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# **BASIS Research and Training Program in Southern Africa**

Synthesis of the Southern Africa Regional Planning Workshop  
June 1997

Organized by the **Institute of Natural Resources**  
for **BASIS Southern Africa**

Prepared for the **Consortium for Applied Research on Market Access**  
September 1997

This synthesis document prepared from the workshop proceedings was drafted by Pauline Peters and reviewed by the Southern African Steering Committee. It is one of a series of reports for the Broadening Access and Strengthening Input Market Systems Project (BASIS). Funding for this project has been provided by the United States Agency for International Development (USAID) through the Consortium for Applied Research on Market Access (CARMA), whose management entity is Land Tenure Center, University of Wisconsin-Madison.

All views, interpretations, recommendations, and conclusions expressed in this paper are those of the authors and not necessarily those of the supporting or cooperating organizations.

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# **BASIS RESEARCH AND TRAINING PROGRAM IN SOUTHERN AFRICA**

## **I Introduction**

The Consortium for Applied Research on Market Access (CARMA) was awarded the Broadening Access and Strengthening Input Market Systems (BASIS) project<sup>1</sup> BASIS is a Collaborative Research and Support Project (CRSP) At present, half the award for the five-year project is centrally funded through the Global Bureau of the United States Agency for International Development (USAID), the remainder is anticipated to come from participating USAID regional and country missions and other donors

CARMA comprises 16 US institutions and numerous collaborating partners in the five regions where BASIS programs are expected to be implemented As a CRSP, BASIS is intended to help strengthen both US and host-country policy research and implementation capacity through jointly developed and collaborative programs of research and training on land, water, labor, and financial markets and their interactions

The goal of BASIS is to help governments, the private sector, non-governmental associations (NGOs), and donor agencies design, implement, and evaluate policies and programs that enable factor markets to mediate broadly-based, integrated, and environmentally sustainable economic growth in response to the following fundamental policy problems

- liberalization without growth,
- exclusionary growth that perpetuates income and asset inequality,
- gender-biased growth,
- ethnically-biased and socially unstable growth,
- environmentally destructive growth, and,
- constraints of poor management, institutional malfunctioning, and low levels of resources

## **II Southern Africa regional workshop**

One of the five regions of the world selected for BASIS programs is Southern Africa Each program takes its specific shape through a collaborative process of decision-making and definition among regional and US participants A planning workshop held in Magaliesburg from 8-11 June 1997 produced the Southern Africa program described here (see annexes for background information, agenda, guidelines, and participants)

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<sup>1</sup> The following documents provide more information on BASIS and regional planning activities  
Atwood, Tracy, Jonathan Jenness Pauline Peters, and Michael Roth 1997 *Southern Africa  
Reconnaissance Mission Report 2-13 March* Madison The Land Tenure Center University of  
Wisconsin,

The Consortium for Applied Research on Market Access 1997 *Project Overview* Madison The Land  
Tenure Center, University of Wisconsin

## **Organizers and participants**

The workshop was organized by the Institute of Natural Resources (INR) in Natal, South Africa, in collaboration with Pauline Peters, BASIS Regional Research Program Leader (RPL), and Michael Roth, BASIS Director of Research Programs. Participants came from Malawi, Mozambique, Namibia, South Africa, Tanzania, United States of America, Zambia, and Zimbabwe, the representative from Botswana could not attend. Participants represented university-based and independent policy institutes and other organizations that have expertise and interest in broadening access to factor markets. Participants were charged with designing the shape of BASIS's Southern Africa program (See Annex 1 for the context and goals of the workshop.)

## **Issues**

The workshop debated three categories of issues: priority research themes, modalities of action for the program, and management structure. Movement of participants between plenary discussions and small working groups facilitated sharing ideas, information, and experiences.

### **The workshop**

- identified a concrete and policy-oriented research program involving multiple country researchers, institutional linkages and capacity-building, comparative work, and short-term outputs,
- formed a network of Southern African researchers and institutions that will expand in a systematic and inclusive manner, and,
- initiated a management structure to facilitate communication among the network of researchers in the region, and to work with the BASIS management team (including the Director of Research Programs and the RPL) in developing and coordinating research, training, and workshops in the region.

All participants were experienced in working on aspects of factor markets, all had received funds for research and training from various donors, and all were enthusiastic about BASIS because of its commitment to a regional approach. The participants expressed their conviction it was time for true collaboration across national boundaries and beyond the traumas of war, apartheid, and destabilization. They believe that the comparative advantage of BASIS in Southern Africa is in its ability to provide a forum for regional exchange and coordination in comparative research and action by testing ideas and approaches in different countries. The consensus was that the first year of the new program should be devoted to collaboration rather than competition in research design and action. Thereafter, the program would build in a process of competition among prospective applications for BASIS funds.

Another attraction of BASIS is its emphasis on close collaboration among policy institutes and a variety of government and non-governmental organizations and civil associations to ensure that policy research and recommendations are translated into effective action that is rigorously monitored and evaluated. Participants believed that the first year of the program should center on synthesizing some of the existing research and policy orientations and on building strong

channels of communication between researchers and institutions, which currently are divided by difficult communication systems and national boundaries

Specific decisions reached in the workshop follow in three sections: research themes for the first year, modalities of implementation, and a management structure for the program

### **III Research themes**

#### **1 Broadening access to water resources through democratized, equitable, and efficient management systems**

Water has become one of the most critical resources in the region. Virtually every country in the region is engaged in or has plans to engage in the development of water policy and/or legislation. Moreover, many countries experience varying degrees of competition and conflict over water use and relative rights to water resources. Compared to land issues, however, questions of water management have been under-researched. Access, use, and management of water resources entail interactions at all levels of society—from inter-national and national water policy to community, household, and individual use and rights. The politics of water rights in the region ranges from international (dis)agreements over shared water resources to inter- and intracommunity sharing, cooperation, and conflict. The implications for efficient and equitable use, property rights, and sustainable management are complex.

Key issues for research, training, and action include the following:

- decentralized and community management,
- watershed management,
- impacts on labor productivity of improved water use and conservation,
- water pricing and implications for different categories of users
- processes of decision-making on water-sharing and conservation at a range of levels, from international agreements to individual use, and,
- the interactions of markets for water, land, labor, and finance

#### **2 Institutional innovations in broadening access to land, labor, and financial capital**

Throughout the region, the issues concerning access to land and the efficient and equitable use of landed resources have become central to government policy, community action, and restructured markets. On the agenda of virtually all the countries of the region are land tenure reform, land reform, and/or land redistribution and restitution. While a substantial amount of policy research has been done on land issues narrowly defined, the most important lesson learned has been that land tenure or programs for redistribution or restitution must be considered in relation with institutional access to financial capital and labor. A single-minded focus on one factor, such as land, is to miss the crucial lesson that efficient and equitable access to land can be understood and assured only through the nexus of land, labor, and financial markets.

Key issues include

- institutional innovations for productive use of land through financial and related markets
- new opportunities and vulnerabilities consequent on the interplay of multiple and overlapping systems of land rights in the context of accelerating commercialization and liberalization,
- new types of property rights in land (such as group associations, joint ventures) and the redistribution of opportunities,
- comparisons of administrative methods of (re)allocating land with private and market allocation,
- the respective roles of land reform or redistribution and the redistribution of benefits through non-land mechanisms (such as profit sharing ventures),
- the policy and political processes of land reform and redistribution, and,
- the relationships among economic efficiency, ecological sustainability, and social appropriateness

### **3 Restructuring markets, improving food security, and securing sustainable livelihoods**

The aim of BASIS activities is to reduce poverty and increase food security in a rapidly changing and volatile political and economic context. The notion of livelihood has gained support in policy debate and action on alleviating poverty because it helps bridge distinctions that are considered poles in a continuum rather than alternatives or oppositions: individual/household, household/community, rural/urban, farm/off-farm, production/consumption. The concept of livelihood also helps connect, in research and action, the desire for economic advancement to greater equity.

Key issues include

- the range of livelihood strategies for particular categories of population and the manner in which they have adapted or failed to do so in the context of rapid political and economic change,
- the policy strategies available to stabilize and to improve livelihoods,
- the causes of an apparently accelerating diversification of livelihood strategies (what are the determinants of new sources of off-farm income and their linkages with factor market restructuring?), and,
- the role of market towns and centers in generating new livelihood strategies

## **IV Context, crosscutting themes, and research goals**

The region's commonalities in history and contemporary condition as well as its considerable heterogeneity provide an excellent context for comparative policy research and action. The three themes selected for the initial phase of the program emerged from workshop discussions as critical for the region. They will be addressed within a common contemporary context which includes

- processes and outcomes of national programs of political and economic liberalization in an era of increasing globalization,
- changing roles of restructured markets, the private sector, and government at national and sub-national levels, with special reference to overturning the marginalization of the poor, and,
- the challenge of overcoming the heritage of over-centralized and dualistic political-economic structures

Work conducted under the three themes also will share the crosscutting themes of food security, gender, and environment. BASIS links research and action, the crosscutting themes, therefore, may be stated as the following objectives for the Southern Africa program

- the reduction of poverty and food insecurity,
- improving gender equity, and,
- achieving workable balances among environmental protection, secure household livelihoods, and economic growth

## **V Implementation modalities and management**

The modalities selected for achieving comparable, measurable, and synergistic research and action across sites within the region include

- targeted or commissioned research,
- competitive grants,
- impact monitoring,
- publication and dissemination suitable for a range of prospective clients and
- training through workshops and other modes

### **Modalities**

In the first year and with the first tranche of secured funding, targeted grants will absorb the bulk of funds as part of the effort to establish a strong, collaborative base for the program. Some of the funds will be directed towards competitive grants within the network and region. The balance will shift towards competitive procedures in the second and subsequent phases, assuming sufficient funding will be secured. Targeting or commissioning work in the early phase can build solidarity in the working relations among the BASIS Southern Africa network, provide focused work that can get moving quickly, and help leverage other funds.

The criteria for selecting projects for the targeted funds are those that

- are well-focused and already underway or at an advanced stage of planning and with partial funding in hand so that the limited BASIS funds effectively add value
- include multi-country sites and teams so that the outcomes are truly regional
- have strong links with non-governmental groups and government policymakers

Two proposals for the targeted funds are in process and will fall under research themes 1 and 2. One proposal will compare the effectiveness and equity of water resource use across two to three different forms of management and across national boundaries and will be proposed by a team of researchers from Mozambique, South Africa, and Zimbabwe. The second proposal will compare institutional innovations for the productive use and the linkages with and implications for land tenure reform, the team will include researchers from Namibia, South Africa, and Zambia.

Three small planning grants will be competitively announced in the region in order to facilitate the early phases of designing regional research under theme 3, which appears to be less addressed in the region than the others.

Two grants are to be competitively announced in the region for stock-taking exercises on themes 2 and 3. The stock-taking exercise is envisaged as including a careful, critical review and synthesis of existing policy research and action initiatives, and an identification of key issues for further investigation, immediate policy action, or experimentation.

In all these and other activities undertaken under BASIS, impact monitoring and training are central. Strategies for this include working with prospective clients of the research (such as government officers, non-governmental organizations, citizen groups, donors) in the earliest phases of design, identifying interim measures of impact and the involvement of clients and stakeholders to provide early and sustained feedback, and developing effective modes of communicating results, including specific and applied training sessions and various types of publications. One criteria of selecting projects for BASIS support will be the strength of such strategies.

### **Management**

Until such time as larger funding resources would justify a more institutionalized management structure, the workshop participants selected a network model. This includes a steering committee of five members selected from existing institutions in the region. The criteria for selection were proven expertise in the BASIS programmatic focus, sufficient administrative capacity for coordinated decision-making, strong links to policymakers and NGOs, and capacity for training and dissemination.

The members of the Steering Committee are

- Arlindo Chilundo (Nucleo de Estudos da Terra, Universidade Eduardo Mondlane, Mozambique),
- Ben Cousins (Programme for Land and Agrarian Studies, University of the Western Cape, South Africa),
- Stanley Khaila (Centre for Social Research, University of Malawi)
- Jenny Mander (Institute of Natural Resources, South Africa), and,
- Calvin Nhira (Centre for Applied Social Science, University of Zimbabwe)

Members of the Southern Africa BASIS program will rotate according to rules to be decided on in the first year of operation. The current members selected Stanley Khaila to be chairperson for the first year.

The Steering Committee will provide intellectual leadership in establishing and directing the program, establish and maintain a BASIS network in the region, and work closely with the Director of Research Programs in the BASIS Management Entity (University of Madison-Wisconsin), the Technical Committee, and the regional RPL.

For example, the Steering Committee will announce grants and other resources under the BASIS themes and will review applications along with the RPL and, usually, with other BASIS network members with specific expertise. The recommendations will be submitted to the BASIS Technical Committee, which makes the final decisions. The Director of Research Programs and the Technical Committee, in turn, link the Southern African program with those in the four other BASIS regions. This management structure will be reviewed at the end of the first year of operations.

## **VI Future directions and plan of action**

The next steps for establishing the Southern Africa BASIS program are as follows:

- This document will be circulated to prospective donors, such as USAID country and regional missions, UNDP, and the Ford Foundation.
- Select members of the Steering Committee will visit donors to solicit funds.
- Targeted grant proposals on themes 1 and 2 will be circulated to the US BASIS network in September in advance of funding decisions and research implementation in November 1997.
- Memoranda of Understanding will be drawn up with the appropriate authorities, such as the home institution of the chairperson of the Steering Committee and the Institute of Natural Resources, which handles the financial management for the first year.
- Government concurrences will be sought.

## **ANNEX 1 BACKGROUND INFORMATION FOR PARTICIPANTS**

### **BASIS Planning Workshop**

**9-11 June 1997**

#### **Introduction to BASIS**

The Land Tenure Center of the University of Wisconsin-Madison, representing the Consortium for Applied Research on Market Access (CARMA) was awarded the 5-year, \$9.0 million Broadening Access and Strengthening Input Market Systems (BASIS) Collaborative Research and Support Project (CRSP). At present, half the award is centrally funded through USAID's Global Bureau Office, while the remainder is anticipated to come from participating regional bureaus, country missions, and other donors. CARMA comprises 16 research and training institutions in the US along with collaborating partners in regions where research and training programs are implemented. As a CRSP, BASIS is intended to help strengthen both US and host-country research capacity through jointly developed and collaborative programs of research and training on land, water, labor and financial markets and their interactions. CARMA's mission is to help governments, donor agencies, the private sector, and NGOs design, evaluate, and propose policies that enable factor markets to mediate broadly based, integrated, and environmentally sustainable rural economic growth in response to the fundamental policy problems of liberalization without growth, exclusionary growth accompanied by concentration of wealth and perpetuation of income and asset inequality between households, gender-biased growth, ethnically-biased and socially unstable growth, environmentally destructive growth, and the constraints of poor management, institutional malfunctioning, and low levels of human and other resources.

The BASIS CRSP is intended to help strengthen researcher-to-researcher collaboration and institutional capacity through focused research and training on global factor market constraints in 5 regions: Greater Horn of Africa, Southern Africa, Central America, Central Asia, and Southeast Asia. In the initial project proposal, four broad thematic areas of research were identified: (1) targeting and sequencing market liberalization and development, (2) market organization and support under privatization and agrarian reform, (3) natural resource management, environmental protection and common property, (4) water rights and social conflict. Three further themes—market integration, gender, and household strategies under risk—cut across these research foci. Research programs are to have an applied focus aimed toward strengthening inter-market dynamics, broadening market access, enhancing economic growth and improving environmental quality and protection consistent with the following goals: to analyze the performance interactions and synergies of land, labor, and financial markets and translate research results into policy recommendations, to find solutions to wasteful resource use and suggest policies that utilize resources for efficient and sustainable use, to determine key performance factors in non-market institutions that allocate resources so as to bolster their efficient and equitable use, to communicate research in a timely and usable manner through a communications campaign and workshops that respond to various needs, allowing local people, universities, NGOs, government agencies, and other organizations to

establish and implement suitable policy changes, to identify and monitor indicators of economic and social welfare that measure improvements in factor market performance, food security, employment, and equity

## **Southern Africa regional program**

Each regional program will fit within the overall ambit of BASIS and its overarching themes, but will take its specific shape and direction through a collaborative process of decision-making and definition among regional and US researchers/agents. The planning workshop is the foundational step in that process.

The countries and peoples of Southern Africa share historical and contemporary characteristics as well as reveal considerable heterogeneity. In most countries of the region, there have been massive changes in political and economic organization brought about through war, civil dissent movements, shifts towards multi-party politics, and policies of structural adjustment and privatization. Climatic disasters (droughts and/or floods) have also affected many throughout the region, while the insistent processes of urbanization and commercialization as well as population growth have their own effects in the welter of influences. At the heart of efforts to reconstruct destabilized or disrupted political economic systems are issues of access and rights to key factors of land, labor, and capital. This is where the BASIS program can find its place in identifying, analyzing, and directing policy research, training, and action throughout the region.

Against this rich background of both shared and diverse situations, the charge for the workshop is to define a program for the region. Key to the process of definition is the need to select the appropriate themes, topics, sites, and types of activities to be conducted under the BASIS program. Priorities will need to be agreed on for the program in its first year and, assuming funds allow, an initial five-year time-span. Below is a list of illustrative themes and research/action questions that is intended to spur reflection in workshop participants. Each participant should consider that s/he represents both her/himself and a wider community of researchers/policy activists/NGOs. While all of us have specific training, skills, and interests, and while most of us probably have definite ideas of how they would like the program to go, we all must also consider ourselves to be working for a common output—a program that makes sense for the region.

The task for workshop participants is to consider the overall BASIS agenda, the particular situations typifying the region, the specific issues for each country or sub-region, and to draw on their own experience and knowledge to identify key needs in research, training, and action with relation to land, labor and capital (finance). Specifically, questions to be considered include

- Are there themes and topics which cry out for synthesis papers? i.e. themes and topics on which important research and analysis have been done but which remain in scattered and uncoordinated forms. Such syntheses or “think-pieces” would be useful both as summaries of existing knowledge, and as providing bases for more refined research or focused training or action.

- What ongoing initiatives in field research or documentary research would benefit from some form of “piggy-backing” funded by BASIS? (i) Are there particular dimensions or aspects of a question to be added to a project? e.g. would a project on community management of environmental resources benefit from and, in turn, benefit an inquiry into the scale of off-farm income? (ii) If a detailed analysis has been conducted of the range of transfers of land (in relation to new land legislation or land redistribution) in one district of a country, would it be useful for legislative and administrative redirection to do parallel studies in other districts? (iii) Perhaps the added dimension would be not a site but a level of organization. For example, a study of the role of small or micro-enterprise among rural or peri-urban groups could be complemented from a study of business and labor regulations and regional investment patterns in small-scale industrialization
- Are there obvious gaps in ongoing policy research?—unaddressed issues, unposed questions, or perhaps mistaken premises?

Overall, then, the workshop participants need to consider a program that is both general enough to foster comparison across and within regions but specific enough to facilitate well-defined questions and methods for answering them. One eye has to be on the regional and long-term, another on the here and now and specific. The aim is to be complementary rather than schizophrenic, focused rather than scattered.

The second part of the task facing the workshop is to define options for the research organization or management structure. What are the options for coordinating research projects in the selected countries/sites and on the selected themes/topics, and for responsibly managing the disbursement of funds without imposing too large a bureaucratic burden on limited resources?

## **Illustrative research themes**

**1 Enhancing resource productivity through broadening access to markets and technology** Market liberalization, asset redistribution, and expansion of farm and non-farm employment opportunities for disadvantaged, resettled, or displaced sections of populations are challenges for several countries undergoing political and economic transitions within the region. Studies underway include the interactions among programs of land redistribution, “informal” land transfers, and the needs for financial capital, the viability of small-scale commercial fruit-farming, irrigation, livestock-production, the linkages among small-scale commercial production and “global” flows of capital and trade. Questions include

- What development paths are appropriate for achieving improved rural livelihoods—whether small-scale agribusiness, off-farm labor employment, land tenancy? How can resource access and factor market integration enable households to respond to growth opportunities and induce a more inclusive rural economy?
- How can land markets accommodate the interests of entrepreneurs who need capital and tenure security? Do diffused rights over land and farm assets constrain adoption of collateral-intensive lending mechanisms and land improvements? Is the flexibility in access

to landed resources an advantage in situations of rapid change and volatile markets? How do problems in information, incentives, property rights and organizational design affect factor market demand and delivery? What innovations in financial market technologies or micro-credit/savings programs are possible to broaden credit access and to help redress historical biases in credit use?

- How do farm size, property rights, and managerial arrangements, particularly involving groups of co-owners, influence capital use and incentives to adopt new agricultural techniques? What is the nature of linkages among rural sector service growth, farm productivity, and food security? What modes of farm organization—cooperatives, contract, outgrowers, or individual farms—can assist small producers in achieving scale economies in asset use and market access?
- Are there win-win strategies from using the goodwill, resources, and expertise of larger farmers for advancing smallholder livelihoods either through land delivery, farm services support, contract farming, or co-sharing transactions costs on information and marketing?

**2 Assessing the sociopolitical organization of markets** Decades of over-centralized government controls have undermined and distorted local forms of authority, destabilized communities, and undermined private land, labor and financial markets. While this situation was perhaps most acute under the apartheid regime of South Africa, similar heavy-handed government controls in other countries of the region make for important structural similarities in designing policy research and action. Governments are now seeking to restore individual and community property rights, resurrect and decentralize markets, and broaden economic participation. While market liberalization may successfully extend opportunities for exchanging goods and services to formerly disadvantaged groups, it is less clear that the institutional organization of factor markets will enable individuals and communities to participate fully in the economic transition. The legacy of past difference in educational and other services have created structural obstacles that are not simply removed by economic liberalization. Relaxing government controls on resource access and use by no means ensures that effective institutions will evolve or be able to secure rights or sustainable patterns of use.

- How is the sociopolitical organization of factor markets facilitating or constraining rural development in the context of land restitution, land redistribution, and resettlement? What is the appropriate role for customary leaders (including “traditional authorities”) in the political transition and new legal environment?
- In what ways does economic empowerment through broadened market access and land ownership stimulate political empowerment and community development?
- What is the nature of rural labor contracts, and what types of institutional-legal reforms are required to enhance laborers’ incomes? In areas where demand for credit and tenure security is high and labor market innovations are emerging, how can factor markets enable growth in ways that enhance workers’ rights? Will workers on commercial farms who are

now able to pool resources and engage in collective action be able to resolve free rider problems?

- How is the sustainability of land privatization finance decentralization and employment creation influenced by forms of local governance? How should corrective policy reform be balanced by government capacity and political realities?

### **3 Enhancing environmental sustainability and livelihoods**

- Studies and action programs on natural resource management are being undertaken throughout the region in the context of land tenure, household production and welfare migration, ecotourism, community management of reserved resources and grazing commons Many programs are highly participatory and action-oriented CAMPFIRE in Zimbabwe has been particularly innovative and influential, Botswana and Zambia, among other countries, are experimenting with resource contracts among communities, the private sector, and government None of these initiatives provides a formula appropriate for all places and problems but all suggest ways of combining environmental sustainability and viable livelihood systems Water is the scarcest natural resource in most of Southern Africa Many of the sources of water are divided by national boundaries so that sustainable use at multiple levels (household, community, regional, national) depends on international agreements In several instances, there is competition over the water resource and, in some, open conflict
- What legal or institutional solutions exist for optimizing private and social benefits of resource use under collective management in the context of common rivers, adjoining reserves and corridors, and shared commons?
- How should the production and employment potential of water schemes for smallholders and historically disadvantaged populations be addressed? How successful are water management innovations (including water pricing) in water use efficiency while meeting the objectives of equity and environmental sustainability?
- How are current efforts at developing ecotourism dependent on institutional developments in factor markets? What are the lessons so far for environmental and social benefits?
- How can quantitative models be developed for predictive purposes that integrate hydrological, biological, and land use information in a manner that enables participatory planning to be more rigorous? How can rights of use and access be synchronized across levels of individual, household, community national and international?

### **4 Land tenure and resource use in the context of commercialization and urbanization**

Factor market organization has to be understood in the context of changes in political and economic organization of the past few decades brought about through war, civil dissent, multi-party politics, and policy reform, as well as the dynamics of population growth, migration, and commercialization Access to productive resources (water, land and its many products) has

been affected both by direct government action and by the aforementioned factors. For example, currently in South Africa, government programs are redistributing land to disadvantaged groups but, in addition, there are many private or informal transfers of land and other assets taking place which need to be monitored and analyzed. There appear to be similar mixes of formal (whether sponsored by government or non-governmental organizations) and informal transfers in other countries of the region. In many places, competing claims over resources, some deriving from the use of different tenure and property rights regimes, produce social conflict and policy confusion. For example, rivers are usually state or common property but a panoply of uses and rights converts them into "open access" resources: the water is used by abutters for domestic and agricultural use, streambed gardens are often family property and/or "customary" land, gravel and sand may be collected by both local residents and by urban-based companies. To ensure proper policy action, a full understanding is required of the multiple forms of transfers and their implications for production, productivity, and equity.

- How are political-economic changes (such as post-war resettlement, policy liberalization, and reduction of government monopolies) affecting transfers of land, and reconfiguring access to landed resources and water?
- How are competitive uses of water negotiated (a) among groups within a country and b) across international boundaries?
- How have political changes (shifts to multi-party politics, decentralized government) influenced water-use management?
- What types of accommodation have been achieved across different tenure regimes (common property, family farms, customary allocation, state property, open access), and how has/can policy influence productivity, investment, and equity of resource management?

**5 Understanding points of economic growth in rural-urban dynamics** Throughout southern Africa, as in other parts of the continent, points of growth tend to be at the intersection of rural and urban flows (of goods, people, services, information, finance). In many places, rural incomes and production are driven by demands (for foods and products such as poles, firewood, charcoal, gravel) that emanate from urban centers. Similarly, within rural areas, especially around the many small marketing centers, proliferating modes of providing services and labor lead to a situation where "off-farm" income may constitute from a third to a majority of a rural family's total disposable income. The linkages between farm and non-farm activities are critical not just for individuals and families but also for local and regional economic dynamics. For example, cash crop production by a section of a population may result in increased demand for locally-produced services and goods as well as to those produced elsewhere but distributed through trading chains. In a country like South Africa, where the systematic centralization of marketing from the 1950s on led to the demise of hundreds of market towns and the concentration of controls in the hands of a few white farming and trading monopolies. One of the challenges facing the country is the reinvigoration of rural and peri-urban economies and the resuscitation or even creation of market centers.

These efforts may be studied alongside the evidence from other places of the dynamic growth potential of small marketing centers

- How is growth in small enterprise development (agroindustrial processing, small manufacturing, services, input provision) limited or distorted by past histories, economic policy and constrained market access? How might such limitations or distortions be overcome?
- What types of small-scale enterprises emerge in different rural and peri-urban locations and what are their different implications for generating employment and income?
- What appear to be the most productive ways of restructuring over-centralized marketing and distribution systems to benefit local and inter-regional groups?
- How do new political associations (based on residence, employment, ethnic or religious affiliation, etc ) figure in restructuring economic activities?
- Can experience from countries where periodic markets and small market centers are well established and active (e.g. Malawi) inform efforts to use the creation of such market centers to generate or focus economic growth in other countries (such as South Africa)?
- Can comparative studies of small market centers identify (a) the determinants of economic vibrancy, (b) the links between economic activity and political change, (c) lessons for policy to encourage rather than deter economic growth?

## ANNEX 2 WORKSHOP AGENDA

### Sunday 8 June

18 00-19 00 Reception

### Monday 9 June

08 00-09 00 Introduction

- (i) Welcoming remarks
- (ii) Introduction of participants
- (iii) Agenda goals and organization of workshop
- (iv) Description of BASIS CRSP Program

09 00-10 00 Plenary discussion of priority research issues in land labor and finance markets in the region Identification of main themes for BASIS program

10 30-10 45 Tea break and working group sign-up

10 45-10 55 Working groups I guidelines for research theme development

10 55-12 30 Working group meets (chair and rapporteur assigned for each)

12 30-13 30 Lunch break

13 30-14 30 Plenary presentation of working group I findings and recommendations

14 30-14 40 Working group II guidelines for regionalization and research implementation

14 40-14 55 Tea break

14 55-16 30 Working group II meets to develop strategies for regionalization specific topics projects and potential sites for the selected research themes and choice of research methods

16 30-17 30 Plenary presentation and discussion of working group II proposals

Evening Dinner

### Tuesday 10 June

08 00-09 00 Plenary modalities for BASIS implementation (impact monitoring competitive grants coordination with other research programs publications and dissemination training)

09 00-09 10 Guidelines for working group III on program modalities

09 10-11 00 Working group III on strategies for communications training capacity strengthening and impact monitoring (includes tea)

11 00-12 00 Plenary presentation and discussion of modalities

12 00-13 30 Lunch break

13 30-14 00 Plenary management and BASIS organizational structure

14 00-14 10 Working group IV guidelines on management structure  
14 10-16 00 Working group IV on management structure networking impact organizations and grant mechanisms  
16 00-17 30 Plenary presentations and discussion of management structure  
Evening Dinner

**Wednesday 11 June**

08 00-10 00 Plenary presentation of agreed shape of BASIS program  
10 00-10 30 Tea break  
10 30-12 30 Next steps (schedule, responsibilities for tasks)

Dispersal of participants (except organizing committee)

Afternoon Organizing committee meets to discuss production of report and the handover to management structure for research program

## **ANNEX 3 WORKING GROUP GUIDELINES**

### **Working group I guidelines for research theme development**

- What are the priority policy issues related to land labor and finance capital markets and their interactions as they relate to each theme?
- What are the key emergent themes and policy issues that cut across research sites and regions?
- How should these be prioritized and shaped for the BASIS research program?
- What are the specific unanswered research gaps?
- What is the audience for the research and what concrete policy linkages exist?

### **Working group II guidelines for regional research implementation**

- What does regionalization mean in the context of implementing research training communication and capacity building activities?
- What mechanisms or strategies are appropriate for achieving comparable and synergistic research across sites and regions?
- What sites or contexts are appropriate for research implementation?
- Are there existing research action projects or databases that lend themselves to comparative research and sites?
- What methodological weaknesses need to be addressed or overcome to improve the utility of the research for the academic community and policymakers?
- How should research and training activities be prioritized and phased to accelerate research implementation?

### **Working group III on modalities**

- How can the benefits or impacts of the research training and communications program be measured quantitatively and qualitatively?
- What preexisting or potential lines or modes of training and communication might be utilized to disseminate or communicate research finding and to what audiences?
- What strategies for strengthening training and institutional capacity are appropriate?
- What possible funding mechanisms and strategies for soliciting supplementary government and donor funding exist or ought to be pursued?

### **Working group IV on management structure options**

- What administrative structures are needed to regionally administer research and training programs?
- What linkages need to be formed or strengthened with regional NGOs PVOs or international research centers to increase the dissemination and use of research findings?

- What are the appropriate impact organizations for translating or implementing research findings into concrete actions?
- What strategies ought to be pursued if any to expand the network of participating individuals and organizations?
- What steps are needed to ensure timely delivery of memoranda of understanding with research institutions and government concurrences?
- What grant making mechanisms are appropriate given the above regional dimension and mix of institutions participating?

## ANNEX 4. WORKSHOP PARTICIPANTS<sup>2</sup>

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