



Collective Action and Property Rights for Poverty Reduction

A Collaborative Project of CAPRI supported by the
German Federal Ministry for Economic Cooperation and Development (BMZ)
for the period of March 2004-July 2007

A BRIEF OVERVIEW

The **main goal** of the project is to contribute to poverty reduction by identifying effective policies and practices that enhance the ways that collective action and property rights are used to build secure assets and income streams for and by the poor. The project intends to provide policymakers, NGOs, and community groups with knowledge of the factors that strengthen rights of the poor to land and water resources and lead to more effective collective action by the poor. As a result, CGIAR centers and National Agricultural Research systems (NARs) partners will increase their capacity to integrate research on collective action and property rights into their work on agricultural technologies and natural resource management, and to work with community organizations.

Four grants to conduct empirical research on interventions to strengthen collective action and/or property rights for disadvantaged groups were awarded to CGIAR centers in partnership with NARs and community groups. Two additional empirical studies, led by Philipps-Marburg and Humboldt Universities, are studying collective action (CA) and property rights (PR) for accommodating multiple resource users in Cambodia and Ethiopia and conducting a comparative analysis of links between PR and CA, poverty, and resource degradation. The latter two studies include 2 PhD and 2 developing country nationals Masters' trainings.

African Highlands Initiative (AHI)

Project Title: Whose Voices? Whose Choices? Sustaining Collective Action for Empowering Rural Communities and Local Stakeholders for Policy Change in Natural Resources Management [Ethiopia and Uganda]

Lead Scientist: Laura German (l.german@cgiar.org)

Collaborators: National Hosts: Ethiopian Agricultural Research Organization; Southern Region Agricultural Research Institute (Ethiopia); National Agricultural Research Organization (Uganda).
Areka Site: Areka Agricultural Research Centre; Areka Office of Agriculture; Gununo, Denbezzamine, Chew K'are and Doge Hanchicho Peasant Associations; Magistrate Court and leaders of Gununo and Denbezzamine Peasant Associations; Ginchi Site: Holetta Agricultural Research Centre; Dendi Woreda Department of Agriculture and Rural Development; Dendi Woreda and Ambo Zone Water Resource Department; Dendi Woreda Health Department; Dendi Woreda Magistrate Court; Farm Africa.

Kapchorwa Site: Kapchorwa District Landcare Chapter; Uganda Wildlife Authority; Action Aid – Uganda; Local Government (LC5); the Benet Lobby Group; Local government departments of production; Parish Environment Committees; Tuban Organic Farmers Association (Tuban parish) and Tuikat Watershed Association; Kabale Site: Community-based NRM facilitators; local government (LC1 to LC5); NAADS structures; NRM Protection Committees; local government departments of production.

Project goal: To enhance livelihoods and the equitable distribution of benefits for the poor, women, and other local stakeholders in eastern African highlands through collective action, equitable NRM, grass-roots policy support, and widespread sharing of findings and approaches.

Methods: A series of 4 main methodologies was used: (i) Situation analysis (wealth ranking and wealth-disaggregated household interviews to identify levels of the 5 capital assets; focus group discussions to understand the role of local and external institutions in fostering changes in household assets); (ii) stakeholder workshops at site and national level to share findings and agree on priority areas for action research intervention; (iii) participatory action research on prioritized themes; and (iv) impact assessments by action research theme.

Findings: Local institutions serve livelihood security functions, are relatively equitable, but fail to address NRM; many external institutions are not seen as equitable; action research identified institutional and policy gaps for improved NRM, identified local and external stakeholders and supported negotiations between them to foster more collaborative solutions; and implemented integrated solutions involving technologies, social mobilization and by-law reforms.

Outputs:

Briefs

- “Negotiation Support in Watershed Management: A Case for Decision-Making beyond the Farm Level” (German, L., S. Charamila and T. Tolera); *AHI Brief E2*.
- “Mobilizing Collective Action for Vertebrate Pest Control: The Case of Porcupine in Areka” (Leulseged Begashaw, Waga Mazengia and Laura German); *AHI Brief E3*.
- “Enhancing Equitable Technology Access for Socially and Economically Constrained Farmers: Experience from Gununo Watershed, Ethiopia” (Waga Mazengia, Anbes Tenaye, Leulseged Begashaw, Laura German and Yeyes Rezene); *AHI Brief E4*.
- “Enhancing Collective Action in Spring ‘Development’ and Management through Negotiation Support and By-Law Reforms” (Shenkut Ayele, Amare Ghizaw, Zenebe Admassu, Mesfin Tsegaye, Getachew Alemu, Tessema Tolera and Laura German); *AHI Brief E5*.
- “Soil and Water Conservation through Attitude Change and Negotiation” (Zenebe Admassu, Shenkut Ayele, Amare Ghizaw, Mesfin Tsegaye and Laura German); *AHI Brief A6*.
- “Searching for Solutions: Technology-Policy Synergies in Participatory NRM” (Laura German, Wilberforce Tirwomwe, Joseph Tanui, Simon Nyangas and Awadh Chemangei) *AHI Brief B6*.
- “Co-Management of Protected Areas is About Cultivating Relationships” (Joseph Tanui, Simon Nyangas, Awadh Chemangei, Francis Alinyo and Laura German), *AHI Brief B7*.

Papers:

- “The many meanings of collective action: Lessons on fostering gender and equity in watershed management programs” (Laura German, Hailemichael Taye, Sarah Charamila, Tesema Tolera and Joseph Tanui); presented at the *International Workshop on Gender in an International Workshop on*

Gender and Collective Action held in Thailand in October 2005 and at *IASCP Biannual Conference* in Bali in June 2006; CAPRI Working Paper 52 and AHI Working Paper 17.

- “Enabling negotiation and conflict resolution for area wide planning: The case of collective action for watershed management” (Joseph Tanui, Awadh Chemangei & Alfred Akiti); presented at the *Africa-wide Research Workshop on Bylaws* held in Kenya, November 2006.
- “Managing Trade-Offs of Natural Resource Governance in the Eastern African Highlands” (Laura German, Sarah Charamila, Hailemichael Taye, Waga Mazengia, S. Ayele and Tesema Tolera); presented at the *Africa-wide Research Workshop on Bylaws* held in Kenya, November 2006.
- “Enhancing Improved Seed Dissemination through Local Bylaws in Gununo Watershed, Southern Ethiopia” (Waga Mazengia, Laura German, Ashenafi Mekonen and Kassaun Abera); presented at the *Africa-wide Research Workshop on Bylaws* held in Kenya, November 2006.
- “Collective Action Incentive Structures: Lessons on Securing Multiple Benefits from Agricultural Landscapes” (Laura German); presentation given at the *Society for Applied Anthropology meetings*, Vancouver, Canada, March-April, 2006.
- “Moving Beyond Component Research in Mountain Regions: Operationalizing Systems Integration at Farm and Landscape Scale” (Laura German); *Journal of Mountain Science* 3(4):287-304, 2006.
- “Participatory Forest Management, Equity and Local Governance” (Carol J. Pierce Colfer, Heru Komarudin, Laura German, and Simon Nyangas). Presented at the *International Conference on Participatory Forest Management (PFM), Biodiversity and Livelihoods in Africa*, Addis Ababa, Ethiopia, March, 2007.

Center for International Forestry Research (CIFOR)

Project title: Collective Action to Secure Property Rights for the Poor: Avoiding Elite Capture of Natural Resource Benefits and Governance Systems [In two districts, Jambi province, Indonesia]

Lead Scientist: Carol J. Pierce Colfer (c.colfer@cgiar.org)

Collaborators: ICRAF, Regional Development Planning Agencies (Bappeda) in Bungo and Tanjung Jabung Barat Districts, Jambi Province, Indonesia

Project goal: The project seeks to identify the conditions under which collective action over property rights can help significantly redirect benefits from natural resource management, land use, and environmental services directly to local communities. The project aims to build local institutional capacity for inclusive local planning processes, focusing on building local communities’ capacity to influence policy decision-making processes and rationalizing local tenure systems to give stronger legitimacy to local communities’ rights to benefits, including the ecological and social benefits of effectively managed resources. The central goal is to determine how to reduce the ability of elite groups to hi-jack decision-making processes that enable them to maximize the economic exploitation of forest resources in their own interests.

Methods: Participatory Action Research, which includes community and inter-government agency facilitation, data collection and analysis, focus group discussions, key informant interviews, and workshops.

Findings: Using participatory action research, it is possible to catalyze effective collective action among groups of men and groups of women in order to strengthen local self confidence and capabilities to interact and negotiate with powerful outsiders and bring pressure to reduce elite capture. Despite the difficulties, the approach seems to build some capacities and willingness among government officials to listen to a wider variety of stakeholders, increase respect for local community input, and to work across governmental sectors. Good and comparatively neutral facilitation is important in this process at both levels in order to foster collective action and clarify property rights over resources.

Outputs:

Papers:

- “Strengthening Women’s Participation through Collective Action for Inclusive Decision-Making Processes: Lessons Learned in Jambi Province, West Sumatera, Indonesia” (Siagian, Y.L., Morgan, B., Yentirizal and Neldysavrino); presented at the *International Workshop on Gender and Collective Action* held in Thailand in October 2005 and at *IASCP Biannual Conference* in Bali, June 2006.
- “Participatory Action Research and Its Application in District Government Settings” (Komarudin, H., Hasantoha, A., Oka, N.P., Syamsuddin and Irawan, D.); presented at the *IASCP Biannual Conference* in Bali, June 2006
- “Linking Collective Action to Non-Timber Forest Product Markets for Improved Local Livelihoods: An Indonesian Case” (Komarudin, H, Siagian Y.L. and Oka, N.P.), presented at the *Research Workshop on Collective Action and Market Access for Smallholders* held in Cali, Colombia, October 2006; (currently under review)
- “Participatory Forest Management, Equity and Local Governance” (Carol J. Pierce Colfer, Heru Komarudin, Laura German, and Simon Nyangas). Presented at the *International Conference on Participatory Forest Management (PFM), Biodiversity and Livelihoods in Africa*, Addis Ababa, Ethiopia, March, 2007.
- “The Role of Collective Action to Secure Property Rights for the Poor: an Indonesian Case” (Siagian, Y.L., Komarudin, H. and Colfer, C.J.P.); (currently under preparation).

Policy Briefs:

- “Gender Equity: Revealing the Reality of Jambi’s Women” (de Vries D.W. and Sutarti, N.).
- “Are Community Aspirations Being Accommodated in Development Plans? A Lesson from Collective Action in Jambi” (Syamsuddin, Neldysavrino, Komarudin, H. and Siagian, Y).
- “Blessing or Misfortune? Local Community’s Collective Action and Institutional Adaptation to Transmigration Programs” (Adnan, H. and Yentirizal).
- “Strengthening Social Capital by Returning to the Traditional Rio System of Governance” (Hasan, U., Irawan, D. and Komarudin, H.).
- “Opportunities for Policies and Programs to Encourage Collective Action and Strengthen Community Property Rights” (Hadi, M., Komarudin, H., and Schangen, M.); (under review)
- “Collective Action to Secure Land Management Rights for Poor Communitites” (Siagian, Y.L. and Neldysavrino).
- “Spatial Planning to Strengthen Community Property Rights: Opportunties and Challenges” (Irawan, D., Komarudin, H. and Hasan, U); (under review)
- “Spatial Planning, State Forestlands and Community Property Rights” (Komarudin, H. and Siagian, Y); (under review)

Training Manuals:

- “Gender Bukan Tabu: Catatan Perjalanan Fasilitasi Kelompok Perempuan di Jambi (Gender is not a Taboo: a note from facilitating women’s groups and collective action).” (de Vries, D.W. and Siagian, Y. L.).
- “Simple Rules for Catalyzing Collective Action” (Colfer, C.J.P.).

International Crops Research Institute for the Semi-Arid Tropics (ICRISAT)

Project Title: Institutional and Organizational Innovations for Accessing Markets and Empowering Communities: Collective Action and Property Rights for Poverty Reduction in Rainfed Systems [India and Kenya]

Lead Scientist: Bekele Shiferaw (b.shiferaw@cgiar.org)

Collaborators: Egerton University, Kenya; Catholic Relief Services (CRS), Kenya; TechnoServe (TNS), Kenya; Centre for Economic and Social Studies (CESS), India; BAIF Development Research Foundation, India.

Project goal: Using two case studies of collective action (watershed management in India and group marketing in Kenya), the study aims to identify how local institutions and organizations evolve and function, what determines user participation in collective action, and the extent to which this can contribute to poverty reduction. While direct performance comparison is not intended, several policy-relevant issues are identified to draw useful comparative lessons from the two case studies.

Methods: Data was collected through structured and unstructured interviews at two levels: the micro-watershed/marketing group level and the household level. The group-level data was analyzed to identify a few micro-watersheds for an in-depth study of the determinants of success or failure of collective action and its contribution to poverty reduction while the household-level data was used to identify the determinants of participation in collective action.

Findings: Effective collective action in watershed management improves natural resource conditions, reduces vulnerability to drought and improves cash incomes for the poor via diversification into marketable products; marketing groups pay farmers higher prices than do brokers and middle men. Performance improved where decision making is participatory, members make regular contributions and provided starting capital; levels of collective action in watershed management increase where groups have prior history of cooperation, where they have conflict resolution mechanisms, and are closer to markets.

Outputs:

- “Collective Action for Integrated Community Watershed Management in Semi-Arid India: Analysis of Multiple Livelihood Impacts and the Drivers of Change,” (Bekele Shiferaw, Suhas Wani and TK Sreedevi). A manuscript under review for CAPRI Working Paper series and presented at the *International Association of Agricultural Economists (IAAE)* conference held in Brisbane Australia, August 2006.
- “Rural Institutions and Producer Organizations in Imperfect Markets: Experiences from Producer Marketing Groups in Semi-Arid Eastern Kenya.” (Bekele Shiferaw, Gideon Obare, and Geoffrey

Muricho); presented at the *Workshop on Collective Action and Market Access for Smallholders* held in Cali, Colombia, October 2006; CAPRI Working Paper 60 and ICRISAT Working Paper 23.

- “Leveraging Rural Institutions for Collective Action to Improve Markets for the Poor: Lessons and Policy Options (Policy Brief, submitted for publication).
- “Community Watershed Management, Externalities and Groundwater Depletion in Indian Semi-Arid Villages: The Effect of Alternative Water Pricing Policies” (submitted to the *Journal of Ecological Economics*)
- “Rural Market Imperfections and the Role of Institutions of Collective Action to Improve Markets for the Poor” (Bekele Shiferaw, Gideon Obare, and Geoffrey Muricho); presentation made at the *Innovation Africa Symposium*, held in Kampala, Uganda, November 2006.

International Food Policy Research Institute (IFPRI)

Project title: Collective Action and Vulnerability: An Evaluation of Local Groups and Networks in Determining Pathways out of Poverty [Ethiopia and the Philippines]

Lead Scientist: John Hoddinott (j.hoddinott@cgiar.org) and Agnes Quisumbing (a.quisumbing@cgiar.org)

Collaborators: Addis Ababa University, Xavier University, Research Institute for Mindanao Culture; Center for the Study of African Economies

Project goal: To evaluate how collective action can be used by groups to buffer rural people’s exposure to shocks in the short-term and to break the vicious cycle of poverty in the long-term. Results of the analysis will help policymakers identify what types of networks work best for the poor, enabling them to design interventions that enhance and/or compliment these network services.

Methods: Drawing from existing panel datasets in Ethiopia and Philippines, the study maps out networks that the poor rely on for risk management and/or risk coping and describes how different people rely on different networks to cope with different shocks. Econometric analyses are used to investigate the factors affecting consumption based indicators of poverty, with the specific aim of estimating the impact of shocks and testing the role of access to different networks.

Findings: Shocks play a significant role in the livelihoods of the poor; numerous networks exist in rural areas; the impact of networks on risk coping and livelihood varies: local networks are of limited assistance for covariate shocks, while some types of networks increase consumption and help deal with idiosyncratic shocks; better-off households have “better” networks.

Outputs:

- “Vulnerability and Shocks in 15 Ethiopian Villages, 1999-2004” (Stefan Dercon, John Hoddinott and Tassew Woldehanna); published in *Journal of African Economies*, 2005, vol.14, pp. 559-585
- “Networks and Informal Mutual Support in 15 Ethiopian Villages: A Description” (Hoddinott, John, Stefan Dercon and Pramila Krishnan); Book Chapter
- “Groups, networks, and social capital in rural Philippine communities” (Marie Godquin and Agnes Quisumbing); presented at the *International Workshop on Gender in an International*

Workshop on Gender and Collective Action held in Chiang Mei, Thailand, October 2005 and at *IASCP Biannual conference* in Bali, June 2006; CAPRI Working Paper 55.

- “Separate but Equal? The Gendered Nature of Social Capital in Rural Philippine Communities” by Marie Godquin and Agnes Quisumbing; submitted as part of special issue to *Journal of International Development*
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Humboldt-University Berlin

Project Title: Collective Action and Property Rights for Poverty Reduction: Case Study of Ethiopia (Afar and Somali regions)

Lead Scientists: Konrad Hagedorn (k.hagedorn@agrar.hu-berlin.de) and Martina Padmanabhan (martina.padmanabhan@agrar.hu-berlin.de)

Collaborators: Alemaya University, Ethiopia; ILRI; GTZ; Ethiopian Ministry of Agriculture

Project goal: To identify effective policies and practices for rural communities in Ethiopia that face multiple threats (natural disasters, ethnic conflict, and economic transition) in order to reduce poverty and secure sustainable rural livelihoods based on effective collective action and secure property rights. The main purpose of the project is to sensitize policy-makers, NGOs, and communities about the links between collective action, property rights, and the local-level institutions in mediating effective collective action by households and communities, particularly in crisis situations, and to improve policies for poverty reduction and local institution building in Ethiopia.

Methods: This study combines quantitative and qualitative approaches with analytic narratives to allow a thorough analytical assessment of the factors that influence collective action, determine effective property rights, and provide an understanding of ‘real life games’ around local-level institutions, the actors involved, and their strategies.

Findings: Better-off households make more contributions (than intermediate and poorer ones) to collective insurance schemes, but they tend to participate with households of similar wealth levels; household participation in intra-clan insurance is higher than in schemes that cut across clans; lack of clarity in property rights results in extensive conflicts among groups, which results in humanitarian crises, livestock theft, and underutilization of pastures and market opportunities.

Outputs:

- “To share or not to share? (Non-)Violence, Scarcity and Resource Access in Somali Region, Ethiopia” (Ayalneh Bogale and Benedikt Korf), 2005; Discussion Paper # 10, Institutional Change in Agriculture and Natural Resources Series, Humboldt University. Forthcoming in the *Journal of Development Studies*.
- “Inter-Ethnic Conflict on Grazing Land: An analysis of Ittu-Isaa clans' resource use relations in Mieso District, eastern Ethiopia,” (Fekadu Beyene). Paper presented at the conference on *The Changing Politics of Land in Africa: Domestic Policies, Crisis Management and Regional Norms* held at the University of Pretoria, South Africa, November 2005.
- “Property Rights among Afar pastoralists: Changes and implications,” (Bekele Hundie and Konrad Hagedorn), manuscript.

- “Collective Action and Informal Institutions: The Case of Agropastoralists of Eastern Ethiopia.” (Fekadu Beyene); presented at the *Policy Research Conference on Pastoralism and Poverty Reduction in East Africa* held in Nairobi, June 2006.
 - “Informal Institutions and Access to Grazing Resources: Practices and challenges among pastoralists of Eastern Ethiopia” (Fekadu Beyene); presented at the *Policy Research Conference on Pastoralism and Poverty Reduction in East Africa* held in Nairobi, June 2006 and *IASCP Biannual Conference* in Bali, June 2006.
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Philipps-University Marburg

Project Title: Collective Action and Property Rights for Poverty Reduction: Case Study of Cambodia

Lead Scientist: Michael Kirk (kirk@staff.uni-marburg.de)

Collaborators: University of Agriculture, Cambodia; Ministry of Land Management, Urban Planning and Construction; GTZ; Cambodian Development Research Institute

Project goal: The project analyzes the linkages between property right regimes and collective action for the development of local-level institutions and governance structures to stabilize rural livelihoods in Cambodia. It explores how collective action in a risky political and natural environment can contribute to the build up of secure assets and income streams for and by the poor to reduce rural poverty. Examples of collective activities include community forestry, participatory land use planning, fisheries management, and a variety of agricultural and non-agricultural production systems. The main purpose is to provide policy makers, civil society organizations, and communities with insights on the links between institutions of collective action and property rights and poverty reduction in order to improve policies for poverty alleviation and local institution building in Cambodia.

Methods: Quantitative and qualitative data; secondary data sources such as stakeholder information of the region (NGO, ODA programs, administration, religious and social groups, etc.).

Findings: Despite prolonged, intentional efforts to eradicate voluntary collective organization and property rights institutions, informal collective initiatives are emerging (pagoda associations, savings clubs); however, the landless, land-poor, women, and those with lower levels of education are underrepresented in groups; local level collective action is also constrained by intimidation from external actors, e.g. military, foreign investors, high-ranking government officials.

Outputs:

- “Collective action and natural resource management in rural Cambodia” (Anne Weingart); presented at *IASCP Biannual Conference* in Bali, June 2006.