

-PD-AAM-986

AGENCY FOR INTERNATIONAL DEVELOPMENT <b>PROJECT AUTHORIZATION AND REQUEST          FOR ALLOTMENT OF FUNDS PART I</b>		1. TRANSACTION CODE <input checked="" type="checkbox"/> A ADD <input type="checkbox"/> C CHANGE <input type="checkbox"/> D DELETE		PAF 2. DOCUMENT CODE 5
3. COUNTRY ENTITY JS RAD		4. DOCUMENT REVISION NUMBER Original <input type="checkbox"/>		
5. PROJECT NUMBER (7 digits) [931-5301]	6. BUREAU OFFICE A SYMBOL JSB B CODE [10]	7. PROJECT TITLE (Maximum 40 characters) <input type="checkbox"/> Access to Land, Water, and Natural Resources <input type="checkbox"/>		
8. PROJECT APPROVAL DECISION <input type="checkbox"/> A APPROVED <input type="checkbox"/> D DISAPPROVED <input type="checkbox"/> DL DEAUTHORIZED		9. EST. PERIOD OF IMPLEMENTATION YRS. [6] [5] QTRS [0]		

10. APPROVED BUDGET AID APPROPRIATED FUNDS (\$000)									
A. APPROPRIATION	B. PRIMARY PURPOSE CODE	PRIMARY TECH. CODE		E. 1ST FY <u>79</u>		H. 2ND FY <u>80</u>		K. 3RD FY <u>81</u>	
		C GRANT	D LOAN	F GRANT	G LOAN	I GRANT	J LOAN	L GRANT	M LOAN
(1) EN	230	055		1,000		-		500	
(2)									
(3)									
(4)									
TOTALS				1,000				500	

A. APPROPRIATION	N. 6TH FY <u>82</u>		O. 5TH FY <u>83</u>		LIFE OF PROJECT		11. PROJECT FUNDING AUTHORIZED		A. GRANT	B. LOAN
	Q GRANT	R LOAN	S GRANT	T LOAN	V GRANT	U LOAN	(ENTER APPROPRIATE CODE(S)) 1 - LIFE OF PROJECT 2 - INCREMENTAL LIFE OF PROJECT		2	
(1) EN	670		670		2,840					
(2)										
(3)										
(4)										
TOTALS										
	670		670		2,840		C. PROJECT FUNDING AUTHORIZED THRU		FY [8] [3]	

12. INITIAL PROJECT FUNDING ALLOTMENT REQUESTED (\$000)			13. FUNDS RESERVED FOR ALLOTMENT		
A. APPROPRIATION	B. ALLOTMENT REQUEST NO. <u>1</u>				
	C GRANT	D LOAN	TYPED NAME (Chw./ SER FM/FSD)		
(1) EN	1,000		SIGNATURE		
(2)			DATE		
(3)					
(4)					
TOTALS					
	1,000				

14. SOURCE ORIGIN OF GOODS AND SERVICES  000  941  LOCAL  OTHER \_\_\_\_\_

15. FOR AMENDMENTS, NATURE OF CHANGE PROPOSED

FOR PPC/PIAS USE ONLY	16. AUTHORIZING OFFICE SYMBOL	17. ACTION DATE	18. ACTION REFERENCE (Optional)	ACTION REFERENCE DATE
		MM DD YY		MM DD YY

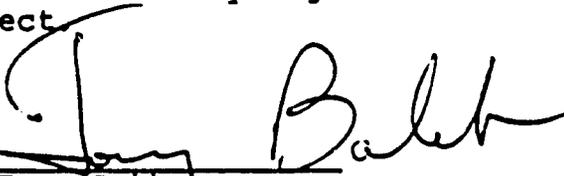
PROJECT AUTHORIZATION AND REQUEST FOR  
ALLOTMENT OF FUNDS

PART II

ENTITY: Development Support Bureau  
PROJECT: Access to Land, Water and  
Natural Resources  
PROJECT NUMBER: 931-5301

I hereby approve DS/RAD funding in the amount of \$2,840,000 for the Access to Land, Water and Natural Resources Project over a 4-year period subject to availability of funds, and authorize up to \$1,000,000 of FN in FY 1979. The contribution of additional funding as authorized by regional bureau is also approved for this project.

Signature: \_\_\_\_\_

  
Tony Babb  
Deputy Assistant Administrator  
for Food and Nutrition  
Development Support Bureau

Date: \_\_\_\_\_

8.8.79

Attachment:  
PAF and Project Paper

Clearances:

DS/RAD: Harlan Hobgood <u>HL</u>	Date <u>8/1/79</u>
DS/RAD: John Gelb <u>JG</u>	Date <u>7/27/79</u>
DS/PO: Robert Simpson <u>RS</u>	Date _____
DS/RAD: Thomas Mehen <u>TM</u>	Date <u>7/27/79</u>
DS/RAD: Paul Fritz <u>PF</u>	Date <u>7/30/79</u>
NE/TECH: Grace Langley (Draft)	Date <u>8/3/79</u>
AFR/DR: Lawrence Heilman (Draft)	Date <u>7/19/79</u>
LAC/DR: James Riordan (Draft)	Date <u>7/26/79</u>
ASIA/TR: John Roberts*	Date _____
PPC/PDPR: Douglas Caton (Draft)	Date <u>8/3/79</u>
*ASIA/TR: Jim Brady for Tom Arndt (Draft)	Date <u>8/7/79</u>

July 31, 1979

ACTION MEMORANDUM

TO: DAA/DSB/FN, Mr. Tony Babb  
FROM: DS/RAD, Harlan H. Hobgood  
SUBJECT: "Access to Land, Water and Natural Resources"  
project paper

Problem: Your approval is requested for the attached project paper "Access to Land, Water and Natural Resources" and the initiation of a cooperative agreement with the Land Tenure Center, University of Wisconsin, Madison to carry out applied research and expanded consulting services on improving the access of the rural poor to land, water and other natural resources.

Discussion: As requested by you, the 'access' project paper was distributed in final draft to the regional bureaus and DSB offices with an attached memorandum from you, dated July 17, 1979, asking for comment with a deadline of July 23. The only comment from the representatives of the Rural Development Steering Committee (Africa, L.A., Near East, Asia, and PPC) came from AFR/DR/ARD and LAC/DR. Both Africa and LA, in fact, did concur but raised some issues with the PP. Copies of the PP were sent also to DS/PO, DS/AGR, and PPC/WID. Only DS/AGR commented. AFR/DR/ARD, LAC/DR, and DS/AGR's comments, as well as DSB/RAD's responses, are attached under Annex A.

The project is designed to marshal resources to assist AID missions in their efforts to improve the access of rural poor in LDCs to productive assets and enhance the distribution of benefits to them from rural development programs of two basic types:

(1) Programs and projects designed specifically to support land reform efforts to redistribute productive assets through application of ceiling legislation, tenancy reforms and regulation, changes in traditional corporate group tenure systems, and consolidation of fragmented holdings; and

(2) Programs and projects which are not fundamentally redistributive in nature, but which are likely to affect (and be affected by) the prevailing patterns of land ownership and use (e.g. efforts to improve range land,

settle unoccupied lands, establish irrigation districts, initiate land reclamation projects and/or improve rural infrastructure).

Two countries will be identified for in-depth research and up to five additional countries per annum will be undertaken by the contractor for short-term consulting.

AID Missions, which are likely candidates for the project, are Liberia, Niger, Botswana, Paraguay, Ecuador, Peru, Barbados, Egypt, Tunisia, Philippines, Thailand and Indonesia.

Recommendation: That you approve and authorize funding by DSB of \$2,838,948 for "Access to Land, Water and Natural Resources" over the life of the project (FY 1979 - FY 1983), and approve incremental funding by the Regional Bureaus as authorized by them, by signing the attached PAF.

Attachments:

- A. DS/AGR, LAC/DR, and AFR/DR/ARD's comments and DS/RAD's responses
- B. PAF
- C. Project Paper
- D. Draft PIO/T
- E. Latest LTC Evaluation

Drafted by: DS/RAD: TMehen: say 7/26/79  
Extension: 235-2245

Clearance: DS/RAD: PFritz PF Date 8/2/79

AGENCY FOR INTERNATIONAL DEVELOPMENT

PROJECT PAPER FACESHEET

TRANSACTION CODE

A ADD  
C CHANGE  
D DELETE

PP

2. DOCUMENT CODE  
3

3. COUNTRY ENTITY  
DS/RAD

4. DOCUMENT REVISION NUMBER  
ORIGINAL

5. PROJECT NUMBER (7 DIGITS)

931-5301

6. BUREAU/OFFICE

A. SYMBOL DSB B. CODE 20

7. PROJECT TITLE (MAXIMUM OF 40 CHARACTERS)  
ACCESS TO LAND, WATER AND NATURAL RESOURCES

8. ESTIMATED FY OF PROJECT COMPLETION

83

9. ESTIMATED DATE OF OBLIGATION

A. INITIAL FY 79 B. QUARTER 4  
C. FINAL FY (Enter 1, 2, 3, or 4)

10. ESTIMATED COSTS (\$000 OR EQUIVALENT \$) -

A. FUNDING SOURCE	FIRST FY			LIFE OF PROJECT		
	B. FY	C. L C	D. TOTAL	E. FY	F. L C	G. TOTAL
AID APPROPRIATED TOTAL	1,000		1,000	2,840		2,840
GRANT	1,000			2,840		2,840
LOAN						
OTHER						
J.S.						
HOST COUNTRY						
OTHER DONORS						
TOTALS	1,000		1,000	2,840		2,840

11. PROPOSED BUDGET APPROPRIATED FUNCS (\$000)

A. APPROPRIATION	B. PRIMARY PURPOSE CODE	PRIMARY TECH. CODE	E. 1ST FY 79		H. 2ND FY 80		K. 3RD FY 81	
			C. GRANT	D. LOAN	I. GRANT	J. LOAN	L. GRANT	M. LOAN
1) FN	239	055	1,000				500	
2)								
3)								
4)								
TOTALS			1,000				500	

A. APPROPRIATION	N. 4TH FY 82		O. 5TH FY 83		LIFE OF PROJECT		12. IN-DEPTH EVAL. SCHEDULED
	C. GRANT	F. LOAN	G. GRANT	H. LOAN	T. GRANT	U. LOAN	
1) FN	670		670		2,840		
2)							
3)							
4)							
TOTALS			670	670	2,840		

MM YY  
08 83

13. DATA CHANGE INDICATOR: WERE CHANGES MADE IN THE PID FACESHEET DATA BLOCKS 12, 13, 14, OR 15 OR IN PRP FACESHEET DATA BLOCK 2? IF YES, ATTACH CHANGED PID FACESHEET.

1 NO  
2 YES

14. ORIGINATING OFFICE CLEARANCE

SIGNATURE: Harland H. Hobbgood

TITLE: HARLAND H. HOBGOOD  
DS/RAD OFFICE DIRECTOR

DATE SIGNED

MM DD YY

15. DATE DOCUMENT RECEIVED IN AID/W. OR FOR AID/W DOCUMENTS. DATE OF DISTRIBUTION

MM DD YY

## PROJECT PAPER

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## PROJECT PAPER

### ACCESS TO LAND, WATER AND OTHER NATURAL RESOURCES

#### PART I. Summary and Recommendations

##### A. Recommendations

1. Authorization of a grant in the amount of \$2,840,000 over a four year period. This represents an obligation of \$1,000,000 in FY 1979, and annual tranches in FY 81, 82, and 83 totalling \$1,840,000 to maintain the constant level of effort included below. It also represents approval of incremental funding of \$1,053,500 over the life of the project by the Regional Bureaus as authorized by them.

2. Authorization to request a waiver for the procurement of services from the University of Wisconsin Land Tenure Center as principal contractor to implement the project on the basis of predominant capability.

##### B. Description of the Project

1. Project purpose is to marshal resources to assist AID missions in their efforts to improve the access of rural poor in LDCs to productive assets and enhance tion of benefits to them from rural development programs of two basic types:

(a) Programs and projects designed specifically to support land tenure reform efforts to re-distribute productive assets (land, water, and associated capital) or to improve the tenure position of low income rural groups. Such measures may include ceiling legislation, land titling, tenancy reform and regulation, and consolidation of fragmented holdings. They may also include projects which involve the redesign or adjustment of agrarian systems, after some land redistribution has already taken place.

(b) Programs and projects which are not fundamentally re-distributive in nature, but which are likely to affect (and be affected by) the prevailing patterns of land and water ownership and use and hence the distribution of benefits from such projects. These include many rural development projects in areas of skewed or uncertain land ownership patterns. Other activities in which serious tenure issues may arise are, efforts to improve and administer rangeland such as regulating the use of the commons and its productive potential, settle unoccupied lands, establish irrigation districts,

exploit subsurface water resources and other material assets, initiate land reclamation projects, and improve rural infrastructure.

2. Project services -- will consist in four specific types of activities which AID Missions will be involved in as they try to play a catalytic and supporting role in directing development efforts toward more equitable distribution of benefits.

(a) Short-term consulting services to provide professional support for improving access of rural poor to productive assets in the design, implementation and evaluations of rural development projects.

(b) Long-term applied research related to strategy and program development and execution to provide better information on measures to increase access of the target group and to assess the incidence of benefits of such measures. Topics could include the following: analysis of tenure patterns over time with emphasis on understanding and analyzing the forces shaping the changes; resource tenure and the issue of equity of a development project; resource titling and mapping approaches; designing appropriate models of group farming; modifying traditional corporate-group systems particularly in Africa; interventions in markets to increase access by the rural poor, landless or tenant farmers to land and water; water rights distribution and management; and patterns of exploiting the village or municipal commons for human development.

(c) Dissemination of relevant information among practitioners and scholars. This will be done through newsletters, workshops, and circulation of published materials and training in short courses to facilitate exposure and interaction on access issues.

(d) Publications which develop or synthesize relevant experiences related to the problems of increasing access that will aid practitioners to design development projects and devise rural deve-

lopment programs. This will be in the form of monographs and special publication studies growing out of lessons from work in (a) and (b) above as well as some state of the art papers.

The project will help to establish effective working, relationships - both short and long-term, between a number of AID field missions and a highly qualified and experienced contractor.

3. Technical assistance -- a core multidisciplinary group will be available for assistance to missions.

Substantively, the core group will include the following areas of expertise: agricultural economics, rural sociology, political science, anthropology, law, economics, history, and agricultural communication and journalism. The focus or concentration of the core group will be the institutional structure of rural society with particular emphasis and expertise on the following topical areas:

(a) Tenure -- the analysis of the rights of various groups including landlords, tenants, owner cultivators, and members of communal or corporate groups in access to natural resources and their distributional consequences. Also included in this topic is the analysis of public rights with respect to taxation and resource use and control.

(b) Organization and Production Structures -- the analysis and evaluation of the parameters effecting performance in promoting rural development of different production structures including, the family farm, private large farms, collective farms and state farms; individual water exploitative systems (tube wells, etc.), group use systems, both publicly and privately held.

(c) Group and Cooperative Farming -- analysis of conditions under which group farming seems to succeed or fail both in terms of generating full participation of members and also effectively managing resources at hand.

(d) Administrative Agencies Dealing with Resource Controls, Taxes, and Resource Development -- the assessment of the capacity of such organizations as irrigation districts, settlement agencies, reclamation bureaus and other formal or informal institutions to not only help overcome the constraints in the way of utilizing available resources, but also to insure a more equitable distribution of income within the rural societies under their jurisdictions.

(e) Land Reform -- the analysis of the reform process including legislation, implementation, and experience in providing feedback from field operations which can improve the administration of reform programs and experience in the analysis of prereform situation and the problems of translating political objectives into operation and devising administrative rules with economic viability.

4. Project funding -- is \$3,892,648 over a four year period. This is composed of \$2,839,148 of DSB authorizations and \$1,053,500 in additional funding as authorized by the Regional Bureaus. This will enable faculty time to be funded and to permit the University of Wisconsin Land Tenure Center to recruit program associates and short term consultants.

As mentioned above under recommendations, DS/RAD expects to draw principally upon the University of Wisconsin Land Tenure Center to meet the technical assistance needs of this project. LTC's capability has been built up with assistance from A.I.D. 211(d) and other research grants over the past seventeen years. At present LTC has a strong multidisciplinary staff in place, an active teaching and research program focussed on a broad range of access issues, an excellent specialized library facility dealing with tenure and related areas, as well as, a network mailing list of over 6000 individuals and institutions in some seventy countries. DS/RAD also has made available under the project some funding that would enable LTC to subcontract additional consultants as to complement and further extend their capability to service a wide range of possible 'access' concerns of AID Missions.

## PART II. Background and Project Description

### A. Background

#### 1. Relevance of the Problem Area and Need for Expertise

The institutional structures governing peoples' right to own, control and use land, water and associated natural resources directly affect their response to production incentives, the distribution of income and their disposition to exploit economic opportunity as well as their ability to seek and use political power. Tenure is the general term used to denote this institutional relationship which, in turn, determines access to and control over these resources.

It is especially in the equity context that land and water tenure have become central to AID's concern. The manner in which land and water rights are held and distributed determines to a very large extent who will benefit from economic activity and from development programs. Experience has shown that in most rural situations reforms or adjustments of the tenure system are prerequisites to any major efforts to reach the rural poor. Also, where social and economic relations and power are highly stratified, rural development programs, no matter how technologically sophisticated, will not benefit the bulk of the rural poor and may even worsen their situation. Hence the direct relevance of land and water tenure to the Congressional Mandate.

The LDCs are characterized by a wide variety of agricultural conditions and institutional structures. Present tenure and land holding patterns present a complex array of arrangements. Some countries are dominated by small holder agriculture, though in many cases with considerable inequality due to inequality of size of holdings and considerable rates of tenancy and landlessness. Many countries use plantations, often foreign owned or controlled, for the production of export crops. Some have large estates or haciendas that dominate agriculture and employment opportunities. Others have traditional and customary tenure systems where the basic or sovereign ownership of land is vested in the local group or tribe. In yet others, landlords own much of the land which is farmed by sharecrop-

pers and tenants in small, independently operated units. Since land and water are basic factors of production, these tenurial arrangements directly influence the agricultural development and therefore the overall development of a country.

Tenure arrangements have a special importance for women and their role in development. While women have become increasingly important to agriculture in LDCs both as heads of households and as contributors to agricultural work, their rights to farm land are often problematic due to tenure regulations. Wives are often not entitled to be joint land owners and lose their rights at the dissolution of marriage by death or divorce. The insecurity of tenure tends to have a negative impact on women's desire to invest in agriculture and consequently their income as well as the output of the agricultural sector itself reflects this.

Thus, there is a need to more fully take into account land and water tenure systems as they critically affect employment and income distribution in alternative rural development strategies and activities. Yet, too little applied research into many of these specific systems has been conducted. To formulate strategies for more equitable rural development, more country-specific knowledge is needed. Further, a one-time research effort is inappropriate since institutions, and the factors which cause their modification, continuously change over time. With the Congressional Mandate and the resultant increasing emphasis on rural development projects, the analysis of land and water tenure structure and consequences of tenure changes on the distribution of services and benefits to the target groups is of special importance.

LDCs and inter-national development assistance agencies have been concerned with land tenure and problems of access and there is generally little disagreement on the need for wider access to productive resources as an important condition for improving the plight of the rural poor. AID for example, in the Agency's June 1978, Agricultural Development Policy Paper states: "Land (including water) is the key income generating agricultural asset in most low-income countries. A highly skewed distribution of land among agricultural producers or ineffectively enforced size ceilings, or tenancy regulations will adversely affect both improved equity and increased production, thereby rendering a broadly

participatory agricultural production strategy virtually impossible to implement. Accordingly, an empirical assessment of the actual tenure situation in each country is particularly important (pp. 26-27).

In a January, 1979, statement of "AID Policy on Agricultural Asset Distribution: Land Reform" (PD-72), AID repeated its concern that unequal landownership was preventing achievement of both economic and social goals, and stated that technical and financial assistance would be provided in support of reforms in land distribution or tenancy in countries where governments show a real commitment to the ends. Despite concern expressed by donors and LDC governments themselves, the evidence indicates that inequality and poverty are not diminishing. (See Agrarian Reform and Rural Development, Marion Brown, et. al., LTC paper prepared for AID March, 1979). While most LDCs have made some efforts to deal with problems of equitable distribution, further measures are clearly called for. There is, however, a wide variety of considerations -- land availability and quality, water resources and constraints of climate, population size and distribution, opportunities for non-farm employment, stages of development in other sectors, political and social value systems, customs and traditions. No single model for changes to increase access and rural equity is applicable.

In many parts of Latin America, landownership concentration is still high. In a number of countries the traditional latifundia/minifundia pattern still prevails. Large estates occupy most of the land, often used inefficiently and employing only a small percentage of the labor force. In some countries, land reform has been an important activity in efforts to improve access of the rural poor. A number of problems have persisted however. Most such reforms have been 'partial' efforts affecting only a portion of the rural populace, and "incomplete" in providing development services to the recipients of land rights. Even major reforms such as in Chile, Peru, Venezuela, and Bolivia have failed to adequately incorporate large numbers of landless or minifundia holders into the reform process. Many of the new tenure models have run into difficulties, for example, group farming as a means to render more of the marginal and poorest segments of the rural population, have been plagued both by internal management problems and by ambivalence in government policies. In addition to excluding elements of the rural population, reforms in many countries have faltered due to poor follow-up services and

programs for the reformed sector. Land settlement programs have also been undertaken in countries with available public lands. They have provided some relief to landless and to those peasants on crowded minifundia. However, irreproducibly heavy investment in infrastructure and assistance have been concentrated in these programs and they have not significantly relieved the situation in the more heavily populated areas.

Asia includes three countries with the most successful land reforms of the twentieth century: Japan, Taiwan and Korea. Most of the other countries have high population pressures, small farms, high rates of tenancy and a large proportion of landless households. A variety of land reforms have been attempted. The countries of the Indian subcontinent have eliminated "intermediary" tenure interests. Most countries have attempted some form of ceiling legislation, designed to convert tenants into owners; but the amount of land transferred has been modest.

Given the low land/person ratios major programs in Asia have focussed on new technology to increase crop yields. Productivity has been increased, but technological change has widened income disparities between regions and between agricultural classes.

In Asia the nature of the constraints impeding access to land and natural resources varies from country to country. Most of the countries have high population pressures, small farms, high rates of tenancy and a large proportion of landless households. A variety of land reforms have been attempted. The countries of the Indian subcontinent have eliminated "intermediary" tenure interests. Most have attempted some form of ceiling legislation, designed to convert tenants into owners; but the amount of land transferred has been modest. In East and Southeast Asia, the non-communist countries can be divided roughly into two groups: those that have fully implemented a distributive land reform such as Japan, Taiwan and South Korea and the other countries such as Philippines, Indonesia, Malaysia and Thailand which have partially implemented distributive reforms.

Japan, Taiwan, and Korea represent perhaps the most successful land reforms in the twentieth century. All have

been able to achieve satisfactory agricultural performances in terms of production, distribution, savings and accumulation. There have been no increases in absolute poverty and the gains from growth are widely distributed. Success has been attributed to a number of key factors: (1) the land reform covered a large portion of the population; (2) ownership was made available to farmer-tenants; (3) redistribution of income and assets in the rural economy took place; (4) the development of non-agricultural enterprises with the ability to absorb surplus labor and prevent landlessness; and (5) continued enforcement of maximum size of land ownership.

In regard to the second group, the Philippines has the only on-going agrarian reform program in Southeast Asia. The results from a socio-economic viewpoint have been somewhat ambivalent. Progress has been made toward converting tenant farmers to owners, but this has been limited to corn and rice areas and to farms over 7 hectares in size. Areas growing export crops have been exempted. It has been estimated that only about one half of the tenant farmers could thus become amortizing owners. The Philippine incremental approach, it seems, will need further adjustments if more farmers are to become owner operators.

Land tenancy and landlessness exist in Thailand at levels considerably lower than in many other developing countries. However, absentee landlordism is widespread in several provinces in the inner Central Plains, though these areas also have higher farm incomes and access to Bangkok which probably reduces the ill effects of high tenancy rates. Despite the apparent lack of urgency demanded by the situation at present, economic and political problems of tenancy will likely be exacerbated in the near future by high population growth rates and introduction of new agricultural technology, as well as perhaps by a more politicized class of tenants.

Most Thai farmers cultivate lands to which they have less than full legal title, a pattern especially common in the case of settlement in reserve forests and other public lands. Thailand has historically multiplied its rice production by extension of cultivated area far more than by increasing yields, and the result has been a shrinking of forest areas. Current illegal settlements on government lands have been carried out by large operators as well as small holders, but it is difficult to assess the relative role of each in various regions.

The 1975 Land Reform Act has been implemented by successive governments with some shifts in policy. Major activities have included a beginning on country-wide land surveying and more detailed determination of holdings in several Central Plains provinces which have been designated for land reform activities on private land. The Agricultural Land Reform Office has met with little success in voluntary purchase, and has not yet moved to use its legal power to expropriate land in excess of about 8 hectares (in the case of cultivation by the owner).

Thus far, land reform activities have been primarily in the area of public lands, as ALRO has begun to record existing holdings and to provide developmental inputs in areas of deteriorated forest that have been assigned to it for land reform activities. Here there are conflicting goals of forest conservation and alleviation of rural poverty, complicated by the presence of influential operators with larger than family-size holdings in the government forest land. Policy decisions under continual discussion include the speed with which repossession and reallocation of these large holdings should be carried out; the type of land document which settlers in these areas should eventually receive; the amount of development inputs the government should provide in a given area; and the assignment of responsibilities and coordination between ALRO and other government agencies concerned with similar land settlement and development activities.

Indonesia witnessed a brief period of land reform in 1962-65. Since then, attention has shifted to colonization of the Outer Islands in order to relieve the heavy population pressure on Java and Bali.

The agricultural sector in Indonesia has not been characterized by large holdings. But there is now increasing evidence of farm land purchases by non-farm absentee landlords. In addition to the problem of increasing tenancy, the small farm owners often do not possess secure titles. In this situation, given a growing population and diminishing frontiers, government policy will continue to need to address both tenancy and titling issues as well as resettlement efforts to insure equitable access to land and other resources for the rural poor.

The Near East has special problems of land resource access. Early land reforms in Egypt and Syria helped to eliminate the domination of landlords, and improve the access of the small peasant and tenant. However, in Egypt concentration of landholdings have increased since the 1952 reform, because reform efforts have not been sustained and land rights are not currently available to growing numbers of landless. Syria is facing other problems as it experiments with an excessively bureaucratic reclamation and irrigation program and a state farm production system that is already floundering due to lack of individual production incentives and heavy administrative overhead.

Another problem facing countries of the Near East region are customary laws which are conducive to fragmentation. In this regard some attention has been placed in Near East countries on the integration of land redistribution with new production arrangements. In Egypt and Iran, among others, land reform has been followed by the adoption of group production arrangements, such as, farm corporations, crop consolidation cooperatives, and some full fledged production cooperatives. While these state induced forms of group action have helped to achieve an integration of production units with supporting services, the administration has often remained highly centralized. Many of these efforts need review to fully gauge their effectiveness. There is indication that performance to date for many group farming and cooperative efforts needs improvement.

The majority of countries in the region have also made attempts to deal with the problem of aridity by instigating large-scale irrigation schemes. Most settlement schemes have been costly and the effects on improving access for the rural poor have been marginal.

Nomads form an important part of the population in many Near Eastern countries. Access to water is a key concern. Some settlement schemes, according to the FAO, have recently been developed. For the most part, it is too early to assess the results and benefits of these efforts.

For the Africa region, the problem of access to resources is varied as the vast continent itself. In much of sub-Saharan Africa complex tribal or customary tenure systems prevail. In these systems, land ownership is vested for-

mally or by custom in a corporate kin group which allocates land for cultivation, usually to nuclear families who possess for use but cannot sell such land. In most cases, there is much more apparent equality in African agriculture than in systems with fully developed private ownership. However, problems are increasing as the traditional arrangements under customary tenure start to break down due to commercial pressures, growing populations, arbitrary misuse of power over land use distribution and the gradual emergence of exploitative tenancies. Inequalities in access have begun to manifest themselves in a number of African countries.

The major challenge is to adapt customary tenures to development without sacrificing their traditional built-in egalitarian nature. Recently, June 1978, LTC completed a position paper, Land Tenure Issues in African Development, which examined the relevance of tenure and related issues of social structure and organizational design to typical projects supported by AID in Africa. The paper indicates there is increasing pressure for shifts in land to be made from customary status and security to a form of individual negotiable property. LTC also points out that if the structure of traditional African society is not to be destroyed in the process of modernization, there must be a careful selection of customary social practices which both honor the character of the people and have potentialities for supporting development.

Livestock operations constitute another tenure system in Africa that is critical for rural development in many countries particularly in the arid regions. These are complex systems and given the arid environment and its unpredictability, access to watering places is a key concern. Conflicts between cultivators and pastoralists arise over dry season range access. Livestock operations are often found in fragile environments. The growth of human and animal populations may lead to severe over-grazing and over-cropping with the consequent destruction of sparse forage. Also inappropriate policies may often have this same effect. A variety of measures and development projects are being undertaken to deal with the problems of these systems, in effect to control the access to range land. The effectiveness of these programs and their impact on equity need to be more fully understood for better rural development program design and implementation.

## 2. Approaches to the Access Question

In response to the broad problems of access outlined above, this project will provide assistance at two levels in attempting to enhance more equitable access. The first would be to assist missions with regard to the analysis of tenure rights and related aspects of social structure for a wide variety of development projects whether focused precisely on redistribution or not. The focus would be to aid missions in determining which groups need special assistance to take part in and benefit from the project. Important considerations that would be undertaken to assist in project analysis are: (a) examination of the way the operating rules of local societies mesh (or fail to mesh) with the operating rules of projects, particularly projects that involve changes in land use (irrigation, range improvement, land settlement, soil conservation projects); (b) analysis of scale effects which dictate the minimum size of farms which can utilize certain types of investment such as deep irrigation wells and other indivisible inputs; (c) review the impact of alternative tenure systems on the availability of services such as credit, inputs, market outlets, and technical assistance; (d) analysis of the impact of the development project on tenants and hired workers whose access to subsistence and participation in increased production and income are affected by the action of landowners to replace tenants by hired workers, and both tenants and hired workers by machines; (e) examination of the possible effects of African corporate landowning groups of the organization and rules of the development project particularly with respect to land allocation rules; (f) analysis of the impact of the development project on women, in particular their rights of access to productive resources.

The project will also provide assistance to missions working with LDCs engaged in direct efforts to achieve more equitable access and distribution of productive assets. The following situations suggest possible different responses that would be provided: (a) Where a country is committed to redistribution and is interested in carrying out a land reform program -- major land reforms occur in only a few countries at any particular time. When they do occur a principal task of research and consulting is one of analyzing the legislative provisions and providing feedback from field operations which are designed to help improve the administration of reform programs. Also analysis of the pre-reform situation of similar experiences in other

countries could be undertaken which would help in formulating the program of reform; (b) Where a country has attempted a land reform or redistribution effort but the effort has been only partial and there is a need for follow-up and adjustment in the institutional and organizational structure of the reform sector -- this could entail assistance in titling efforts and also efforts to reform tenancy. In addition, many of the experiments in redistribution have utilized group farming efforts. More than half of the rural people of the world live under one form or another of collective or group farming. Analysis of the new experiments and opportunities as well as applied research of on-going efforts could be helpful in designing or modifying organizational features that would enhance chances for success of reform programs; (c) Where a country has little political tolerance for reform and asset redistribution efforts, but where something must be done to improve tenure and the access situation to ensure that rural development is reasonably effective. In this case the project would assist missions in examining two types of interventions. First, those that would make possible the development and more effective functioning of the land market in the LDC to benefit the rural poor. Taxation and land mortgage credit would be the major areas addressed. Assistance could be provided to explore forms of taxation that would represent incentives for large landowners to divest themselves of some holdings. On the credit side establishment of guaranteed mortgage credit and the creation of land scale guarantee funds would be focal points of technical assistance. Second, in those countries where there is unoccupied public lands the project would aid in the design and evaluation of settlement schemes

### 3. Methodological Considerations

This project is addressed to rural institutional change and encompasses a wide range of access issues. Its successful implementation requires sensitivity to the political possibilities of reform as well as to the more technical aspects of reform and rural development efforts.

Without such a multi-disciplinary attention to land tenure, analysis becomes either purely idealistic or purely technical, in a model-building sense, which loses contact with political possibilities. The stresses and inequities of development lead, by easy rationalization, to an idealistic remedy that government "should" redress the ine-

quities. Analysis from the perspective of a particular social science tends to be incomplete. Anthropological studies provide some of the best descriptions of land tenure and impact of development in changing land tenure on rural households, but frequently do not address political possibilities within the context of larger national policy. Political science describes the emergence of land reforms as policy objectives out of the stresses of development, but shows primarily the symbolic role of the goals and their use by politicians and political elites without providing guidance of how to create new institutions that will promote development at the same time that they will distribute benefits more equally. Economists concentrate on the impact of tenure on efficiency and under competitive conditions the prospects of induced institutional innovation in response to new economic opportunities, but without incorporating political possibilities into their analysis.

These disciplines together can provide us with a better grasp on the whole problem. Thus a multi-disciplinary approach focused on land tenure and access is an essential part of this project. An aim of this approach is that it will help appraise political feasibilities and devise approaches to alternative policy measures -- both where redistributive reforms are contemplated and where they may be politically impossible at present. It should also be combined with continuing review of experience and analysis, as well as contributing additional alternatives which may help resolve the political dilemmas of access.

## B. Detailed Description

### 1. Project Goals

The primary goal of this project is to enhance the ability of AID missions and LDC institutions to design and implement rural development programs so that they may operate more effectively to promote greater access to resources by the rural poor. Goal achievement will ultimately be determined by positive changes in policies; successful implementation of rural development programs consistent with improving income and employment opportunities of the rural poor; reduced implementation problems due to inadequate conceptualization and monitoring; and better impact evaluation flowing from projects.

## 2. Project Purpose

To marshal human and intellectual resources which AID missions and regional bureaus and LDC institutions can draw upon for work in increasing access to resources particularly land and water for the rural poor. This will involve:

(a) Providing AID missions and regional bureaus and LDC institutions with better operational analysis, materials, information and conceptual guidelines for the improvement of rural development programs and projects including program documentation, research, evaluation, and policy analyses;

(b) Assembling existing knowledge on increasing access to resources of small farmers in convenient digestible form for practitioners;

(c) Generating new knowledge through applied research by agricultural and institutional economists, sociologists, anthropologists, and other social scientists which will help to improve the equity and distribution of benefits of AID projects; and

(d) Strengthening the ability of researchers, consultants, and policy makers worldwide to properly treat access questions.

These activities will be designed to increase the flow of information and the analytical and consulting resources needed for decision making on the design and implementation of improved equity and redistribution strategies.

By the end of the project, the following measures for verifying the achievement of the project purpose will include:

(a) Utilization of network consultants to work on access problems;

(b) Utilization of information made available through state of knowledge and specific research studies in the development and design of projects.

(c) Employment by the LDCs of policy guidance developed as a result of the specific studies, evaluations, and in-depth research activities.

### 3. Project Outputs

There are four outputs listed here and elaborated on below:

(a) Research consulting relationship established between the Land Tenure Center and AID missions selected for participation in the project.

(b) Identification of consultant resources outside the Land Tenure Center with qualifications and interest in specific AID assignments.

(c) Information dissemination activities directed toward LDCs, AID and other donor practitioners and members of the consultant network. This will consist of workshops, seminars, dissemination of research findings and research notes, and such other means as may be found suitable.

(d) At least 5-6 special studies or state of the art papers with workshop reports on key problems related to access to land and water in LDC contexts.

### Consulting Services

Consulting services will be provided on various aspects of access of land and water relevant to project design, implementation and evaluation, as well as in development of overall mission strategy papers, such as CDSS, for which analysis of tenure patterns could be extremely important.

Consulting services will be of two basic types:

(i) Direct consulting by the contractor to missions or to AID/W for the purpose of program review and development, project evaluation or project design and implementation. These will normally be short-term assignments undertaken as DS/RAD and the contractor agree up to the total number of person/months specified in the contract. These activities will generally be funded out of DSB funds; however, for longer-term consultations some mission funding of selected activities may be utilized.

(ii) Assistance provided by the contractor in developing a consulting roster from which missions can have access to qualified professionals on mission or regional bureau funding to support project activities. This roster will be interdisciplinary and will include specialists from both developed countries and LDCs.

(iii) Consultants identified by and funded by the contractor to provide additional assistance to AID missions.

### Applied Research

As an important step in helping AID and LDCs to design more effective programs and policies that will impact on access, this project will provide substantive support for in-depth analysis of access problems in four countries. The project will aim to be responsive to mission requests and will entail collaboration between the prime university contractor, AID professional staff in missions and Washington, and representatives of LDC institutions.

There are a number of critical issues related to improving access to land and water under rural development programs in which AID is currently working. In general, the highest priority areas include the following: (1) land and water tenure and issues of equity and viability of development projects; (2) analysis of tenure patterns over time with emphasis on the forces shaping the changes; (3) interventions in land markets to benefit the rural poor; (4) land titling and mapping; (5) group farming; (6) modifying traditional corporate-group systems particularly in Africa; (7) group systems and institutions for exploration, development, use and distribution both for production and for human consumption.

Specific questions which will be addressed in each country will depend on the interests and concerns of the host government, local institutions, local researchers and the AID mission.

Topics selected will be those which have a direct bearing on the design and implementation of better programs in the countries where the analyses are being conducted and to the maximum extent possible, the studies would be conducted so that the results can be generalizable to other countries facing similar problems. Joint research will be carried out with local professionals and in conjunction with local institutions to the greatest extent possible. Portions of these applied research activities will be funded through mission program funds, as mutually agreed upon by DSB, the Mission and the Regional Bureaus.

The discussion in Appendix I outlines some of the types of issues or questions that need to be explored through in-depth research in order to assist AID missions and LDC institutions design programs and policies that would more effectively meet rural development objectives of increased equity of benefits and access to resources.

#### Information Dissemination

The Land Tenure Center will be responsible for the development of a set of information dissemination and exchange activities which will involve AID staff, U.S. professionals, host country officials, and LDC professionals. The purpose of such activities will be three-fold.

(i) To keep mission staff and LDC professionals current with ongoing research and with related experience with rural development strategies elsewhere. This may be done through newsletters, circulation of published materials, etc. But it is expected that seminars, workshops, and short training courses will be organized on a country or regional basis to facilitate exposure and interaction.

(ii) Comparable activities will also be undertaken in the U.S. to encourage interest in and awareness of the research problems of LDCs within the American community and

to help direct existing research into applied and policy related fields.

(iii) Of particular importance, will be the use of these information dissemination activities, particularly the more active elements such as seminars, in creating an effective consulting network that is in reality an interaction network of professionals involved in related activities and not simply a roster of potential consultants.

### Special Studies and State of the Art Papers

In addition to the applied research done under this project, two additional kinds of studies will be done. The first type would draw on world-wide historical experiences. Approximately four or five studies of this nature would be undertaken. Examples of topics under this category would include:

(a) Lessons Learned from Past Reform Experiences in the Context of Rural Development--The key question here would be which land reforms and other redistributions of assets have worked, which have not, and why? Based upon historical experience, an attempt will be made to draw-up the necessary conditions for each type of asset redistribution to be successful. What has been the relationship, if any, between the different types of redistribution and subsequent experience with rural development? What are the key implementation problems and how are they to be resolved?

(b) Identification and Analysis of Tenure Patterns in Rural Development -- This paper would focus on the question of how one can identify tenure patterns in the LDCs, especially in relation to rural development policies and programs. It would outline possible distinctions between various kinds of tenure groups that may exist, such as, sharecropper, tenant farmer, owner, etc. and the particular implications and meanings of these categories in specific institutional contexts. It would also concentrate on how the changing tenure arrangements affect women as agricultural producers. Moreover, suggestions would be made on possible secondary sources that might be used as well as various proxy measures that would be helpful in grasping an understanding of historical trends. The project would focus

as well on how surveys might be designed for benchmark indicators and how these might be incorporated in the development of a baseline data system for rural development programs.

(c) Group Farming -- Group farming has been carried out in three general situations: in socialist countries where the bulk of the small farmers are induced or coerced into collective arrangements; in countries where it has become an important element in the reform sector, such as in Peru; and in countries where it is largely the experimental and individual operators dominate, e.g., South Korea or Sri Lanka. Furthermore, group farming experiences are most varied in terms of the degree and extent of integration -for one particular function, or commodity, or total integration of all activities.

This study would attempt to examine two key concerns. First, it would be analyzing the types of collective activity or group farming effort that would be most effective in an agrarian system dominated by small holders. The experience in South Korea with limited group farming is relevant in this instance. The lessons learned could be applicable to many parts of Asia. A second area of concern would be the issue of transplanting group farming models. The paper would attempt to identify the constraints and the modifications needed to adapt a group farming system to other countries and localities with different political situations and governmental support.

(d) Reaching the Landless -- This paper will examine the concept of landlessness in the context of rural group access to resources and income opportunities. The "landless" in a plantation economy, working on a daily wage basis have a different status from those who work for a share of the crop in return for harvesting and performing other operations on paddy rice, with assurance of employment from the cultivator. Another important difference occurs when "landless laborers" can hope (if not expect) that work on land improves the chances that he/she can eventually become a tenant or even an owner - operator, while wage employees have no such prospects. Extended family linkages back to tribal lands in Africa pose an even more complex problem for analysis of what it means to be "landless". Projects implemented without clear understanding of such tenuous relationships to land can inadvertently diminish or

extinguish such relationships. On the experiences side, the efforts of highly committed governments (e.g., Sri Lanka, Tanzania, and some states in India) will be analyzed to determine how and to what extent apparent failures to reach the landless and other target groups can be explained by tenure and tenure-related phenomena.

A second type study would focus on regional issues that would be relevant to a group of countries facing a similar type of tenure or access concern. These studies would be carried out in conjunction with consulting and field visits. Examples of this kind of study would be:

(a) Appropriate Systems of Tenure for Pastoralism

One of the most pressing and yet resistant problems in African development remains the continent's arid land economics. AID and other members of the international donor community have over the years supported the build-up of an understanding and vast data record on the nature of the problem. In spite of all these efforts, there has been a widening of an intellectual gap that separates African arid lands specialists into two camps.

One group argues that, given the nature of the continent's arid land resources, the pastoral systems existence are already so finely adapted that any attempt to alter them is doomed to failure. Such a perspective maintains that indigenous pastoral societies are careful about the use of grazing resources, and that, in fact the pastoralists' tenure system safeguards against overgrazing by holding certain pastures in reserve until the dry season begins.

The other camp sees the pastoralists themselves as playing a major role in the creation of the problem. That is to say, because the pastoralists' tenure system does not make the individual herdsmen responsible for their actions, they consequently are prone to keep too many animals on too fragile land. The argument continues that the condition has worsened recently due to both increases in human and livestock rates. The result is overgrazing, which leads to desertification, erosion, and a loss of thousands of hectares annually.

Both positions are fortified by studies which have become classics. In such a situation it is usually the case that both sides are right on some aspects but not for all cases.

The proposed state of the art papers would provide a frame of reference from which the lessons learned and the conclusions reached in both bodies of literature can be utilized.

Using particularly the experiences of Mali, Niger, Sudan, Kenya, Tanzania and Botswana, it is proposed that a search of the available literature and field visits be utilized to document and analyze both directed and spontaneous change in pastoral systems.

(1) Directed change: Almost all range projects envision some manner of altering the land tenure arrangements. Over the past decades there have been fairly similar approaches to altering the land-animal ratio. These have included group ranch schemes, block ranching, range rotation and sectional grazing where animals are born, raised and finally fattened and butchered in different ecological zones.

(2) Spontaneous change: Many spontaneous developments are taking place in African pastoralism. Contrary to much of the literature on pastoralism, these herders are not living in a static model. For example, among the Tuareg of the Sahel there is an increasing reluctance, on the one hand, to continue their transhumance patterns for fear the range left to regenerate at the southern terminus will be occupied by cultivators in their absence. On the other hand, there has been a major realignment in herd composition which is now placing more emphasis on small ruminants, which use the range in a way different from camels and cattle. Both these changes are related to and easily handled in terms of land tenure issues.

In Botswana, individuals are breaking out of the communal mold and gaining effective control over sizeable areas by putting in private wells.

Crucial variables for analyzing these changes (both directed and spontaneous) include range conditions, climatic cycles, recent political history and policy formation, market, credit and transportation structure, to name just a

few. The same institution that is viewed as a constraint to development can be used by the local people to accomplish their goals. There is a need to find those critical elements or rules of these institutions that promote or protect the interests of the poorer strata.

#### (b) Interventions in Land Markets

This paper would focus on interventions less drastic than the traditional land reform. It would review possible efforts at tax changes and credit instruments, such as, government guaranteed mortgage credit for land purchase and the establishment of a land sale guarantee fund that could facilitate greater access to productive resources for the rural poor. Special attention would be given to the analysis of factors that would be likely to obstruct or facilitate these programs. The experience particularly relevant would be several South and Central American countries (Ecuador, Panama, El Salvador) and the island states of the Eastern Caribbean which are currently exploring programs to facilitate functioning of land markets.

This study would also serve to identify key problem areas in land markets that would be targets for applied research. A more detailed description of the nature of the tax and credit interventions that would be examined is contained in Appendix I which describes possible applied research topics.

#### 4. Project Inputs

(a) Contract: Central funding will make available at the contracted university a core consulting/research team which will be multi-disciplinary in character and capable of encompassing the range of the substantive concerns of this project. This core group will be available for applied research/consulting work in at least four countries and will guide information dissemination and consulting network development to cover all AID assisted countries.

Consultant services will be financed under this project when they fall within the scope of the development concerns outlined above and when they relate directly to the core of

priority research/consulting activities worked out between the contracting university and AID. Sources of expertise will be the core team at the university and members of the consultant network developed under the project. Regional Bureau resources may be utilized to respond to requests for project services which go beyond the funds authorized through DSB. This will permit a consequent expansion of project inputs.

(b) DS/RAD: Approximately 40 per cent of one senior professional's time to assume management responsibility and substantive involvement.

### PART III. PROJECT ANALYSES

#### A. Technical Analysis, Including Environmental Assessment

The project has as its primary purpose assistance to Missions in more clearly defining the issues constraining wider access to productive assets for the rural poor and in devising appropriate program responses. The technical nature of recommended responses will vary according to in-country circumstances. Since project activity will occur in several countries in response to demand from Missions it is not possible at this time to specify what would be a technically correct response. The instruments of project activity will be expected to be sensitive both to differing country situations and to common properties which may provide general solutions for application elsewhere. Emphasis will be placed on appropriate, effective, wide-distribution techniques which best exploit existing situations.

#### B. Budget:

Table I input budget and Table II output budget indicates in detail the DSB funded inputs for life-of-project. The Table III input budget, indicates the estimate of possible mission add-ons to the project for applied research, consultation and special studies. DS/RAD requests that the project be approved for funding at the combined level (i.e. both DSB and mission funding) with the understanding that only DSB funds are currently being authorized. Further additions, estimated at \$1,053,500 may be added by amendment to the contract out of mission program funds. These additional inputs will be for efforts within the scope of work of the project, and required by specific local conditions and the characteristics of mission programs. It is, for example, planned that DSB funds will be combined with mission funds (and of course host government funds) specifically to field test new approaches to resolving the problems of access.

The provision for the mission add-on is included:

(a) because of the difficulty of anticipating the technical requirements of specific field tests and long term

consultations until we are actually in negotiation with the mission and host government in an actual context;

(b) in order to avoid the complications of having two or more contractors involved in field implementation of the model by permitting our contractor to implement a mission project in this area;

(c) in order to encourage more direct cooperation between DSB applied research and mission programs.

Mission add-ons will, of course, be authorized by their respective Bureau. These, as well as DSB funding of activities in-country, will be managed by the Missions. DSB will review and clear-off on each proposed add-on, however, to insure that it is consistent with the overall objectives of the 'Access' project.

TABLE I: Input Budget -- Core

Projected LTC Core Budget

	Year I	Year II	Year III	Year IV
<b>SALARIES</b>				
Faculty	\$126,485	\$153,615	\$183,830	\$196,727
Staff	105,101	112,056	119,294	126,997
Research Fellows	32,785	35,080	37,535	40,160
Student Help	7,200	7,632	8,090	8,575
Consultants	19,800	21,000	22,260	23,600
	<u>\$ 291,371</u>	<u>\$329,383</u>	<u>\$371,009</u>	<u>\$396,059</u>
<b>FRINGE BENEFITS</b>	\$ 50,074	\$ 57,236	\$ 65,065	\$ 69,406
<b>OVERHEAD</b>	\$ 148,859	\$167,087	\$187,910	\$201,461
<b>WORKMEN'S   COMPENSATION</b>	\$ 9,000	\$ 10,000	\$ 11,000	\$ 12,000
<b>TRAVEL</b>	\$ 32,910	\$ 38,626	\$ 45,804	\$ 48,552
<b>PER DIEM</b>	\$ 32,910	\$ 38,626	\$ 44,150	\$ 46,800
<b>OTHER DIRECT COSTS</b>	\$ 29,500	\$ 32,400	\$ 34,840	\$ 37,110
	<u>\$ 594,624</u>	<u>\$ 673,358</u>	<u>\$ 759,778</u>	<u>\$ 811,38</u>
<b>TOTAL:</b>	<b>\$2,839,148</b>			

**TABLE II: Output Budget for Access to Land,  
Water, and Natural Resources**

	Year I	Year II	Year III	Year IV
CONSULTING	\$196,404	\$235,258	\$266,531	\$293,418
NETWORK OPERATIONS	\$114,902	\$131,820	\$148,153	\$158,284
STATE-OF-KNOWLEDGE AND SPECIAL STUDIES	\$173,046	\$179,371	\$202,155	\$215,935
INFORMATION DISSEMINATION	<u>\$110,272</u>	<u>\$126,909</u>	<u>\$142,939</u>	<u>\$143,751</u>
	<u>\$594,624</u>	<u>\$673,358</u>	<u>\$759,778</u>	<u>\$811,388</u>
<b>Total:</b>	<b>\$2,839,148</b>			

**TABLE III: Input Budget -- Mission Funded Activities**

	Year I	Year II	Year III
<b>SALARIES</b>	\$ 59,600	\$ 86,000	\$ 80,300
<b>FRINGE BENEFITS</b>	\$ 11,900	\$ 17,200	\$ 16,000
<b>OVERHEAD</b>	\$ 24,000	\$ 34,400	\$ 32,000
<b>TRAVEL AND TRANSPORTATION</b>	\$ 88,000	\$ 99,000	\$108,000
<b>ALLOWANCES</b>	\$ 20,800	\$ 20,800	\$ 20,000
<b>VEHICLES AND EQUIPMENT</b>	\$ 23,000	\$ 14,000	\$ 4,500
<b>OTHER DIRECT COST</b>	\$ 74,000	\$ 93,000	\$127,000
	<u>\$301,300</u>	<u>\$364,400</u>	<u>\$387,800</u>
<b>TOTAL:</b>	<b>\$1,053,500</b>		

### C. Social Soundness and Economic Analysis

This project will work directly with missions and LDC host governments to develop more equitable approaches to rural development. It is designed to aid mission efforts in meeting the Congressional Mandate of reaching the rural poor. The project will help in the identification of the target group in general and also assist in examining the particular tenure constraints facing women members and suggest administrative, institutional and organizational adjustments that would enhance a greater flow of development benefits to the target population. The project will provide support to LDCs concerned with carrying out redistributive measures and reforms, in particular, how these might be done in the most effective manner. In sum, the proposed project's focus should enhance the Agency's capability to carry out effective social soundness analysis.

The economic feasibility of a project of this nature rests on two criteria. First, is this the most efficient means of providing the services procured. Second, is this particular set of consulting and analytical services an effective way of improving access to productive resources in favor of the rural poor.

On the first issue, DS/RAD would argue on the basis of two years' experience with similarly structured technical assistance programs that central funding of a core, high quality, multi-disciplinary team which can be utilized to service several mission programs is a highly cost-effective way of improving mission efforts in rural development. The bulk of DS/RAD's "applied research" costs are directly combined with technical assistance and consulting in support of mission projects and, in consequence, the real cost of knowledge generation is represented only by the money allocated to information dissemination and state-of-the-art work.

On the second issue, the "Project Background" analysis indicates the prevalence and importance of access and equity considerations. In addition, a number of key studies and reports (see in particular Review and Analysis of Agrarian Reform and Rural Development in the Developing Countries Since the Mid Sixties FAO WCARRD/INF3.) have also shown that rural underdevelopment and poverty are closely related to inequitable distribution of land and water. AID will continue to need help both in the development of new approaches to make equity activities more effective and development activities more equitable. Given the scarcity of expertise

in this area it makes sense to centrally fund efforts to develop new approaches and methodologies for attacking these problems.

## PART IV. IMPLEMENTATION PLANNING

### A. Administration

1. Contractor Selection. A procurement waiver will be requested to contract with the University of Wisconsin Land Tenure Center based on that institutions predominant capability in the subject area treated by the project. DS/RAD's decision was based on the following considerations:

(a) Experience: The University of Wisconsin and the Land Tenure Center have a long and rich history of involvement with land and man's relationship to it. Much of the early work in the area of land economics originated at Wisconsin, and today it is the leading U.S. institution in the field of land economics. This results in part from the fact that the interest and commitment of the University to people/land problems has been strong and continuing, shifting as the problems changed over time: state and local focus gradually evolved into regional, national, and, finally, international concerns. As land tenure problems were identified in the LDCs it was only natural for the University of Wisconsin to work on those problems as well. This was a logical extension of its existing long-term interest and commitment to U.S. people/land problems. Now, all international work is considered as one of the four major activities of the University, along with research, teaching, and extension.

The idea for the Land Tenure Center (LTC) at the University of Wisconsin dates from 1951, when the University sponsored the first World Land Tenure Conference in Madison and invited specialists from throughout the world. This Conference led to the eventual establishment of the LTC when AID research funds became available in 1962. The Center has been partially funded through contracts and 211(d) grants since that time and the total funding provided by AID for establishing a capability has been \$3,138,000. In the years since 1962, the LTC has forged a strong and cohesive program which is nevertheless flexible enough to meet changing needs and foci. LTC's first work was in several countries in Latin America where redistributive land reforms were underway. LTC has accumulated a considerable understanding of the reform process: the political setting and nature of reforms, the difficulties of translating political objectives into operational administrative rules with economic viability, the problems of establishing appropriate organizational units and the need for supporting services. Since 1970 LTC has succeeded in expanding its activities and

competence into Asia and Africa as well as Latin America. LTC's program has been based on an institutional approach to the questions of access to resources and a multidisciplinary core faculty which has drawn in the past on the principal social science departments at the University of Wisconsin.

Their current efforts encompass a broad range of tenure and tenure-related issues as they affect and are affected by development.

(b) Capability: LTC has in place a response capability able to meet the needs of AID and other donor agencies attempting to deal with a broad range of equity issues, spanning situations in which massive redistribution of assets is undertaken to those in which no redistribution at all is possible. There are five senior professionals who have been devoting up to fifty percent of their time or more to land tenure concerns in LDCs. In addition, LTC can draw upon an affiliated larger program faculty from the various departments at the University of Wisconsin. Recently LTC's core team has drawn upon other departments to strengthen capabilities for work in Africa. In 1978, a special LTC group prepared a paper entitled "Land Tenure Issues In African Development," which examined how these concerns were likely to impact on AID projects.

Within the last two years, AID's use of this response capability has been increasing. For example, the following consulting and/or applied research efforts have been made by LTC staff.

- 1975 - 1978 Provide Agrarian Reform Research Advisor to AID Mission to the Philippines and agencies of the Philippines government.
- 1976 - 1978 - Together with AID/W, the Agricultural Development Council and the University of Wisconsin Center for Cooperatives participate in a series of workshops on Cooperatives, Small Farmers and Rural Development. LTC faculty prepared the two key papers for the final seminar in this program. The purpose of these workshops was to appraise the role of cooperative organizations in rural development and particularly the role of U.S. cooperatives in providing technical assistance to cooperatives in LDCs.
- 1978 - Major research and writing effort to assist AID in preparing materials to be used by the official U.S. delegation to the July, 1979, FAO World Conference on the Role of Agrarian Reform in Rural Development.

- January 1978 - Consult with AID Mission in El Salvador on land sale guarantee programs.
- March 1978 - Consult with officials of AID Mission to Thailand on land tenure and land reform conditions; review request for foreign advisors to assist the Thai government.
- June 1978 - Consult with AID Mission in Haiti to determine possible effects of AID projects on rural poor.
- January 1979 - Consult with AID Mission in Barbados on land tenure projects.
- January - February 1979 - Consult with AID Mission in Niger about tenure aspects of the Niger Range and Livestock Projects. Consult with AID Mission in Liberia about tenure aspects of the rural sector analysis project and an integrated rural development project. Explore with AID Mission and government agencies in Botswana, Ethiopia and Kenya possibilities for collaborative research and training; strong interest expressed in LTC collaboration with the Botswana Tribal Grazing Land Program. Participated in United Nations Institute for Namibia Conference on Agrarian Reform Options for an Independent Namibia, as the only invited participants from the United States.

(c) Facilities: LTC maintains a specialized library with more than 60,000 items dealing with land tenure, agrarian reform, rural development and related areas. The LTC also has several regular publications series - Reprints Research Papers, Training and Methods (specialized bibliographies), a Newsletter, Library Accessions List -- and recently has also published several monographs, including a series of annotated bibliographies on land tenure and agrarian reform by regions of the world. The library maintains a mailing list of approximately 6,000 individuals and institutions in some 70 countries.

In sum, LTC has had an active, continuing and expanding interest in the problems of access of the rural poor to productive assets. A strong multidisciplinary program exists and links with various departments at the University of Wisconsin are well established. The faculty members have participated in consulting and advisory capacities throughout the world. LTC has, in the view of DS/RAD, a pre-dominant capability in the area of access issues and will be requested as the contractor.

2. AID. The project will require about 40 per cent of the time of the DS/RAD project manager. It is anticipated that the contribution of the project manager will be in three areas.

(a) Normal project management and monitoring activities.

(b) Extensive liaison with regional bureaus and field missions in setting priorities for the project's state-of-the-art research and consulting work.

(c) Professional input into the substantive activity of the contractor and professional review of output. We would place particular importance on this aspect of the project management function because it is essential that all aspects of the work be integrated as fully as possible with AID's program needs and that the focus of the project activities be focused clearly on the most salient problems of our rural development activities.

The successful completion of the project will also require periodic inputs from the regional bureaus to assist in identifying countries and projects suitable for the university's involvement, to set priorities for research, consulting, and state-of-the-art work, and to assist in evaluating the outputs. This input will be provided by a specific interbureau Project Committee which will be established for the project and the Steering Committee for Rural Development.

Through these two mechanisms we hope to assure the relevance and quick applicability of the university's work. This will be encouraged through a continual focus on the application of the contractor's work to on-going projects on the one hand and the continuing involvement of the regional bureau representative in setting priorities on the other.

## B. Project Operations

### 1. Implementation Plan

The activities outlined in this document are initially planned to cover a four year period. During the first year of the contracting period, it is envisaged that the following activities, the details of which will be specified in the plan of work developed during the first three months, will be undertaken by the university contractor.

(a) A roster of approximately 100 consultants who are knowledgeable and experienced in dealing with the issues related to improving access of rural poor to productive assets.

(b) Contractor will help bureaus and missions fill short term consulting requests.

(c) Two countries will be identified for in-depth research through joint discussions among the contractor, DSB/RAD, regional bureaus and missions.

(d) Contractor will initiate with local professionals field research on jointly identified research issues in both of the two countries selected for in-depth research.

(e) Contractor will undertake two special studies or state-of-the-art papers, one relating to a global concern, the other a regional focus.

(f) The contractor will work with AID regional bureaus in reviewing mission project proposals on tenure and access control related topics.

During the remaining three years, on the basis of an implementation plan prepared annually and approved by AID, the contractor will undertake the following activities:

(a) Continue all of the activities initiated in year 1

(b) Identify two additional countries for in-depth research through joint discussions among DS/RAD, regional bureaus and missions

(c) Conduct four additional studies or state-of-the-art papers

(d) Prepare and carry-out four workshops on agreed upon issues related to providing wider access to productive assets for the rural poor.

(e) Prepare and carry-out a set of seminars which would follow-up on research carried out.

(f) Organize small informal workshops in AID/W to keep bureau personnel up to date on emerging issues in land tenure

(g) Initiate with local professionals field research on jointly identified research issues in both of the two additional countries selected for in-depth research.

## 2. Financing Plan

Funds for the five basic outputs of the project (state-of-the-art and applied research, consulting for in-depth countries, consulting in short-term countries, information dissemination, and networking) will be obligated in the current fiscal year (FY 79) for two years in the amount of \$1,000,000. A second tranche of approximately \$500,000 will be obligated in FY 81, a third of \$670,000 in FY 82, and the fourth tranche of \$670,000 in FY 83.

Additional funds up to 1.1 million may be added from USAID mission funds incrementally by amendment to the contract for specific scopes of work in addition to those funded by central resources. These will be to support long-term consultations, mission requested special studies (beyond those discussed in this paper), and to support the cost of field implementation of approaches developed by the contractor and will permit the contractor to become directly involved in implementation of appropriate portions of mission programs which relate to those field tests.

## 3. Management Devices

The three management devices of the project will be the annual workplan, the project committee, and the Steering Committee for Rural Development.

(a) Annual work plan: The project specifies the level of effort required of the contractor in various activities and the mix of disciplines which are required to accomplish that task. The specific scope of work for in-country activities has been left undefined, however, because it is necessary to relate those to local conditions and because we desire to employ the contractor to help define the problem and appropriate responses (as in the "collaborative style").

Specific scopes of work will be negotiated between the contractor, the USAID mission, and the host government and formalized in a Memorandum of Understanding for long term involvements or a simple scope of work for short-term assignments. Insofar as possible these will be aggregated into an annual work plan worked out jointly between DS/RAD's project manager and the contractor. The annual work plan will specify outputs, timing, resource allocation, and staff

assignments. The project committee will then review the work plan prior to DS/RAD approval to advise the DS/RAD project manager on implementation problems they anticipate in their regions. Once approved by the DS/RAD project manager, the plan should be considered binding unless specifically amended.

It should be recognized that the AID environment is extremely unstable and that it is difficult to keep to time schedules or even to previously defined scopes of work as contexts change. The annual plan is not intended to be a rigid document, therefore, but to encourage:

- (i) a clear understanding of the overall allocation patterns against project outputs;
- (ii) a clear statement at a point in time of staff obligations for specified outputs at specified times;
- (iii) to program DS/RAD support activities over the year.

The provision for annual plan amendment is not intended to be overly constraining on the contractor; in fact, to the extent possible, we intend that within shorter time frames project staff and funds should be transferable from one activity to another so that we do not have unutilized resources if certain activities lag. We merely wish to assure that any such alterations be documented and be made with formal approval of the DS/RAD project manager.

(b) Project Committee: The project committee will be made up of representatives from each regional bureau and will provide assistance to DS/RAD's project manager in selecting appropriate field site for long-term and short-term applied research and consulting. The committee will also assist in the review of research results, state-of-the-art work, studies, and other project outputs and to advise on the relevance of the work to the needs of their missions. The committee members may also want to bring to the attention of the contractor needed special studies and state-of-the-art work in their regions. All scopes of work for field activities will, of course, be cleared by the regional bureau representative.

(c) Steering Committee for Rural Development: This is an interbureau committee of senior AID officials established by the Office Director of DS/RAD to provide program and policy advice in the area of rural development. It meets periodically to review progress on all DS/RAD projects.

#### 4. Long-Term Consulting:

Choice of in-depth countries is a joint decision among the contractor, DS/RAD, AID mission in question, and the host government. The choice of country will be initiated by the contractor, reviewed by the project committee and DS/RAD for consistency with the selection criteria listed below, and approved by the mission and host government. The scope of work for the long term involvement will then be specified in a Memorandum of Understanding signed by the contractor and the host government and cleared by the mission, regional bureau, and DS/RAD.

If the scope of work for the in-depth involvement exceeds available centrally funded resources, the mission may use program funds to incrementally fund additional activities, within the scope of the project. The mission must follow its bureau's normal authorization procedures but the contracting procedure will be an amendment to the existing DS/RAD contract. The amendment must be approved by the contractor and cleared by DS/RAD.

Selection criteria for the in-depth countries is as follows: The contractor will select, in consultation with and subject to AID approval, countries in which it would propose to conduct in-depth applied research. In selecting countries for project activities, the contractor shall be guided by the following criteria:

(a) A country where there is an AID financed program.

(b) A country in which there is an on-going or planned access related project of substantial magnitude (involving an external donor, not limited to AID, but with preference for those projects in which AID is a participant) and from which significant lessons can be drawn to advance the state of the art.

(c) A country in which there is a proposed or on-going access related project which offers opportunities for consultative/research activities consistent with the objectives of this contract.

(d) Receptivity of the involved local institutions and the country.

Country selection shall reflect consideration of the following:

(a) Preference for (but not limited to) projects clearly aimed at the poorest rural populations of areas in the poorer group of the LDCs.

(b) In case of more than one country per region (as defined by AID's regional organization) preference will be given to:

(i). The country in which the cooperator has the greatest capacity to do work immediately (language, cultural knowledge, experience.)

(ii). The country which has the highest priority for the regional bureau of AID (as communicated through the project committee and the AID/DS/RAD project manager);

(iii). In the case where the contractor has competence to perform adequately in two or more countries in one region, the regional bureau's preference for work will be followed.

(c) Final preference will be given to projects nearing completion for which evaluation work could lead to a new project with external donor funding.

AID will approve the contractor's selections if it finds that the foregoing criteria have been met and that the proposed activity is within the technical resources of the contractor and the budgeting limitations of the contract. These countries will be selected from the list provided in Appendix III or as amended by DS/RAD.

##### 5. Short-term Consulting:

Short term consulting in up to five additional countries a year will be undertaken by the contractor. This consulting may be in applied research, project design, aspects of training, evaluation, or advice on implementation problems. This consulting may be done on a cost-sharing basis with the mission at the discretion of the DS/RAD project manager.

Short term consulting will be initiated by mission or bureau request and if the DS/RAD project manager and the contractor find that the proposed activity is within the scope of the project and contributes to the overall purposes of the project they will be taken on first-come, first-served basis. To the extent possible all of these requests

will be aggregated in the annual work plan and priorities will be set according to the same criteria applied to in-depth work. In DS/RAD's experience, however, this is seldom possible.

#### 6. Information Dissemination:

The contractor will be asked to develop a long term approach to information dissemination within the first six months of the project, after consultation with regional bureaus, DS/RAD, and appropriate A.I.D. central offices. This approach will be presented to the project committee for their comments and approved by DS/RAD's project manager. Specific annual activities will be aggregated in the annual work plan, with appropriate documentation that the type of activities and timing have been cleared by the regional bureaus concerned and the missions.

#### 7. Networking:

Within the first six months of the project, the contractor will be asked to present a long term networking plan which will be presented to the project committee for their comments and for DS/RAD's project manager's approval.

#### C. Evaluation Plan:

The DS/RAD project manager is responsible for continuous coordination and monitoring of project activities with the contractor and regional bureaus. The project manager will keep the DS/RAD office director apprised of progress in each area of activities, any problems which develop and corrective action being taken to resolve them. The inter-bureau project committee and AA/DSB will be advised should the project fall behind the planned implementation schedule. An annual report on the status of the project will be submitted to the interbureau committee for their review. Emphasis in this report will be given to review of contractor inputs and early indications of progress/difficulties in achievement. This will include:

(a) review of scopes of work progress to date on LDC adaptive research/consulting/information services sub-projects;

(b) analysis of short term consultancy services required by USAID missions indicating type and scope of consultancies and missions assessments/recommendations as to their usefulness;

(c) review of arrangements for a status of development of the state-of-the-art papers, networking and information system including LDC participation; and

(d) effectiveness of interaction among contractor, regions/bureaus, USAID missions, DS/RAD and other DSB offices.

The annual report should summarize findings and make recommendations and necessary revisions of project design and implementation arrangements.

1. The first in-depth interim evaluation of the project will be conducted between 22-24 months after initiation. The evaluation will be conducted, where possible, by a team composed of the DS/RAD project manager, at least one representative from a participating regional bureau and a participating AID mission (one of whom to serve as team leader), at least one independent specialist with demonstrated experience in an appropriate discipline related to land tenure access as defined in the PP, and a representative of the contractor.

The objective of the in-depth evaluation is to assess the experience of the first phase of implementation. The crucial issue to be examined is progress toward achievement of the project purpose. The evaluation will serve as a basis for proceeding, or not, with future project funding. Assuming that a go-ahead is recommended, the results will also be reflected in the scope of work Statement and money requirements of the PIO/T. Also, the team would make recommendations for the final in-depth project evaluation including key elements to be considered, data requirements, and methodology to be used.

2. Each state-of-the-art paper will be reviewed and evaluated as it is received, both in terms of professional standards, relevance to LDC applications, and utility to the Agency. This will be the responsibility of DS/RAD professional staff with assistance of other Bureau and Agency offices and outside development specialists. The results will then be submitted to the project committee for review prior to dissemination by AID to its field missions.

3. Final Evaluation: All components of the project will be reviewed for quality of output, appropriateness of contractor teams mobilized for work, and timeliness and organization of work.

The results of all field tests will be subjected to professional review and thorough impact evaluation will be conducted employing field surveys, institutional analysis, and financial analysis.

A thorough review of all training materials produced and training activities conducted will be held which will review quality, utilization, and performance in field tests or training sessions.

## Appendix I: Priority Research Areas on Access Equity

1. Land Tenure and Issues of Equity and Viability of Development Projects. Analysis of tenure rights and related aspects of social structure in project areas is useful for determining which groups can take advantage of project benefits, and which groups need special assistance to take part in and benefit from the projects.

An important consideration for applied research is the way the operating rules of local societies mesh (or fail to mesh) with the operating rules of projects, particularly projects that involve changes in land use (irrigation, range improvement, soil conservation projects more so than credit or improved-variety projects). Salient examples include recognition of traditional land allocation rights, roles of men and women, and the residual rights of previous users.

Distribution of ownership of land and other resources produces differential access to opportunities. There are many examples of this. Some are due to scale effects as in the case of irrigation wells and other indivisible inputs, which dictate the minimum size of farms which can economically utilize such investments. Other cases are due to differential access to services such as credit, inputs, market outlets and technical assistance where differences are due to higher costs of reaching smaller farmers or because such services were developed by organizations of larger farmers, or because previous public effort was designed to serve larger farmers. In such circumstances special efforts are needed to reach the poorer strata.

Development also has a differential impact on various groups depending on tenancy and labor arrangements. Tenants and hired workers are vulnerable groups whose access to subsistence and participation in increased production and income can be adversely affected by the action of landowners (as landlords or employers) to replace tenants by hired workers, and both tenants and hired workers by machines. Direct prohibitions against labor displacement by provisions of security of tenure are very difficult to enforce. Redistributive land reforms could be helpful in presenting labor displacement but may not be politically feasible. Revolving credit programs to help tenants and workers purchase land might be useful but only where organized peasant pressure would make landowners willing to sell and when effective technical assistance can help peasants operate the land efficiently. The burden of assisting groups liable to be replaced by machinery probably depends on programs

which keep capital prices high (credit and foreign exchange policies) and emphasis on labor-intensive development outside of agriculture.

Another area for applied research is the impact of development on corporate landowning groups, especially the problem of increasing inequality and the need for new rules in traditional tenure systems. Both development in general and specific development projects have impacts on inequality within corporate landowning groups. More commercially oriented members of such groups can, by increasing livestock numbers or by mechanization gain control over a disproportionate amount of group controlled land. In the case of projects, considerable adjustment is likely to be required between the land allocation rules of corporate groups and the organizational structure and administrative rules of the projects. The changing roles of men and women in traditional tenure systems is of special importance, and applied research is needed to adapt project designs to promote and protect the opportunities of rural women.

Tenure issues are relevant to the viability of a broad range of rural development including, among others: efforts to improve rangelands, settle unoccupied lands, establish irrigation districts, initiate land reclamation projects, and improve rural infrastructure.

For example, in attempts to upgrade marginal rangelands or halt desertification in an area suffering ecological deterioration, the viability of the project may well center on administrative regulations and access rights of user groups to range, to wells, to canal water, and on limits on numbers of livestock, payments, transferability of rights, etc. If these issues are not taken into account, the project is likely to fail altogether.

A good example of these problems would be range projects in the Sahel which involve either or both the Fulani and Tuareg (current projects in Mali, Niger and Upper Volta). The Tuareg are hierarchically organized into castes and these have clear relevance to both project viability (making the project work) and equity (making sure it benefits the neediest groups). For the neighboring Fulani herders a different problem emerges. Due to their extreme egalitarian social structure, project personnel will have to search for some incipient organizational principles in resource management that can form the basis for project presentation, participation, implementation and delivery. Land tenure and resource management for such societies is fluid and dynamic.

An understanding of tenure and tenure-related issues is crucial to improving the delicate ecological balance in both hierarchical and egalitarian groups. Project viability will be highly dependent on this understanding.

In these and other regions, such tenure issues as farm size, production techniques, the socio-cultural nature of local societies (including roles of men and women) must be taken into account in various kinds of projects. The question of the viability of peasant organization (e.g., production cooperatives, water-user associations) can also be expected to arise in a wide variety of development contexts.

## 2. Analysis of Tenure Patterns over Time

Sectoral studies of asset distribution are particularly relevant to appraisals of development strategies in terms of the impact of projects and other development activities. This research would address such issues as which rural groups are sharing in development; changes in size and tenure arrangements of farms; changes in the degree of landlessness, and in work available for permanent and seasonal workers; changes in part-time farming by various rural groups; changes in roles of men and women and the impact of such changes on income of rural groups.

## 3. Interventions in Land Markets to Benefit the Rural Poor

Where private property in land is permitted, a market in land is potentially feasible. But for such a market to function efficiently, other conditions are required. There must be many willing buyers and willing sellers; there must be means of financing; land must become available in size units consistent with buyer capacities; there must be means of identifying ownership rights and title, etc. In many countries these conditions do not exist and thus there is no effective market in land. Land may be kept in large units through inheritance; large units of land may be available only to wealthy individuals; even small units may be purchased by those already having substantial amounts of land since, although there are many willing buyers, they may lack the credit-worthiness by bank standards or there may be a lack of mortgage credit for land purchases, etc. Although classic redistributive land reforms have many purposes and are undertaken for a variety of motives, one clear purpose has always been a redistribution or rights in landed property which were not, and could not be, achieved by the market; and thus governments have intervened directly. In

many cases governments have, after such intervention, maintained restrictions on the free functioning of transactions in land to prevent re-concentration of land holding.

There has always been interest in, and some experimentation with, less drastic measures of intervention than direct land expropriation by the state. This interest takes on new significance in light of the new policy directions of AID, the World Bank and others in attempts to re-design development loans, grants, and technical assistance programs to reach the lower income and landless people in rural areas, and the stated interest of many nation states to shift emphasis in their development plans and programs to achieve a more equitable distribution of the fruits of economic growth. These re-directions in policies have a multitude of programmatic ramifications. We are concerned with only one program aspect, and that is the prospects of providing conditions to make possible the development and more effective functioning of the land market.

Two major areas or measures (taxation and credit) will be addressed. With respect to taxation, two types will be explored:

(a) Progressive taxation of land with higher rates applied to larger holdings. Implementation of such a tax could provide incentives for large landowners to divest themselves of some holdings. Here, credit programs (discussed below) would provide a needed supplement to stimulate the functioning of a market in land.

(b) Self-assessment of land values for taxation purposes by current landowners. This would be effective in circumstances where the government places an official, legal limit on size of holding and where it would stand ready to purchase land placed on the market (or provide credit for other buyers) as a means of enforcing the size limit. By placing the responsibility on the current owners for estimating the current market value of their land, such owners will be induced to place such value close to market value, especially if the size limit affects a portion of their holding, since that value will determine the price they receive for their excess land. However, the higher the value placed on their land, the higher will be their tax assessment on the land retained in their possession, thus inducing them not to overshoot the market value.

With respect to credit instruments improving land markets two programs will also be explored:

(a) The introduction of government guaranteed mortgage credit for land purchase to individuals and families who, although possessing the desire, experience and skills for operating a farm, lack the collateral and therefore the credit-worthiness criteria ordinarily applied by commercial banks. This would be similar to the U.S. Farmer's Home Administration (a Federal Government Agency with a Congressionally appropriated budget) providing insurance on such loans. Such loans would carry the requirements of a well-formulated farm production plan to assure the cash flow necessary for making the loan repayments. Such a program might be introduced independently, but would likely be more effective if measures such as those under the tax measure (a) or (b) were simultaneously introduced.

(b) The creation of a land sale guarantee fund whereby a bank (or banks) would serve as intermediaries between buyers and sellers of land. Such guarantee funds have been much discussed and a proposal for implementing such a program was approved by AID-Washington for Ecuador. It has also been discussed and it is in various stages of planning for several Central American countries and the Eastern Caribbean. One key requirement is that landowners are willing to sell land, but unwilling to sell to people lacking collateral without a guarantee that they will receive payment. Buyers willing to buy but lacking collateral (yet meeting other qualifications of interest and skill) would assume responsibility for making amortization payments with interest, and would receive full title to the land after the land had been fully amortized. The bank would function as the intermediary, collecting payments from the buyer(s) and making payments to the seller(s). Thus the seller is assured of his payment by the bank. And the bank has its guarantee to the seller backed by the guaranteed loan fund should the buyer(s) default.

4. Land Titling and Mapping. Several governments (Indonesia, Thailand, The Philippines, etc.) are engaged in or actively considering projects to speed up titling of land and its registration in a comprehensive public record.

These proposals are being made by governments in countries where there are severe concerns about inequitable landownership structure and at best partial land reform measures to rectify these inequities. These are typically countries which depend on production by non-landowning tenant farmers assisted by other workers who neither own nor have rights to use agricultural land.

Under such circumstances, the titling and registration of such lands, may, if carried out without adequate safeguards, benefit but a few in relation to the many users and laborers who will not benefit and may indeed be hurt by a strengthening of the rights of already powerful groups.

The main premise to be examined in this applied research effort is that where a large proportion of the population is made of landless agricultural laborers but land-ownership either is not possible for more than a portion of these people or is otherwise precluded, then any system of land registration and titling that affirms, secures, and strengthens the rights of some (even if it is a large number) of the landowners, does so by denying the same rights and opportunities to many others (landless and tenants). Yet many of these others have no prospect of other sources of security or livelihood off the land. Further, land registration and titling may facilitate land transactions for transfer and speculative purposes as much as or more than it provides the security to encourage productive use for agricultural purposes.

It is therefore, essential that the questions of who benefits in that way, how much, and at whose expense be addressed in the proposed or ongoing AID land mapping, titling, and registrations projects. Even though the projects are seen as purely technical by host government agencies and may be accepted as such by some AID mission technicians, it is essential that the beneficiary questions raised above be addressed in the context of the land tenure structure and its potential reform in relation to security of access to land to use as a source of livelihood and opportunity for the rural poor.

5. Group Farming. The group farming approach is, by its very design, intended to achieve equitable participation in rural development. However, several analytical issues are raised: is a group farming approach feasible in a particular situation or would family farming be more likely to succeed? What organizational features can be built into the design of group farming to make it more likely to succeed? Following specific issues, would be the focus of the applied research efforts:

(a) Internal organizational problems, member commitment, motivation and morale, and the ambiguities in roles of both managers and members of group farms. Members are supposed to be both workers and participants in policy-making; managers are supposed to supervise the workers and at the

same time be responsible to them. The outcome may be ineffective management, on the one hand, and poor work discipline and absence of effective participation in policy-making by members, on the other. This "we-they" split within the organization may result in mutual suspicion between members and managers, with members having little feeling of identification with or control over the organization. It seems that only within the true commune, where there is nearly universal consultation with members before any major issue is brought to a vote in the general assembly, that the we-they split has been successfully avoided.

(b) The type of socio-economic system within which the group farm functions. There are two types of socio-economic systems of interest--the interactive system (basically a market system) in which the behavior of consumers directly influences rewards and or losses reaped by producers, and the directive system (basically a planned economy) where producer rewards and/or losses are depended on the actions of the state planning agency and geared to the producers' ability to meet their assigned contribution to the national plan.

(c) The degree of centralization of decision-making vs. autonomy within the unit, sometimes also expressed as an issue concerning the degree of coercion vs. consent. There is some evidence from some of the older experiences with group farming that the degree of centralization may be greater initially, and more autonomy is given to individual units as the system becomes more fully institutionalized.

(d) Transferability (or adaptability) of various group farming experiences to other countries. Most analysts have tended to look upon the system they were describing as unique--specifically adapted to the physical, climatic, socio-cultural, and political circumstances of the state or region. There is broad agreement that a wholesale transfer of such experiences as the Chinese, the Soviet, the Hutterites, or the Kibbutz is impossible and any attempt quite inadvisable. But to drop the issue with such a conclusion would be to miss the major lessons to be learned--negative as well as positive. There may well be some universal imperatives for a successful commune. There are likewise a set of requirements in production cooperatives concerned with internal organization, discipline, incentives, and accounting--distributional aspects that cannot be ignored if these units are to become and remain economically sound enterprises. And it is quite likely that none of the

specific "solutions" on any of these matters can be transferred directly. But a knowledge of such requirements and the experiences of others in attempting to meet them should be helpful to policy formulation wherever group farming is being considered.

The applied research will inquire into the extent to which group farming institutions are rigid and closed, or open and flexible: linked to and embedded within a comprehensive institutional structure of the larger socio-economic and political system, or relatively autonomous.

(e) Mixed systems, with production cooperatives being more or less an appendage of a system organized along other lines. There is a dilemma here: can, or should, part of the existing agricultural sector remain as it is, which may involve the risk that the modification of other institutions necessary to make the production cooperatives viable will not be brought about with sufficient speed, leaving the production cooperatives to fend for themselves, perhaps even in a generally hostile environment.

#### 6. Modifying Traditional Corporate-Group Systems, Particularly in Africa

Traditional corporate group tenure systems are changing under the impact of private actions and state interventions. Such changes have direct effects on equity.

Analysis of tenure and tenure modifications may be needed in order to achieve wider distribution of project benefits. Better understanding of existing tenure systems would make it possible to adjust project design to the existing tenure system in such a way as to increase both probability of overall project success and greater equality of benefits. This should include consideration of the roles of men and women under existing tenure systems and the impact of project designs on sex roles.

As development proceeds, new inequalities may emerge where some members of a traditionally egalitarian group are able to make greater use of the new economic opportunities than are other members. It is not uncommon in traditional systems for women and young members of the family group to make independent production and distribution decisions. Many projects run the risk of reducing or extinguishing the decision-making roles of these groups.

An approach which protects traditional rights at the same time that it may be creating inequality of opportunity is to divide a portion of corporate kin group land into large scale units to be run by modernizing cultivators or livestock producers, and to preserve another portion for traditional uses. While this approach accepts an increase in inequality, it might still be better in some circumstances to explicitly reserve land for more traditional members than to assume that projects can be made to benefit all members. Designs based on egalitarian traditions and assumptions may not be fulfilled with a result that those who benefit from the project may control so much land as to create a shortage for other members.

An issue in these considerations is whether lineages, clans, etc., can assume new responsibilities in addition to their traditional roles of assigning land to members. In relation to the possibility that spontaneous response by kinship unit members would result in great inequalities, these units may need to take on a variety of tasks: function as a collective production unit; defining what types of new technology may be used by members; dividing land into sections on which new technology may or may not be used. At stake also, is the issue of whether lineages, etc., can assume such responsibilities, or whether some or most of these responsibilities need to be taken over by government.

In a number of African states, public policy is shifting some of the functions in assigning land from traditional social groups (and the chiefs of such groups) to government agencies as in the case of the Botswana District Land Boards. Some residual functions are left with traditional authorities, at the same time that private rights becoming more individualized but stopping short of freehold. These kinds of changes create new complexities in dividing rights of access to land and water among several strata of social structure and public administration. It is typical of such complex arrangements that the way they actually work out will differ somewhat from the original policy design, and to understand what is happening and what further interventions may be desirable, it is important to review research findings from field studies.

Another tenure problem likely to affect project design and implementation is that of residual rights of previous owners and users of land, even in cases where such land is not currently used. Under traditional systems there is really no land without an owner and claims are likely to be made by corporate groups and individual users to lands

affected by the project. At the same time neither such groups nor such individuals are apt to have a clear, uncontested right to transfer land to project authorities or project beneficiaries.

What is needed is applied research on what practices have emerged for extinguishing rights in land and what practices could be developed that are suited to African rural social structure. This is relevant not only for rural development projects, but also for public acquisition of land for roads, schools, etc.

Attention to these issues is not meant to imply that causation flows from changes in rights in land to the behavior of people holding such rights. Rather, the main idea is that new legal and administrative arrangements which usefully accommodate new human purposes and activities are important innovations. Therefore, a review of a variety of new arrangements, an analysis of which of them work better and ideas derived from such research for further improvements in legal arrangements, could be quite important both for the areas in which they were developed as well as for application of modifications for use elsewhere.

The foregoing are examples of areas where applied research work could be useful in helping resolve the dilemma of African development: transforming the rules of access to agricultural resources without at the same time creating the kinds of inequalities that plague most LDCs. In many cases this work can be done in ways that are directly relevant to current project design and implementation.

PROJECT DESIGN SUMMARY  
LOGICAL FRAMEWORK

Life of Project:  
From FY 77 to FY 81  
Total U.S. Funding 2,940,000  
Date Prepared: 11/18/77

Appendix II

Project Title & Number: Access to Land, Water and Natural Resources

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS						
<p><b>Program or Sector Goal:</b> The broader objective to which this project contributes: To enhance the ability of AID missions and LDC institutions to design and implement rural development programs so that they may operate more effectively to promote greater access to resources by the rural poor.</p>	<p><b>Measures of Goal Achievement:</b> -Positive changes in policies -Successful implementation of rural development programs consistent with improving income and employment opportunities for the rural poor -Reduced implementation problems due to inadequate conceptualization and monitoring -Better impact evaluations flowing from projects</p>	<p>-Baseline information on LDC policies collected for the participating countries and comparisons made later -AID and outside judgments of utility of approaches developed under the project -Evaluation reports, completion reports as well as Regional Bureau, DSD and other AID/W observations of rural development programs of the participating missions.</p>	<p><b>Assumptions for achieving goal targets:</b> -The required LDC/AID data gathering and analysis exercises will be undertaken -LDC willingness to change and ability to do so.</p>						
<p><b>Project Purpose:</b> To marshal human and intellectual resources which AID missions and regional bureaus and LDC institutions can draw upon for work in increasing access to resources particularly land and water for the rural poor.</p>	<p><b>Conditions that will indicate purpose has been achieved:</b> End of project status. -Utilization of project and network consultants access -Utilization of information made available through state of knowledge and specific research studies in the development and design of projects -Enactment of recommendations resulting from special studies and applied research</p>	<p>-Inquiries will be made to field missions to assess usefulness of contractors. -Mission program and planning documents dealing with rural development -Materials and information flowing to mission practitioners</p>	<p><b>Assumptions for achieving purpose:</b> -AID and LDC practitioners recognize the need for more knowledge and information on the issue of access -U.S. and LDC professionals will be able to collaboratively design and carry out studies and prepare strategies -Consultants, AID missions and researchers see the need and are willing to work together and integrate more fully their separate activities</p>						
<p><b>Output:</b> -Research consulting relationship established between LTC and AID missions selected for participation -Identification of consultant resources outside LTC with qualifications and interest in specific AID assignments -Information dissemination activities directed toward LDCs, AID and other donor practitioners and members of the consultant network -Special studies on key problems related to access to land and water</p>	<p><b>Measures of Output:</b> -4 in-depth applied research efforts undertaken in conjunction with AID missions -100 person/months of field consulting -100 candidates identified for the roster -4 seminars on research findings -6 workshops on special topics/studies -5 to 6 studies/SOTA papers</p> <p><b>Implementation Target (Type and Quantity) (000's)</b></p> <table border="1" data-bbox="787 1097 1036 1128"> <tr> <td></td> <td>FY79</td> <td>FY80</td> <td>FY81</td> <td>FY82</td> <td>FY83</td> </tr> </table>		FY79	FY80	FY81	FY82	FY83	<p>Monitoring of LTC's output including: -Contractor's work plan and vouchers -AID mission consulting requests -Roster list -Seminars -Workshops -Printed studies</p>	<p><b>Assumptions for achieving output:</b> -University resources can successfully integrate research and consulting -High quality consulting talent not now available to AID can be found and mobilized</p>
	FY79	FY80	FY81	FY82	FY83				
<p><b>Inputs:</b> -DSB/RAD staff member to assume management responsibility and substantive involvement in overall effort -Guidance by Rural Development Steering committee -Cooperative Agreement with U. of Wisconsin Land Tenure Center</p>	<p>Obligations 1,000 - 500 570 670</p> <p>Expenditures - 595 673 760 810</p>	<p>Regular AID reporting requirements</p>	<p><b>Assumptions for providing inputs:</b> -Cooperative agreement mechanism will be used and effectively meet the requirements of both AID and the participating university -Agreement can be reached with mission and host governments to facilitate and cooperate in research and consulting activities</p>						

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### Appendix III Proposed Country Concentration

Country missions ranking the "Access to Land Water, and Natural Resources Project" as important.

<u>AFRICA</u>	<u>LATIN AMERICA</u>	<u>ASIA</u>	<u>NEAR EAST</u>
Liberia	Barbados	Thailand	Egypt
Botswana	El Salvador	Philippines	Tunisia
Niger	Peru	Indonesia	
	Paraguay		
	Ecuador		