

November 14

**INTERNATIONAL WORKSHOP ON
LIVELIHOOD DIVERSIFICATION, NATURAL RESOURCE GOVERNANCE AND
ENVIRONMENTAL SUSTAINABILITY IN EAST- AND SOUTHERN AFRICA**

Workshop Report

**Nordic Africa Institute, Sweden, Institute of Environmental Studies, University of Zimbabwe,
and Cooperating Researchers and Institutions**

**Mbizi Game Park and Lodges, Harare, Zimbabwe
1-4 November 2006**

**Funded by Nordic Africa Institute, Sida Stockholm and the Swedish Interdisciplinary
Research Network on Rural Livelihoods and Natural Resource Governance in Sub-Saharan
Africa.**

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1 Preamble

The workshop was conducted from November 1 to 4, 2006 at Mbizi Game Park and Lodges, Harare, Zimbabwe. Sixteen researchers, both experienced and young and including Phd students, participated, representing different institutions from Europe and East and Southern Africa (see Annex 1 for list of participants). Many of the participants made presentations (see Annex 2 for workshop programme details) where key concepts and issues were raised and discussed and experiences shared. This was followed by discussions to develop the draft research programme (developed jointly before the workshop) into a consolidated long-term research programme. The major research themes and cross-cutting issues were refined. Subsequently country projects and activities and a framework and plan for the implementation of the research programme were developed. The organisers are grateful to the Nordic Africa Institute and the Swedish International Development Agency, Sida, for financial support to organise the workshop.

2 Introducing Workshop Background, Objectives and Programme

Professor Sara Feresu, Director of the Institute of Environmental Studies, University of Zimbabwe, welcomed participants and made the official opening of the workshop. Professor Feresu thanked Professor Havnevik, the Nordic Africa Institute and colleagues from other cooperating institutions for the efforts they had made over time in pulling resources and preparing a draft research programme as a foundation for the workshop. As one of the major workshop organisers, Professor Feresu, hoped that it would result in a long lasting collaborative research programme between north and south. She reiterated her institution's commitment to the future research cooperation process.

Professor Kjell Havnevik then informed the participants about the background and introduced the objectives of the planned research program and the expected outcomes from the workshop. He reminded participants that the collaboration was based on a long-term relationship of institutions and individuals in the south (Wondogenet Forest College, Dehub University, Ethiopia, Sokoine University of Agriculture, East Africa and the Institute of Environmental Studies, University of Zimbabwe) and the north (Nordic Africa Institute, Sweden, Oxford University, Norwegian University of Technology and Sciences and the Centre for Gender Studies, Stockholm University). He stated that the primary aim of the workshop was to strengthen and widen this relationship through new and long-term research collaboration which would also support younger researchers, current and future PhD students. Other researchers are also welcome to cooperate and engage in problem solving based on interdisciplinary research for development.

The aim of the process is also to continue the widening of the analysis beyond African agricultural to rural development, to integrate the analysis of local level with national and global levels, and to move systematically from a disciplinary to interdisciplinary approach. A major objective is also to examine existing theories and their interconnectedness in the rural African context, and to develop a framework that will foster and better define the roles and responsibilities of each of the participants to this end, including mobilizing and utilizing resources.

Then participants introduced themselves and their research activities. Subsequently presentations were made after which discussions followed. A brief summary of the presentations are made below.

3 Presentations and discussions on key issues

3.1 *The Sustainable Livelihood Concept*

Habtemariam Kassa, CIFOR, Ethiopia, first described the current status of smallholder African farming systems. The limitations of conventional research and extension systems to understand the production logic and come up with adoptable technologies were discussed. Further the need for a more comprehensive systems approach to rural livelihoods improvement and environmental sustainability was pointed out. To this end, the rationale, elements, uses and limitations of the sustainable livelihoods framework were presented. The presentation concluded that the sustainable livelihood framework could still be adapted to facilitate the study at household and community levels, but studies that aim to link households and communities to national governance and global forces call for development of a new conceptual framework.

3.2 *Migration and deagrarianization*

Deborah Bryceson, from Queen Elizabeth House, Oxford University made a presentation entitled “The Scramble in Africa: Rural Livelihoods, Deagrarianization and Depeasantization”. She elaborated on turning points that relate to global institutions and policies in pushing rural Africa to the stage where it today finds itself, and how national and international policies have played a role in escalating production and price uncertainties. She elaborated on the impacts of these on deagrarianisation and depeasantisation in Africa. She described the characteristics of the African peasantry in terms of farm, family, class and community. She described the features of the resultant rural restructuring and the growing uncertainties facing rural smallholders that have led to increased rural diversification.

3.3 *Global trade and trade theories and the role of industrialisation*

Rune Skarstein, the Norwegian University of Technology and Science, presented a paper titled, “Free Trade – A Dead End for Developing Countries”. He discussed the conventional trade theory and its focus on comparative advantages. He questioned the assumptions of this theory and in particular its static character. He stressed the need to develop theories that can capture dynamic aspects related to technical change that promote productivity growth in agriculture. He went on to discuss the importance of the interconnections between manufacturing and agriculture for historic development trajectories. Subsequently Skartstein presented economic laws based on empirical regularities such as Verdoorn’s and Kaldor’s laws. These show that there is a strong positive correlation between the growth of manufacturing output and (a) the growth of GDP, (b) the growth of labour productivity in that sector, and (c) the growth of productivity in the economy outside manufacturing, including agriculture. The implication of this is that a country with high rate of growth of manufacturing productivity will have a relatively high growth of labour productivity in the economy as a whole. These laws show that in any economy manufacturing industry is the dynamic center of technical change and productivity growth. This underlines the need for developing countries to broaden their economic basis beyond agriculture.

3.4 Land and natural resources tenure and institutional sustainability

Prosper Matondi, the Centre for Rural Development, University of Zimbabwe, presented a paper titled, “Securing land and natural resources tenure: reflections on approaching the issue”. The presentation provided an overall context of why land and natural resources tenure is necessary and the implication thereof on agriculture as a basis for livelihoods. Issues on conflicts over access to land and resources and the response through institutional design were key elements that were presented. On the basis of historical trends in Africa, the presentation concluded by elaborating on six propositions, that; (i) Securing land and natural resources rights is shaped by power relations and needs to be understood in the context of history, (2) In a tenure reform situation, the after situation is equally important as the prior situation. Thus tenure reform can not be seen as a means to an end, (3) Social relationships and the structures of local communities influence the outcomes of agricultural production, (4) Culture is central in communities of place and practice, and therefore managing natural resources becomes a balancing act of competing interests over livelihood and conservation, (5) Governance institutions below the large-scale bureaucratic units of government are more effective in natural resources management than higher levels, and (6) Valuation of local knowledge provides local communities with confidence for self-development with a national and global outlook that enhances their tenure security.

3.5 The HIV/AIDS pandemic – implications for agricultural systems and rural livelihoods

3.5.1 The HIV/AIDS pandemic, gender and property rights in Southern Africa

Kaori Izumi, FAO, Harare The HIV and AIDS pandemic has substantially increased the number of widows and orphans in East and Southern Africa. The stigma attached to the pandemic has made widows’ and orphans’ ability to defend their land rights weaker, since they are more likely to be mistreated, victimised and less likely to be defended. As more sons are dying of AIDS before their fathers, sub-divisions of land are delayed and only done after the father’s death. This has further weakened the land and property rights of widows. HIV and AIDS have impacted on land resettlement programmes and vice versa. Communal land tenure and cultural practices such as widow inheritance and sexual cleansing are also influenced by the HIV and AIDS pandemic.

In many African countries HIV and AIDS have generally increased land grabbing, encroachments, evictions, domestic violence, destitution, loss of properties and livelihoods which have affected widows and orphans severely. It has further accelerated the migration of AIDS widows from their rural homes to urban informal settlements as well as within slums. Safeguarding widows’ land rights is an important social protection, support to poverty alleviation and HIV mitigation. Rural communities’ spontaneous resilience and resistance to the AIDS pandemic depend on how they treat the most vulnerable. Whereas policy and legal reforms and the enforcement of gender sensitive policies and laws are required, a number of innovative initiatives are being undertaken by local communities in order to minimise the devastating impact of HIV and AIDS. From this perspective, HIV and AIDS should be seen as an opportunity to advance women’s property rights and livelihoods in order to counter the devastating impact of the pandemic which should no longer be tolerated.

Research gaps in HIV and AIDS and women's property rights and livelihoods include questions such as, (i) why people grab land and property from poor widows and orphans and how to stop it and (ii) what are their survival strategies and how could they be extended to long term support for rural livelihoods.

3.5.2 Challenging methodological issues on the study of HIV/AIDS

Billy Makamuri, Centre for Applied Social Studies, University of Zimbabwe. There is an urgent need to document and analyse variables related to HIV/AIDS in small scale farmer areas. Findings show that when people are faced with a desperate situation they tend to find a way to deal with the challenges they are facing. There is a need to identify existing institutions related to HIV/AIDS in order to establish a good foundation for intervention strategies. Several major methodological challenges exist. People often die from symptoms related to HIV/AIDS. Therefore there is need to employ a variety of methods, of which participatory rural appraisals are very important. Life history accounts add to our understanding of what HIV/AIDS really is doing? How do we isolate other variables in order only to study the impact of HIV/AIDS?

The question is, if the objective is to improve the productivity in agricultural systems where do we start? Often findings are derived from quick studies that do not stand up to critical scrutiny. There is a need to get to the ground in order for the research to be useful to designing sound policies. There is need to add academic rigour and a need to develop immediate and long term strategies to address HIV/AIDS.

From recent studies related to HIV/AIDS, Makamuri has identified rapid increase in school drop outs, in one primary school there were 300 orphans out of a total of 1200 pupils. There is a rapid increase as well in child-headed households and a massive relocation of orphans. Developments have also resulted in increased utilisation of natural resources, reduction of cultivated land and in the increase in the number of funerals for households and time for caring for the sick. Loss of knowledge is also strongly associated with deaths from HIV/AIDS.

3.6 Some on-going research activities

3.6.1 Social capital as a tool and process for securing tenure

In her work on social capital in newly resettled areas, Mabel Munyuki-Hungwe, the Centre for Rural Development in Zimbabwe, argued that the issue of what kind of communities are emerging in the newly resettled areas is perhaps the single most important issue to be resolved within and after land reforms. There is little systematic research and dialogue on social livelihood change following the land reform programme. A deeper understanding of the social outcomes will help make government policies, assistance interventions and institutional reforms more relevant for assisting livelihood strategies in direction of poverty relief, productivity gains, welfare improvements, and environmental sustainability concerns. The key issues she presented were on the impact of land redistribution in terms of social and institutional structures. Data from her two sites is showing high level of social deviance when new resettlement areas are compared to adjacent communal lands.

3.6.2 The Farmer Field School Movement in East-Africa

Deborah Duveskog, FAO, Nairobi and Swedish University of Agricultural Sciences, Sweden, presented her ongoing Phd research on the Farmer Field School (FFS) in East Africa. The FFS approach to extension was introduced in 1996 following the successes of the approach in Asia.

The approach builds on field-based participatory group learning and experimentation and preliminary data suggest the approach to be successful in responding to farmers needs and in strengthening farmers' capacity to control their own development. The FFS operates through community group grants that is used by the groups to pay for extension services. To an increasing extent these grants are given on a cost recovery basis or farmer groups raise their own funds for payment of the services. Encouraging preliminary research data suggest that FFS initiatives have led to a high level of community empowerment and increased emergence of community based extension systems with institutional innovations such as farmers' associations with community self-funded extension activities.

Since the FFS approach quickly is gaining interest and attention by public and private institutions and donors, the research on FFS will be of high value for advising these agents on how and in what way external support can facilitate the development of community driven extension systems.

3.6.3 Building knowledge base on African dialogue (Padare) for socio-economic transformation

Emmanuel Haruperi, associate of the Centre for Rural Development an consultant of the W. K. Kellogg Foundation, presented a paper on the concept of Padare as a basis for dialogue for socio-economic transformation. This dialogue tool with a history grounded in past African history and way of life has a potential of reducing conflicts. Collective action reached through consensus processes is highly valued in a traditional African setting. These consensus processes are time consuming but make African culture human centered. The basic premise of the Padare concept is that it is aimed at creating learning capabilities for rural socio-economic transformation. It thus has elements of leadership, communication, social equity, building consensus and learning. Thus for communities to improve themselves and also to live in harmony with nature, they need a framework through which they communicate. Traditional African institutions and local knowledge are some of the important parameters for building community level learning capabilities.

3.6.4 Farm-workers and livelihoods after land tenure reforms in Zimbabwe

Godfrey Magaramombe, Director of the Farm Community Trust of Zimbabwe, noted that the issue of what happens after land reforms is critical especially for countries such as Zimbabwe that had large numbers of farm-workers. This means not only accounting for them, but also analysing what type of tenurial regimes are necessary for securing their livelihoods as equal citizens of Zimbabwe. He noted that the land transfers seem to have created a huge livelihood crisis for farm-workers. Some of the patterns include limited employment opportunities; more insecure forms of employment; uncertainty over tenure for a large number of people; limited access to social services such as health and education and lack of access to productive land leading to an increasingly desperate food security situation for former farm-workers.

4 Defining the broader research objectives and refining research themes

It was agreed that the objectives of the research program are:

- *to understand the interconnections underlying rural livelihoods, natural resource governance and environmental sustainability with a view to enhance conditions for poverty reduction, productivity growth and sustainable rural societies in Ethiopia, East-Africa and Zimbabwe;*

- *to inquire theories and develop relevant concepts to explain rural development dynamics in East- and Southern Africa; and*
- *to synthesise policy recommendations to informing national governments in the region, sub-regional (SADC, COMESA, IGAD) and continental organizations (UNECA, AU, NEPAD).*

A consensus was reached that the overarching question of the research programme should be *what type(s) of governance institutions and mechanisms will lead to improved livelihood outcomes and environmental sustainability in rural Africa.*

After extensive discussions both in sub-groups and in plenary sessions, participants agreed upon the following major research themes (and the respective key issues within each theme) to be the major areas of emphasis for the research programme. The seven themes identified are indicated below (See Annex 3 for the details on each of the research themes and the respective key issues):

- The local knowledge and capital base, and opportunities for collective action/institutional development for the strengthening of the productive capacity of fractured households and communities.
- Enhancing the adaptive capacity of communities to climate change and emerging market opportunities and risks (technical, technological, climatic and social aspects).
- The causes and consequences of resettlement and migration patterns (labour absorption, employment, remittances, impact on natural resources).
- The impact of the HIV/AIDS pandemic on livelihood strategies and on rural dynamics (on labour shortage for agriculture, impact on access to and use of natural resources, on gender, on property rights of affected segments and on family family and social values and safety nets).
- Natural resources governance to secure balance between rural life improvements and environmental sustainability.
- Governing production and markets (formal and informal) for rural improvement (labour productivity, technology, innovations, institutions, pro-poor market development).
- Governance mechanisms to promote African Agency (promoting sound policies and institutions at all levels, counter ill devised policies, and mitigate negative impacts of globalisation on rural livelihoods and on the management of natural resources).

5 Developing the research programme plan

After having agreed on the major themes of the research programme, the workshop at length discussed the structure and the plan for the research programme. Consensus emerged on the need to develop a two stage research programme where the first stage should be of a foundational and reconnaissance character (two years) and the second stage related to long-term research, capacity development, monitoring, engaging with policy and promotion of African agency.

5.1 Country framework for providing foundation for the longer term research

□ Reconnaissance

A sound foundation for the long-term research programme will require that the first phase (two years) of the research programme will be of reconnaissance character. The reconnaissance

study will include country projects and a comparative study across countries in addition to methodology development. The workshop participants jointly developed a country level framework for such projects. This framework addresses the major research themes identified and as well focuses on historical trends and major events and turning points. The framework further emphasises fractures and uncertainties emerging from these events/turning points and global processes. Subsequently country research groups developed more detailed country project outlines (Refer Annex 4 for the detailed contents of the country project outlines). The outcomes of these projects will be the foundation for a comparative research project across countries and methodological development undertaken towards the end of phase one. It was decided that a reconnaissance study should be conducted for Ethiopia, Tanzania and Zimbabwe. Discussions about including a fourth country was not conclusive. The country studies may in some parts also relate to developments in other countries in the region.

□ Policy engagement

Phase one activities will also engage with ongoing policy developments related to the research themes. For the policy activities, they will be primarily developed from local level, where the research activities will take place. It is hoped that the research results will then inform policy processes at the national level, where governments are struggling with livelihoods and environmental sustainability issues. The outcomes of policy engagement at the national and international levels, will then be input to develop strategies that are better informed by local conditions and dynamics.

□ Capacity building

During phase one the institutions involved will develop plans and activities for capacity building such as support to education programmes, research proposal development and courses. Identification of Phd students with an interest in participating in programme research activities will also commence.

□ Enhancing the research collaboration

The participants in the research programme have considerable experience from areas addressed by the research programme (refer Annex 1). In spite of this, there will be a need to commission studies or attract other researchers to conduct sections of the country studies where the competence of the collaborating researchers is weak.

□ Resources required for first phase

If funding can be secured for phase one activities, country study research can start early 2007. The preliminary budget estimate of phase one (two years) amounts to USD 350 000 and contains the following activities and outcomes;

Cost item - outputs	Unit	Total
Country studies (Ethiopia, Tanzania and Zimbabwe)	USD70,000 per country	USD 210 000
Comparative study and methodology		USD 50 000
Research workshops	2 workshops @ USD 30 000 each	USD 60 000
Book production on country studies and comparative		USD 30 000

study		
Total		USD 350 000

5.2 Phase two – long term research

The second phase will provide opportunities for a deep engagement in the research themes and the development of alternative research frameworks and approaches that aim to strengthen African agency. Phase two will have a time horizon of five years. Phase two will comprise a number of programme components summarised below.

- **On-going activities: based on phase 1:**
 - (i) the further development of methodological and theoretical frameworks,
 - (ii) the refinement of research themes on the basis of the outcomes of the country based reconnaissance and comparative studies
- **Major phase 2 activities:**
 - (i) designing and implementation of field studies in East and Southern Africa, with an initial focus on Ethiopia, Tanzania and Zimbabwe,
 - (ii) analysis of field data and writing up of research reports and books,
 - (iii) activities related to capacity building (development of alternative approaches for university curricula and learning approaches, support to PhD and Masters educational programmes, supervision, course development and review)
 - (iv) monitoring of livelihood and environmental outcomes (development indicators and tools for monitoring)
 - (v) engaging with current policy processes related to major research themes:
 - a. developing policy dialogue groups at the national level to influence policymaking and legislation,
 - b. engagement of parliamentary forums, and
 - c. regional groupings such as SADC and East African Community, NEPAD, AU,
 - (vi) dissemination and discussion of research findings (seminars, workshops and international conference)
 - (vii) publications (book, PhD theses, monographs, journal articles, policy briefs)

Further discussions and concretisation of phase two will take place during 2007. For the expansion phase the expectation is to mobilise between USD 1,500,000 to USD 2,000,000. This is in addition to already funded activities in terms of PhD training and research activities and other research funding.

6 Administrative and collaborative issues

All institutions and participants that have been part of the process for the last two years, have reiterated their commitment for the future research, educational and capacity building cooperation. It is proposed that a steering group for the Research Programme would include:

- **Ethiopia:** Dr Melaku Bekele (Wondo Genet College of Forestry, Ethiopia) and Habtermariam Kassa (CIFOR office, Ethiopia)
- **Tanzania:** Professor Gerald Monela, (Sokoine University of Agriculture),
- **Sweden:** Professor Kjell Havnevik (Nordic Africa Institute), Dr Atakilte Beyene, (Stockholm University).

- **Zimbabwe:** Professor Sara Feresu (Institute of Environmental Studies, University of Zimbabwe), Dr Prosper B. Matondi (Centre for Rural Development, University of Zimbabwe).

7 Conclusions and way forward

The workshop ended by the reaffirming of commitments by participants and institutions involved to continue the research cooperation. This will be done with and aim to enhance the understanding of African rural development dynamics, and address through an alternative analytical framework, the promotion of sustainable rural livelihoods through the strengthening of African agency and policies at all levels.

The participants further agreed that the final outlines of the country studies should be submitted to the steering group not later than December 10 2006. Subsequently the process of sourcing funding for the research programme, phase one will start.

8 Annexes

Annex 1. List of participants, their institutions and areas of specialisation

Name	Institution	Areas of specialization
Mabel Munyuki-Hungwe, director	Center for Rural Development Studies, University of Zimbabwe (UoZ)	Social capital, community development, rural social dynamics
Atakilte Beyene, Phd, researcher	Stockholm University, Sweden	Land tenure, land degradation, institutions
Opira Otto, Phd student	Swedish Agricultural University, Phd student	Traditional market exchange, agricultural productivity Issues
Deborah Duveskog, Ph student	FAO, Nairobi, Kenya and Swedish Agricultural University, Sweden	Extension, farmer field schools
Kjell Havnevik, Phd, researcher and professor	Nordic Africa Institute and Swedish Agricultural University, Sweden	Land tenure, natural resource governance, rural development, development assistance
Rune Skarstein, associate professor	Norwegian University of Technology and Science	Free trade theory, globalisation, development economics
Deborah Bryceson, associate senior researcher	Queen Elizabeth House England, Oxford University	Livelihood analysis, agricultural and rural societal change, migration and urbanisation
Melaku Bekele, Phd, deputy dean	Wondogenet Forest College, Debub University, Ethiopia	Natural resource governance/forest history, policy
Habtemariam Kassa, Phd, head	CIFOR, Ethiopia	Sustainable livelihood analysis, rural development
Jumanne M. Abdallah, Phd, lecturer	Sokoine Agricultural University, Tanzania	Community and forest governance, institutions
Sara Feresu, Phd, professor, head of department	Institute of Environmental Studies, UoZ, Zimbabwe	Natural resource management, pollution, climate, environmental sustainability issues
Nontokozi Nemarundwe, Phd, researcher	Institute of Environmental Studies/CIFOR, Zimbabwe	Institutions and natural resources and gender issues
Billy Mukamuri, Phd, researcher	Center for Advanced Social Studies, UoZ, Zimbabwe	Indigenous knowledge, farming systems and HIV/AIDS
Kaori Izumi, Phd,	FAO, Harare	HIV/AIDS, gender, livelihoods, land tenure and resource governance
Prosper Matondi, Phd, policy analyst	Center for Rural Development, UoZ, Zimbabwe	Institutions, water management, natural resource governance and rural development
Emmanuel Haruperi, researcher	Center for Rural Development, UoZ, Zimbabwe	Informal institutions and learning processes and systems
Unable to attend; Professor Gerald Monela, Tanzania, professor Tekeste Negash, Sweden and professor Stein Kristiansen, Norway, Linley Chiwona-Kaltum		

Annex 2. Workshop Program, 1-4 November 2006

Wednesday November 1

12:30-13.30 Lunch

13:30-14:30

Introduction, background to and objectives of workshop. Major objectives to develop draft research programme into a consolidated programme, including national projects and enhance comparative reflections across countries and agro/ecological/social system (Sara Feresu, EIS, University of Zimbabwe, Gerald Monela, Sokoine University of Agriculture, could not attend, Tanzania and Kjell Havnevik, Nordic Africa Institute, Uppsala, Sweden)

Introduction of participants and cooperating institutions.
Selection of research programme drafting group.

14:30-16:00

Sustainable livelihood concepts (Habtemariam Kassa, CIFOR, Addis Ababa)
Establishment of a sustainable livelihood and a governance protocol.

16:00-16:30 Coffee/Tea

16:30- 18:00

A critical look at the livelihood concept, de-agrarianisation, de-peasantisation and rural-urban dynamics in sub-Saharan Africa (Deborah Bryceson, Queen Elizabeth House, Oxford University)
Comments and discussion.
Establishment of a livelihood concept/approach protocol.

1900 Dinner

Thursday November 2

8:30-10.30

The global context – a critical view of conventional trade theories (with emphasis on agricultural trade) and the role of manufacturing in development – implications for sub-Saharan Africa. (Rune Skarstein, NTNU, Trondheim, Norway).
Comments and discussion.
Establishment of a global context protocol.

10:30-11:00 Coffee/Tea

11:00-12:30

Land and natural resource regimes and institutional sustainability.
(Prosper Matondi, Centre for Rural Development, University of Zimbabwe)
Discussion and comments.

12:30-13:30 Lunch

13:30-15:30

The HIV/AIDS pandemic – implications for agricultural systems and rural livelihoods.
(Billy Makamuri, CASS, University of Zimbabwe and Kaori Izumi, FAO, Harare).
Discussion and comments.

15:30-16:00 Coffee/tea

16:00-18:00

Presentations of ongoing research and additional issues/concepts of relevance to the development of the research programme.

Mabel Hungwe, Center for Rural Studies, University of Harare – Social capital, family structure and rural development.

Deborah Duveskog, FAO, Nairobi and Swedish Agricultural University – The farmer field school movement in East Africa.

Emmanuel Haruperi, Center for Rural Studies, University of Harare – the Padare – local knowledge and learning systems.

Godfrey Magarambe, Director Farm Community Trust of Zimbabwe – land reform and farmworkers – problems and opportunities.

Discussion and comments

19:00 Dinner

Friday November 3

8:30-10:00

Tying together concepts and perspectives and finalising the research protocols -providing the base for concluding the research programme.

10:00-12:30 (including coffee/tea)

Group work – developing parts of the research programme.

12:30-13:30 Lunch

13:30 – 15:00

Group work – finalising and merging the various parts of the research programme.

15:00-15:30 Coffe/tea

15:30-16:30

Ways of cooperating in the future?

How to develop and support Phd related research and courses

Future funding issues

16:30-18:00

Identifying and discussing the content of various national projects.

19:00 Dinner with the Swedish Ambassador

Saturday November 4

8:30-12:30

Developing national projects (country based groups)

12:00- 13:30 Lunch

13.30-16:00

Discussing and presentation of national projects

16:00-16:30 Coffee/tea

Departures

19:00 Dinner

Sunday November 5

8:30-12:30

Wrap up and finalisation

Departures

Annex 3. Research Themes

Theme I. The local knowledge and capital base and opportunities for collective action/institutional development for the strengthening of the productive capacity of fractured rural households and communities.

- Knowledge dynamics (existing/required)
- Local institutions/organisations
- Dynamics related to individual exclusion from the transformation process
- Coping strategies to deal with change (climate change, HIV/AIDS, shrinking markets and resources)

Theme II. Enhancing the adaptive capacity of communities to climate change and emerging market opportunities and risks (technical, technological, climatic and social aspects)

- Studying the climatic trend and people's adaptation strategies
- Identifying and monitoring indicators (of livelihoods & environmental outcomes)

Theme III. The causes and consequences of resettlement and migration patterns

- The relationships between rural producers and government officials (looking outside, lack of vision and accountability, external and internal drivers leading to corrupt relationships)
- Relationships between rural producers and the market traders
- The perception of natural resources and how and when they are traded (at local level)
- How climate change is impacting on the use of natural resources and livelihood options (including deagrarianization)
- Internal drivers of change affecting labour displacement (migration, HIV/AIDS, technology and policies)
- Link to other sectors through employment (labour absorption)

Theme IV. The impact of the HIV/AIDS pandemic on rural dynamics and livelihood strategies

- Disease incidence, implications for gender, tenure security and property rights, productive and livelihood systems, access to and use of natural resources, family structure, social values and safety nets.

Theme V. Natural resources governance to secure balance between rural life improvements and environmental sustainability

Phase I Understanding/describing the situation

- Understanding the state – the nature, functions and the history of the state in natural resource management
- Understanding the natural resource base (land, forest, water, wildlife, minerals,...)
- The management aspect (access to and utilization patterns, formal institutions and policies governing these)
- Culture, norms and value systems in relation to resources
- Historical trends (resource availability, access and utilization/administration)
- Understanding the coping and adaptive strategies (climate, markets, ..)
- How the HIV/AIDS is affecting access to and use of natural resources

Phase II – Analysing gaps and opportunities (for environmental and livelihood outcomes)

- Indicators for livelihood improvement (income, access to markets, access to knowledge and information, empowerment) and environmental sustainability (building on existing ones. See Namarundwe on ACM)
- The time and temporal scale of sustainability
- Policy recommendation (testing on pilot learning sites during phase II)

Theme VI. Governing production and markets (formal and informal) for rural improvement (labour productivity, technology innovation, institutions, pro-poor market development)

Phase I Understanding the production and marketing systems

- The major production systems and enhancing their productivity (the role of innovations - technology and institutions –
- Value addition and diversification of products (organization of production)
- Input (land, labour, capital, technology,...) and outputs markets
- Market failures and distortions
- The role of the nation state in influencing how markets function
- Understanding the existing exchange and marketing systems
- Aspects to facilitate informal marketing systems towards formal systems
- Entrepreneurial skills and enterprise development (value addition) to make markets work for the poor
- Collective action to enhance access to markets and to increase bargaining power

Theme VII. Governance mechanisms to promote African agency (promoting sound policies and institutions at all levels, counter ill devised policies, and mitigate negative impacts of globalization on rural livelihoods and on the management of natural resources)

Global levels

- Terms of trade
- Conditionality
- HIV/AIDS and
- Climate change
- International financial institutions

National levels

- Tenure systems
- Policy making contradictions
- Liberalization
- The role of civil societies (as brokers and for empowerment)
- Elite capture of benefits and disconnect with constituencies (due to pressures)

Local level

- Governance systems at local levels (e.g. decentralization, formal and informal institutions)
- What are bench marks for good decision making
- How to take the agenda to the lowest level to make the state accountable and legitimate in its relation with international financial institutions (alternative discourse to reduce uncertainty and insecurity of livelihoods)

All levels

- Enhancing African agency

Annex 4. Country Framework for the Reconnaissance Study

BUILDING FOUNDATIONS AND DEVELOPMENT OF COMPARATIVE APPROACH FOR FIELD STUDY AND MONITORING

I. Ethiopia

The two-year proposal framework for a national reconnaissance study with emphasis on the period 1941 to 2005

- 1 Natural resources degradation and climate change (focus on recent times)
 - Resource profile and trends (AEZs)
 - The over exploitation of lands, forests and natural resources
 - Impact on micro-climate
 - Global warming and macro-climate change
 - Coping and adaptive strategies
 - Destabilisation of productive base of rural societies

- 2 Human and animal health
 - Animal health and its implications for trade
 - Human diseases (Malaria, TB...)
 - The spread of HIV/AIDS and its implications
 - The fracture of households and dismantling of safety nets
 - Implication for agricultural systems and knowledge

- 3 Attempts by the governments to restructure rural areas and enhance human welfare (the major political and economic events before 1975 – Phase I)
 - Tenure in different parts (and on different land use systems) smallholders, feudal, commercial farmers, community ...
 - land allocation for farming/agricultural expansion (post WWII policy)
 - development plans (their focus on agriculture and on natural resource management)
 - Governance of natural resources, production processes and markets (policy)
 - Social and productive services (health, education, infrastructure,...)
 - Population and migration
 - Drought frequency, production and prices patterns
 - Drought and subsequent famine
 - Land question and student movement
 - The expansion of Marxist ideology

Assessment - (impact on livelihoods – wealth creation, capabilities to diversify and cope – on natural resource governance and on environmental sustainability). The changing roles of the major actors (state, private sector and individuals in conservation). Resource allocation and service provision patterns for agricultural development (to small holders and other actors). What worked? What changed? What trajectories continued unchanged and why? How has the role of major actors changed? International financial institutions, trade and ideological regimes and their influences.

4 Fractures and uncertainties - The Derg Era (1974 – 1991) Phase II

- The 1974 revolution and its causes (famine, oil price hike, land ..)
- The 1975 land reform and rural development policies (Collectivization, cooperatives, resettlement, villagization, market control)
- The socialist economic system and its impact on national and local markets – price variations and uncertainties
 - i. Misconception of the role of the state in (conservation, markets, ownership, food aid, ...)
 - ii. Weakening of religious and social support systems (cultural revolution..)
 - iii. Politicization of the agrarian population
- Governance of natural resources, production processes and markets (policy)
- The 1989 mixed economy – cooperatives, private holding, ...
- Effect of Cold War (militarization of the state, civil war, isolation..)
- Oil price increase and global economic stagnation (impact if any)
- The growth of unviable development assistance and loans – destabilization of economic structures

Assessment - (impact on livelihoods – wealth creation, capabilities to diversify and cope – on natural resource governance and on environmental sustainability). The changing roles of the major actors (state, private sector and individuals in conservation). Resource allocation and service provision patterns for agricultural development (to small-holders and other actors).

5 Fractures and uncertainties – Phase III. The Post revolution period (1991 to present)

- The 1991 overthrow (civil war, changing world order,)
- The new economic policy (market) and administrative structure of the TG
- The 1995 Constitution (land issue, decentralised administration)
- The Federal – Regional link (undefined responsibility in natural resource management – the retreating state, capacity at lower levels)
 - Misconception of the role of the state in (conservation, markets, ownership, food aid, input supply, ...)
 - Dependency on aid and weakening social support systems
 - Politicised agrarian population (+ and -)
- Governance of natural resources, production processes and markets (policy)
- PRSPs and rural development policy (for livelihoods, for natural resource governance and the environment)
- Land use proclamation and certification (its implication for land investment and labour movement)
- Oil price increase and its impact on international trade (if any)
- The growth of unviable development assistance and loans – destabilisation of economic structures
- Effect of global security concerns on investment (recent trends)
- Lack of internal political stability (multiplicity of fronts)
- International institutions, trade and financial regimes and their influence on state politics
- The free market economic system and its impact on national and local markets – removal subsidies, price variations and production uncertainties, impact on natural resources (e.g. fish, trees)
 - ➔ kicking away the ladder from rural producers ➔ food insecurity, diversification, migration and displacement of labour

Assessment - (impact on livelihoods – wealth creation, capabilities to diversify and cope – on natural resource governance and on environmental sustainability). The changing roles of the major actors (state, private sector and individuals in conservation). Resource allocation and service provision patterns for agricultural development (to small holders and other actors).

6 Methodological and theoretical reflections

7 Summing up

II. Zimbabwe

The two-year proposal framework for a national reconnaissance study with emphasis on the period 1980 to 2005

A. *Pre-independence*

- 1 Colonial reforms of rural areas
Attempts by governments to restructure rural areas and enhance human welfare – land and resettlement, social and productive services
 - a. The Legal Framework (e.g., Land Apportionment Act (1930), Native Land Husbandry Act, (1951), Land Tenure Act (1969), Natural Resources Act (1942, 1975), Tribal Trust Lands Act (1977)
 - b. Investments in large scale white led agriculture, import substitution, war of liberation and infrastructure development e.g roads, electricity, “keeps” etc
 - c. Tsetse eradication and opening of new settlements for Africans
- 2 International Financial Institutions and trade regimes and their influences
Sanctions (1965-1979), World Bank loans (Dams such as Kariba, etc) (1950s), debt servicing from Unilateral Declaration of Independence era (1965-1979)
- 3 Fractures and uncertainties - Phase I the 1970s
 - a. Oil price increase and global economic stagnation
 - b. The growth of unviable development assistance and loans – destabilization of economic structures
 - c. Impact on national and local markets – price variations and uncertainties

B. *Post-independence modes of development*

- 1 Fractures and uncertainties – Phase II 1980 till todote
 - a. Independence and the emergence of a new nation state
 - b. Huge upsurge in agricultural-subsidies to small-scale farmers
 - c. Key policy changes eg., Growth with Equity, Decentralisation Growth Points, amalgamation of RDCs and Urban Councils
 - d. Land Policy-CAMPFIRE, Conservancies, etc Land Reforms and compulsory acquisition
 - e. International institutions, trade and financial regimes – the role of the state/ production uncertainties
 - f. Major donor failure-ZIMCORD
 - g. ESAP, ZIMPREST
 - h. Withdrawal of balance of payment support (IMF, World Bank)
 - i. Misconception of the role of the state in fragile states
 - ii. Dismantling of social support systems
 - iii. Economic liberalization (ESAP) – kicking away the ladder from rural producers
→ food insecurity, diversification, migration and displacement of labour
 - i. Diseases and health (animal and human health) (AHEAD Module in Zimbabwe)
 - i. Animal health and its implications for trade
 - ii. Human diseases (Malaria, TB...)
 - iii. The spread of HIV/AIDS and its implication on resettlement areas and former communal areas, the rural urban-nexus

- iv. The fracture of households and dismantling of safety nets
(reduction/withdrawal of government support for social services)
 - v. Implication for agricultural systems and knowledge
- 2 Natural resources degradation and climate change (focus on recent times)
 - a The over exploitation of lands, forests and natural resources (land reform-opening of new fields for crop production, forest fires, gold panning etc)
 - b Impact on micro-climate
 - c Global warming and macro-climate change
 - d Coping and adaptive strategies
 - e Destabilisation of productive base of rural societies
 - f Use of GIS/vegetation maps/satellite images to assess changes in the natural resource base. Understanding the national resource profile.
- 3 Governance of natural resources, production processes and markets (post 1975) (Micro-level dynamics need to be captured; local level institutions and governance structures – both formal and informal)
 - a. Governance of natural resources (tenure, decentralisation, legal framework – Traditional Leaders’ Act (1998), Environmental Management Act (2002), Water Act (1998), Land Acquisition Act (2001)
 - b. Governing production processes (intensification, subsidies,)
 - c. Developing pro-poor markets
- 4 Methodological and theoretical reflections
- 5 Summing up

III Tanzania

The two-year proposal framework for a national baseline reconnaissance with emphasis on the period 1975 to 2005

A. *Post-independence modes of development (Pre 1975)*

Attempts by governments to restructure rural areas and enhance human welfare – land and resettlement, social and productive services

- Villagisation 1969 – 1976 - from voluntarism to force
- Attempts to improve productive conditions
- Provision of education and health services and water provision
- Villages as co-operatives
- Villages as units of governance

B. *International financial institutions and trade regimes and their influences*

1 Fractures and uncertainties - Phase I the 1970s

- a. Oil price increase and global economic stagnation
- b. The growth of unviable development assistance and loans – destabilisation of economic structures & labour dynamics
 - Rapid increases in development assistance to unviable projects and the industrial sector
 - Increasing rural diversification
 - Dramatic decline in real incomes
- c. Impact on national and local markets – price variations and uncertainties
 - Increase in “second economy”
- d. War with Uganda
 - National suffering
 - Rapid build-up of external debt
- e. Breaking up of the East African Community
 - Heavy costs to take over community activities
 - Closure of border with Kenya

2 Fractures and uncertainties – Phase II 1980 till today

- a. International institutions, trade and financial regimes – the role of the state/ production uncertainties
 - Protracted struggle with the International Financial Institutions 1979-1986
 - Rapid decline in development assistance
 - Economic and social crisis
 - Misconception of the role of the state in fragile states
 - Dismantling of social support systems
 - Economic liberalisation – kicking away the ladder from rural producers
→ food insecurity, diversification, migration and displacement of labour
- b. Diseases and health (animal and human health)
 - Animal health and its implications for trade and household welfare/resilience
 - Human diseases (Malaria, TB...)
 - The spread of HIV/AIDS and its implication
 - The breakdown of households and safety nets
 - Implication for agricultural systems and knowledge (Labour issues and loss of knowledge, property right)

C. Government reforms, natural resources and decentralisation

- 3 Natural resources degradation and climate change (focus on recent times)
 - The degradation of lands, forests and natural resources
 - Impact on micro-climate
 - Global warming and macro-climate change
 - Coping and adaptive strategies
 - Destabilisation of productive base of rural societies

- 4 Governance of natural resources, production processes and markets (post 1975)
 - Governance of natural resources (tenure, ...), land policy 1995, new Land Acts 1999, a number of new natural resource and environment related policies emphasising rural participation, e.g. Forest Policy of 1998, Guidelines for Community Forestry of 2001 and Forest Act 2002
 - Process of decentralisation, shifting responsibilities and resources (?) to district level.
 - Governing production & knowledge processes (intensification,)
 - Developing pro-poor markets
 - Building collective action through learning processes

- 5 Methodological and theoretical reflections

- 6 Summing up

IV. Synthesis Project - Comparative Study of the Three Countries (to be worked out on the basis of the findings of the country studies)