, any testing or breeding feasibility study, variety improvement or introduction, consultancy, publication, conference, or training), are such activities (a) specifically and principally designed to increase agricultural exports by the host country to a country other than the United States, where the export would lead to direct competition in that third country with exports of a similar commodity grown or produced in the United States, and can the activities reasonably be expected to cause substantial injury to U.S. exporters of a similar agricultural commodity; or (b) in support of research that is intended primarily to benefit U.S. producers?

- (a) No
- (b) NA

b. FPA Secs. 102(b), 111, 113, 281(a).  
Describe extent to which activity will (a) effectively involve the poor in development by extending access to economy at local level, increasing labor-intensive production and the use of appropriate technology, dispersing investment from cities to small towns and rural areas, and insuring wide participation of the poor in the benefits of development on a sustained basis, using appropriate U.S. institutions; (b) help develop cooperatives, especially by technical assistance, to assist rural and urban poor to help themselves toward a better life, and otherwise encourage democratic private and local governmental

- (a) Project will provide policy-and program - relevant research information on how small farmers' and the landless populations' access to land and other resources can be improved.
- (b) NA

institutions; (c) support the self-help efforts of developing countries; (d) promote the participation of women in the national economies of developing countries and the improvement of women's status; and (e) utilize and encourage regional cooperation by developing countries.

- (c) NA
- (d) Yes, through research-see (a) above
- (e) NA

- c. FAA Secs. 103, 103A, 104, 105, 106, 120-21; FY 1989 Appropriations Act (Development Fund for Africa). Does the project fit the criteria for the source of funds (functional account) being used? Yes
  
- d. FAA Sec. 107. Is emphasis placed on use of appropriate technology (relatively smaller, cost-saving, labor-using technologies that are generally most appropriate for the small farms, small businesses, and small incomes of the poor)? NA
  
- e. FAA Secs. 110, 124(d). Will the recipient country provide at least 25 percent of the costs of the program, project, or activity with respect to which the assistance is to be furnished (or is the latter cost-sharing requirement being waived for a "relatively least developed" country)? NA
  
- f. FAA Sec. 126(b). If the activity attempts to increase the institutional capabilities of private organizations or the government of the country, or if it attempts to stimulate scientific and technological research, has it been designed and will it be monitored to ensure that the ultimate beneficiaries are the poor majority? Yes

- g. FAA Sec. 281(b). Describe extent to which program recognizes the particular needs, desires, and capacities of the people of the country; utilizes the country's intellectual resources to encourage institutional development; and supports civil education and training in skills required for effective participation in governmental processes essential to self-government. The project emphasizes the importance of host country's participation in the project's research activities.
- h. FY 1989 Appropriations Act Sec. 536. Are any of the funds to be used for the performance of abortions as a method of family planning or to motivate or coerce any person to practice abortions? No
- Are any of the funds to be used to pay for the performance of involuntary sterilization as a method of family planning or to coerce or provide any financial incentive to any person to undergo sterilizations? No
- Are any of the funds to be used to pay for any biomedical research which relates, in whole or in part, to methods of, or the performance of, abortions or involuntary sterilization as a means of family planning? No
- i. FY 1989 Appropriations Act. Is the assistance being made available to any organization or program which has been determined to support or participate in the management of a program of coercive abortion or involuntary sterilization? No
- If assistance is from the population functional account, are any of the funds to be made available to voluntary family planning projects which do not offer, either directly or through referral to or information about access to, a broad range of family planning methods and services? NA

- j. FAA Sec. 601(e). Will the project utilize competitive selection procedures for the awarding of contracts, except where applicable procurement rules allow otherwise?
- No, the project will utilize the cooperative agreement mode as assistance instrument.
- k. FY 1989 Appropriations Act. What portion of the funds will be available only for activities of economically and socially disadvantaged enterprises, historically black colleges and universities, colleges and universities having a student body in which more than 40 percent of the students are Hispanic Americans, and private and voluntary organizations which are controlled by individuals who are black Americans, Hispanic Americans, or Native Americans, or who are economically or socially disadvantaged (including women)?
- The project will encourage the cooperator to utilize sub-contracting mechanism where appropriate, including to institutions such as those mentioned here.
- l. FAA Sec. 118(c). Does the assistance comply with the environmental procedures set forth in A.I.D. Regulation 16? Does the assistance place a high priority on conservation and sustainable management of tropical forests? Specifically, does the assistance, to the fullest extent feasible: (a) stress the importance of conserving and sustainably managing forest resources; (b) support activities which offer employment and income alternatives to those who otherwise would cause destruction and loss of forests, and help countries identify and implement alternatives to colonizing forested areas; (c) support training programs, educational efforts, and the establishment or strengthening of institutions to improve forest management; (d) help end destructive slash-and-burn agriculture by supporting stable and productive farming practices; (e) help conserve forests which have not yet been degraded by helping to increase
- Yes
- Yes
- (a) Yes; (b) Yes;  
(c) Yes; (d) Yes;  
(e) To a certain extent;
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production on lands already cleared or degraded; (f) conserve forested watersheds and rehabilitate those which have been deforested; (g) support training, research, and other actions which lead to sustainable and more environmentally sound practices for timber harvesting, removal, and processing; (h) support research to expand knowledge of tropical forests and identify alternatives which will prevent forest destruction, loss, or degradation; (i) conserve biological diversity in forest areas by supporting efforts to identify, establish, and maintain a representative network of protected tropical forest ecosystems on a worldwide basis, by making the establishment of protected area condition of support for activities involving forest clearance or degradation, and by helping to identify tropical forest ecosystems and species in need of protection and establish and maintain appropriate protected areas; (j) seek to increase the awareness of U.S. government agencies and other donors of the immediate and long-term value of tropical forests; and (k) utilize the resources and abilities of all relevant U.S. government agencies?

- (f) Yes; (g) Yes;
- (h) Yes; (i) Yes, to a certain extent; (j) Yes;
- (k) No

\*The project will accomplish the above indirectly through its research activities.

m. FAA Sec. 118(c)(13). If the assistance will support a program or project significantly affecting tropical forests (including projects involving the planting of exotic plant species), will the program or project (a) be based upon careful analysis of the alternatives available to achieve the best sustainable use of the land, and (b) take full account of the environmental impacts of the proposed activities on biological diversity?

- (a) Yes
- (b) Yes

- n. FAA Sec. 118(c)(14). Will assistance be used for (a) the procurement or use of logging equipment, unless an environmental assessment indicates that all timber harvesting operations involved will be conducted in an environmentally sound manner and that the proposed activity will produce positive economic benefits and sustainable forest management systems; or (b) actions which will significantly degrade national parks or similar protected areas which contain tropical forests, or introduce exotic plants or animals into such areas?
- (a) No  
(b) No
- o. FAA Sec. 118(c)(15). Will assistance be used for (a) activities which would result in the conversion of forest lands to the rearing of livestock; (b) the construction, upgrading, or maintenance of roads (including temporary haul roads for logging or other extractive industries) which pass through relatively undegraded forest lands; (c) the colonization of forest lands; or (d) the construction of dams or other water control structures which flood relatively undegraded forest lands, unless with respect to each such activity an environmental assessment indicates that the activity will contribute significantly and directly to improving the livelihood of the rural poor and will be conducted in an environmentally sound manner which supports sustainable development?
- (a) No  
(b) No  
(c) No  
(d) No
- p. FY 1989 Appropriations Act. If assistance will come from the Sub-Saharan Africa DA account, is it (a) to be used to help the poor majority in Sub-Saharan Africa through a process of long-term development and economic growth that is equitable, participatory, environmentally sustainable, and self-reliant; (b) being provided in accordance with the policies contained in section 102 of the FAA;
- (a) Yes  
(b) Yes

(c) being provided, when consistent with the objectives of such assistance, through African, United States and other PVOs that have demonstrated effectiveness in the promotion of local grassroots activities on behalf of long-term development in Sub-Saharan Africa; (d) being used to help overcome shorter-term constraints to long-term development, to promote reform of sectoral economic policies, to support the critical sector priorities of agricultural production and natural resources, health, voluntary family planning services, education, and income generating opportunities, to bring about appropriate sectoral restructuring of the Sub-Saharan African economies, to support reform in public administration and finances and to establish a favorable environment for individual enterprise and self-sustaining development, and to take into account, in assisted policy reforms, the need to protect vulnerable groups; (e) being used to increase agricultural production in ways that protect and restore the natural resource base, especially food production, to maintain and improve basic transportation and communication networks, to maintain and restore the renewable natural resource base in ways that increase agricultural production, to improve health conditions with special emphasis on meeting the health needs of mothers and children, including the establishment of self-sustaining primary health care systems that give priority to preventive care, to provide increased access to voluntary family planning services, to improve basic literacy and mathematics especially to those outside the formal educational system and to improve primary education, and to develop income-generating opportunities for the unemployed and underemployed in urban and rural areas?

(c) No, assistance will be provided through a university.

(d) Yes

(e) Yes

9. FY 1989 Appropriations Act Sec. 515. If deob/reob authority is sought to be exercised in the provision of DA assistance, are the funds being obligated for the same general purpose, and for countries within the same general region as originally obligated, and have the Appropriations Committees of both Houses of Congress been properly notified?

NA



2. Development Assistance Project Criteria (Loans Only)

- a. FAA Sec. 122(b). Information and conclusion on capacity of the country to repay the loan at a reasonable rate of interest.
- b. FAA Sec. 620(d). If assistance is for any productive enterprise which will compete with U.S. enterprises, is there an agreement by the recipient country to prevent export to the U.S. of more than 20 percent of the enterprise's annual production during the life of the loan, or has the requirement to enter into such an agreement been waived by the President because of a national security interest?
- c. FAA Sec. 122(b). Does the activity give reasonable promise of assisting long-range plans and programs designed to develop economic resources and increase productive capacities?

3. Economic Support Fund Project Criteria

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|---|-----|
| a. <u>FAA Sec. 531(a)</u> . Will this assistance promote economic and political stability? To the maximum extent feasible, is this assistance consistent with the policy directions, purposes, and programs of Part I of the FAA? | Yes |
| b. <u>FAA Sec. 531(e)</u> . Will this assistance be used for military or paramilitary purposes?   | No  |
| c. <u>FAA Sec. 609</u> . If commodities are to be granted so that sale proceeds will accrue to the recipient country, have Special Account (counterpart) arrangements been made?  | NA  |