

## Overseas Development Institute

ODI is Britain's leading independent think-tank on international development and humanitarian issues. Our mission is to inspire and inform policy and practice which lead to the reduction of poverty, the alleviation of suffering and the achievement of sustainable livelihoods in developing countries. We do this by locking together high-quality applied research, practical policy advice, and policy-focused dissemination and debate. We work with partners in the public and private sectors, in both developing and developed countries. ODI's work centres on its research and policy groups and programmes:

### Research Groups

- Humanitarian Policy
- Poverty and Public Policy
- Rural Policy and Governance
- International Economic Development

### Research Programmes

- Research and Policy in Development
- Forest Policy and Environment
- Water Policy Programme
- Rights in Action
- Partnership Brokers Accreditation Scheme
- Development Performance of Business
- European Development Cooperation

ODI publishes two journals, *Development Policy Review* and *Disasters*, and manages three international networks linking researchers, policy-makers and practitioners: the Agricultural Research and Extension Network, the Rural Development Forestry Network, and the Humanitarian Practice Network. In addition, it hosts the Secretariat of The Active Learning Network for Accountability and Performance in Humanitarian Action. ODI manages the ODI Fellowship Scheme, which places young economists on attachment to the governments of developing countries, and the Economic and Statistics Analysis Unit, established by the Department for International Development.

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\* Stood down this year

# Statement by the Chair



The persistence of global poverty gives direction and purpose to our work at ODI – along with our determination that research should play its full part in finding and delivering solutions. We are challenged to help shape the evolving agenda and respond to it.

This has been an uneasy period for those concerned with international development. During the year under review, aid funds have been diverted to Iraq's reconstruction, and the UN's authority has been at risk. Looking forward, however, there are more positive opportunities for action and leadership. In 2005, the UK will hold both the Chair of the G8 Group of leading industrial nations and the Presidency of the EU. The Africa Commission set up by Prime Minister Tony Blair will report. At the same time, the UN will host a large international Conference to assess progress towards its Millennium Development Goals.

The ODI is already taking part in preparation for this pivotal year, but the Institute, with its partners, needs to do more to ensure that good ideas generate strategic action.

ODI's unique expertise is precisely here, at the interface of ideas and action. We demonstrated that in many ways during the year. For example, our research on the future of European Development Cooperation led us to write a series of Briefing Papers and host eight public meetings on the subject in London. These were addressed by two UK Government ministers and by senior European politicians like Chris Patten and Glenys Kinnock. In addition, and in parallel, we worked with partners around Europe to set up a collaboration with the European Association of Development Institutes which has generated a similar level of activity in Italy, Ireland, Germany, the Netherlands and many other countries. We hope that our efforts, and those of our counterparts elsewhere, will help inform and improve European decision-making in the years to come.

There are other examples. I have been particularly pleased by the part played by the Humanitarian Policy Group in informing debate about Iraq, and, more recently, Sudan. Again, a combination of private briefings, published Briefing Papers, and open meetings have helped to inform and sometimes guide Parliamentarians, policy-makers and the media. In Africa, I would single out the work of the Forum on Food Security in Southern Africa, led by Elizabeth Cromwell – another excellent demonstration of the value of cross-country partnerships.

ODI's contribution is recognised internationally, and we often find ourselves called upon to provide advice or training on how to bridge research and policy. Our RAPID programme, Research and Policy in Development, led by John Young, has grown fast. I'm delighted that DFID has agreed to provide long-term support to work in this area, through a Partnership Programme Agreement, signed in May 2004. This new collaboration owes much to the hard work of Simon Maxwell and his colleagues, who have convinced the government of their vision of ODI's invaluable think tank role. It is a vision that I, and other members of Council, enthusiastically endorse.

Council has undergone its usual process of renewal, and it is both a pleasure and a duty to thank those standing down and welcome their successors. Our thanks go to Zeinab Badawi, Lord Meghnad Desai and Sir Timothy Lancaster; and we extend a warm welcome to Sharon Persaud, Lydia Pretzlik, Stewart Wallis and Baroness Janet Whitaker. In addition, I would like to thank my Deputy, Dominic Bruynseels, for his superb efforts during a year of transition on the administrative and financial side of ODI. We now have an excellent new Head of Finance and Administration, P.J. Greeves; and as the following pages show, ODI is in better financial health than for some years past.

Can we continue, as our Mission Statement suggests, both to 'inspire and inform' development policy? I certainly believe so. ODI has never been stronger – and its contribution never more needed.

Margaret Jay

# Director's Review

'There's nothing so practical as a good theory'. Those words, by the social psychologist, Kurt Lewin, should be emblazoned above the door of any self-respecting research institute or think-tank – and, indeed, on the door of any self-respecting development agency.



Researchers need theory, and so, too, do practitioners. The reason has been well expressed by Michael Ignatieff, who observed that 'the absence of narrative of explanation erodes the ethics of engagement'. To put this another way, if we want to be useful, our job as researchers is not just to describe but to explain – and that job needs theory.

ODI understands about theory, but also that theory is subject to challenge and change. As it happens, this is an exceptionally active period of challenge: the 'perestroika movement' in political science, a reaction to the dominance of rational choice theory in that discipline; the unfortunately-named 'post-autistic' economics movement, reacting against

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**'if we want to be useful, our job as researchers is not just to describe but to explain – and that job needs theory'.**

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the dominance of mathematics in economics; and a more general revival of heterodox economics, questioning the prescriptions of neo-classical approaches. These challenges play well in our discipline of development studies, which has always been eclectic.

## Theory-based...

But eclectic does not equate to empty, and I am pleased that ODI researchers engage with theory. A good example is our current work on 'drivers of change', unpacking the politics of policy-making and poverty reduction in developing countries. This work is led by David Booth, whose observation that 'politics matters' in the formulation of poverty reduction strategies has led him on to a deeper encounter with the problems of patrimonial societies, in which political success is marked by personal patronage and rent-seeking. The work is proceeding in various African countries and is far from abstract: it leads to descriptive and diagnostic tools which can then inform intervention strategies – for example, mapping the political incentives sustaining corruption, or suggesting likely pitfalls in the reform of budget processes.

There are many other examples. I might cite the work of our RAPID team on the theory and practice of policy entrepreneurship, or my own work with Sarah Gillinson on the application of

collective action theory to the reform of the UN. However, there are two other aspects of our work that need to be highlighted.

## multidisciplinary...

The first is that development studies needs not just to be eclectic but to be instrumentally multi-disciplinary. ODI's work illustrates that precept. In its early days, ODI's staff were mostly economists. Now, our 60 researchers include political scientists, sociologists, anthropologists, geographers, specialists in international relations, natural scientists, and lawyers. These different disciplines work well together when they combine their theoretical and practical perspectives in order to tackle specific, shared problems.

Take, for example, our work on poorly-performing countries – a broad grouping which includes failed and failing states, countries under stress, and countries (or parts of large countries) characterised by poor governance and a poor development record. Here is an issue that politicians in developed countries take very seriously, as a development problem, and also because of the threat of exported terror and issues connected to migration and disease. Poor performance is an issue that is difficult to deal with in an aid environment focusing on country ownership and country-led development processes. Our work, led by Andrew Shepherd and Joanna Macrae, brought together a multi-disciplinary team, which analysed the numbers but

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also developed a new way of thinking about the juridical and empirical sovereignty of such countries, and about their relations with the outside world.

Another example is our work on inequality, led by Andy McKay, which combined economics with other disciplines to analyse inequality in China, Brazil and South Africa. The workshop we hosted in London at the end of this project featured lively exchanges on topics ranging from the measurement of inequality to issues of social exclusion and the participation of different groups in the growth process. It was especially fascinating to listen to our Chinese colleagues debating with their counterparts from Brazil and South Africa: experts from a country where rapid growth has greatly reduced poverty, but where inequality has increased, especially between regions, debating

with others from countries where discrimination and ethnicity are the primary drivers of inequality, but where slow growth also limits the room for manoeuvre.

## and practical

The second characteristic of our work is that we do not just assume good theoretical work is practical, we try to make sure that it is. This is ODI in its think-tank mode, emphasising the bridge to policy. As the theory shows, good policy entrepreneurship needs good recommendations, but also good networks, a strong engagement with implementation, and a sense of the political context for change.

Our work on trade very much fits this model. This year, for example, we carried out new analysis of the impact of developed country cotton subsidies on production and income in developing countries. The quantitative research showed that EU subsidies were particularly detrimental to West African countries, more so than had been thought, because markets are more segmented than previous calculations had allowed for. This was interesting research, but it was also much in demand, with great pressure on Sheila Page and Ian Gillson to complete the research quickly and make it available to policy analysts and trade negotiators in government circles. The policy world moves quickly and imposes tight deadlines: ODI needs to – and does – respond.

In other areas, too, we are directly engaged in the policy debate. Our work on EU development policy has deep roots over many years, but was highly visible this year through our meetings and the six Briefing Papers coordinated by Sven Grimm. We are playing an active part in coordinating a European-wide programme of research and policy debate. Similarly, our new programme of work on aid architecture, led by Andrew Rogerson, struck a policy chord, feeding into debate about Gordon Brown's proposed new International Financing Facility, but also into the wider debate about how the extraordinary proliferation of aid agencies and funds can be tamed.

It is worth emphasising the importance of implementation, of working with what the literature describes as the 'street-level bureaucrats'. Much of our research is influential in this way: for example, the work on budget reform of our Centre on Aid and Public Expenditure, the work of our rural team on new ways to link social security and long-term development, the work of the Humanitarian Policy Group on needs assessment, or the important

contribution the Water Policy Programme is making to the way water issues are dealt with in Poverty Reduction Strategy Papers.

This model, of working closely with implementers, leads to strong relationships, both programmatic and financial. In the best cases, a group of donors supports a programme of work at ODI: for example, the Humanitarian Policy Group is supported programmatically by a diverse Advisory Group, and financially by 21 donors. Our strongest set of relationships is with DFID, which supports HPG, but also other major programmes like the ODI Fellowship Scheme. We were especially pleased this year to be able to negotiate a Partnership Programme Agreement with DFID, which will provide for long term collaboration and support on the question of civil society voices in policy processes – that includes strengthening ODI's own capacity, but also our work with research institutes, think-tanks and NGOs in developing countries.

ODI is continuing to move forward. As Margaret Jay observes, we are financially stronger than for some years. We have reorganised on the research side in order to work more effectively, creating new cross-cutting programmes, like our exciting new initiative on rights, led by Laure-Hélène Piron, which brings together specialists from across the Institute. We have merged the rural and forestry groups, under the new leadership of Andrew Shepherd. And we have also created a new partnership and communications group, under the leadership of John Young, as the vehicle for our expanded dissemination and policy bridging efforts. On the administrative side, the arrival of P.J. Greeves has brought new energy to our finance, personnel and administration functions.

One or two researchers left this year, and merit our thanks and good wishes. Tim Conway is now in Cambodia, working for the World Bank, and Tim Williamson is based in Uganda (though still working with ODI as a Research Associate). Others have joined us: we welcome Priya Deshingkar, Ruth Driscoll, Sven Grimm, Paolo de Renzio, Andrew Rogerson, Samantha Smith and Victoria Wheeler.

## Simon Maxwell

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# Poverty and Public Policy

Technological innovation and well-directed financial injections both have significant roles to play in reducing international poverty. However, even a cursory examination of the unevenness of development performance between countries points to a more important gap in current development efforts – understanding of the processes and institutions that influence the successful application of known techniques and the effective deployment of available development resources. The Poverty and Public Policy Group is dedicated to addressing this gap. An interconnected set of political, policy-process, financial-management and aid-delivery issues constitute the core of the agenda and were reflected in the Group's work programme for 2003/04.

effectiveness of past and current state responses; and the reforms that are required to enable ethnic accommodation. Case studies cover Cuba, Jamaica, Trinidad and Tobago, Guyana, Martinique and Guadeloupe. (Joy Moncrieffe)

## Justice and rights

### *Safety, security and access to justice*

- DFID has adopted an innovative, 'sector-wide' approach to justice-sector reform, which ODI is supporting with a call-down contract. However, translating this new approach into policy dialogue and joint programmes in partner countries is proving a challenge. Institutional resistance to the new way of thinking is strong. Both donors and partners find it easier to think in terms of a project to strengthen a particular institution, than to address how system-wide processes are impacting on the poor. (Laure-Hélène Piron)

- Most poor people access justice or improve their safety and security by using 'non-state' mechanisms, such as informal arbitration by chiefs or community-based neighbourhood watches. Only rarely do they make use of the courts or the police. ODI assisted DFID in the development of new guidance on non-state institutions, and in the design of a research project on 'primary justice' in Malawi. (Laure-Hélène Piron)

### *Human rights and development*

- ODI led a review of how DFID has integrated human rights into its work, and also evaluated the impact of Swiss guidance documents on human rights and the rule of law. Both studies revealed awareness amongst donor agencies of the importance of equality, non-discrimination, participation, accountability and the rule of law, but less widespread use of the international human rights framework. Some found difficulties in operationalising and communicating 'human rights-based approaches' and there remains some scepticism about the value of such approaches. (Laure-Hélène Piron, Julius Court (RAPID), Tammie O'Neil)

## Poverty and inequality

- Middle-Income Countries (MICs) account for a substantial proportion of global poverty and deprivation. Research at ODI for DFID reviewed the complex forces generating high levels of inequality in many MICs, drawing on case studies of Brazil, China and South Africa. Governments can reduce inequality, efficiently and effectively, by a sensible choice of economic and fiscal policies. Also needed, however, are political tactics, strategies and alliances that ensure that redistributive policies are both adopted and implemented. (Edward Anderson, Tim Conway, Andrew McKay, Joy Moncrieffe, Tammie O'Neil, Laure-Hélène Piron)

- Reform of international trade policy can have significant effects on inequality within countries. Research at ODI has reviewed the many channels through which changes in trade policy can affect domestic inequality in theory, and currently available evidence regarding the size of these effects in practice. Joint research between ODI and IDS explains the ways in which trade policy and spatial patterns of activity, particularly rural-urban balances, may be linked, and suggests areas in which further enquiry may be particularly fruitful. (Edward Anderson)

- 'Ethnic Diversity and State Response in the Caribbean' is the topic of a background paper prepared at ODI for UNDP's 2004 Human Development Report. It analyses the historical causes of racial and ethnic tensions and inequality in the Caribbean; the



Village head, providing local dispute resolution, Chikwawa, Malawi (© Laure-Hélène Piron)

## Poverty and Public Policy Group

David Booth	<i>Group Coordinator</i>	Tim Williamson*	<i>Research Fellow</i>	Nambusi Kyegombe	<i>Research Officer</i>
Kate Bird	<i>Research Fellow</i>	Caroline Moser	<i>Senior Research Associate</i>	Joy Moncrieffe	<i>Research Officer</i>
Karin Christiansen	<i>Research Fellow</i>	Alison Evans	<i>Research Associate</i>	Samantha Smith	<i>Research Officer</i>
Tim Conway	<i>Research Fellow</i>	Edward Anderson	<i>Research Officer</i>	Jane Northey*	<i>Group Administrator</i>
Paolo de Renzio	<i>Research Fellow</i>	Erin Coyle*	<i>Research Officer</i>	Chris Taylor	<i>Group Administrator</i>
Andy McKay	<i>Research Fellow</i>	Zaza Curran	<i>Research Officer</i>	Tammie O'Neil	<i>Development Policy Review</i>
Laure-Hélène Piron	<i>Research Fellow</i>	Ruth Driscoll	<i>Research Officer</i>		<i>Production Coordinator</i>
Michael Warner	<i>Research Fellow</i>	Ursula Grant	<i>Research Officer</i>		

\* Left during the year

## Policy brief

## Chronic poverty: a way out of the trap

Ursula Grant

Between 300 and 420 million people are presently trapped in chronic poverty. They have experienced deprivation over many years, many of them for their entire lives. Their legacy to their children is likely to be lives of similar poverty. This is the estimate of the **Chronic Poverty Report 2004/05** launched at the House of Commons in May 2004 by Hilary Benn, Secretary of State for International Development, and Gordon Brown, Chancellor of the Exchequer.

The report pulls together three years of work within the University of Manchester's Chronic Poverty Research Centre and sets a benchmark for subsequent assessments. ODI Research Fellow, Andrew Shepherd, is deputy director of the Centre, which has partners based in Bangladesh, Kenya, India, South Africa, Uganda and the UK.

Chronic poverty is not simply about having a low income. It is about multi-dimensional deprivation: being hungry, being poorly nourished, having access only to dirty drinking water, not being literate, having no access to health services and being socially isolated and often economically exploited.

The report shows that the long-term poor are not a homogeneous group, but include many different types of people such as those who are discriminated against or stigmatised, or simply invisible to their neighbours and outside agencies. Others may be socially marginalised because of ethnicity, gender or religion. They may be nomadic or members of indigenous groups or castes that suffer low status. Across the developing world, migrants and bonded labourers and tens of millions of refugees and those displaced within national boundaries are also vulnerable to chronic poverty, as are disabled people and those with severe health problems, notably, in recent years, those affected by HIV/AIDS.

The chronically poor live in all world regions but are concentrated in certain places. South Asia has the largest number – estimated to be between 135 and 190 million people. However, the highest incidence of chronic poverty is found in sub-Saharan Africa, where 30–40 per cent of all those living on US\$1/day or less are both extremely poor and are trapped in poverty. They number an estimated 90–120 million.

Why are so many millions unable to climb out of poverty? Sometimes the

causes of chronic poverty are the same as those of transitory poverty, just more intensely experienced, affecting a larger number of people and lasting longer. In other cases, there is a qualitative difference. Chronic poverty seldom results from one clear cause. Rather, it tends to follow an accumulation of events or influences operating at different levels from the household to the global.

The Chronic Poverty Report highlights the factors that help trap communities, families and individuals:

- Economic stagnation, low or narrowly based growth.
- Social exclusion and adverse incorporation – people are often discriminated against and stigmatised, and then forced to engage in economic activities and social relations that keep them poor (poorly paid and insecure work; minimal access to social protection and basic services; dependent upon patrons).
- High levels of deprivation, particularly during childhood
- Spatial chronic poverty traps – poor and disadvantaged agro-ecological areas, where there are low resources, weak economic integration with the national economy, and commonly social exclusion, and political marginalisation, creating log jams of disadvantage.
- Governance failures, particularly problems associated with conflict and 'weak', 'failing' or 'failed' states where economic opportunities are few, health and education and social protection services are usually not available and people can easily fall into desperate poverty.
- International factors, including failed and limited international cooperation for poverty reduction.

Some chronically poor people are born into long-term deprivation; but many slide into poverty after a shock or a series of shocks from which they are unable to recover. These might include ill-health or injury, environmental shocks, natural disasters, violence, the breakdown of law and order, and market and economic collapse. When such shocks are severe or repeated (or both), those who have neither private assets to fall back on nor collective or institutional support structures they can rely on, may slide into irreversible poverty.

The Chronic Poverty Report argues that although many policies aimed at the poor



*The Chronic Poverty Report 2004–05 was launched on the 12 May at the House of Commons, by Hilary Benn and Gordon Brown (left to right: Aasha Kapur Mehta, Charles Lwanga Ntale, Hilary Benn, Gordon Brown and David Hulme)*

can equally benefit the chronically poor, there is a particular need to focus on the needs of the latter.

Government and international development policies need to place greater emphasis on preventing and mitigating the shocks and insecurities that create and maintain chronic poverty. Chronically poor people not only need opportunities to improve their situation, they also need targeted support and protection, and they need political action that directly addresses the social exclusion they often face. Social protection policies may well demand greater attention and more resources.

The rhetoric of 'empowerment', 'participatory approaches', and of decentralisation and human rights, needs to give way to more difficult political questions of how to challenge the different layers of discrimination that keep people trapped in poverty.

The chronically poor are often perceived in the popular imagination as dependent and passive, a prejudice that has had an influence on development policy. However, nothing could be further from the truth. Most people in chronic poverty are striving to improve their livelihood and the prospects for their children. They do it in circumstances that they have not chosen. Supporting their efforts to attain their rights and overcome the obstacles that presently trap them in poverty requires a level of commitment from those who seek to help, matched by action and resources.

Such poverty cannot be tackled without actual transfer of resources and predictable financial support. If we intend to attempt such a task, then we must first challenge the political indifference of many governments to meeting their national and international obligations on poverty eradication.

[www.chronicpoverty.org](http://www.chronicpoverty.org)

- The 'right to development' remains a controversial concept. ODI contributed to UN discussion on its implementation by linking it to the current international consensus on aid effectiveness, alignment with national systems and donor accountability to the citizens of poor countries. (Laure-Hélène Piron, Karin Christiansen, Zaza Curran, Tammie O'Neil)

## Politics of change

### Understanding drivers of change

- Donor agencies tend to operate with a shallow understanding of the history, politics and political economy of the countries they work in. On the other hand, only a small minority of academic historians and political scientists take a strong interest in current policy issues or debates about aid. From time to time, there is an opportunity to bridge this gap. One such occasion was created in 2003 when DFID decided its country offices should be doing more to understand local 'drivers of change'. An ODI team provided technical assistance to the Drivers of Change Team, which took responsibility for operationalising this proposal. A literature review was carried out on medium-term change processes relating to faith groups, party systems, corruption, gender and donors as political actors. (David Booth, Joy Moncrieffe, Laure-Hélène Piron)
- ODI coordinated a drivers-of-change exercise for DFID in Ghana in partnership with the Center for Democratic Development in Accra. A multi-disciplinary team undertook a basic country analysis and special studies of the budget process, traditional institutions and the role of the middle class. A gradual deepening of the democratisation process seems to be the key to faster economic and social progress in Ghana. Party competition appears (contrary to many international precedents) to be increasing the political costs of corruption and the political rewards for responsible economic management. (David Booth, Tony Killick (IEDG))
- DFID Uganda commissioned a paper synthesising existing research and knowledge as background to a Drivers of Change exercise in the country. The analysis reveals a fragile political system, characterised by social and regional inequality; ethnic and religious factionalism; and chronic conflict and insecurity. Thus, the much-discussed policy process centred on the Poverty Eradication Action Plan (PEAP) depends upon institutions that remain weak and



Children, Kisoro District, Uganda (© Kate Bird)

unpredictable. The foundations for a successful transition to multi-party democracy are also shaky. (Joy Moncrieffe)

### 'Poor performers'

- Background research aimed at identifying which developing countries could be classified as poor performers in a statistically sound manner found that very few countries exhibited consistently poor performance – that is, performed significantly worse than average – over the past two decades. Two performance indicators were used, economic growth and reduction in infant mortality. Although about 15 countries performed poorly on each indicator in each of the 1980s and 1990s, these tended to be different countries in each case. No more than a handful of countries performed poorly (or well) across indicators and decades. This suggests that the recent concern to identify and deal with 'poor performers' as a country group is not based on statistical analysis. (Edward Anderson, Oliver Morrissey)

## Aid politics and donor performance

### The Rome agenda

- Since the Rome Declaration of 2003, the major development agencies have been committed to three principles of aid delivery: *ownership* (of policies by countries), *alignment* (of aid programmes with country agendas and systems) and *harmonisation* (of donor practices). However, progress on the ground has been slow at best. This was confirmed by the survey carried out for the Budget Support Working Group of the Strategic Partnership with Africa, with ODI support. Despite being limited to budget-support programmes, the survey revealed a good deal of misalignment and disharmony – not all but much of it arising from donor behaviour. (David Booth)
- At the OECD-DAC, the Working Group on Aid Effectiveness and Donor Practices

is working to move this logjam. It commissioned ODI's Centre for Aid and Public Expenditure (CAPE) to produce a paper outlining ways to improve donor accountability and predictability of aid flows through alignment with recipient countries' planning and budgetary cycles. Aid flows need to be provided in a manner that reinforces, rather than undermines recipient governments' own budgetary and financial management processes. (Paolo de Renzio, Samantha Smith, Tim Williamson)

- There is increasing evidence that the slow implementation of the Rome agenda is susceptible to theoretical analysis. For example, at the international level donor coordination is an objective often declared, sometimes pursued, and occasionally achieved. This is not the result of an absence of exhortation. Rather it is helpful to think of donor coordination as a collective-action problem in which the incentives need to be adjusted. Applying collective-action analysis to this issue suggests that coordination might be easier to achieve if the costs of defection were higher. (Simon Maxwell, ODI Director)

- Since the creation of DFID in 1997, UK development policy has undergone some fundamental changes. At times, indeed, it has appeared in danger of suffering from an overload of policy innovation, confusing even insiders. A review by ODI attempted to describe and explain this history for a Japanese donor audience, identifying the key changes in policy, the political forces and lines of research that have informed these choices, and the challenges faced. (Tim Conway, Sheila Page (IEDG), Adele Harmer and Joanna Macrae (HPG), Hannah Mollan (Research Associate))

- A key element in the aid-alignment agenda is the PRSP process, and the way the Bretton Woods' institutions relate to it. To complete its three-year programme of work, the PRSP Monitoring and Synthesis Project prepared a briefing paper on the experience with the Joint Staff Assessments (JSAs) and PRSP Annual Progress Reports (APRs). As currently implemented, the JSA falls between several stools, while few donors consider that APRs fulfil their reporting needs. (Ruth Driscoll, Alison Evans)

- Four years and 32 countries into PRS implementation, a number of countries are now facing the challenge of preparing their second 3-5 year PRSP. The PRSP Synthesis Project has focused increasingly on the issues posed by these

'second generation' PRSPs. The work is to culminate in a regional workshop in Tanzania. It focuses on supporting broader and deeper country ownership; strengthening national and local capacity; mobilising more, and more effective, financing; and turning the Rome agenda into a reality in PRS countries. (Alison Evans, Zaza Curran, Ruth Driscoll).

## Managing public expenditure and aid

### Health, education and MDGs

- Research by CAPE asked how good the record of public expenditure has been in delivering two key MDG targets – universal primary school education and a two-thirds' reduction in child mortality by 2015. International comparisons reveal major variations within and between countries in the efficiency of public expenditure programmes. In education, more could be achieved with the same resources by reallocating them between or within sectors, according to country circumstances. In health, there is still scope for doing better by shifting public expenditure within the sector towards pro-poor and high impact programmes. (John Roberts (ESAU))

- Widely hailed as a success-story in pro-poor targeting of public spending, Uganda's Poverty Action Fund (PAF) is now the subject of critical re-examination. The PAF's popularity with donors has locked Uganda into an unduly narrow conception of poverty-reducing public expenditure. As an instrument for tagging and protecting pro-poor expenditure within an initially weak financial management system, it served a useful purpose; but now it is a source of distortions, preventing achievement of a sensible balance across the budget as a whole. Those considering the formation of virtual poverty funds in other HIPC countries should treat them as a transitional mechanism from the outset. (Tim Williamson)

- CAPE has done preliminary work on the role of the new Global Fund to Fight AIDS, TB and Malaria, with particular attention to the implications for public expenditure and macroeconomic management in recipient countries (Samantha Smith). ODI has also contributed to a scenario-building exercise on the future of HIV/AIDS in Africa, investigating the future of aid in each of these scenarios and linkages to poverty. (Samantha Smith, Nambusi Kyegombe, Andrew Rogerson (IEDG), David Booth)

### Local government

- CAPE research suggests that some elements of international best-practice in public financial management can generate good results in apparently unpromising developing-country contexts. Consistent with this finding, Uganda's Fiscal Decentralisation Strategy is implementing with CAPE support a results-oriented, medium-term planning and budgeting framework, including inter- and intra-sector prioritisation modalities; fiscal transfers; cashflow management; commitment control; and internal and external financial and output reporting. (Tim Williamson)

- Public financial management in local government was assessed as part of Uganda's 2004 Country Integrated Fiduciary Assessment commissioned by the World Bank. The CIFA report is intended to provide a candid review of current challenges and a roadmap of short- and medium-term actions that donors can support. It looked at the whole public expenditure management cycle, from planning and budget formulation, through budget execution to monitoring, accountability and external scrutiny. (Tim Williamson, Paolo de Renzio)

### Development performance of corporate investment

- For some poor communities the construction period of capital projects – power lines, water supply, oil and gas development etc. – provides a rare opportunity to access income and build new skills. But the right incentives are needed if the large engineering firms that oversee this work are to absorb the higher commercial risks involved providing these opportunities. Research by ODI and Engineers Against Poverty with Balfour Beatty and AMEC suggests that the critical points of intervention are the design of tender documents and the discussion between client and contractors after award of contract. (Michael Warner)

- In recognition of the complexity of brokering partnerships between business, civil society and government, ODI and The Prince of Wales' International Business Leaders Forum have launched a professional Partnership Brokers Accreditation Scheme. After six months' work (a residential course combined with mentored professional practice), the first cohort of candidates have been awarded accreditation. Accredited members include the Director of CARE Bolivia, a social performance manager working with Shell in the Philippines and an independent consultant working with Nike. (Michael Warner)



HIV AIDS prevention, Kibuye, Rwanda (© Laure-Hélène Piron)

## Policy brief

Laure-Hélène Piron

## Behind the rhetoric: the relevance of human rights for development and humanitarian action

In May 2004, images of torture, degrading and inhuman treatment of Iraqi detainees by US soldiers hit the front pages of the international press. Worldwide condemnation was immediate. There was moral outrage, but also a demand for accountability. There were calls for high-level resignations and some soldiers were brought to trial. The UK government was criticised for not paying sufficient attention to the monitoring reports of the International Committee of the Red Cross or Amnesty International.

This vividly demonstrates the shared international acceptance of human rights: that certain actions violating the dignity and integrity of the human person, especially when undertaken by state agents, are unacceptable. Yet, this moral outrage, and the accountability norms and tools associated with human rights, are not often extended to the situation of extreme poverty that continues to afflict hundreds of millions, especially in developing countries. Donor governments do not always seem to recognise poverty and suffering as a denial of human rights that they are obliged to address – through development assistance, humanitarian action or otherwise.

Over the past year, ODI has developed a body of research and policy advice on the relevance of human rights for development and humanitarian assistance. A multidisciplinary 'Rights in Action' team has been set up aiming to assess the practical relevance of the 'rights' agenda – going beyond human rights to examining citizenship,

customary, contractual or informal rights and claims, including claims to natural resources.

Human rights have potential relevance for humanitarian and development practice at all levels, providing standards and principles which can inform the objectives of aid and make available tools for analysis (such as highlighting the structural causes of poverty). This can contribute to identifying clearly who is responsible for responding to poverty (the state and other 'duty-bearers') as well as making individuals and groups 'rights-holders' and claimants, rather than mere beneficiaries of development processes.

The humanitarian assistance and human rights agendas overlap to a substantial degree in situations involving severe and widespread threats to people's welfare: both are concerned with protecting people from violence, coercion or deliberate deprivation; both invoke the law designed to protect people against such threats, and to hold the parties concerned responsible. The humanitarian approach emphasises the duty to relieve human suffering, normally in the relatively short-term. The human rights approach, on the other hand, tends to relate to current or past breaches of relevant legal obligations. This latter approach focuses on the question of

political responsibility and justice. Remedies are both corrective and preventative, concerned with exposing past abuse and preventing new ones.

ODI has been reviewing the practical compatibility of these two agendas, neither of which sits happily with political compromise. Despite the obvious overlap of concern, there are potential tensions between the demands of these



Women waiting for legal advice in Gitarama, Rwanda  
(© Laure-Hélène Piron)

agendas. It is in the relative priorities of each agenda, and in the means by which they are pursued, that a potential divergence arises.

A shared core protection agenda is likely to include prevention of all forms of violence against civilians, forced displacement and other forms of coercion, such as child recruitment and deprivation of the means of subsistence, including destruction of crops and water sources, or denying access to relief.

However, there may be tensions arising from competing priorities and conflicting approaches: the demands of the justice agenda may not always be consistent with the humanitarian imperative in a given case. Under what circumstances should constructive engagement with government (so as to secure continued relief access) be prioritised over a strategy of overt pressure? Under what circumstances is humanitarianism threatened by high profile and adversarial human rights campaigns? What can be done to minimise this risk in practice? Organisations need to make mutually informed decisions to answer such questions rather than, as at present, dealing with conflicts only as they arise.

ODI has also documented and evaluated current human rights-based approaches to development assistance. Our studies show that there is a growing range of activities within aid agencies attempting to translate such approaches into practice. They include the design of DFID's Latin American country programmes based on a human rights analysis, leading to a programmatic



Dispossessed widow and her children Zomba district, Malawi  
(© Laure-Hélène Piron)

focus on combating social exclusion and inequality. Swiss government support in Rwanda illustrates aspects of a human rights-based justice agenda: dealing with past violations and the need for punishment and compensation by supporting the *gacaca* genocide tribunals, as well as responding to women's needs for better access to justice over land, inheritance or divorce issues.

Within the UN system and in particular within UNICEF, a human rights-based approach is no longer a new, special issue. It is now standard procedure in almost all country programmes. However, it is not yet common practice in the aid community at large. There is still political and technical resistance: human rights can be seen as costly 'extras' undermining growth or as politically problematic, introducing conditionalities and working against 'partnership-based approaches' to development. ODI's research for the UN on the right to development suggests that partnerships can be grounded in human rights: aid modalities that strengthen national leadership and capacity are fully consistent with an agenda that recognises the primary responsibility of states for their human rights obligations. Human rights can also strengthen pressures for enhanced donor accountability.

Human rights discourse can be off-putting because it is normative and legal, or uncomfortable because it advocates radical alterations in power relations. There may be disagreements with economists over perceived 'anti-growth' social and economic rights. Other challenges are institutional: which sections within agencies should have responsibility; will human rights displace other approaches; is senior management sufficiently supportive; are adequate resources devoted to communicating policies to staff? More and more agencies, however, are addressing, rather than avoiding, these issues.

ODI's 'Rights in Action' team plans further work on the strengths, and limitations, of placing human rights at the heart of aid and development processes. To date, we have learnt that these are not idealistic or legalistic issues. They lie at the centre of international action, as Iraq sadly continues to remind us.

[www.odi.org.uk/rights](http://www.odi.org.uk/rights)

## ODI's Rights in Action Team

In 2003, a new multidisciplinary team was established at ODI: it is composed of economists, political and social scientists, natural resource specialists, and lawyers. Some researchers are highly sceptical of the relevance of the normative international human rights framework for the lives of the very poorest: what matters most are the national political processes surrounding the claiming of rights, or a greater understanding of informal norms and rules. Others see in the international framework an entry point to improve the practice of aid delivery and analysis of poverty and humanitarian crises. All want to promote better exchanges and understanding between the 'aid' and 'human rights' communities.

The programme is built around three headline themes:

(i) **Human Rights, Aid and International Politics:** examining the adoption of 'human rights-based approaches' to humanitarian and development assistance by developing countries, international NGOs and official aid agencies; influencing agencies' understanding of human rights by bridging the gap with the mainstream development/humanitarian aid discourses; contributing to the 'right to development' debate and to improving the accountability of donors for their human rights obligation; better understanding the justification, application and impact of 'political conditionality'.



(ii) **Citizenship and Rights:** assessing how claiming rights and entitlements at the national level, through judicial, political and other processes, can contribute to poverty reduction, especially for the very poor; researching how non-discrimination and greater equality can contribute to poverty reduction whilst respecting good economic management principles; contributing to policy development and advising on domestic justice system reforms; exploring the impact of regulatory mechanisms for natural resources; researching how access to resources can be strengthened or undermined by formalised titles; analysing how local informal rights can benefit the poor.

(iii) **Human Rights and Protection from Abuse:** the state as protector and abuser; cases involving deliberate deprivation of the means of subsistence; protection and enforcement of civil and political rights, and of humanitarian law; lack of national protection; 'poorly performing' states; debate over international responsibilities to protect, and effective mechanisms for protection (UN etc.) and asylum policies.

### Rights in Action team members

Programme Manager: Laure-Hélène Piron (PPPG)

Julius Court (RAPID), Zaza Curran (PPPG), James Darcy (HPG), John Farrington (RPGG), Ursula Grant (PPPG), Sven Grimm (IEDG), Charles-Antoine Hofmann (HPG), Andy McKay (PPPG), Joy Moncrieffe (PPPG), Caroline Moser (PPPG), Cecilia Luttrell (RPGG), Peter Newborne (RPGG Associate), Tammie O'Neil (PPPG), Laure-Hélène Piron (PPPG) and Adrian Wells (RPGG).

ESAU has been established at ODI by DFID to undertake research, analysis and synthesis which advances understanding of the processes of poverty reduction and pro-poor growth in the contemporary global context, and of the design and implementation of policies that promote these objectives.



## Economic and Statistics Analysis Unit

John Roberts	<i>Head of ESAU</i>
Sonja Fagnäs	<i>Research Officer</i>
Kate Bayliss	<i>Visiting Fellow</i>
Jonathan Beynon	<i>Visiting Fellow</i>
Nirosha Gaminiratne	<i>Visiting Fellow</i>
Anna McCord	<i>Visiting Fellow</i>
Cedrik Schurich	<i>Visiting Fellow</i>
Martin Wall	<i>Visiting Fellow</i>

- HIV/AIDS in the countries of the former Soviet Union has caused unprecedented falls in employment, falling life expectancy and a collapse of state institutions delivering public health. In Russia and the Ukraine the epidemic spread first among high-risk groups such as intravenous drug users, but is now spreading rapidly to the general population. Evidence suggests other FSU states will suffer similar epidemics. (ESAU Working Paper 1: Martin Wall)
- Is aid more effective in reducing poverty in countries with better policies? Collier-Dollar's model calculates how many poor people are lifted out of poverty per dollar of aid – and thus how best to distribute aid. Yet ESAU research suggests that changes in aid's marginal effectiveness have been related more to changes in aid volumes. (ESAU Working Paper 2: Jonathan Beynon)
- Sri Lanka's rising age dependency ratio is expected to double in 20 years; poverty in households with elderly people is below the national average – because of family support and because people continue to work into old age. An ESAU study found that existing contribution-based pension schemes only cover 25% of the working age population, but have reached their limit. Universal pensions would do less to reduce poverty than universal child allowances, and unless subjected to a means test would become unaffordable. (ESAU Working Paper 3: Nirosha Gaminiratne)
- Which policy instrument would adjust Zimbabwe's current account at least welfare cost – devaluation or fiscal adjustment? A study found that a commonly used CGE macroeconomic model was an unsatisfactory tool for answering this question because its closure rule prevents a proper examination of the effects of fiscal adjustment. Devaluation would reduce GDP in all sectors except agriculture and export-oriented production. (ESAU Working Paper 4: Sonja Fagnäs)
- How effective is demand-side stimulus in generating recovery from economic collapse? Eight countries studied suffered significant, multi-year falls in per capita incomes, but the majority made remarkably swift economic recoveries. ESAU research examined the role of expenditure on government service, investment or exports in promoting recovery. The model simulated early years' recovery well, but the later recovery period poorly. A partial recovery scenario for Iraq showed that oil-financed public expenditure could raise per capita income by some 50% in five years. (ESAU Working Paper 6: John Roberts)
- Public works are central to South Africa's labour and employment creation policies, aiming to enable those who have never been permanently employed to graduate to regular jobs. ESAU surveys of works programmes in Limpopo and KwaZuluNatal provinces lead to the conclusion that these programmes may temporarily raise target households' incomes, especially where initial poverty was deeper, but will not result in significant employment creation or poverty reduction in South Africa. (Anna McCord)
- Bangladesh's per capita income and social indicators improved steadily in the 1990s, while in Kenya the opposite happened. Before 1980, Kenya grew strongly, and the economy diversified. But in the 1990s, erratic macroeconomic management, a rapidly growing public sector, an uncompetitive private sector, and worsening corruption, led to falling savings and investment. Bangladesh's recent relative success has been built on policies of macroeconomic stability, restrained public expenditure and taxation, and a competitive real exchange rate. Savings and investment rose steadily, and the balance of payments strengthened. An indigenous private sector arose, operating in competitive conditions, out of which emerged a very successful export-oriented garment manufacturing sector. (ESAU Working Paper 5: John Roberts, Sonja Fagnäs (forthcoming))
- What is the fiscal impact of aid inflows in Malawi, Uganda and Zambia? Based on econometric evidence, ESAU research is looking at the effects of aid inflows on public expenditure and domestic borrowing. Results for Malawi and Uganda indicate that aid has been used mainly to finance the development budget. (Cedrik Schurich, Sonja Fagnäs, John Roberts)
- Privatisation has proceeded slowly in Serbia and Bosnia – amidst political uncertainty and difficult market conditions – though in Serbia, successive governments have launched privatisation initiatives. Surveys of privatised enterprises are being undertaken to ascertain the nature of constraints, the most promising modes of divestiture and the impact on output, efficiency, profitability, employment and taxes/subsidies. (Kate Bayliss)

## Policy brief

Simon Maxwell

# Bridges across boundaries: linking research and policy in international development

Think-tanks need to work together across national boundaries if they are to influence policy-making internationally. ODI is helping to pioneer a new way of doing this, using a model known as 'policy code-sharing'.

It is especially difficult to bridge the gap between research and policy when any change to policy needs decision-makers in many different countries to agree. This is the case with many policies related to international development: anything to do with trade or international finance, issues governing the structures of overseas aid, measures to improve the effectiveness of international institutions – an endless list.

Researchers wanting to influence these kinds of policies have three choices.

First, they can disseminate their own research findings and recommendations as widely as possible, hoping that they will be picked up by decision-makers, and advocating that they should be. This is the Microsoft solution.

Second, they might work through research institutes and think-tanks in other countries, capitalising on their local knowledge, but disseminating the same core message through all the different outlets. This is the franchise option – the McDonald's solution.

Third, they might work more in partnership with other institutions, sharing ideas, modifying messages, and collaborating to achieve change. There is a high degree of trust involved and a cross-guarantee of quality across the network of partners. An appropriate model is the airline alliance, One World, say, or the Star Alliance.

There are good reasons for researchers to prefer the third model. It recognises the benefits of plural voices, including in developing countries. It builds local capacity to work on policy questions. And it maximises the opportunity for further development of the research base to inform policy. Airlines talk about 'code-sharing'. A good way to think about this model is 'policy code-sharing'.

But can policy code-sharing work in practice? A current experiment to test the model is underway on the future of European development cooperation, being led by the European Association of

Development Institutes. EADI has more than 150 institutional members in 29 countries.

In many of those countries, European issues loom large for all who work in international development. The proposed Constitution has much to say about development; there are decisions being made about future financing; and there are links to many other topics, like the reform of the Common Agricultural Policy. It is important for decisions on these matters to be based on good research and sound evidence – and that the public debate is influenced and informed by research voices.

There is an explicit attempt in the project to build bridges across national boundaries. For example, the original overview has been translated into French and Italian. Similarly, speakers from one country have been invited to attend meetings in other countries. Points made in one series of meetings (for example, those held in London in 2003) have been carried over to others (for example, a meeting held in Ireland in April 2004, or a series held in Germany in the summer of 2004). Major conferences draw the themes together, for example the Conference in the Netherlands in September 2004, sponsored jointly with the Society of International Development, and the biennial conference of EADI itself, in Bonn in September 2005.

It is too soon to evaluate the exercise or to claim policy impact. At a minimum, however, the project has raised the profile of European issues in the academic and think-tank communities around Europe. Some lessons have also been learned: about the time it takes to build momentum in a project such as this, the necessity of core funding for the business of

managing the network, and the need for intellectual leadership. Developing country voices also need to be brought more visibly into the exercise.

Without doubt, however, policy code-sharing is a model that will be used in future, whenever policy issues transcend national borders.

- [www.eadi.org/edc2010](http://www.eadi.org/edc2010)
- [www.odi.org.uk/edc](http://www.odi.org.uk/edc)
- [www.odi.org.uk/speeches/edc\\_2010/meeting\\_report\\_9july.html](http://www.odi.org.uk/speeches/edc_2010/meeting_report_9july.html)



The EADI project called 'European Development Cooperation to 2010' makes that possible. Its key features are:

- A scenario-building exercise and overview paper, prepared jointly by us at ODI and the European Centre for Development Policy Management in Maastricht;
- Briefing papers on the main issues covered by the overview paper, providing further detail and options for the future;
- The establishment of a shared website, to which participating institutes and think-tanks can post resources, announcements, briefing papers and position papers;
- Public meetings on topics connected to the project, held in countries all over Europe, with conclusions posted on the shared website;
- Workshops and conferences, organised by EADI institutes and their partners in the NGO and policy-making communities;
- Opinion pieces to stimulate debate.



ODI's Research and Policy in Development (RAPID) Programme aims to improve the use of research and evidence in development policy and practice through research, advice and debate. The programme has four main themes: the use of evidence in policy processes; improving communication and information systems for development agencies; how better knowledge management can enhance the impact of development agencies; and promotion and capacity building for evidence-based policy.

## Policy brief

One former ODI analyst once described agricultural development policy processes as 'a chaos of purposes and accidents ... not at all a matter of the rational implementation of decisions through selected strategies.' That may be putting it extremely, but there is growing recognition that policy processes are complex, multidimensional and unpredictable and there is an urgent need to find mechanisms to promote the use of research-based and other forms of evidence in development policy.

The theoretical and case-study research and practical work carried out by RAPID (Research and Policy in Development) over the past three years has led to the development of a framework and practical tools designed to help with this.



A community-based veterinarian in India  
(© John Young)

The case of animal health services in Kenya illustrates how the framework can be used for assessment and practice. Despite good evidence of the value of local, community-based animal health services, accumulated over the past 20 years, such services remain illegal in Kenya. Why? Why has the government not changed its policies and practice to accommodate and promote them – especially in the more remote regions of the country?

Applying the framework to this situation revealed a complex process where much of the early evidence was generated by NGOs working at grassroots level and was initially invisible to policy makers. Then, just when enough evidence had accumulated to convince policy makers of the value of the approach, the introduction of a veterinary privatisation programme and arrival of a new Director of Veterinary Services more concerned with professional standards and ethics than the delivery of basic services created a new set of political obstacles. Four years later, the gradual spread of community-

### The use of evidence in policy processes

- Initial results from the GDN Bridging Research and Policy Project, coordinated by RAPID indicate that engagement with policymakers, action research, good communications and long campaigns are common features of successful national-level policy research projects.
- Detailed studies of four recent development policy changes: the adoption of PRSPs by the World Bank in 1999, the adoption of the humanitarian charter of the Sphere project by humanitarian agencies since 1997, the legalization of Paravets in Kenya, and the Sustainable Livelihoods Approach in DFID reinforce present a more complicated picture especially for transnational policy processes.
- Work on HIV/AIDS policy, where the evidence is less contested, emphasizes the importance of the political context.

### Improved communication and information systems

- Communications are key for good research-policy linkages, but are often not thought about until after the research is over. A literature review for DFID's new research strategy identified the need for a more systemic approach with two-way communications between researchers and policy makers and other stakeholders.
- Work with FAO, the World Bank and DFID to develop a programme to improve information and communication in the rural space recognized that the best results are obtained when traditional and modern IT-based information systems are combined.

- These findings are being incorporated into good practice guidelines for communications in poverty reduction strategy processes for DFID and the World Bank.

### Improved knowledge management

- A review of the literature on knowledge management and organizational learning in international development identified four critical gaps in current knowledge: how development organizations can use KM to improve responsiveness, impact on policy, impact of policy, and Southern engagement.
- Starting close to home, the RAPID programme is working with South Bank University to develop a Knowledge Management Strategy to put these into practice within ODI itself.

### Promotion and capacity building

- A better understanding of how research influences policy (or doesn't) is only useful if it generates practical advice to help researchers and development practitioners. RAPID has been testing some of the theory with development researchers, policy makers and practitioners in the UK, Eastern Europe and developing countries over the last year. This has included practical support to the Soros-funded LGI Policy Fellowship programme in Eastern Europe, 'Does Evidence Matter?' – a series of meetings on relevant topics for researchers, practitioners and policy makers in the UK, and workshops and seminars with researchers, practitioners and policymakers in the UK, Morocco and India.

## Research and Policy in Development

John Young	Programme Manager	Amy Pollard	Research Officer
Julius Court	Research Fellow	Ben Ramalingam	Research Officer
Cokro Leksmono	Research Officer	Fiona Drysdale	Project Administrator

## Bridging research and policy: the RAPID approach

John Young

based services across northern Kenya provoked outrage among the veterinary profession who regarded them as a threat to the veterinary privatisation programme.

With the issue out in the open, the new Director of Veterinary Services launched a multi-stakeholder process to review veterinary service provision and developed a new policy framework allowing private and community-based veterinary services to co-exist. But despite being involved in the process of developing the new policies, the community-based veterinarians are still opposed by private practitioners, and have still not been ratified.

The framework helps illuminate the errors made. NGOs developing and testing the community-based approaches should have understood the policy context and worked more closely with veterinary policy makers earlier on. They should have collected more empirical data to prove the value and effectiveness of their approach, and to refute concerns that community-based services are unprofessional or threatened the veterinary privatisation programme. A campaign, using this evidence, could have convinced policy makers of the value of developing community-based services alongside the new privatisation programme. Involving a wider range of actors in a multi-stakeholder process earlier could have co-opted rather than confronted the veterinary profession.

More positively, the framework can be used to deal with problems before they arise. In January 2004, RAPID ran a workshop for stakeholders in a project aiming to improve access to groundwater for poor farmers in India. Groundwater management falls within the remit of three sectoral policies in India: water, watersheds and forestry. The three sectors have a historical legacy of poor coordination which result in poor implementation on the ground. Many of the policy measures are based on narratives with no science base, including the strong belief among policy makers that planting trees protects water resources. Political considerations and vested interests provide resistance to improved management of land and water conservation measures in watershed projects. The project faces the dual challenge of developing new policy recommendations, and overcoming this resistance to new approaches.

A wide range of researchers, policy

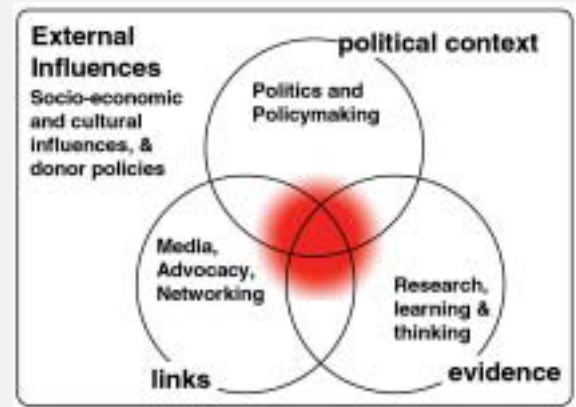
makers and practitioners were invited. They used the framework to develop a new strategy for the final phase of the project. In place of further research, this emphasised the evidence they had already generated from pilot project sites and used existing links and networks to convince key policy makers of the need to change their policies. Specific activities included:

- Getting to know the key policy stakeholders, and determining how best to convince them;
- Capitalising on political opportunities offered by the new government and a big bilateral project;
- Taking policy makers to visit the research / demonstration project sites
- Collaborating more closely with national programmes;
- Arranging workshops, seminars and meetings with key stakeholders;
- Generating appropriate communication materials.

Influencing policy change is an art as much as a science, but there are a wide range of tools that can provide powerful insights and help to maximize the chances of research impact on policy. RAPID is currently compiling a 'Policy Entrepreneurs Toolkit', including tools for assessing political contexts, generating and collating evidence, communications, and policy influence.

The changing nature of international development has led to an increasing role for civil society organisations in poverty reduction policy. Experience has shown that when these CSOs are able to assemble and communicate information effectively, they have a significant impact on policy. The RAPID framework suggests that such organisations in the South would be better able to engage with their governments and international institutions if they had a good understanding of how policy processes work and the capacity to generate or access high-quality relevant research. In addition they need to be able to access and participate in Southern and Northern policy networks and able to communicate their concerns in an effective and credible manner.

ODI will be exploring these hypotheses in greater detail over the next few years under a new



The RAPID Framework

Partnership Programme Agreement with DFID. Work will focus on the following four outcomes:

- CSOs understanding better how evidence can contribute to pro-poor policy processes;
- Establishing regional capacity to support southern CSOs;
- Making accessible useful information on current development policy issues, and of how it can contribute to pro-poor policy;
- CSOs participating actively in Southern and Northern policy networks.

The RAPID framework provides a mechanism to promote evidence-based development policy. Further work with local organisations, national governments and donors is needed to see how it can generate better policies for achieving the overarching goals of international development: to reduce poverty, alleviate suffering, and save lives.

[www.odi.org.uk/rapid](http://www.odi.org.uk/rapid)



Participants at the groundwater workshop in India  
(© John Young)

Although poverty reduction depends on national choices and action, international trade can increase countries' capacity to develop, and the trading system can enable countries to exploit opportunities. IEDG's research has examined how trade can be used to reduce poverty, and what types of policy can increase countries' capacity to trade.

## Developing countries in multilateral negotiations

- Agricultural tariffs and tariff peaks remain high in most major developed country markets and the tariff reductions proposed in WTO agricultural negotiations will offer many developing countries the benefits of increased market access. However, Least Developed countries, which enjoy zero or preferential rates for their exports, will gain little and could suffer serious losses through erosion of special preferences. (Ian Gillson, Sheila Page)
- The increasing use of special preferences for Least Developed and other favoured countries, has effectively created an interest group in opposition to trade liberalisation which would benefit the majority of developing countries. It may be necessary to 'buy' reform with financial compensation mechanisms. (Sheila Page)
- Services offer new opportunities (see policy brief, page 18). Many developing countries can liberalise their own services. Some, like Nigeria, face inadequate regulatory and institutional capacities, concerns about making binding and multilateral commitments and domestic employment problems. The financial and telecommunications sectors are natural candidates for further liberalisation under the GATS. In water services, however, equity and public service goals conflict with efficiency and profit objectives. (Ian Gillson)
- Cotton subsidies are a major issue for developing countries. Heavy US support has damaged cotton-earning potential but subsidies by smaller subsidisers, in particular the EU, may also be disproportionately harmful to some suppliers in West and Central Africa. (Ian Gillson, Sheila Page)

- African exports have performed poorly even where faced by relatively low tariff barriers in developed countries. Despite preferences, African countries have had a declining export share and have not diversified into high value-added exports. More attention to standards, and certification, together with support for human and technological capabilities is needed. (Dirk Willem te Velde)

## Regions

- Bilateral or regional negotiations cannot be a substitute for the WTO. The FTAA (US-Latin America/Caribbean) and the EU-MERCOSUR negotiations explicitly assume that the most difficult issues (notably agriculture) will be settled at multilateral level. Without this, progress will be slower, if possible at all. Furthermore, regional agreements are no substitute for the protection offered by international trading rules. (Sheila Page, Tim Conway (PPPG), Zuleika Arashiro, Veena Jha, Sajeev Nair, Nguyen Thang, David Waldenberg)
- The poverty impact of the more than 200 regional trade agreements notified to the WTO will depend on how provisions affect different products and influence intra and extra regional investment and migration. Research is ongoing in Bolivia and Tanzania. (Dirk Willem te Velde, Sheila Page and Oliver Morrissey)
- EU negotiations with the South American countries in MERCOSUR illustrate the problems of regional negotiations. The EU is a major market for MERCOSUR and also depends heavily on it for agricultural supplies. EU tariff and non-tariff barriers for agriculture are exceptionally high, and there are technical differences in EU and MERCOSUR trade policy: MERCOSUR barriers are on average higher, but relatively uniform; EU barriers on

average low, but with high peaks. And there are different approaches, as the EU supports non-economic roles for agriculture and MERCOSUR stresses the welfare benefits, to both sides, of liberalisation. (Sheila Page)

- Five years ago, internal objectives seemed likely to move SADC in Southern Africa in the direction of greater integration. Now, the internal momentum has been lost, but external pressures have emerged. At the moment, SADC with the very different trading patterns and interests of its members, seems unwilling to face the financial and political adjustment costs inherent in a customs union. SADC has stronger prospects for greater integration in other directions, for example, regional standards organisations, transport, and energy. (Sheila Page)
  - Macro-economic, trade and transport policies are the main government influences on export competitiveness in southern Africa. However, a number of other factors directly affect the costs and risks of exporting. Improvements in customs and border measures are vital to exporters. More industry-wide approaches to export promotion are needed, with progress in the fiscal and regulatory harmonisation agreements in the SADC Trade Protocol and in developing both public and private standards bodies. (John Howell, Botswana Institute for Development Policy Analysis, BIDPA)
- ## EU relations with the associated African, Caribbean and Pacific states
- EU development cooperation has changed significantly since the late 1990s and important decisions are on the agenda for the next ten years. These include proposals for economic partnership agreements with ACP regions (EPAs), possible integration of the European Development Fund into the EU budget, and European foreign policy. (Simon Maxwell, Sven Grimm, Ian Gillson)
  - The strengthening of WTO rules has important implications for EU trade

## International Economic Development Group

Sheila Page	<i>Group Coordinator</i>	Edward Clay	<i>Senior Research Associate</i>	Veena Jha	<i>Research Associate</i>
Ian Gillson	<i>Research Fellow</i>	Tony Killick	<i>Senior Research Associate</i>	Sajeev Nair	<i>Research Associate</i>
Sven Grimm	<i>Research Fellow</i>	Jane Northey*	<i>Group Administrator</i>	Benu Schneider	<i>Research Associate</i>
Adrian Hewitt	<i>Research Fellow</i>	Roo Griffiths	<i>Group Administrator</i>	Nguyen Thang	<i>Research Associate</i>
Oliver Morrissey	<i>Research Fellow</i>	Zuleika Arashiro	<i>Research Associate</i>	David Waldenberg	<i>Research Associate</i>
Andrew Rogerson	<i>Research Fellow</i>	Charlotte Benson	<i>Research Associate</i>	Ganesh Wignaraja	<i>Research Associate</i>
Dirk Willem te Velde	<i>Research Fellow</i>	Ephraim Chirwa	<i>Research Associate</i>		

\* Left during the year

policy, including review of the Generalised System of Preferences (GSP) and the EPAs. Lack of coherence between the different approaches in trade policy and between trade and other policies of the EU remains. (Ian Gillson, Sven Grimm)

- Within the debate over the future of EU's external relations, human security can offer a useful conceptual tool kit with which to judge the changing relationship between development concerns and wider European external action. The EU looks back on a tradition of advocating values of a 'civilian power' in external actions. (Sven Grimm)

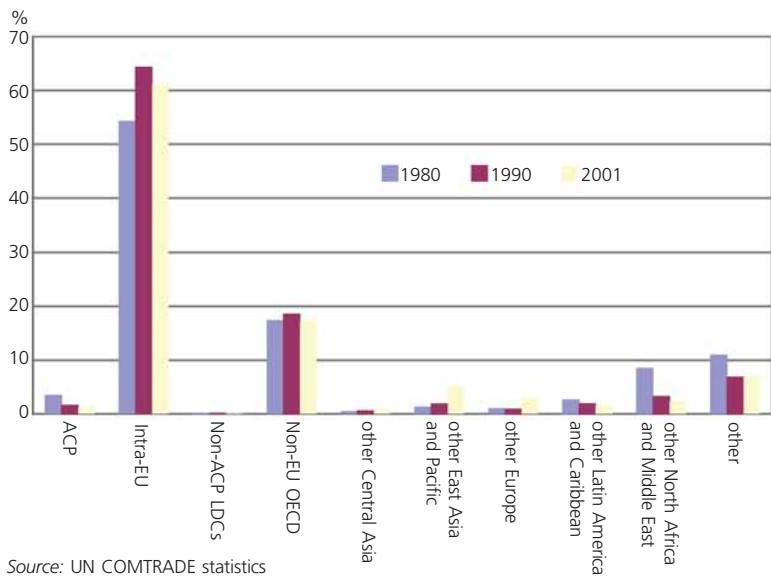
- As negotiations begin between the EU and the ACP, analysis of other countries' experiences suggests some lessons. Countries must take the initiative to define their own objectives, not simply respond to EU proposals. They will do better if they can form alliances with countries experienced in negotiation. Informed and active private sector participation can strengthen governments' positions, but high dependence on aid, especially from the country with which they are negotiating, may weaken them. (Sheila Page)

- The EU is already the largest market for bananas in the world, accounting for more than 30% of total imports before its expansion from 15 to 25 countries. Accordingly, changes in the EU banana regime have substantial repercussions for banana producers. Since 1993, reforms have attempted to balance three sets of demands: those arising from the completion of the Single European Market; the EU's obligations under Lomé (the ACP countries currently have an annual duty-free tariff quota of 750,000 tonnes) and its obligations under the GATT (and later the WTO). (Latin American countries, the major suppliers, pay a tariff of US \$75 per tonne.) From July 2006 a tariff-only system will be established with tariff preferences for ACP exporters. Preferences then will be phased out over the next 20 years by which time the ACP group as a whole is estimated to lose between \$72 million and \$165 million. Within this, the greatest losses as a proportion of total exports are faced by Saint Lucia, Dominica, Saint Vincent and the Grenadines and Belize. (Ian Gillson, Sheila Page)

## Overcoming national impediments to growth

- Since the 1960s, UNCTAD has provided an alternative international forum for developing countries' trade interests, with a particular focus on 'supply side' problems preventing countries from benefiting from market access. Three

EU-25 Merchandise imports by source, 1980–2001 (% of total)



Source: UN COMTRADE statistics

types can be identified: the technical ability to trade competitively; the institutional and national infrastructure for trade; and, perhaps hardest to deal with, the ability to recognise the need to respond and adapt to trading conditions. Those countries that have dealt with these problems are now most pressing on issues of trade liberalisation and most active in the WTO, but others remain behind. (Sheila Page)

- Industrial development is often neglected in low-income countries. ODI research has identified market failures, especially coordination problems in investment planning and technology diffusion, associated with imperfect information and incomplete markets in important areas (e.g. finance and labour training). There is an important role for the public sector here. International agencies such as UNIDO can contribute, providing policy knowledge and facilitating transfer of appropriate environmental technologies. (Oliver Morrissey, Dirk Willem te Velde)

## Financial flows to developing countries

- Many OECD governments actively promote foreign direct investment to developing countries, by compensating for risk, providing technical assistance to improve the host country investment climate, and improving access to the home country. Although little systematic evidence exists on the effectiveness of such measures, preliminary analysis for the UK suggests that country-specific aid is useful. (Dirk Willem te Velde)

- After the crisis in emerging market economies in the mid-late 1990s, the

adoption of internationally recognised standards, or codes of good practice, was seen as a way to help strengthen the international financial system. Although a set of standards and codes defined by the Financial Stability Forum brings many benefits in terms of improved transparency, it is not unproblematic and uncontroversial, especially for developing countries. Issues include the provenance and ownership of the codes, the cost of monitoring and the balance between external review and self-assessment. There is also an important issue as to whether the initiative actually improves market access and market stability. (Benu Schneider)

- Recent changes in aid architecture, including the Millennium Challenge Account, global thematic funds, and the International Financing Facility, are set against the commitments made since Monterrey on aid volume and country ownership. The response of key actors in the aid system to new challenges will depend on shifting weights of various aid objectives, of which poverty reduction is only one; internal institutional arrangements, especially their funding endowments; symbiotic relationships between official aid and NGOs; and the different abilities of agencies to deal with poor performers with impaired sovereignty as well as relatively rich countries protective of their sovereignty. (Andrew Rogerson)

## Policy brief

# Offshoring: opportunities and threats as services go global

Dirk Willem te Velde

The offshoring of services from the richer industrial countries – by which services are relocated to other countries – can offer important opportunities to developing countries. But in order to realise these, they need to fight for export opportunities and counteract the protectionist feelings towards offshoring of those living in advanced economies.

Offshoring or outsourcing of manufacturing activities is not new. Developing countries have long benefited from the fragmentation of world production in manufacturing facilitated by economic liberalisation, technical change, improved services such as transport, information and communication technologies and economies of scale.

Now these factors are increasingly affecting the services sector itself. The offshoring of information-technology-enabled services has now emerged as a powerful example of offshoring from Western Europe and the US, going far beyond call centres in India, Mauritius, Ghana and the Caribbean. Now it includes health services in the Caribbean and South Africa, education services in South Africa, legal and other business services in India, and shipping services using labour from the Philippines. Developing country exports of services are beginning to have a big impact on the economies of developed and developing countries alike.

International agreements on trade in services cover four modes. With reference to offshoring they include:

- **Cross-border supply:** e.g. call centres in India export services to developed countries
- **Consumption abroad:** e.g. UK and US consumers purchase health services in

the Caribbean; Europeans attend South African business schools

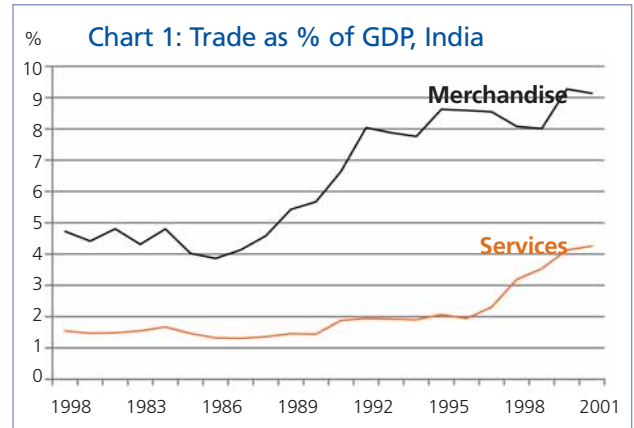
- **Commercial presence:** e.g. Indian IT firms have subsidiaries in the US and UK through which they win large IT contracts

- **Temporary movement of people:** e.g. South African doctors, Indian programmers and Philippine nurses enter the UK (temporarily)

under managed migration policy to deliver highly needed services

Increased exports in health tourism, business and financial services, shipping, education and of temporary workers are all potentially significant new export earners for many countries and can help alleviate balance of payments deficits. The labour-intensive nature of many services sectors (some tourism, construction and business services and temporary movement of people) is a comparative advantage for several developing countries and can help to promote pro-poor growth.

Services exports can directly affect growth, and are an increasing percentage of gross domestic product in some countries. In India, information technology-enabled services are responsible for a third of the total services exports (see Chart 1). The value added in exports of services increased GDP growth by 0.2 and 0.6 percentage points annually over the 1980s and 1990s. In addition, there are significant indirect effects on poverty in the form of

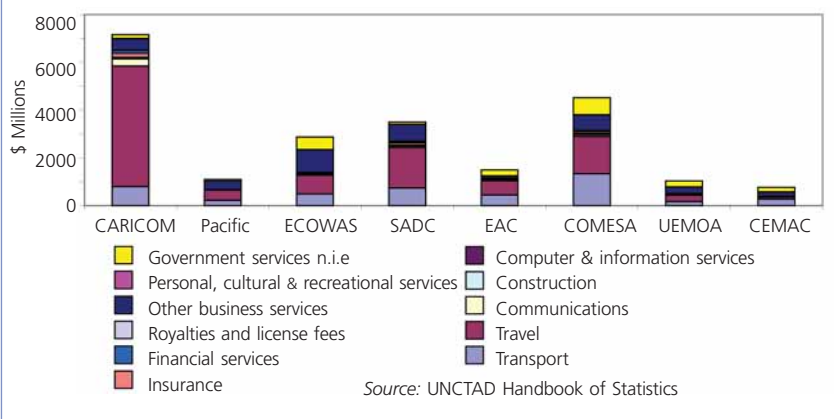


remittances, employment and indirect consumption. A study by ODI of tourism revealed that for 18 countries it constitutes more than a fifth of GDP.

Finally, increased exports of services offer a welcome diversification away from a development strategy based on agriculture and natural resources alone.

New export opportunities are not easily available to developing countries and they should take advantage of the international regulatory frameworks to combat the protectionist sentiments of richer countries. Some claim that the current protectionism against offshoring

**Chart 2: ACP regional services exports by sector, 2000**



### Ten options for including special and differential treatment for developing countries in multilateral or regional services trade agreements

- Export capacity building.
- Recognition of professional credentials
- Information centres for exporters of services.
- Increased technology transfer to developing country service sectors using 'home country measures'
- Full credit for autonomous developing country liberalisation of services.
- Fewer or no services commitments by Least Developed countries.
- Deeper developed country commitments e.g. covering more liberal movement of people, safeguarding outsourcing and removing restrictions in specific sectors
- Opening (parts of) developed country government procurement (e.g. IT enabled services).
- Emergency Safeguards Measures for developing countries.
- Flexible implementation periods for developing countries

(most severe in the US) is already counter to existing rules and commitments under World Trade Organization agreements on services and public procurement. Union and government acceptance of offshoring in the EU stands in sharp contrast to the protectionist mood in the US.

The international (GATS) and regional negotiations covering trade in services offer another possibility.

Developing countries can use international services negotiations to safeguard further opportunities to export 'offshored' services, particularly under mode 1 (e.g. cross border supply of IT enabled services) and mode 4 (coverage of more type of workers for longer periods). An ODI study examined whether and how developing countries can ask for special and differential treatment in negotiations covering trade in services (see Box).

Counteracting protectionist feelings may be difficult but rich countries can help here through public provision of good quality information. This can help to debunk the myth that offshoring leads to loss of jobs in the home country. Research has shown that offshoring of services has a positive impact on productivity, growth and employment in the long run in the countries that offshore (whether rich or poor) and those that provide offshored services. The advantages apply to both user and provider – it is a genuinely positive sum game. Recent economic indicators for industries affected by offshoring often point upward (e.g. the call centre industry in the UK at present).

The international community can also help by supporting growth and investment in services capacity in developing countries. It can promote trade in the services sector by improving the regulatory framework including support for the development of data protection rules. And it can promote capabilities for more competitive services. Unlike sector-specific international organisations for agriculture and industry (FAO and UNIDO), there exists no organisation to collect relevant statistics and report on the state of services in developing countries (though the World Tourism Organisation and some other specific sector organisations collect their own data).

A 'World Services Organisation' dedicated to monitoring and promoting the growth of the services sector in developing countries could have a significant impact.

## Trade and poverty

- The growing interest in how developing countries can use trade policy and the commitment to the goal of poverty reduction have come together in a set of initiatives to help developing countries design and implement trade policy with a poverty focus. (Sheila Page, David Booth (PPPG), Ganesh Wignaraja)
- Trade policy matters: it affects trade, and this can have substantial effects on both economic growth and poverty reduction. This belief underpinned an analysis of linkages among trade policy, poverty reduction, and sustainable development which found that the relationship between trade liberalisation and growth is not straightforward. For growth to be pro-poor, specific labour-market conditions, public investments in education and health, and/or effective redistributive mechanisms need to be in place, as well as large investments in physical infrastructure and policies supporting the development of rural financial markets. (Kate Bird (PPPG))
- In Kenya, trade liberalisation is potentially good for GDP growth and for agriculture, but there will be losers as well as winners. There has been surprisingly little analysis of how different livelihood groups among the poor may be affected. What is clear is that the challenges Kenyan producers face in responding to a more open trading regime are largely domestically-generated and reflect poor governance and weak policy design and implementation. (Kate Bird (PPPG))
- Since the early 1990s, Uganda has stood out amongst African countries, with liberalised trade policies, significant economic growth and reductions in poverty. Research has concluded that trade policy is not an effective instrument to target the benefits of growth to the poor. The poor tend to be marginalised from activities associated with international trade, and are the least likely to derive direct benefits from trade expansion. Whilst export growth contributed to broader economic growth, which in turn contributed to poverty reduction, there were few direct links from trade to the poor. (Oliver Morrissey)
- In Malawi, the poor are geographically dispersed, unorganised and badly represented by existing civil society organisations. It is therefore difficult to integrate them into trade policy-making processes. As in Kenya, the impact of economic and trade reforms on economic performance and poverty in Malawi has not been studied empirically and the country lacks analytical capacity in government policy-making ministries and departments. Sustainable poverty reduction will require identification and promotion of sectors and sub-sectors with a potential to create mass employment opportunities for the poor and unskilled labour force. (Ephraim Chirwa, Sheila Page)
- Tanzania is a striking case of a country where the potential for trade-based economic growth, with strong poverty-reducing effects, is large but mostly unrealised. Poverty reduction during the 1990s has been insignificant outside the capital. Agricultural exports in which Tanzania retains a comparative advantage could have made a substantial difference but performed abysmally in comparative terms. The trade-poverty linkages study for Tanzania explored some of the reasons for this state of affairs as a contribution to the current PRSP revision process. Incomplete liberalisation, weak sectoral institutions and inadequate infrastructural investments appear the principal culprits, along with the exchange-rate effects of inflows on account of mining, tourism and aid. (David Booth (PPPG))
- Analysis of the WTO's Doha Round proposals, with case studies of Brazil, India, Vietnam, and Zambia, indicates that the positive or negative market effects of any agreement will be small in most countries, even if a settlement is reached. Whether any national income gain from trade is then transmitted into poverty reduction depends crucially on national policies (Trade negotiations: Sheila Page; negotiating outcomes and poverty: Tim Conway (PPPG); Brazil: Zuleika Arashiro, David Waldenberg; India: Veena Jha; Vietnam: Nguyen Thang; Zambia: Sajeev Nair)

# Rural Policy and Governance

This new ODI group is the result of merging the Rural Policy and Environment Group with the Forest Policy and Environment Group. During the year a strategic planning process identified the major intellectual challenges for the new group as better understanding of pro-poor growth, getting rural poverty reduction through the productive sectors better incorporated in Poverty Reduction Strategies, and the governance of natural resources.

These global themes build on the continued micro- and meso-level work of the group's programmes in livelihood diversification, agricultural technology, research and extension, food security, pro-poor tourism, the development of better commodity, finance and labour market opportunities for poor people, and the management of natural resources – bio-diversity, water – both large and small scale, forests and associated common property resources. The implications of HIV/AIDS emerged as a cross cutting theme; and the development of social protection and other mechanisms to include the poorest as beneficiaries of development was also a growing focus.

## Pro-poor growth and rural livelihoods

The group continued to investigate and highlight policies and interventions which could help make economic growth benefit the poor.



Tourism Awareness Campaign initiated by Department for Environmental Affairs and Tourism / South African Tourism and aimed at South African residents (© Dorothea Meyer)

## Pro-poor Tourism

• Can business be 'pro-poor'? An innovative project in South Africa is exploring this together with Moboza Tourism projects and mainstream tour operators including Sun City Resort and Southern Sun Hotels, focusing on what business can do beyond transferring share ownership to black South Africans and local philanthropy. Developing business partnerships with local suppliers of goods and services, and with local tourism operators (e.g. township tours, bed and breakfasts). More generally, the

Pro-poor Tourism website run by ODI, IIED and the International Centre for Responsible Tourism (ICRT), continues to support the strengthening poverty focus of international tourism, exemplified by the Sustainable Tourism and Poverty Elimination programme of the World Tourism Organisation. (Caroline Ashley and Dorothea Meyer)

## Inclusion in markets

• Ways in which Indian markets are failing the rural poor were highlighted by ODI's Livelihood Options study: interlocked markets and indebtedness prevent poor farmers from entering potentially beneficial new market arrangements such as contract farming and commodity chains; labour markets are segmented on the basis of social status or gender, and are also interlocked in ways which are disadvantageous to labourers. Migration can offer ways out of interlocked markets, but policy does not recognise people on the move. There is a substantial policy agenda in health, education, shelter, transport, and access to subsidised food for migrants, and a video made as part of the study helped to bring these issues home to the Governments of Andhra Pradesh and India (Priya Deshingkar, John Farrington, Craig Johnson and Daniel Start). These issues can also be dealt with at a project level, as shown by the West India Rainfed Farming Project, where Andrew Shepherd continued to assist the development of a Migrant Support Programme, along with David Mosse. (SOAS)

## Commodity markets

• The commercialisation of non-timber forest products in Mexico and Bolivia drew attention to the significance of key entrepreneurs in driving success along the value chain. Contrary to the common reaction of hostility to monopolistic individuals, this work has tried to understand how the activity of businesses can be supported to help spread successful commercialisation. (Kate Schreckenber and Dirk Willem te Velde (IEDG)).

## Rural Policy and Governance Group

Andrew Shepherd	Group Coordinator	Rachel Slater	Research Fellow	Adrian Wells	Research Officer
Caroline Ashley	Research Fellow	Robert Tripp	Research Fellow	Gill Shepherd	Senior Research Associate
Neil Bird	Research Fellow	Steve Wiggins	Research Fellow	Craig Johnson*	Research Associate
David Brown	Research Fellow	Dirk Bezemer	Research Officer	Peter Newborne	Research Associate
Elizabeth Cromwell	Research Fellow	Robert Chapman	Research Officer	Daniel Start	Research Associate
Priya Deshingkar	Research Fellow	Sylvie Cordier*	Research Officer	Alana Coyle	Group Administrator / AgREN
John Farrington	Research Fellow	Sophie Evitt	Research Officer	Fiona Drysdale	Project Administrator
John Howell	Research Fellow	Cecilia Luttrell	Research Officer	Leah Goldberg	Project Administrator
Alan Nicol	Research Fellow	Dorothea Meyer	Research Officer	Marialivia Iotti	Project Administrator
Kate Schreckenber	Research Fellow	Tom Slaymaker	Research Officer	Zoë Parr	Project Administrator

\*left during the year

## Policy brief

# Rural India learns new ways to earn its living

John Farrington and Priya Deshingkar

Playing a word association game with 'rural India' typically generates images of 'tradition', 'poverty', 'caste hierarchy' and 'stagnation'. Such associations remain partly valid, but things are changing. Traditional occupations such as potter and weaver are in decline, with negative implications for livelihoods. Other changes are more positive: India has become self-sufficient in major foods, rural poverty is declining, albeit slowly, and new options for earning a living are being generated in areas where agriculture has become more dynamic.

With the support of the Department for International Development, the Livelihood Options study surveyed some 720 households of different castes and classes over a full year in 12 villages in two contrasting states of India – Andhra Pradesh and Madhya Pradesh – to identify how rural livelihoods are changing and how policy measures might best support them. The divide between the urban 'feelgood' factor and rural poverty much debated in the recent national elections was in strong evidence. But more insidious at both state and central levels was the creeping paralysis rooted in fiscal crisis: India's deficit is approaching 10 per cent of GDP and is among the highest in the world. In many sectors, there is only just enough money to pay public sector employees, let alone finance operating costs.

The impending financial crisis makes it doubtful whether the new government can meet its election promises to maintain agricultural subsidies, which in any case are geared mainly towards wealthier farmers in wealthier states. These amount to some 3 per cent of GDP, with around the same again paid in other transfers for poverty reduction and rural development. Fiscal crisis increases the pressure to make these transfers more efficient. The Indian government's own studies have questioned the cost-effectiveness of many types of transfer.

Against this background, the Livelihood Options study makes a radical proposal for reaching the poor through social pensions, using funds switched from less effective transfer schemes. The argument here is that the rural elderly are disproportionately represented among

the poorest and cannot fully engage in economic activity. Relatively non-corrupt channels exist by which pensions can be paid – the post offices and banks – and some transfer from less effective schemes such as rural housing would allow existing (but underfinanced) pensions provisions to be implemented more fully. It would also release current informal transfers for more productive uses.

One of the major findings of the study is that poor people are adapting to change with little support from government – other than basic transport and communications infrastructure. Three decades ago, there would have been profound dismay if the impending decline of the common lands – through over-exploitation, encroachment by agriculturists and so on – could have been foreseen. They accounted then for around 25 per cent of the incomes of poor segments. Now they account for fewer than 10 per cent. Poor people's survival and accumulation strategies have had to adapt. There has been widespread innovation in agriculture – for example small farmers organising shared irrigation for vegetable production – but not as extensively and fast as it could have been had credit been widely available and research and advisory services more client-oriented.

A more widespread example of adaptation is found in the massive increase in mobility, both for daily commuting and seasonal migration. Rural people are becoming more mobile but official statistics tend not to capture temporary migration and commuting by the poor for work. Roughly 47 per cent of households in Madhya Pradesh and 17 per cent in Andhra Pradesh had at least one member who had worked seasonally either in an urban or another rural area. Both had between 10 and 12 per cent of households with at least one member commuting to a nearby town. On average, seasonal migration contributed 51 per cent to annual income across all households in Madhya Pradesh and 15 per cent in Andhra Pradesh. Commuting



*Diverse products at a village market in Andhra Pradesh*  
(© Deepa Joshi and Suresh Reddy)

contributed 5.5 per cent and 6.5 per cent respectively. Commuting was more marked in villages close to towns, and migration especially marked in the more remote, rain-fed farming villages where local job opportunities were limited. Generally it is not the poorest who migrate – often these are tied to the household through sickness, old age, and high dependency ratios, as well as a lack of confidence and contacts that reduce the risks of migration.

India's government certainly needs to inform itself better about migration, and to take supportive action. But in many cases the agricultural economy will benefit from less government, not more: the dismantling of trade barriers between states needs to be fully implemented, wholesale markets need to be deregulated, and the purchase of forest products other than timber needs to be de-monopolised. Under India's outgoing government, rural reality lagged behind the rhetoric of reform. Few fear that the incoming government will fail to close this gap. But the danger is of slipping back towards the protectionism of the Gandhi years.

[www.livelihoodoptions.info](http://www.livelihoodoptions.info)

## The Agricultural Research and Extension Network (AgREN)

ODI will continue to coordinate the Agricultural Research and Extension Network (AgREN). AgREN has approximately one thousand members and publishes full-length papers and a newsletter twice a year. In addition to its traditional concerns with the methods and technologies of pro-poor agricultural development, AgREN also pays particular attention to the implications of three factors: globalisation, the reform of public service delivery, and rural livelihood diversification.

[www.odi.org.uk/agren/](http://www.odi.org.uk/agren/)



- Further work on value chains in Namibia focused on assessing the capabilities of the key actors, especially communities, to fulfil the various roles required to make the chain work effectively. (Kate Schreckenber)
- Policy makers are often unaware of the multiple dimensions of poverty, its root causes, and the role sustainably managed forests might play in supporting livelihoods. Where, as in Indonesia, the timber industry is powerful, livelihood interests tend to be forgotten. By working at the national level as well as in selected regions, an ODI-led project is focusing on civil society advocacy and policy impact, shared learning between all actors, and the links between the forest sector, the PRSP process and pro-poor governance reforms. (Gill Shepherd and Adrian Wells.)
- Work on commodity markets in southern Africa revealed information asymmetries and problems of trust in the value chain, which limited the opportunities for beneficial change for small producers. Market development involves working with 'wool brokers, and livestock auctioneers as well as producer groups.' (John Howell)

### Livelihood protection and promotion

- The advantages of linking protection with promotion (see ODI Annual Report 2002/3: 20-1) were further addressed in publications on agriculture and social protection, and these ideas were carried into work for the OECD/DAC's Povnet, as well as the development of DFID's approach to social protection (see below). 'Where it stimulates thrift and credit schemes, creates physical assets through employment schemes, and promotes personal insurance, but (cash) transfer payments can also be indirectly growth promoting. Several types of agricultural strategy can both promote growth and reduce risk, including revisions to legislation and regulation, investments in infrastructure and soil and water conservation, innovative types of insurance, and appropriately focused provision of services,



Small ruminants are an important component of the livelihoods strategies of the poor – herdsboy near Multan, Pakistan (© David Brown)

including research and extension! (John Farrington and Rachel Slater)

### Social protection

Work was completed on the first Chronic Poverty Report (see above, page 7, which highlighted the priority of enhancing livelihood security for chronically poor people, putting this ahead of the opportunity and empowerment priorities elaborated in the *World Development Report 2000/1*. Of the world's 1.2 billion absolutely poor people, 300–420 million people were chronically poor at the Millennium. Many were in low income countries experiencing slow economic growth and social progress, but very large numbers were also in the better performing Asian countries, where state supported social protection policies exist or are more of an immediate possibility. The greatest needs are in poorer performing African countries, where imaginative new approaches will be needed, with support from the international community. The international community has still not given this issue the priority and resources it needs. (Andrew Shepherd, Ursula Grant (PPPG), Andy McKay (PPPG))

- DFID's Social Exclusion and Social Protection policy team has been working to define an approach to social protection for DFID. This involved background papers on economic growth, agriculture, HIV/AIDS, basic services, post-conflict reconstruction, gender, rights and financing social protection. (Andrew Shepherd, with Armando Barrientos (Manchester), Rachel Marcus (SCF), John Farrington, Rachel Slater, Elizabeth Cromwell, Cecilia Luttrell, Caroline Moser (PPPG), Laure-Hélène Piron (PPPG), James Darcy (HPG))

- Food for work schemes are a major plank of the social protection offered by governments and donor agencies in many countries. The livelihood Options work in India found these highly prone to corruption and not necessarily more pro-poor than cash transfers. (Priya Deshingkar, John Farrington, Craig Johnson and Daniel Start)

### Food security

- Acute food insecurity is still alarmingly prevalent at the beginning of the 21<sup>st</sup> century, even in countries where economic liberalisation and structural adjustment programmes have been in place for some time. The Forum for Food Security in Southern Africa ([www.odi.org.uk/food-security-forum](http://www.odi.org.uk/food-security-forum)) has analysed the relationship between the two deep food crises since 1990 and the chronic food insecurity to which eight million people in the regional are vulnerable. This project provided a forum

## Policy brief

## Waiting for water

Peter Newborne and Tom Slaymaker



*Every child carries what they are able to – near Kampala, Uganda (© Marialiviva Iotti)*

Water sector development is recognised internationally as being important for poverty reduction. Now that poverty reduction strategy papers (PRSPs) have been drawn up in countries in sub-Saharan Africa, the spotlight of interest has moved to the implementation of the strategies.

Funds in the form of debt relief have been released to governments of Highly Indebted Poor Countries, and other resources have been committed by donors to support the objectives of the PRSP process. The water supply and sanitation objectives reflect, implicitly or explicitly, the new international targets expressed in the Millennium Development Goals, i.e. to halve the number of those living without access to safe drinking water and basic sanitation. If these objectives are to succeed, implementation of the poverty reduction strategies has to be improved considerably.

The challenges of implementing such goals in Africa have been well documented, including the difficulties of transfer of resources to the poor. However, alongside inadequacies in institutional and administrative capability, country case studies in Zambia, Malawi, Tanzania and Uganda, carried out under a joint ODI and WaterAid programme, funded by DFID, point to major disruption and delays in release of money, and evidence of neglect in terms of absence of clear principles and procedures for distributing funds.

The picture which has emerged from these country studies is that objectives

related to water supply and sanitation, as listed and costed in the PRSPs, are often lost or disregarded in the process of national budget preparation and execution.

PRSPs cover a time-frame of three to five years, while budgets are annual. The medium-term priorities in PRSPs need to be reflected by budget provisions and actual expenditure year by year. As analysed by the sectoral studies, organisation and administration of national budgeting processes are weak. The funds for water programmes are simply not flowing through, which means that the results desired at the end of the line will not be achieved.

In Zambia, for example, the mechanics of this funds leakage are that allocations authorised in the budget do not, in many instances, reflect PRSP-expressed objectives. In turn, releases of public funds, from Ministries of Finance to line departments and local government, do not match authorised budget allocations. In Malawi, for example, the position of local government in the process of allocation and release of funds is often weak.

Decentralisation, in administrative terms, may have taken place to some extent in these countries, but in fiscal (and political) terms it is not developed. Ministries competing for funds at the centre are channelling them to their own district agencies.

Even where funds are forthcoming for spending on water-related objectives in the PRSPs, they are not well targeted and not reaching the poor. The particular location of poverty, including water-related poverty, matters even in countries where a majority or substantial minority of the population are poor. In order to address water service gaps in communities where improved WSS facilities are most needed, the final destination of sectoral resources needs to be carefully directed.

This means identifying those who have in the past been habitually excluded and establishing criteria and mechanisms for allocating resources which serve to 'break the mould' of the existing power- and privilege-based channels of distribution. A test of equity devised by WaterAid shows the fairness or otherwise of allocation of water funds. Applied in Uganda and Malawi it revealed that funds

disbursed for water supply and sanitation were currently being spent on already-served communities, instead of those without decent supplies.

This picture of poor targeting of water investment is reinforced by indications that the water sector in many countries is failing to attract and retain public funds from ministries of finance and that this failure is – in part at least – due to existing water strategies being inadequately planned and costed in comparison with other sectors which seem better able to make their case for funds.

If investment plans produced by water departments are not clearly targeted and articulated in terms of how they will reduce poverty, as well as how they will provide value for money, it is natural for finance ministers to feel less inclined to fund them. In the study countries, there is evidence that this weak sectoral planning is encouraging donors to bypass sectoral programmes, and to opt for old-style project-by-project funding, thus further undermining the capacity of the water sector to plan effectively.

The policy implication of all this is that if PRSPs are to help reduce water-related poverty, then the water sector in target countries need to be strengthened. While donor funding of 'off-budget' projects and programmes, as referred to above, runs generally contrary to the philosophy of PRSPs, in the current state of preparedness of the water sector in these countries – at least in three out of the four study countries – budget support seems at present an unattractive proposition – except perhaps where it is specifically directed towards remedying 'system' failures.

Key elements for improved water supply and sanitation are tools for targeting resources accurately and fairly and for checking sustainability and value for money. These, combined with improved coordination within the sector, including better planning and monitoring and evaluation, could end the long wait of the poorest communities for better access to water.

• [www.odi.org.uk/rpeg/wpp](http://www.odi.org.uk/rpeg/wpp)

• [www.wateraid.org/PRSP](http://www.wateraid.org/PRSP)

## Policy brief

# Illegal logging: who gains from tighter controls?

Adrian Wells and David Brown

There is increasing recognition that the conservation and sustainable management of forests depend on a consensus in society over the rules and regulations under which forest goods are processed. However, despite the widespread promotion of forest management plans, timber harvest controls and traditional law enforcement, illegality within the sector remains widespread. This is for a number of reasons. Political instability in many countries has led to frequent changes of governments and institutions with negative effects on the capacity of forest departments and other government agencies that play a role in forest conservation. At the same time, powerful economic groups currently benefit from illegal logging.

Those people living in forest areas are among the poorest groups in society, from the perspective of both social services and general welfare. Illegal timber harvesting harms them directly – by the social disruption it causes – and indirectly – through the deterioration in respect for the law and norms of society. They bear an excessive share of the environmental costs without compensation, while others reap the benefits. Yet, with improved governance, the forest and its timber and non-timber products could be the means of raising these people out of poverty.

Illegal logging has a range of negative impacts and poses a variety of problems. Firstly, there is the question of regulating an industry, often in isolated environments, the high cost base and potentially very high returns of which make it exceptionally prone to illegality. The high value of the product and the technical complexity of sustainable forest management, leads to very restrictive legislation. Where public institutions are

weak the heavy-handed nature of the regulation itself becomes an opportunity for illegality, creating ample opportunities for corrupt practices at all levels – in policy setting, in permit procedures, as well as in field-level monitoring and enforcement.

Forest regulation in many cases thus denies or restricts the tenurial and resource rights of the forest dependent poor, criminalising key aspects of their livelihoods and leaving them in a weak bargaining position with the industry. The costs of regulatory compliance weigh heavily on community-based timber producers, in particular. In many cases, this forces reliance on well-connected traders to facilitate documentation and market entry, with highly inequitable outcomes for the poor.

Recent ODI research has helped unpick these barriers to legality. There is a clear need to reform the regulatory framework of the industry to reduce transaction costs, while at the same time, better targeting institutional corruption. This requires a combination of measures, including strengthening rights in land and resources, including demarcation of indigenous land boundaries, land titling for migrant families, and allocation of secure community concessions with long-term title. There is a need to simplify administrative procedures to enable market entry and increase the returns on legal forest management for small scale producers. It is also necessary to increase transparency and improve data collection and access to information in order to make illegal logging and other forest crimes more difficult to hide.

The growing ecological awareness of many consumer markets for tropical timbers is increasing pressure to improve the management of tropical forests. This includes efforts to certify the legality of timber production, as well as improved monitoring to ensure legal compliance. These represent strong external pressures on timber-producing states to improve their enforcement operations. The forest industry also needs to demonstrate its commitment to credible verification systems to secure its future markets. However, the regulatory environment within producer countries impinges heavily on such initiatives. The basis for proving legality may be weak,

given conflicting jurisdictions and unclear regulation.

Producer-country constituencies for forest-sector monitoring remain small. Initiatives to date are largely the result of external pressure and remain vulnerable to domestic or foreign markets with less stringent sourcing requirements. However, such trade-related initiatives can use market pressure to lever greater transparency and accountability. A recent ODI review of donor-supported initiatives to strengthen forest-sector monitoring highlighted the need to build strong national ownership of and public engagement in monitoring initiatives within producer countries, if they are to secure lasting governance reform.

Experience suggests that, properly constituted and subject to agreed reporting and publication rules, effective verification can be the lever for further gains in governance, and become a motor for broader reform. This is particularly likely where links are made to internationally supported policy processes, such as regional initiatives on forest governance in Africa and East Asia, and also poverty reduction strategies.

The prospects in this area appear encouraging. Producer governments are increasingly aware of their own need for reliable information (and the deficiencies of internally-generated enforcement data), to sustain their own credibility as international actors. Growing differentiation within the forest industry gives those companies that are investing heavily in sustainable forest management an added incentive to both prove their own virtues and to exclude free-riders from the market place.

And, as the international aid environment becomes more narrowly focused on poverty alleviation and the achievement of the millennium development goals, environmental NGOs are under increasing pressure to come to an accommodation with the timber industry, and to channel their interest in positive directions towards the promotion of legitimate enterprise.

- [www.odifpeg.org.uk/activities/environmental\\_governance/](http://www.odifpeg.org.uk/activities/environmental_governance/)
- [www.talaillegal-centroamerica.org/eng\\_index.htm](http://www.talaillegal-centroamerica.org/eng_index.htm)



Taking timber to market, Nicaragua

## Rural Development Forestry Network

A special issue of the Rural Development Forestry Network and the Nepal-based Journal of Forest and Livelihood show-cased recent UK-funded research on community forestry in Nepal. There was a perceived need to move from passive to active management of the resource; significant discussion of the alternative methods for monitoring equity of benefit flows; and recognition that achievement of benefits often relate more to people's ability to work together around other development activities than to originally stated aims of resource conservation and direct livelihood benefits. (Kate Schreckenberg)



for 500 policy makers, researchers, NGOs and the private sector in the region to think strategically about suitable policy options for strengthening food security. Key issues addressed were: the influence of politics on the policy process, the errors underpinning first round economic liberalisation strategies, the need for market interventions in the short term, and more refined thinking about vulnerability and social protection to support immediate food security as well as the transition to market-based development in the longer term. (Elizabeth Cromwell, Steve Wiggins, Rachel Slater)

- A Learning Review (see [www.alnap.org.uk](http://www.alnap.org.uk) for the After Action Review method) of responses to the 2001-3 southern Africa crisis, in the light of lessons from responses to the 1991-2 crisis, revealed the importance of information, the operational context of the response, and the incentives created by a donor's internal systems as critical to the response. (Elizabeth Cromwell, Steve Wiggins, Ed Clay (IEDG), Rachel Slater, Paul Harvey (HPG))

- The Green Revolution in Bangladesh, by contrast, was combined with strategic interventions in grain markets to support farm prices and prevent consumer price inflation, and liberalised grain trading, and this combination has achieved all year round rice availability at modest, reasonably stable prices. Malnutrition remains, despite public works and direct provision of food by government to the poorest who cannot work. Policy makers have focused overwhelmingly on making food available. Access to food by the poorest, and having the health to make use of available food are issues which policy makers need to focus on now. (Steve Wiggins)

### Reaching the Poorest

- Based on the synthesis work for the Chronic Poverty Report, a collection of papers were produced for DFID's Reaching the Poorest policy team on approaches to including the poorest in development programming. This included an overview paper, as well as

papers on aid instruments, PSIA, services, conflict management, pro-poor growth, and politics. (Andrew Shepherd, Dirk Bezemer, Ursula Grant (PPPG), Kate Bird (PPPG), Andy McKay (PPPG), and the University of Manchester)

## Sustainable development and poverty reduction

### Intellectual property rights and local seed industries in developing countries

- WTO trade related intellectual property rights (TRIPs) have led to new IPR regimes and the patenting of biotechnology. Work is underway in China, India, Kenya, Uganda, and Colombia to understand the influence of these regimes on the development of local seed industries, the priorities and funding of agricultural research, and farmers' access to useful technology. (Rob Tripp, with University of Wageningen)

### Scaling up on-farm bio-diversity conservation

- A review of international practice on the ground found that grassroots on-farm conservation should follow an integrated approach providing a range of incentives and services not solely focused on conservation techniques: market channels and market based incentives; establishing effective working relationships, often with groups of farmers; developing institutional linkages which benefit all stakeholders; keeping funding chains short and off-setting net costs through fees, levies or consultancy charges; and finding ways of off-loading the considerable costs of economic integration (transport, market chains for inputs and outputs) - though the latter was thought possibly unfeasible in the current economic climate in eastern and southern Africa. (Elizabeth Cromwell)

### Bushmeat

- Research into 'wild meat, livelihood security and conservation in the tropics' has demonstrated the importance of wild meat in the livelihoods of the poor, and hence the need for conservation strategies to recognise these livelihood

values if they are to be both just and practical. This project places great emphasis on the dissemination of these ideas through Wildlife Policy Briefings and an interactive project website - [www.odi-bushmeat.org](http://www.odi-bushmeat.org) (David Brown and Cecilia Luttrell)

## Natural resource management systems

- Work in Ghana, with the University of Ghana, on developing a participatory, decentralised process of natural resource management based on local consensus building, and evidence based decentralised planning, is using anthropological and GIS techniques to change attitudes. Natural resource policy is beginning to be seen more as a means to enhance sustainable development for the betterment of the locality than merely to enforce regulations and authority. Youth are coming together to promote their livelihood concerns and challenge their marginalisation in policy circles. New understandings are emerging about deforestation, land degradation, and fallow regeneration, which are being fed into national policy debates. (David Brown)

- A contribution to the World Bank led multi-donor reform of land administration in Ghana was also made, with IIED. (David Brown)

## Water and livelihood security

- How can sustainable livelihoods and livelihood security be incorporated into demand-responsive approaches to water supply and sanitation. Case studies in Sri Lanka and India examined the challenge of identifying and understanding demand in complex, dynamic livelihoods systems. The project sought to build improved understanding into a decision



Andhra Pradesh  
(© Deepa Joshi and Suresh Reddy)

support tool for policy makers and practitioners. (Alan Nicol and Tom Slaymaker)

- In India a further study of the community management of groundwater resources highlighted the challenges of moving from a supply based, resource focused understanding of management to one of managing patterns of demand through focusing on the livelihoods usage of the resource. (Alan Nicol, Tom Slaymaker)
- In the Palestine's West Bank and Gaza a multi-method study revealed the significance of small water sources for local livelihoods under conditions of Israeli closure and forced abandonment of alternative income sources. However, analysis of the institutional context indicated a disjunction between national institutional development and local resource governance. Overall the challenge is to build on local resource management to aid the transition from social and economic survival to long term economic growth. (Alan Nicol)

### Low external input agriculture

- To what extent have low external input agriculture technologies been diffused, modified or abandoned, or led to other innovations? What has been the role of human and social capital. Fieldwork has focused on soil regeneration in Honduras, farmer field schools for integrated pest management and soil fertility management in Sri Lanka, and soil protection in Kenya. (Rob Tripp)

## Governance and rights

### Forest governance

- Forest governance continues to be a strong focus of ODI's work. Support has been provided to DFID's forestry programmes in Cameroun, Ghana and South Africa, working with national forest departments as they move towards multi-stakeholder forest management. (Neil Bird)

### Independent monitoring of illegal logging

- In order to improve the effectiveness of national controls over illegal logging, donors have recently supported independent monitoring in a number of tropical countries. A review of this work in Cambodia, Cameroun, Indonesia and elsewhere highlighted the measures to achieve maximum national ownership of monitoring; and the institutional and reporting requirements for accountability and transparency. It argues that independent monitoring activities need to vary in the different operating environments. (David Brown)

### Sharing the Nile Waters

- Support to the Eastern Nile Technical Regional Office in Addis Ababa has focused on a key emerging issue: how to manage transitions from cooperative political agendas based on short term 'buy-in' to a more developmental agenda where the political stakes are longer term and the process of agreement inherently more complex. Central to this is the nature of benefit sharing between states, and how this can be built into regional socio-economic integration. (Alan Nicol)

### HIV/AIDS

- Cross-ODI work on HIV/AIDS has led to two pieces of work relating the epidemic to livelihoods issues. UNAIDS commissioned a scenario building exercise on the impact of HIV/AIDS on African food and farming systems by 2025. Slower economic growth, due to losses of labour and labour productivity and diversion of investment to pay for care, and reduced public expenditure will mean less demand for farm products, less support from government, depressed farm output, and higher levels of poverty. (Steve Wiggins, with Ed Anderson (PPPG) and others.)
- The implications of high HIV/AIDS prevalence for social protection policies were also explored, as part of the background for the development of a DFID policy paper on Social Protection (see above).



Drawing from an orphanage in Bandawe, Malawi (© Laure-Hélène Piron)

## Policy brief

### Elizabeth Cromwell

The Southern Africa humanitarian crisis that came to international attention in 2002 stemmed from an expansion of existing chronic food insecurity rather than a sudden disaster. In this, it offers useful lessons for how to manage such crises, which are increasingly part of the scene in other regions such as the Horn of Africa.

In the 1980s, everyone talked of 'food security'; economic liberalisation was the new development paradigm. Prevention of future food crises depended, it was held, on early warning systems, disaster preparedness, strategic grain reserves, intra-regional cooperation, and could be helped by implementation of the domestic and trade measures that had become known as the Washington Consensus. The belief was that such a framework would ensure the four key components of food security: availability, access, utilisation, and stability.

Indeed, in 1991-2 Southern Africa averted widespread acute food insecurity - despite a 65 per cent harvest shortfall. However, into the new Millennium, an estimated 16 million people in the region are permanently vulnerable to food insecurity, come rain come shine. To understand the difference we have to examine the major policy failures of governments and development partners.

**Human vulnerability** arises from the inability to cope with natural, economic or social risks, and is usually defined in terms of inadequate assets. Today, an estimated 8 million people in Southern Africa (15 per cent of the population) are vulnerable to chronic food insecurity, and the same number again are vulnerable to transitory food insecurity. Policy, while concentrating on food *availability* has placed insufficient emphasis on *access* to food. The complex relationship between livelihood strategies and human vulnerability has also been poorly understood: until recently, most early warning systems in the region were based only on crop estimates.

HIV/AIDS is a significant cause of human vulnerability in the region and

## Food security: what have we learned from the Southern Africa crisis?

continues to undermine human capacity, from individual livelihood strategies to public sector service delivery. More than 30 per cent of adults are now infected in a number of countries and the epidemic has not yet peaked. But it is not the only significant cause. Decades of economic underachievement and poor service delivery, interspersed with shocks such as the 1991–2 drought, stretched many households' coping strategies to breaking point. And there is increasing recognition that social exclusion and other political failures also increase vulnerability.

The development model that believed **economic liberalisation** would bring immediate benefits, significantly underestimated the 'low-level equilibrium trap'. In other words, the historic lack of market opportunities, resources to invest, reasonable returns on investment and acceptable risks, impose powerful limitations on private sector activity.

Not uniquely to Southern Africa, failures in policy design have been far outweighed by failures in **policy implementation** at national and sub-national level: substantial policy documents gather dust on Ministry shelves and are subject to expensive reviews and revisions before they even see the light of day. The current nature of the policy process is the problem, as it can easily be co-opted or by-passed.

The deterioration in **regional integration** between the 1991–2 and 2002 crises has been marked. In 1991–2, various institutions of the Southern Africa Development Community acted as conduits for information flow on needs assessments, maize procurement, and transport capacity, and in smoothing cross-border controls. By 2002, disagreements concerning replenishment of Community funding had paralysed key institutions and there has been little progress with other areas of regional integration. Given the various barriers to participation in international markets and the potential for much greater cross-border trade in food, this is a missed opportunity.

There are three main lessons.

Firstly, **market-based economic development** will not thrive in the region by the efforts of the private sector alone. Specific policy incentives which encourage NGOs and community-based organisations to mediate and support input, output, finance and credit markets are needed. In the short to medium term, until self-sustaining growth takes hold,

economic strategies have to include market intervention to stabilise food availability and prices. New models for grain reserves and food price stabilisation are urgently required.

Social protection policies tailor-made for the specific needs of different categories of vulnerable people are also needed. What works for rural maize producers in Southern Malawi will not work and may actually be harmful for rural households in Lesotho whose livelihood decisions centre more on what is happening across the border. Furthermore, broader economic policies need to take social protection objectives better into account.

Secondly, the **relationship between development partners** needs to change. The \$30–40 government spending per head in the countries of Southern Africa is equivalent to a high proportion of the annual income of much of the population living below local poverty lines. Over the past decade, this expenditure has contributed little towards achieving the Millennium Development Goals in the region. True, globalisation and HIV/AIDS have had a major negative impact but development partners could institute some changes such as the following with immediate positive effect:

- Greater focus on results-based management – specifically, greater use of hard evidence in identifying



Family maize stock in Musenge village, Zimbabwe (© IFAD/H. Wagner)

policy priorities and monitoring outcomes

- Encouraging competitive politics (and making greater use of civil society to do so)
- Developing more consistent donor relationships and recognising the impact – especially political – of some policies

Thirdly, there are lessons for **international humanitarian assistance**. There is only a limited role for internationally procured food aid in situations of chronic food insecurity and other forms of assistance such as cash transfers are often more appropriate, because of the need to improve food access as much as food availability. Regional sourcing of food aid (e.g. for school feeding, hospital rations) is more effective.

Each of these areas of action is vital: none can be postponed. Food security has to become an objective of fiscal policy and a priority for public spending. This requires changes in the relationships between development partners and the maintenance of aid flows to support these priorities. Will Southern Africa's development partners take up the challenge in the coming round of poverty reduction strategy reviews throughout the region?

[www.odi.org.uk/food-security-forum](http://www.odi.org.uk/food-security-forum)

# Humanitarian Policy

The Humanitarian Policy Group is one of the world's leading teams of policy researchers and information professionals working on humanitarian policy issues. It aims to inspire and inform effective and principled humanitarian action by conducting policy relevant research and by promoting informed debate on humanitarian issues.

## Humanitarian Policy Research

### *Law, principles and the responsibility to protect*

- A core principle of humanitarian action is impartiality, that humanitarian assistance should be allocated in proportion to need, and not by virtue of the political, racial, ethnic or other discriminating characteristic of any particular group. Those responsible for operationalising this principle have challenges in both defining and measuring need, and then in ensuring that global humanitarian assistance is allocated accordingly. A major ODI study recommended that the process of assessment should be de-linked from the resource mobilisation process, by which it is skewed; and that far greater emphasis should be placed on specifying problems more precisely, using the combined evidence of actual outcomes (mortality, morbidity) and key risk indicators. This HPG report has been influential in informing policy thinking in a range of different organisations across the sector. (James Darcy, Charles-Antoine Hofmann, Adele Harmer)

- The question of how to protect civilians and refugees from harm during conflict is a matter of growing debate internationally, both in the humanitarian sector and in political spheres. The practice of states and warring parties in recent years has tended to render civilian populations increasingly vulnerable, to the point where they may be the direct targets of military strategy or counter-insurgency policies. External mechanisms for protecting civilians, such as those provided by the ICRC and UNHCR, are under increasing strain. While certain categories of people are recognised in law as 'protected persons', the relevance of these protective legal regimes is questioned, and political and security factors have diminished the

space within which the mandated protection agencies are able to operate. HPG is examining the role of humanitarian organisations in the protection of civilians, and how they relate to other political and military actors nationally and internationally. It considers questions about perceptions of security; tensions between national security and human security agendas; and differences of perspective between human rights and humanitarian actors. (James Darcy, Frances Stevenson)

- Human rights and humanitarian actors are taken to be working to substantially the same ends in many conflict-affected environments, that is the protection of civilians of violence and the upholding of international humanitarian law. In recent years, many aid agencies have also adopted 'rights-based approaches' to their work. This project has sought to examine how humanitarian action can be understood as being 'rights-based', and what are the operational implications of linking the humanitarian agenda more tightly with that of human rights. (James Darcy)

### *The evolving architecture of humanitarian action*

- In June 2003, HPG provided technical support to an inter-governmental conference on principles of 'Good Humanitarian Donorship (GHD)'. The meeting established for the first time agreement that official humanitarian assistance constitutes a 'special case' of development cooperation, both in terms of the principles according to which funds should be allocated and managed, and in terms of aid instrumentation. An implementation group is responsible for identifying ways in which the initiative will be progressed through multilateral fora (such as the OECD DAC) and bilaterally. Related to this, HPG supported the informal meeting of the EU Humanitarian Aid Committee, convened in Dublin in March 2004 by the Government of Ireland during its Presidency. The meeting brought together the heads of emergency aid departments from all member states and, for the first time, of accession states, to examine how the GHD agenda might



Zaire/Rwanda: Goma, near Mugunga camp. Exodus of Rwandan refugees from Katala camp, November 1996 (© CICR/HURST, Thomas)

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Frances Stevenson	HPN Coordinator	Alison Prescott	Events and Membership Administrator
Lin Cotterrell	Research Officer	Julie Bygraves*	Project Administrator

\* Left during the year

## Disasters: the journal of disaster studies, policy and management

The journal continues to attract high quality submissions and subscriptions to *Disasters* have continued to grow. Readership of online articles increased by 34% in 2003, with 16,744 articles downloaded. As usual the Journal covered a broad range of disaster related issues, including both developed and developing world agendas. Just a few examples of the issues covered gives an idea of the breadth of issues; oil spills in Galicia, flooding in Manila, mortality in Congo, seed markets after Hurricane Mitch, the use of military rations as relief supplies and civil society following the Kobe earthquake. Several articles reflected on the implications for disaster management of the September 11 attacks in the US. There were also articles on HIV/AIDS; focusing on infant feeding in complex emergencies and prevention in refugee settings. Two articles examined ethical considerations for research in humanitarian emergencies and in refugee research.

best be progressed in Europe. During this period, HPG also contributed to a wider ODI study for JBIC of trends in international aid policy, focusing in particular on the lessons that might be drawn from humanitarian policy development in the UK and in Europe. (Joanna Macrae, Adele Harmer)

- Each year, HPG produces a review of key trends within the humanitarian sector. The 2003/4 review, to be published in June 2004, focuses on how debates have progressed in recent years from a concern to 'link' relief and developmental forms of aid, to a much more wide ranging discussion regarding the links between aid and security on the one hand, and the need to provide more sustained welfare safety nets and social protection in 'poorly performing' countries on the other. The report concludes that there is likely to be a significant expansion in the volume of aid spent in these difficult environments. While there remain important and legitimate differences between the goals and *modus operandi* of humanitarian and developmental actors, there is also growing convergence including the MDGs, rights-based approaches and human security. There is a need for greater cross-learning across the relief-development divide about the application of these concepts, and for building consensus about how to navigate the complex politics at play in these difficult environments. (Joanna Macrae and Adele Harmer)

## Humanitarian programming: enhancing operational response

- What are the implications of HIV/AIDS for our understanding of crisis and humanitarian aid? Taking the ongoing crisis in southern Africa as the main focus, research was conducted in Malawi, Zambia, Zimbabwe and South Africa to examine the contribution of HIV/AIDS to the crisis and the way in which the epidemic was being taken into account in the emergency response. The report concluded that HIV/AIDS presents a major challenge to the humanitarian community. As well as a crisis in its own right, HIV/AIDS deepens the vulnerability of large numbers of people to other forms of natural and political shocks and threats. At present, the humanitarian community remains weakly equipped to analyse the implications of HIV/AIDS in terms of disaster preparedness and response. HIV/AIDS, in common with other forms of protracted crises, challenges traditional relief-development aid distinctions, and demands responses across the aid community, particularly in terms of the establishment of long-term safety nets, and increased access to health services. (Paul Harvey)

- Humanitarian agencies are under increasing pressure to prove that they are exerting a positive impact in terms of core outcomes. This pressure arises from donors, the public and from within agencies themselves concerned to deepen their accountability, to demonstrate delivery against targets and to promote evidence-based approaches to resources. HPG has reviewed current approaches to the analysis and measurement of impact in the humanitarian arena. Given the complexity of the operating environment



A Liberian government soldier poses with a machine gun, Monrovia, June 2003 (©REUTERS/Luc Gnago, courtesy www.alertnet.org)

and the multiplicity of factors that determine key humanitarian outcomes, precise measurement of the impact of humanitarian aid remains difficult. It will be important, therefore, for donors and others to be realistic in setting requirements for impact measurement from their partners. Despite the constraints, the report argues that it is possible to measure impact in some circumstances using quantifiable and scientific methods, as well as more participatory ones. (Charles-Antoine Hofmann, Paul Harvey)

- The role of agricultural rehabilitation is changing: with relief being linked to development and support to rural livelihoods. HPG, in collaboration with ICRISAT, aims to review the state of the art in approaches to agricultural rehabilitation. Drawing both on an extensive review of a growing literature, and case studies in Sierra Leone and Afghanistan, the study has identified a growing convergence in thinking between developmental and humanitarian actors working in situations of chronic crisis. In particular there is growing consensus regarding the need to support livelihoods and to invest in social protection. The study cautions, however, that innovations in conceptual thinking have outpaced programmatic

## Humanitarian Practice Network (HPN)

HPN is a unique forum in which humanitarian practitioners and policy makers can share and disseminate information, ideas, analysis and experience. With an estimated readership of over 10,000 in 80 countries, and across 400 organisations, HPN through its distinctive and comprehensive range of publications enables the humanitarian community to follow key humanitarian policy debates, keep up to date on core technical issues and document emerging field practice. In 2003/4, issues covered by HPN have ranged from the continuing importance of neutrality, commemoration of the 10th anniversary of the genocide in Rwanda, and a definitive review of good practice in disaster mitigation and preparedness. (Frances Stevenson, Matthew Foley)



[www.odihpn.org](http://www.odihpn.org)

## Policy brief

## How humanitarianism is changing

Joanna Macrae

Humanitarian action is both misunderstood and contentious. The lack of clarity and consensus regarding its purpose and principles has direct, and sometimes tragic, operational implications.

Historically, action to relieve suffering and save lives in conflict rested upon a 'deal' between organisations such as the Red Cross and Red Crescent and belligerents. In essence, those who wished to intervene claimed the right to assist those affected by the conflict; in return, they undertook that their interventions would not confer military advantage to either side.

The basic values and principles for humanitarian aid agencies are set out in a Code Of Conduct agreed between leading non-governmental humanitarian agencies. This stresses the primacy of the 'humanitarian imperative', and the duty to act impartially, without regard to race, creed and nationality or any adverse distinction. It also emphasises the independence of humanitarian actors from political agendas. In order to be effective, the deal has required that all sides understand it, and have an incentive to abide by it.

The principles of humanitarian action have come under increased strain as its boundaries with development, diplomacy and defence have blurred. Policy coherence is important; but once humanitarian action ceases to be seen as distinct, then the deal that binds those intervening and belligerents risks being weakened. In short, the security of humanitarian operations and access to affected populations is compromised.

### Humanitarianism and development

The respective roles of humanitarian action and of development may converge, but they are distinct. The nature of this distinction is not always understood within the broader aid community. For example many people associate humanitarian aid simply with the logistical supply of truckloads of food, a necessary but inherently unsustainable means of enabling people to cope with what is sometimes seen as a temporary interruption to development.

Greater awareness of the protracted and repeated nature of many crises challenges the idea of relief as a temporary palliative. Populations from Afghanistan to Zimbabwe face sustained threats to their lives and livelihoods lasting years or even decades, from disease (including HIV/AIDS), violence and political instability. Relief, while important, is not enough: sustained efforts to provide a social safety net and social protection are required.

We have explored these issues in greater depth through our work on HIV/AIDS and agricultural rehabilitation and our contribution to the ODI-wide study on aid in so-called 'poorly performing' countries.



What all such work highlights is the increasing convergence between the humanitarian and development communities in their analysis of the causes and political dimensions of vulnerability. HPG's Network Paper on

livelihoods and protection in Somalia is one example of how this interface is being explored, and its very practical programming implications.

However, there are legitimate differences between the objectives and operating principles of the humanitarian and developmental communities. In particular, while the former is concerned with the short-term goal of saving lives, the latter is concerned with policies that make lives and livelihoods sustainable in the longer term. The two fields work to different rules in their relations with states, the first often seeing the state as a key part of the problem, the second seeing it as a critical partner.

These differences raise dilemmas over the management of resources and competing priorities. Sustained progress will depend on achieving greater mutual understanding across the development and humanitarian communities of the function and limits of different models of intervention.

### Humanitarianism and security

There have been increasing linkages between humanitarianism and security. After years at the margins of international affairs, the past decade has seen humanitarianism thrust to the fore. The idea of 'humanitarian intervention' - the international use of military force in order to address or prevent violations of human rights - has become more common.

The term 'humanitarian war' was used in Kosovo in 1999. While counter-terrorism provided the primary rationale

for international intervention in Iraq and Afghanistan, the overthrow of Saddam Hussein and of the Taliban regime has also been justified by an appeal to human rights and the humanitarian imperative. In this context, humanitarianism has become tightly linked with international security.

Defining the interface between humanitarian action and diplomatic and security concerns is not easy but drawing on case studies, including Afghanistan, HPG is seeking to provide a basis from which to promote a dialogue between these different interests



Medical supplies being unloaded from a Belgian air force plane at Baghdad's airport, May 2003  
(© REUTERS/Kieran Doherty, courtesy www.alertnet.org)

on the division of labour in the field of protection.

## Defining the 'brand'

Within the humanitarian community itself, what constitutes humanitarian action, and how it should relate to development, diplomacy and defence has also become contested and confused. As the number of organisations engaged in the delivery of humanitarian assistance has proliferated, so too have the interpretations of humanitarianism and the rules that should govern it.

HPN is a key forum for debate on these issues. In the aftermath of the bombing of the UN compound in Baghdad in August 2003, the group worked with partners at the Feinstein Famine Center, Tufts University, to input into roundtable discussions in London and Geneva to review the implications for humanitarian action more broadly.

The idea of humanitarianism has evolved over the past decades. It has become more familiar to many on the international stage, with many of its principles and values increasingly informing the actions of other aid, diplomatic and even security actors. But by becoming many things to many people, its identity has become confused and contested.

Clear communications about the strengths and limitations of humanitarian values, principles and operating modes has been critical to the success of the humanitarian project, and will remain so.

- [www.ifrc.org/publicat/conduct](http://www.ifrc.org/publicat/conduct)
- [www.ifrc.org/what/values/principles](http://www.ifrc.org/what/values/principles)

innovation, and much remains to be done in operationalising new approaches. In particular, there is a need to examine how best to navigate the complex politics inherent in these environments. (Kate Longley)

## 'Rapid Reaction'

- Drawing on the resources of HPN and the HPG research team, this project aimed to identify key issues facing policy makers and operational personnel in major emerging crises, identify key lessons from previous crises and provide

a neutral platform for debate. During the year, the Group produced two *HPG Briefing Notes* examining the issues arising with regard to humanitarian crises in Iraq and Ituri. Widely circulated through email and key websites, these Briefing Notes, together with specially convened meetings and roundtables provided timely and accessible information to specialist and non-specialist audiences alike. (All HPG research staff)

## Active Learning Network for Accountability and Performance (ALNAP)

ALNAP aims to improve the quality and accountability of humanitarian assistance programmes by fostering a culture of learning in the humanitarian sector. The Network is hosted by ODI and currently consists of 51 Full Member organisations and individuals in the humanitarian sector (who fund ALNAP) and around 380 Observer Members. Strategy is determined by an eight member Steering Committee.

- **ALNAP Annual Review 2003** featured a themed chapter on monitoring in addition to its usual evaluation synthesis and meta-evaluation sections. The synthesis included a set of completed reports made available to ALNAP in 2002, comprising 49 individual evaluation reports and six synthesis reports commissioned to evaluate humanitarian action in 21 countries. The meta-evaluation was based on 39 evaluative reports and rated against an improved ALNAP Quality Proforma.

'Successive meetings by ALNAP since its founding in 1997 have served as something of a barometer of the growth and maturity of the humanitarian sector.' (From *The Humanitarian and War Project, Status Report #43, November 2003, p 4.*)

- **ALNAP Website.** Traffic to [www.alnap.org](http://www.alnap.org) increased by approximately 45% in comparison with the same period in the preceding year. The ALNAP Guidance Booklet on Humanitarian Protection has proved to be the most popular download on site so far in 2004.
- **ALNAP Evaluative Reports Database (ERD).** The ERD represents the most comprehensive library of evaluative reports for the humanitarian sector. 76 new records were added to the ERD last year.

- **Biannual Meetings.** These provide a sector-wide standing forum for the identification and dissemination of good practice and allow key players in the humanitarian sector the chance to share experiences. The May 2003 meeting was held in London and focused on how to operationalise the ALNAP Vision. The October 2003 meeting was hosted by the Tufts University, Boston, USA and focused on the issue of protection.
- **ALNAP's Global Study on Consultation and Participation of Disaster Affected Populations:** findings from field studies in Angola, Sri Lanka, Colombia, Afghanistan and Eastern DRC were published in a monograph series, together with a Draft Practitioners' Handbook that is currently being piloted.



- **ALNAP Guidance Booklets** on Humanitarian Protection and Evaluating Humanitarian Action are both available in draft form and are currently being piloted in several different humanitarian emergency situations.
- **Training modules** on evaluation of humanitarian action were updated and are available from the website.

### ALNAP Staff

John Mitchell: *Coordinator*

Gabriele Russo: *Deputy Coordinator*

Sera Orzel:\* *Network Officer*

John Lakeman: *Database & Website Manager*

Colin Hadkiss: *Administrative Support Officer*

\* Left during the year

ODI's public affairs and communications programme works through different media to reach policymakers and to contribute to wider public debate on development and humanitarian policy in the UK and internationally.

The ODI website continues to play a key role in ODI's communications and public affairs programme. Visitor numbers rose steadily throughout the year, exceeding 3,500 per day by April 2004, with more than two million hits per month, a 30% increase compared with April 2003.

## ODI Website

The ODI website continues to play a key role in ODI's communications and public affairs programme. Visitor numbers rose steadily throughout the year, exceeding 3,500 per day by April 2004, with more than two million hits per month, a 30% increase compared with April 2003.

A major attraction of the website is the very wide range of new material available from the site in full text, free of charge. More than 44,000 copies of Working Papers, Briefing Papers, Natural Resource Perspectives and other documents are downloaded each month by visitors from across the world.

The home page is updated several times a week, featuring details of current meetings and events, the latest publications, and other ODI news, with links across the site. New features this year have included full audio for meetings, the ODI *Opinions* page, and a discussion board. With more than 7,000 pages and hundreds of downloadable files, managing the website is becoming increasingly challenging. A comprehensive redesign of the operation and appearance of the website using content management technology is now in preparation, in association with ODI's new Partnership Programme Agreement with DFID. This will make it easier for visitors to access the entire range of ODI's output, with considerably improved search facilities. It will also simplify the management of the website enabling us to post material more quickly.

ODI also hosts websites in association with other organisations, including:

- [www.keysheets.org](http://www.keysheets.org)
- [www.prspsynthesis.org](http://www.prspsynthesis.org)
- [www.propoortourism.org.uk](http://www.propoortourism.org.uk)
- [www.securewater.org](http://www.securewater.org)
- [www.alnap.org](http://www.alnap.org)

## Publications

Every year ODI publishes extensively in print. Although we continue to publish full-length books in hardback and paperback editions (six this year), the greater part of the publications programme is now published in shorter formats, also available online from our website. This year 38 new *Working Papers* were produced, presenting research results in detail. Four new ODI *Briefing Papers* were published, together with another six Briefings from the 'European Development

Cooperation to 2010' project and a further ten from ODI's research groups, plus nine *Natural Resource Perspectives*, 23 network papers, and eight *Opinions* papers.

ODI's two journals – *Development Policy Review* and *Disasters* – are central to our publishing programme. Published in association with Blackwell Publishing, both journals have had another successful year, with significant increases in circulation. *Development Policy Review* now has six issues per year. Both journals regularly publish special thematic issues, with 'Food Policy Old and New', in *Development Policy Review* (now also published as a book), and 'The Sphere Project: Humanitarian Charter and Minimum Standards in Disaster Response' forthcoming in *Disasters* in June 2004. The publishers are promoting the journals world-wide with a particular focus on electronic subscription access for libraries and development agencies, as well as additional individual subscriptions.

## Meetings and seminars

Discussion meetings remain a key component of ODI's public affairs programme. Over the past year there have been three major series attended by a constituency of more than 800 people encompassing civil servants, journalists, researchers and NGO representatives. *Does Evidence Matter?*, organised with the Research and Policy in Development team, attracted crowds to the ODI meeting room for eight meetings from April to June. *European Development Cooperation 2010: What Scenarios for the Future*, a joint venture with the All Party Parliamentary Group on Overseas Development, and part of a wider international project, was held mainly across the river in Parliament, at Portcullis House and the House of Commons – a new departure for our meetings. *The Future of Aid, 2005–2010: challenges and choices*, a series of seven meetings, was held at ODI in January and February.

Topics addressed in other meetings (listed in full on page 44) have included, the International Finance Facility, inequality in middle income-countries, humanitarian needs in Iraq and Ituri, food policy, oil wealth and forest conservation, and water supply and sanitation under PRSPs. Reports are published on the ODI website shortly after each meeting, and these are usually accompanied by a full sound recording enabling internet visitors to listen to the entire meeting. This opens up debates to a much wider international audience.

## Media

Working with the print and broadcast media is an essential part of ODI's communication programme. Journalists

## Public Affairs and Communications

Peter Gee	Head of Public Affairs and IT
Anna Brown	Publications Sales Administrator
Daniel Demie	IT Officer
Diana Evans	Meetings and Media Officer
Pippa Leask	Publications and Website Officer
Derrick Madir	Assistant IT Officer
Terry McGarvey	Information Centre Officer



and media researchers regularly approach us for advice, comments and interviews, and we work with them to put across important 'stories' generated by ODI research. This has led to newspaper coverage in *The Guardian*, *The Independent*, the *Christian Science Monitor*, the *Wall Street Journal* and interviews with ODI researchers on *Analysis*, *Farming Today*, *Four Corners*, and *The Poor Wars*, on BBC Radio 4, and *World Business Report*, *Newshour* and *The World Today* on BBC World Service Radio, *BBC World TV News*, and CNN.

## Parliament

Located just across Westminster Bridge, ODI is well-placed to work closely with parliament. In particular, ODI researchers provide advice to parliamentary committees and we also provide support for the All Party Parliamentary Group on Overseas Development (APGOOD). Meetings of the Group have been attended by politicians, academics, business people and NGOs. From the government, the Chancellor of the Exchequer, Gordon Brown MP spoke twice, on the 'International Finance Facility', and (with Bob Geldof) on 'Priorities for development ahead of the World Bank and IMF Spring Meetings'. The Secretary of State for International Development, Hilary Benn, MP spoke on 'Agriculture and Poverty - unlocking the potential', and on 'Towards 2005: The Challenge of Trade Justice' (with Dr Matthew Lockwood, ActionAid UK; Justin Forsyth, Oxfam GB;

and Beverley Duckworth, World Development Movement). Michael Howard MP and Caroline Spelman MP presented 'Conservative Party Policy on International Development', while Michael Meacher, MP spoke on 'sustainable development'.

## Information Centre

ODI's internal information centre supports our research programmes. The newly enhanced intranet site acts as a portal to key online journals and other relevant web information sources. Many other economic and statistical data sources, and training materials are available on CD. A small paper collection of journals and documents has been retained and this is augmented by document supply services, notably from the British Library.



# ODI Fellowship Scheme

Cabinet Secretary Sir Andrew Turnbull, in a speech to celebrate the 40th anniversary of the ODI Fellowship Scheme, stated that if he was asked what organisation had been particularly influential in his career then he would undoubtedly nominate the ODI, which gave him his first break after leaving university. This statement is only one of the many in support of the Scheme which the Fellowship Team has received in this anniversary year.

## Fellowship Scheme

Adrian Hewitt *Head of Scheme*  
 Susan Barron *Programme Officer*  
 Angela O'Callaghan *Administrator*



*Tonga ODI Fellow Samantha Newton, an Australian trade economist supported by the Commonwealth, with her boss the Secretary for Trade for Tonga, Paula Kautoke, wearing the traditional Tongan mat to the office*



*João Van Dunem, Directorate of Customs Policy and Procedures, Mozambique Customs Service*

2003/04 marked an important milestone for the ODI Fellowship Scheme, as we celebrated our fortieth anniversary and placed a record 33 Fellows in 18 countries in Africa, the Caribbean and the Pacific, joining the 31 Fellows still in post. Of the 33, there are 18 men and 15 women. In terms of nationality the new Fellows are British, Australian, Dutch, Saint Lucian, French, Italian, Spanish, Irish, Ghanaian and Pakistani. We also continued with our policy of diversification of placements by moving to new countries (such as Burundi and Sierra Leone) and by making new placements in existing Scheme countries such as the National emergency Response Committee on HIV/AIDS in Swaziland (NERCHA). As of April 2004 we have 64 Fellows in the field.

### Activity of Fellows

Fellows continue to play a significant role in policy development, formulation and implementation. International trade policy plays an important role in the Fellowship Scheme with 14 Fellows working on trade issues either within a trade ministry or a trade-related ministry/regional body. Three Fellows took part in their country delegations to the WTO ministerials in Cancun while others played a vital role in formulating their country position. Beyond this, areas in which Fellows are currently, or have been recently working include:

- The introduction of the Medium Term Expenditure Framework to line ministries (Rwanda).
- Elaboration of regional trade agreements (Pacific).
- Devising a strategic response to HIV/AIDS as a member of

the HIV/AIDS Crisis Management and Technical Committee (Swaziland).

- Analysis of the impact of the EU's 'Everything But Arms' Initiative (Guyana).
- Preparation of Interim or Final National Poverty Reduction Strategy Paper (Rwanda and other African countries).
- Forecasting the impact of the implementation of the SADC Regional Trade Protocol (Mozambique).
- Income Tax modelling (Malawi).
- Debt Management strategies (Tanzania, Malawi, Uganda and Guyana).
- Development of monitoring framework to enhance accountability of budget support and to improve monitoring or progress towards poverty reduction (Tanzania).

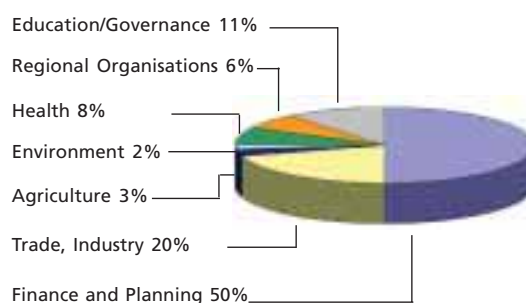
### Funding

ODI was able to extend the funding provided by the Commonwealth Secretariat and expand its funding of international trade posts, to include a further four posts in Africa (Malawi, Uganda, Sierra Leone and Zambia) in addition to the four posts in the Pacific (Fiji, PNG, Vanuatu and Tonga). This is additional to the support we receive from DFID (which extends to nearly all the other posts) and from the governments themselves who pay local salaries to Fellows at civil service rates.

### 40th Anniversary

The Fellowship Scheme's fortieth anniversary in 2003 was marked by a celebratory event at the House of Commons to coincide with the 2003

### Fellowship categories by sector of posting 2004



### Quotations from former Fellows:

'The Fellowship Scheme has been a success from the point of view of recipient countries. Secondly it provides a wonderful personal development experience for fellows. Thirdly, the scheme has lasting and wide benefits well beyond the two year experiences of the fellowships themselves'.

**Professor Peter Davies**, *Vice President and Chief Economist at BP, who was a Fellow in the Ministry of Finance, Swaziland, 1972-74*

'I learned three lessons that stayed with me ... and made me optimistic about public service. The first is that rapid economic development is possible in the most inhospitable of circumstances ... the second ... is the centrality of economics to good policy and good politics ... the third ... technical assistance by way of good advice, judged largely a failure in the development story can be made to work'.

**Suma Chakrabarti**, *Permanent Secretary DFID, on his experiences in the Ministry of Works and Communications, Botswana, 1981-83*

'The ODI experience has undoubtedly shaped the nature of research that ex Fellows are engaged in, and the way ... health economics as applied to low income countries has developed ... So the ODI Scheme can pride itself not only on providing useful pairs of hands to developing country agencies, but also on helping to influence the development of health economics as applied to low income country settings'.

**Professor Anne Mills**, *London School of Hygiene and Tropical Medicine, former Fellow in the Ministry of Health, Malawi, 1973-75*

briefing session for new Fellows. Over 200 former Fellows joined ambassadors, donors and friends of the Fellowship in our celebrations and helped the new cohort of Fellows to prepare for their new posts. Several high-profile former Fellows spoke of their experiences in post, their impact and how the Fellowship influenced future career choices. The event was organised by former Fellow Adrian Hewitt who worked in the Ministry of Labour, Malawi (1974-76) and now heads the Scheme. He introduced the current Scheme and the speakers :

- Dr Vincent Cable MP, Liberal Democrat Treasury spokesman
- Suma Chakrabarti, Permanent Secretary DFID
- Professor Peter Davies, Vice President and Chief Economist BP
- Romilly Greenhill now with ActionAid
- Professor Anne Mills, Professor of Health Economics and Policy LSHTM
- Sir Andrew Turnbull, Cabinet Secretary
- Dr Martin Weale, Director, National Institute of Economic and Social Research.

Their essays were subsequently published by ODI in 2003.

## 2004-06 Recruitment

The 2004-06 round of recruitment was completed in February. This year we had a record of number of 403 applications and interviewed 70. Formal offers of placements with governments were made in June 2004. The calibre of ODI Fellowship applicants remains extremely high. This is encouraging with demand for Fellows from developing countries continuing to outstrip both supply and funding. New governments are already asking to join the Scheme, to receive Fellows to strengthen their public sector economics cadre, and in the case of donors to strengthen their own development cadre. Nigeria is likely to employ its first Fellows at federal government level following an exploratory mission in January and the normal round of placements in April.



*Papua New Guinea Fellows Francesco Rampa (left) and Alessandro Martinatto (far right), both Italians working on trade and revenue policy, with the visiting Trade minister of the Solomon Islands and Adrian Hewitt, at the Port Moresby ministerial meeting of the Pacific nations*

## Fellows in post (April 2004)

### Africa

#### Botswana

Rachel Smyth, National AIDS Coordination Agency (NACA)

#### Burundi

Dominique Puthod, Ministry of Planning, Development and Reconstruction

#### Ethiopia

Niall Kishtainy, Economic and Social Policy Division, United Nations Economic Commission for Africa

#### Ghana

Kobi Bentley, Programme Budgeting, Monitoring and Evaluation Department, Ministry of Education

Emily Larbi-Jones, Ministry of Trade and Industry  
Carolina Monsalve, Ministry of Finance and Economic Planning and Institute of Economic Affairs

#### Lesotho

Haris Irshad, Privatisation Unit, Ministry of Finance  
Bruce McAlpine, Lesotho Revenue Authority

#### Malawi

Seema Bhatia, Aid Management Division, Ministry of Finance and Economic Planning

Alice Clarke, Ministry of Trade and Private Sector Development

Kasper Dalsten, Budget Division, Ministry of Finance and Economic Planning

Lucy Jones, Malawi Revenue Authority

Polly LeGrand, Ministry of Education

#### Mozambique

Andrea Alfieri, GPSCA, Ministry of Agriculture and Rural Development

Enrique Blanco de Armas, Technical Unit for Multilateral and Regional Trade Negotiations (UTCOM), Ministry of Trade and Industry

Stijn Broecke, Technical Planning Unit, Ministry of Health

Eleanor Cannell, National Directorate of Tax and Audit, Ministry of Planning and Finance

Xavier Cirera, Ministry of Commerce and Industry

Robert James, Poverty Analysis Division, Ministry of Planning and Finance

Edward Sam Jones, Macroeconomic Planning Division, Ministry of Planning and Finance

João Van Dunem, Directorate of Customs Policy and Procedures, Mozambique Customs Service

#### Namibia

Chris Isaac, Ministry of Finance – Treasury

Zainab Kizilbash, Directorate of Planning and Development, Ministry of Education

#### Rwanda

Mözé Cherif, Privatisation Unit, Ministry of Finance and Economic Planning

Benjamin Cropper, Budget Division, Ministry of Finance and Economic Planning

Zoe Keeler, Macroeconomic Policy Department, Ministry of Finance and Economic Planning

Tim Powell-Jackson, Public Expenditure Management, Directorate of Planning, Ministry of Health

Afua Sarkodie, Department of Planning and Development Coordination, Ministry of Local Government, Information and Social Affairs

Bruno Versailles, Poverty Reduction Programme, Ministry of Finance and Economic Planning

Claire Wallis, Ministry of Local Government and Social Affairs

#### Sierra Leone

Matthew Lusty, Ministry of Trade and Industry

#### South Africa

Aditi Maheshwari, Economic Services, National Treasury

Michelle Schoch, Budget Division, National Treasury

Aarti Shah, Intergovernmental Affairs, National Treasury

### Swaziland

Geoff Handley, Budgets and Economic Affairs Section, Ministry of Finance

Edith Patouillard, National Emergency Response Committee on HIV/AIDS (NERCHA)

Amy Whalley, Public Policy Coordination Unit, Prime Minister's Office

### Tanzania

James Bianco, Policy Analysis Department, Ministry of Finance

Luca Crudeli, President's Economic Policy Advisory Unit (PEPAU)

Kenneth Lawson, Policy and Planning Department, Ministry of Health

Kripali Manek, Policy Analysis Department, Ministry of Finance

Elizabeth Turner, Ministry of Industry and Trade

### Uganda

Diego Angemi, Poverty Monitoring and Analysis Unit (PMAU), Ministry of Finance, Planning and Economic Development

David Brown, Lands and Environment, Ministry of Finance, Planning and Economic Development

Graeme Harrison, Macroeconomic Policy Department, Ministry of Finance, Planning and Economic Development

Michael Obanubi, Ministry of Tourism, Trade and Industry

Gregory Smith, Budget and Evaluation Department, Ministry of Finance, Planning and Economic Development

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Gregory Smith, Budget and Evaluation Department, Ministry of Finance, Planning and Economic Development

## Balance sheet summary

	31 March 2004	31 March 2003
	£	£
<b>Fixed Assets</b>		
Tangible assets	30,022	40,484
Investments (Market Value)	1,231,180	1,080,811
	1,261,202	1,121,295
<b>Current Assets</b>		
Stocks	16,437	12,566
Debtors and cash	2,465,825	2,497,969
	2,482,262	2,510,535
<b>Current Liabilities</b>		
Creditors and accruals	(1,546,832)	(1,866,829)
<b>Net Current Assets</b>	<b>935,430</b>	<b>643,706</b>
<b>Net Assets</b>	<b>2,196,632</b>	<b>1,765,001</b>
<b>Unrestricted reserves</b>	<b>2,196,632</b>	<b>1,765,001</b>

## Income and expenditure account summary

	2003/2004	2002/2003
	£	£
<b>Income</b>		
Grants and project finance	7,143,647	8,490,204
Interest	499	7
Donations	97	5,472
Other operating income	93,555	111,929
<b>Total income</b>	<b>7,237,798</b>	<b>8,607,612</b>
<b>Expenditure</b>		
Staff costs and related expenses	3,297,035	2,935,908
Depreciation	32,493	39,726
Research Expenditure and other direct costs	1,564,705	3,335,876
Other operating expenses	738,298	732,759
Meetings, conferences and publications	112,848	45,813
Professional and audit fees	9,987	21,074
Fellowship supplements	1,201,170	1,043,014
<b>Total expenditure</b>	<b>6,956,536</b>	<b>8,154,170</b>
<b>Designated fund transfer</b>	<b>(80,445)</b>	<b>(203,519)</b>
<b>Surplus on general fund</b>	<b>200,817</b>	<b>249,923</b>

### Statement by the Council

The members of the ODI Council confirm that the summarised accounts on this page are a summary of the information extracted from the full annual accounts which were approved on 7 July 2004.

The summarised accounts may not contain sufficient information to allow for a full understanding of the financial affairs of the Institute.

For further information the full annual accounts and the auditors' report and the Report of the members of the Council on those accounts should be consulted. Copies of the full annual accounts may be obtained free of charge from the Institute.

The summarised accounts do not constitute full accounts within the meaning of the Companies Act 1985 and the Charities Act 1993. A copy of the statutory accounts of the Institute, upon which the auditors have reported without qualification, will be delivered to both Companies House and the Charity Commission.

Approved by the members of the Council and signed on their behalf by the Chair, Baroness Jay, 7 July 2004.

### Statement by the Auditors

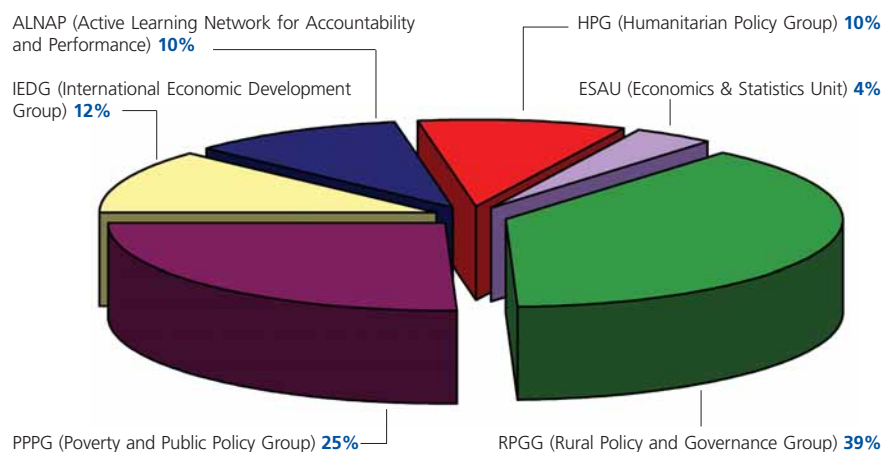
We have examined the summarised financial statements of the Overseas Development Institute. The members of the Council are responsible for preparing the summarised financial statements in accordance with the recommendations of the charities SORP.

Our responsibility is to report to you our opinion on the consistency of the summarised financial statements with the full financial statements and Council Report. We also read the other information contained in the summarised annual report and consider the implications for our report if we become aware of any apparent mis-statements or material inconsistencies with the summarised financial statements.

We conducted our work in accordance with Bulletin 1999/6 'The Auditors' statement on the summary financial statement' issued by the Auditing Practices Board for use in the United Kingdom. In our opinion the summarised financial statements are consistent with the full financial statements and the Council Report of the Overseas Development Institute for the year ended 31 March 2004.

Buzzacott, London, 7 July 2004.

### ODI Income by research group 2003/2004\*



\* excludes the Fellowship Scheme

# Funders

ActionAid	Food and Agricultural Organization of the United Nations (FAO)	International Petroleum Industry Alliance	Rural and Urban Development Saferworld
African Development Bank	Ford Foundation	International Service for Natural Agriculture Research (ISNAR)	Save the Children Fund
African Economic Consortium	Foundation for Development Cooperation (FDC)	International Technology Development Group	Shell International Petroleum Co.
American University	Foundation For Global Development	InWEnt, Capacity Building International, Germany	Swedish International Development Cooperation Agency (Sida)
Asian Development Bank	Fritz Institute	ITDG Publications	Swiss Agency for Development and Cooperation (SDC)
AusAID	Fundación General de la Universidad Complutense de Madrid (FGUCM)	Japan Bank for International Cooperation (JBIC)	Swiss Ministry of Foreign Affairs
Australian Catholic University	German Development Institute (GDI)	John D and Catherine T MacArthur Foundation	Syngenta Foundation
Bradford Centre for International Development	Global Development Network USA	Joint United Nations Programme on HIV/AIDS (UNAIDS)	Technopolis
British Academy	Global Resources Development & Management Consult	London School of Economics (LSE)	UN Office for the Coordination of Humanitarian Affairs (OCHA), Wales
British Army	Guardian Newspapers	Maxwell Stamp Plc	United Nations
British Council	Harvest Help	MBW Consulting Engineers Ltd	United Nations Children's Fund (UNICEF)
British Geological Survey	Helpage International	Médecins Sans Frontières (MSF) International	United Nations Conference on Trade and Development (UNCTAD)
British Petroleum PLC	Henry Dunant Centre for Humanitarian Dialogue	Merck & Co	United Nations Development Programme (UNDP)
British Red Cross	HTS Development Ltd	Ministry of Agriculture and Rural Development, Mozambique	United Nations Economic Commission
Cambridge Economic Policy Association	IAK AGRAR Consulting GMBH	Ministry of Industry & Commerce	United Nations Environment Programme (UNEP), World Conservation Monitoring Centre
Canadian International Development Agency (CIDA)	Imperial College	Namibia Nature Foundation	United Nations Industrial Development Organisation (UNIDO)
Care International	Industry of Finance & Planning	National African Farmers Union	University Center for International Co-operation and Development (CICOPS)
Care USA	Insight Investment	National Audit Office	University College London, Development Planning Unit
Catholic Agency for Overseas Development (CAFOD)	Institute for Democracy in South Africa (IDASA)	Natural Resources Institute	University of Amsterdam
Center for International Forestry Research (CIFOR)	Institute of Development Policy and Management, University of Manchester (IDPM)	Netherlands Ministry of Foreign Affairs	University of Barcelona
Indonesia	Institute of Development Studies, University of Sussex (IDS)	Norwegian Ministry of Foreign Affairs	University of Birmingham
Chaire Mercosur Sciences Po	International Alert	Nutrition Works	University of Cambridge
ComMark Trust	International Committee of the Red Cross	Office of the UN High Commissioner for Human Rights (UNHCR)	University of East London
Common Market for Eastern and Southern Africa (COMESA) Secretariat	International Crops Research Institute for the Semi-Arid Tropics (ICRISAT)	Office of US Foreign Disaster Assistance (USAID)	University of Manchester
Commonwealth Secretariat	International Development Committee	Open Society Institute	University of Newcastle
Comms Consulting	International Federation of the Red Cross	Organisation for Economic Co-operation and Development (OECD)	University of Oxford
Concern Worldwide	International Fertilizer Development Centre (IFDC) Malawi	Overseas Development Group, University of East Anglia	University of Reading
Danish Ministry of Foreign Affairs (DANIDA)	International Fund for Agricultural Development (IFAD)	OXFAM International	University of Warwick
Defence Academy of the UK	International Lawyers and Economists Against Poverty (ILEAP)	Oxford Policy Management	University of Westminster
Deloitte Touche Tohmatsu Emerging Markets (UK) Ltd	International Maize and Wheat Improvement Center (CIMMYT)	PANOS Ltd	Washington University (St Louis)
Department for Environment, Food & Rural Affairs (DEFRA)	International Monetary Fund	Parlement européen	WaterAid
Department for International Development (DFID)		Planistat Europe	WaterAid Malawi
Department of Foreign Affairs, Ireland (Ireland Aid)		Poverty, Food & Health in Welfare	World Bank
Diawa Anglo, Japanese Foundation		PriceWaterhouse Coopers	World Food Programme (WFP)
Disasters Emergency Committee (DEC)		Rockefeller Foundation	World Vision Ireland
Dóchas		Routledge	World Vision UK
Eastern Nile Technical Regional Office		Royal Institute of International Affairs (RIIA)	WWF – UK
Economics Education and Research Consortium (EERC)			
Embassy of Sweden			
Engineers Against Poverty			
European Commission Humanitarian Aid Office (ECHO)			

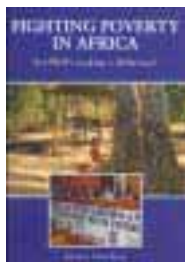
## Central services staff

P.J. Greeves	<i>Head of Finance and Administration</i>	Richard Kongwa	<i>Finance Officer</i>
Adrienne Watson	<i>Personnel Officer</i>	Josephine Olugbekan	<i>Senior Project Accountant</i>
Patsy de Souza	<i>Personnel Assistant</i>	Paul Crow	<i>Assistant Finance Officer</i>
David Sunderland*	<i>PA to the Director</i>	Cara O'Connor	<i>Assistant Finance Officer</i>
Natalie Kannemeyer	<i>PA to the Director</i>	Joanne O'Neill	<i>Assistant Finance Officer</i>
Rebecca Cranfield*	<i>Receptionist</i>	Anthea Williams	<i>Assistant Finance Officer</i>
Michelle Knorr	<i>Receptionist</i>		

\* left during the year

## Books

- Aryeetey, E., Court, J., Nissanke, M. and Weder, B. (eds) (2003) *Asia and Africa in the Global Economy*. United Nations University Press
- Booth, D. (ed.) (2003) *Fighting Poverty in Africa: Are PRSPs Making a Difference?* London: Overseas Development Institute
- Maxwell, S. and Slater, R. (eds) (2004) *Food Policy Old and New*. Oxford: Blackwell Publishing
- Moser, C and Cathy McIlwaine, C. (2004) *Encounters with Violence in Latin America: Urban poor perceptions from Colombia and Guatemala*, London and New York: Routledge.
- Schneider, B. (ed.) (2003) *The Road to International Financial Stability: Are Key Financial Standards the Answer?* Palgrave Macmillan
- Warner, M. (2003) *The New Broker: Brokering Partnerships for Development*. London: Overseas Development Institute



## Working Papers

### ODI Working Papers

- 210: Poverty Reduction Outcomes in Education and Health, Public Expenditure and Aid, *John Roberts*, 2003
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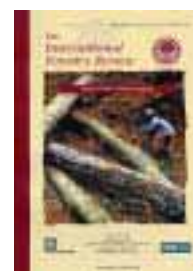
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## Does evidence matter? (April–June 2003)

- **Does evidence matter? Why is evidence important in policy making? What sort of evidence? How to get it? Is the current emphasis on evidence-based policy in government resulting in better policies?** David Halpern, Strategy Unit, Cabinet Office; Erik Millstone, Science Policy Research Unit (30 April)
- **The political context: Are policy makers 'evidence aware'? What sort of evidence gets to them? What other factors influence their decision-making? What room for manoeuvre do they have?** Dr Vincent Cable, MP for Twickenham; Julius Court, ODI (7 May)
- **The role of research: What does DFID want from research? Does it get it? How could research have more impact on policy? How can you measure research impact? What is its relative importance in recent development policy shifts?** Paul Spray, Director of Research, Policy Division, DFID; John Young, Research Fellow, ODI (14 May)
- **NGO campaigns: What role do they play in policy processes? Are they evidence based? Are they really effective? How? How do they communicate? How to build coalitions?** Justin Forsyth, Director of Policy, Oxfam; Andrew Sims, Director of Policy, NEF (21 May)
- **Think-tanks: What role do they play in policy processes? Are they a force for good? Can they be independent? What's the ideal balance between research and communication? How important is reputation?** Tom Bentley, Executive Director, DEMOS; Simon Maxwell, Director, ODI (28 May)
- **Putting knowledge into practice: Do organisations learn? What incentives do people need to learn? How to convert information into knowledge? How to manage knowledge in international networks? Who buys knowledge? The power of networks,** Bonnie Cheuk, Director, Knowledge Management, The British Council; John Borton – ALNAP Learning Support Office, ODI (4 June)
- **Policy entrepreneurship: What makes an effective policy entrepreneur? Is it art or science? Spotting policy windows,** Ann Pettifor, Director, Jubilee Research (11 June)
- **International policies, what's unique about international and transnational policy processes? The balance between local and international voice and capacity. How can research contribute?** Lord Desai, Director, Centre for the Study of Global Governance, LSE; Alex Wilks, The Bretton Woods Project (18 June)

## European Development Cooperation to 2010: What Scenarios for the Future? (July–November 2003)

- **Enlargement and the near abroad: will Europe be distracted?** Gisela Stuart MP, UK Representative on the Convention of the Future of Europe; Professor Victor Bulmer-Thomas, Director, RIIA (1 July)
- **European development cooperation to 2010: what scenarios for the future?** Baroness Amos, Secretary of State for International Development, DFID; Simon Maxwell, Director, ODI (9 July)

- **Reshaping European partnerships: what future for the ACP?** Glenys Kinnock MEP and Co-President of the EU–ACP Joint Parliamentary Assembly; Adrian Hewitt, Research Fellow and Research Adviser to APOOD, ODI (17 September)
- **What is the EU's comparative advantage with respect to aid?** Gareth Thomas MP, Under-Secretary of State International Development, DFID; Carlos Montes, Development Strategies Consultants (24 September)
- **The EU as a humanitarian actor,** Martin Griffiths, Director, Henri Dunant Centre for Humanitarian Dialogue; Joanna Macrae, Group Coordinator, Humanitarian Policy Group, ODI (8 October)
- **Is the EU a responsible trade partner?** Tim Abraham, Director International Trade Policy, Department of Trade and Industry, Sheila Page, Group Coordinator, International Economic Development Group, ODI (22 October)
- **Europe in the world: the Common Foreign and Security Policy and its relation to development,** Chris Patten, European Commissioner for External Affairs (7 November)
- **The politics of European Union reform,** Peter Mandelson MP; Howard Mollett, EU Campaigns Officer, British Overseas NGOs for Development (BOND) (19 November)

## The Future of Aid, 2005–2010: challenges and choices (January–February 2004)

- **Setting the scene: major trends, drivers, timelines, and scenarios,** Masood Ahmed, Director-General, DFID; Andrew Rogerson, ODI (14 January)
- **Multilateralism: the international aid agencies, their owners and competitors: do we still need them all?** Mark Malloch Brown, Administrator, UNDP; Michael Roeskau, Director, Development Cooperation Department, OECD (21 January)
- **Accelerating Aid: the systemic impact of the International Financing Facility proposals,** Shriti Vadera, Council of Advisers, HM Treasury; Judith Randel, Development Initiatives (29th January)
- **Launch of the OECD's Development Assistance Committee 'Development Cooperation Report 2004',** Richard Manning, DAC Chairman (30 January)
- **Aid effectiveness and volume after Monterrey: does the emperor have clothes?** Barbara Stocking, Director, Oxfam UK; Geoffrey Lamb, Vice President, World Bank (4 February)
- **Debt relief evaluation: what is the impact of debt relief?** Dr Geske Dijkstra, Associate Professor at Erasmus University, Rotterdam (11 February)
- **Aid policy and evidence: is conditionality well-based?** Tony Killick, Senior Research Associate (20 February)

## Other meetings, workshops, seminars, launches, press conferences

- **How should humanitarian needs be met in Iraq? An HPG debate,** Philip Spoerri, Coordinator of Legal Advisers to Operations at the ICRC; Raja Jarrar, Programme Director for CARE UK; and Steven McClelland, the Deputy Head of the Conflict and Humanitarian Affairs Department (CHAD) at DFID (10 April)

- **Proposal for an International Finance Facility,** Stephen Pickford, Director of International Finance at Her Majesty's Treasury (13 May)
- **Protection and the humanitarian crisis in Ituri,** Anneke Van Woudenberg, Senior Researcher at Human Rights Watch and former Oxfam Country Director in DRC; and James Fennell, an independent consultant, former Vice-President for security firm Armour Group and Emergencies Director with Care UK, HPG (9 July)
- **Humanitarian action and the 'global war on terror': a review of trends and issues,** launch of HPG Report 14 by Joanna Macrae and Adele Harmer, ODI (3 September)
- **According to need: needs assessment and decision-making in the humanitarian sector,** launch of HPG report 15 on needs assessment and decision-making in the humanitarian sector, by James Darcy and Charles-Antoine Hofmann ODI (25 September)
- **Does Oil Wealth Help Conserve Forests? Macroeconomic impacts on tropical forests and their utilisation,** presentation by the author Sven Wunder, Economist, PhD, DSc, CIFOR, Indonesia of his book Sven Wunder, Economist, PhD, DSc, CIFOR, Indonesia published by Routledge (1 October)
- **Addressing Inequality in Middle Income Countries,** Workshop, *Inequality in Middle Income Countries: Key Conceptual Issues*, Dr Andy McKay; *Policy Initiatives on Inequality in China*, Dr Lina Song, University of Nottingham; *Inequality in Brazil*, Luiza Bairoso, Marcelo Paixao and Silvio Humberto Cunha; *Inequality in South Africa*, Dr Stephen Gelb, EDGE Institute, Johannesburg; *The divergence between the degree of poverty and the distribution of the poor in Latin America and the Caribbean: policy implications for MICs with high inequality*, Carlos Eduardo Velez, Inter-American Development Bank (IADB); *Pro-poor growth: what is it and does it matter?* Ernesto Pernia, Asian Development Bank (4-5 December)
- **Bridging Research and Policy,** Research and Policy in Development Programme (RAPID) Workshop, Marrakech (15 December)
- **Strengthening Design, Finance and Delivery of Water Supply and Sanitation Programmes under PRSPs,** Regional Workshop, Kampala, Uganda, organised by ODI and WaterAid in collaboration with the Water and Sanitation Programme-Africa (2–4 February)
- **Assessing the Poverty Impact of the Doha Development Round,** Sheila Page (IEDG) and Tim Conway (PPPG), workshop, sponsored by DFID, with case studies presented by authors from Brazil, India, Vietnam and Zambia (19 February)
- **Policy Entrepreneur Workshops,** run by the Research and Policy in Development Programme (RAPID) ODI (16 March/14 April)
- **Food Policy Old and New,** Blackwell Publishing launch of Simon Maxwell and Rachel Slater book (eds), Sheila Dillon, Presenter, The Food Programme, BBC Radio 4, Simon Maxwell, Director, ODI, Tim Lang, Professor, City University, London, Geoff Tansey, Independent Consultant, Duncan Green, DFID (30 March)

# Research Specialisations

## Research Fellows

**Caroline Ashley:** pro-poor tourism strategies; rural livelihoods; influencing business behaviour; community-private partnerships; Southern and Eastern Africa.

**Kate Bird:** poverty and chronic poverty; policy reform; rural livelihoods, diversification and coping strategies; project, programme and policy evaluation.

**Neil Bird:** national forest programmes; sustainable forest management; forest resource assessment; forest governance.

**David Booth:** institutional issues in development and aid policy; aid modalities and the national policy process.

**David Brown:** governance and social development; institutional aspects of environmental management; forests, poverty and development policy.

**Karin Christiansen:** PRSPs and linkages to public expenditure management; participatory and decentralised approaches to public expenditure and implementation.

**Julius Court:** bridging research and policy; governance and development; policy processes; strengthening southern capacity.

**Elizabeth Cromwell:** agricultural biodiversity economics and policy; agricultural sustainability; livelihood options for rural households.

**James Darcy:** humanitarian principles; protection of civilians and refugees; international human rights and humanitarian law; needs assessment.

**Paolo de Renzio:** public sector reform and management; public finance; decentralisation; aid management and effectiveness.

**Priya Deshingkar:** migration, mobility and rural labour markets; agriculture and economic reform.

**John Farrington:** livelihood protection and promotion, diversification, policy processes.

**Ian Gillson:** trade in services with and among developing countries; GATS; tariff preferences (especially GSP); political economy; trade facilitation; trade in agriculture.

**Sven Grimm:** European Union, European foreign and development policy, regional integration, Africa (especially West Africa), governance.

**Adele Harmer:** humanitarian aid architecture; principles and practice of good humanitarian donorship; emerging non-DAC humanitarian donors; aid policy in protracted crises.

**Paul Harvey:** humanitarian programming and operations; AIDS and humanitarian action; complex political emergencies; food and livelihood security in emergencies.

**Adrian Hewitt:** European development policy; foreign aid; international trade; commodities; the WTO; global public goods; development strategy; Africa and the Caribbean.

**John Howell:** agricultural commodity markets; land reform in southern Africa; SADC trade facilitation.

**Catherine Longley:** seed security and agricultural rehabilitation; rural livelihoods in chronic conflict and political instability; farmers' management of crop diversity.

**Joanna Macrae:** aid policy in unstable situations; the relationship between humanitarian and political responses to conflict; official humanitarian policy.

**Simon Maxwell:** development theory and policy; poverty; food security; economic, social and cultural rights; aid; policy processes.

**Andy McKay:** poverty and inequality analysis; poverty and PRSP monitoring; chronic poverty; impact of policy, especially trade policy, on poverty.

**Oliver Morrissey:** aid and government behaviour; aid and policy; trade policy reform and poverty; the WTO; FDI and developing countries; public goods.

**Alan Nicol:** social, institutional and political dimensions of water resources management and water supply development at all levels.

**Sheila Page:** international and regional trade; the WTO; comparative trade and development performance; capital flows; foreign investment; tourism; Southern Africa and Latin America.

**Laure-Hélène Piron:** governance, politics, civil society, conflict and difficult environments, security and access to justice, human rights.

**John Roberts:** public finance; aid management and effects; results-oriented public expenditure management and PRS; determinants of social sector outcomes.

**Andrew Rogerson:** the international aid system; global public goods; financing for the MDG; multilateral development institutions; and European Union aid policies.

**Kathrin Schreckenbach:** on-farm tree resources; non-timber forest products; participatory forestry; information management.

**Andrew Shepherd:** poverty reduction policies and poverty analysis; Africa; South Asia; policy and programme evaluation; rural development; aid management.

**Rachel Slater:** rural and urban livelihoods, food security and food policy, Africa and South Asia.

**Frances Stevenson:** complex political emergencies; humanitarian programming and operations; protection; advocacy.

**Robert Tripp:** seed systems; agricultural research and extension; natural resource management.

**Dirk Willem te Velde:** foreign direct investment effects and policies; international public goods; WTO, regional integration and impact assessments.

**Michael Warner:** corporate citizenship; optimising the poverty reduction impact of corporate investment.

**Steve Wiggins:** rural livelihoods and the non-farm economy; rural-urban linkages; governance, environment; Latin America and Africa; food security.

**John Young:** rural services; information and IT; knowledge management and learning; research-policy interface; capacity building; partnerships; Asia and Africa.

## Senior Research Associates

**Edward Clay:** economic and financial aspects of natural disasters; food and nutrition policy, especially food aid and food security.

**Tony Killick:** international economic policy; World Bank and International Monetary Fund; debt, PRSPs and conditionality; African economic problems; aid; poverty.

**Caroline Moser:** conflict and violence; gender; livelihoods; human rights perspectives; security; empowerment; participation; poverty reduction.

**Gill Shepherd:** international forest and environment policy; national forest programmes; forests, poverty and the ecosystem approach; Asia and Africa.

## Research Officers

**Edward Anderson:** inequality, poverty and growth; the effects of globalisation on inequality between and within countries.

**Dirk Bezemer:** economics of transition; agricultural economics; design of market institutions; credit; rural development; poverty.

**Robert Chapman:** natural resource management; agricultural knowledge and communication processes; information and communication technologies (ICTs).

**Lin Cotterrell:** complex emergencies; international politics; humanitarian aid architecture.

**Zaza Curran:** poverty reduction strategies; governance; civil society political empowerment; human rights and development.

**Ruth Driscoll:** poverty reduction strategies; donor behaviour; social development.

**Sophie Evitt:** wetland hydrology and management; integrated water resource management; wetlands and livelihoods.

**Sonja Fagernas:** econometric and policy modelling; growth; macroeconomic stabilisation; aid allocation and the fiscal impacts of aid.

**Ursula Grant:** chronic poverty; poverty analysis and policy; urban livelihoods; participation and local governance.

**Charles-Antoine Hofmann:** humanitarian aid programming and operations in conflict situations; evaluations; emergency health.

**Nambusi Kyegombe:** health; poverty; chronic poverty; intra-household dynamics; gender and social identity and differentiation.

**Cokro Leksmono:** rural development; governance; decentralisation; privatisation of rural services; and Asia.

**Cecilia Luttrell:** governance and natural resources; vulnerability and livelihood analysis; forest and CPR management; resource rights.

**Dorothea Meyer:** pro-poor tourism strategies; tourism development; community-private sector partnerships.

**Joy Moncrieffe:** politics, inequalities and exclusion; poverty reduction and institutional reform; democratic accountability; health; Africa and the Caribbean.

**Amy Pollard:** bridging research and policy; social anthropology and development; communications in PRSPs; civil society.

**Ben Ramalingam:** knowledge management; strategy development and organisational change; IT systems.

**Tom Slaymaker:** natural resource management; water-poverty-livelihood linkages; water policy; information and communication for rural development.

**Samantha Smith:** health & public expenditure management, poverty & health, health economics, international aid delivery.

**Adrian Wells:** environmental governance; law and poverty; NR policy, poverty and decentralisation; multilateral environmental agreements.

**Victoria Wheeler:** humanitarian protection, donor government policy, contemporary security issues and international intervention.