RAPHAEL KAPLINSKY CURRICULUM VITAE

NAME: Raphael Malcolm Kaplinsky

DATE OF BIRTH: 31st December 1946

UNIVERSITY TRAINING: B.A. University of Cape Town with Distinction in Social Anthropology.
M.A. Development Economics, University of Sussex
D.Phil. University of Sussex
D.Phil. (Honoris Causa) University of Johannesburg

SYNOPSIS

I am an Honorary Professor at the Science Policy Research Unit at the University of Sussex, a Professorial Emeritus Fellow at the Institute of Development Studies at the University of Sussex and an Emeritus Professor at the Open University and Research Associate in Policy Research in International Services and Manufacturing (PRISM), University of Cape Town. My professional career has been devoted to an understanding of the character of social, economic and environmental growth and the promotion of more equitable and sustainable paths of development. My research and publications have focused on sustainable and inclusive development, techno-economic paradigms, globalisation and global value chains, productivity and innovation, appropriate technology, the impact of China (particularly on Africa), commodities and the terms of trade, industrial policy, and post-Apartheid transformation in South Africa. This research agenda has been supported by a series of micro and meso level studies in many countries, involving close collaboration with research colleagues, governments, international organisations and civil society organisations. My current research is on the crisis in capitalism seen through the lens of a socio-techno-economic paradigms, and the prospects for a more economically, socially and environmentally sustainable future.

Four themes cross-cut these individual research areas and follow from my experience as a political activist in my country of origin, South Africa during the Apartheid-era. The first is an ongoing concern with equity and sustainable development. The second is the critical importance of political economy and interdisciplinary enquiry to an holistic understanding of what has made the world we live in, and how we might change it for the better. The third is the centrality of technology to human progress – however, technology is socially shaped and innovation must be provided with directionality. Fourth, both because each of us has a responsibility to contribute to a more equitable and sustainable world and because we cannot understand the world from the vantage point of an ivory tower, research cannot be separated from action.

I have sole-authored nine books, co-authored 17 books, edited numerous journal Special Issues, published more than 80 peer-reviewed journal articles and more than 60 book-chapters.

EMPLOYMENT RECORD

2015 ongoing	Honorary Professor, Science Policy Research Unit, University of Sussex
2015 ongoing	Emeritus Professorial Fellow, Institute of Development Studies, University of Sussex
2015 ongoing	Emeritus Professor, Open University
2009 ongoing	Research Associate, PRISM, University of Cape Town
2006-2014	Professor of International Development, The Open University.
1998 - 2006	Professor, Centre for Research in Innovation Management, University of Brighton (half-time)
1979 - 2006	Professor, Institute of Development Studies, University of Sussex (half-time between 1998-2006),
1978	UNIDO Expert, seconded to Ministry of Commerce and Industry. Kenya.
1974-1977	Institute for Development Studies, University of Nairobi.
1970-74	Research Assistant, Institute of Development Studies, University of Sussex
1969-70	Research Assistant, Science Policy Research Unit, University of Sussex.

SUPPORT FOR POLICY DEVELOPMENT AND CAPACITY BUILDING

Extensive experience in providing policy support and capacity development to:

- Governments in Africa, the Caribbean and Southern Europe
- International Organisations (UN Family, World Bank, African Union, EU)
- Civil Society Organisations

SUPPORT FOR THE ACADEMIC COMMUNITY

Panel Member, International Panel on Social Progress (2015-2017)

Assessor, Capturing the Gains Research Network (a multimillion Pounds research network funded by DFID), 2010-2012.

Chair, Advisory Council, Queen Elizabeth House (2007-2010). Member of Advisory Council, 2006-2011

Member, External Project Review Community for the UK Innovative Manufacturing and Construction Research Centre (IMCRC) (2007-2009)

Member Editorial Boards: International Journal of Technological Learning, Innovation and Development; European Journal of Development Research; Perspectives In Agriculture, Veterinary Science, Nutrition and Natural Resources; Innovation and Development; International Journal of Technology Management and Sustainable Development.

Professorial Research Associate, South Africa Labour and Development Unit (SALDRU), University of Cape Town, South Africa (2009 ongoing)

Visiting Professor, University of KwaZulu Natal (1996-2005)

Member of Review Panel of Shell Corporation Sustainable Communities and Environmental Programmes, 2000-2001.

Trustee Mandela Scholarship Fund, 1997-2006

Guest Editor of various issues of World Development, Journal of Development Studies, European Journal of Development Research, Appropriate Technology, IDS Bulletin.

Group Leader and Member of Expert Committee, Commonwealth Ministers Committee on Sanctions against South Africa.

Coordinator, European Association of Development Institutes Science and Technology Working Group, 1986-1987.

Adviser to UK Shadow Minister of Overseas Development, 1986-1987.

PUBLICATIONS

BOOKS AND BOOK-LENGTH REPORTS

Sole Authorship

Sustainable Futures – An Agenda for Action, Cambridge: Polity Press, 2021.

Globalization, Poverty and Inequality: Between a Rock and a Hard Place, Cambridge: Polity Press, 2005. (Reprinted 2008). (Chinese translation Intellectual Property Publishing House, Beijing, 2008).

Easternisation: The Spread of Japanese Management Techniques to Developing Countries, London: UNU/Frank Cass, 1994.

The Economies of Small: Appropriate Technology in a Changing World, London: Intermediate Technology Press, 1990.

Microelectronics and Employment Revisited: A Review, Geneva: ILO, 1987. (Translated into Spanish, Microelectronica Y Empleo, Geneva: ILO, 1989).

Automation: The Technology and Society, London: Longmans, London: 1984.

Sugar Processing: The Development of a Third World Technology, London: Intermediate Technology Press, 1983.

Computer Aided Design in a Dynamic World: Electronics, Comparative Advantage and Development, London: Francis Pinter, 1982.

Ownership and Equity in Kenya, 1966-1976, Nairobi: National Christian Council of Kenya, 1979.

Joint Authorship

The Intellectual History of UNIDO: Building Ideas from Data and Practice, Vienna: UNIDO, 2016 (Prime author)

Greening Africa's Industrialization: Economic Report on Africa, 2016, Addis Ababa: United Nations Economic Commission for Africa.

Kaplinsky, R. and M. Morris, *Developing Industrial Clusters and Supply Chains to Support Diversification and Sustainable Development of Exports in Africa*, Cairo: African Export Import Bank, 2014.

Kaplinsky, R, M. Farooki, L. Alcorta and N. Rodousakis, *Promoting Industrial Diversification in Resource Intensive Economies: The Experiences of Sub-Saharan Africa and Central Asia Regions,* Vienna: United Nations Industrial Development Organisation, 2012.

Morris, M., R. Kaplinsky and D. Kaplan, *One Thing Leads to Another: Promoting Industrialisation by Making the Most of Commodities in Sub Sahara Africa*, Lulu.com. 2012.

Farooki, M. Z. and R. Kaplinsky, *The Impact of China on Global Commodity Prices: The Global reshaping of the Commodities Sector*, London: Routledge, 2012. (Chinese translation, 2015)

Barnes, J., J. Bessant and M. Morris, *Manufacturing Excellence in South Africa: CD and Accompanying Manuals*, Output of three-year programme funded by Dept of Science and Technology, 2004.

Barnes, J., J. Bessant and M. Morris, *Successful Manufacturing in a Global Environment: A Resource to Help Facilitate Capability Development in the South African Metals Industry,* Monograph and CD, Pretoria: South African Dept. of Trade and Industry, 2002.

Kaplinsky, R. and M. Morris, *A Handbook for Value Chain Research http://www.prism.uct.ac.za/papers/vchnov01.pdf*, (2001) (Spanish translation '*Competitividad: Conceptos y Buenas Practicas, una herramienta de autoaprendiza y consulta*', Santiago: Inter-American Development Bank, 2004).

Humphrey J, R. Kaplinsky and P. Saraph, *Corporate Restructuring: Crompton Greaves and the Challenge of Globalisation*, N. Delhi: Sage Publishers, 1988

Joffe, A., D Kaplan, R. Kaplinsky and D Lewis*, Improving Manufacturing Performance: The Report of the ISP*, Cape Town: UCT Press, 1995.

Kaplinsky R with A. Posthuma, *Organisational Change in Zimbabwean Manufacturing*, Report Prepared for United Nations University (INTECH), Maastricht, 1993.

Hoffman, K. and R. Kaplinsky, *Transnational Corporations and the Transfer of New Management Practices to Developing Countries*, Report prepared for the United Nations Centre of Transnational Corporations, 1993.

Hoffman, K. and R. Kaplinsky, *Driving Force: The Global Restructuring of Technology, Labor, and Investment in the Automobile and Components Industries,* Westview Press, Boulder, 1988.

Chisti S. and R. Kaplinsky, *Role of TNCs in India's Exports,* N Delhi: Indian Institute of Foreign Trade, 1981.

Cooper, C., R. M. Bell and R. Kaplinsky, *An International Comparison of the Choice of Manufacturing Techniques in the Production of Cans in Kenya, Tanzania and Thailand*, Geneva: ILO, 1974.

Cooper, C. and R. Kaplinsky, *Secondhand Equipment in a Developing Country: A Study of Jute Processing in Kenya*, Geneva: ILO, 1973

Editor and Contributor

Special Section to Commemorate the 100th Birthday of Christopher Freeman and the 50th Anniversary of Research Policy, *Research Policy*, 2021, (Co-edited with Ed Steinmueller)

One thing leads to another: Commodities, linkages and industrial development, Special Issue, *Resources Policy* (2012), (Co-edited with M Morris and D. Kaplan).

Editor - Special Issue China in Africa: A Relationship in Transition, *European Journal of Development Research*, (2009), Vol. 21, No. 4. (co-edited with O. Ajakaiye)

Editor - Special Issue on Asian Drivers and their Impact on Developing Countries, *World Development* (2008), Vol. 36, No. 2. (Co-edited with Dirk Messner).

Editor - Asian Drivers: Opportunities and Threats, *Special Issue IDS Bulletin*, Vol. 37, No.1, 2006

The Value of Value Chains, *Special Issue IDS Bulletin*, Vol. 32, No.3, 2001 (co-edited with G. Gereffi).

Europe's Next Step: Organisational Innovation, Competition and Employment, with Andreasen L, Coriat B and den Hertog F, 1995, London: Frank Cass. (Joint editor, sole writing of two chapters, joint writing of two chapters).

Editor and Contributor, *IDS Bulletin*, A Policy Agenda for a Post-Apartheid South Africa, Vol 25 No 1, January 1994.

A Strategy for Industrial Restructuring in the Dominican Republic, UNDP/IDS, 1991.

Technology and Development in the Third Industrial Revolution, (Co-edited with C. Cooper), London, Frank Cass. Also published as inaugural edition of *European Journal of Development Research*, Vol 1 No 1.

Editor and Contributor, *IDS Bulletin*, "Industrial Restructuring: Policy Implications for Developing Countries", Vol 21 No 1.

Editor and Contributor *IDS Bulletin*, "Slowdown or Crisis? Restructuring in the 1980s", Vol 16, No 1.

Editor and contributor, *IDS Bulletin*, "Comparative Advantage in an Automating World".

The State of Small Scale Sugar, (Co-edited with two others and contributor), Intermediate Technology Publications, London, 1988.

Cyprus Technology Strategy, UNDP/OPE and Institute of Development Studies, 1988 (with N Clark, C Edquist and D Pimentel).

Third World Industrialisation in the 1980's: Open Economies in a Closing World (Editor and contributor), Special Issue of *Journal of Development Studies*, Vol 21 No 1, January 1984, also published as a book by Frank Cass, London.

Readings on the Multinational Corporation in Kenya, (editor, with two out of seven chapters), Oxford University Press, Nairobi, 1978.

REFEREED JOURNAL ARTICLES

Kaplinsky, R. And E. Kramer-Mbula, 'Innovation and Uneven Development – The Challenge for Low- and Middle-Income Economies, *Research Policy,* 2021. https://doi.org/10.1016/j.respol.2021.104394

Kaplinsky, R. and M. Morris, (2019) 'Trade and Industrialisation in Africa: SMEs, Manufacturing and Cluster Dynamics', *Journal of African Trade, Vol 6* (1-2), pp. 47-59, DOI: https://doi.org/10.2991/jat.k.190812.001

Kaplinsky, R. and M. Morris (2018), "Standards, regulation and sustainable development in a global value chain driven world", *International Journal of Technological Learning, Innovation and Development*, Vol. 10, Nos. 3/4, 322-346

Davis, D,. R. Kaplinsky and M. Morris (2018), "Rents, Power and Governance in Global Value Chains", *Journal of World-Systems Research*, 2018, Vol. 24, No. 1., http://jwsr.pitt.edu/ojs/index.php/jwsr.

Hanlin, R. and R. Kaplinsky (2016), "South–South Trade in Capital Goods – The Market-Driven Diffusion of Appropriate Technology", *European Journal of Development Research,* pp. 1-18, doi:10.1057/ejdr.2016.18

Kaplinsky, R. and M. Morris (2015), "Thinning and Thickening: Productive Sector Policies in the Era of Global Value Chains"*, European Journal of Development Studies*, pp. 1-21, doi:10.1057/ejdr.2015.29.

Chataway, J.C., Hanlin, R. and Kaplinsky, R. (2014) Inclusive innovation: an architecture for policy development, *Innovation and Development Vol. 4 (1)* DOI: 10.1080/2157930X.2013.876800

Kaplinsky, R. and M. Farooki (2014). "Promoting Diversification In Resource Rich Economies", *Mineral Economics* , Vol. 27, No 2-3, pp. 103-113.

Kaplinsky, R. (2013), "What Contribution Can China Make to Inclusive Growth in Sub-Sahara Development and Growth?", *Development and Change,* 46(6), pp. 1-22.

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"What Does the Rise of China Do for Industrialisation in Sub-Saharan Africa?, *Review of African Political Economy,* 2008, Vol. 35, No. 115, pp. 7-22

"Value chain analysis: a tool for enhancing export supply policies", *International Journal of Technological Learning, Innovation and Development,* 2008, Vol. 1 No. 3 2008, PP 283-308 (with M. Morris).

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Kaplinsky, R. and M. Morris (2008), “Do the Asian Drivers Undermine Export-Oriented Industrialisation in SSA”, *World Development Special Issue on Asian Drivers and their Impact on Developing Countries,* Vol. 36, No. 2,.

“Globalisation, Inequality and Climate Change: What Difference Does China Make?”, *Geography Compass,* (2008), Vol. 2, No. 1, pp 67-78.

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“Revisiting the Terms of Trade Revisited: What Difference does China Make?”, *World Development*, (2006, Vol. 34, No. 6, pp. 981-995).

“A disaggregated analysis of EU imports: Implications for the study of patterns of trade and technology”, *Cambridge Journal of Economics,* Vol. 30, No. 4, pp. 587-612 (2006). (with A. Santos-Paulino)

‘Developing the Concept of Knowledge Leakage in Relation to UK Productivity’ *The International Journal of Knowledge, Culture and Change Management, 2006,* Vol 6, No 10, pp. 7-14. (with Coles, R., Walsh, K., Mohamed, S., Mynors, D., Grantham, A., Chan, P)

“Globalisation and upgrading: What can (and cannot) be learnt from international trade statistics in the wood furniture sector?”, *Industry and Corporate Change,* (2005), 14(4): 679-703 (with J. Readman).

“Innovation and competitiveness: Trends in unit prices in global trade”, *Oxford Development Studies* (2005), Vol. 33, Numbers 3-4, pp. 333-355 (with A. Santos-Paulino).

“Getting the Measure of the Electronic Games Industry: Developers and the Management of Innovation”, *International Journal of Innovation Management,* 2005 (with A. Grantham)., Vol. 9, No. 2, pp 183-213.

“Industrial policy in developing economies: Developing dynamic comparative advantage in the South African automobile sector”, *Competition and Change*, Vol. 8, No. 2, 2004, pp. 153-172 (with J. Barnes and M. Morris).

“The use of a lean production index in explaining the transition to global competitiveness: the auto components sector in South `Africa”, Technovation 24, 2004, pp. 199-206 (with Sakura Kojima).

“Developing capability through learning networks”, *International Journal of Technology Management and Sustainable Development,* Vol. 2, No. 1, 2003, pp 19-38. (with J. Bessant and M. Morris).

“Putting supply chain learning into practice”, *International Journal of Production Management,* (with J. Bessant and R. Lamming), Vol. 23, No.

2, (2003), pp167-184. (This paper won the prize for the best paper at the European Management Association's annual meeting in Bath in 2001).

"Governance Matters in Value Chains", *Developing Alternatives*, Vol. 9, No. 1, Winter 2003, pp 11-18 (with M. Morris).

"The Globalization of Product markets and Immiserizing Growth: Lessons from the South African Furniture Industry", *World Development*, 2002, Vol. 30, No. 7, pp. 1159-1178) (with M. Morris and J. Readman).

"Developing manufacturing agility in SMEs", *International Journal of Technology Management*, Vol. 22, No. 1, 2001 (with J. Bessant, S. Brown, D. Francis, and S. Meredith)

"Globalisation and unequalisation: What can be learned from value chain analysis?", *Journal of Development Studies*, 2000, Vol. 37, No. 2., pp 117-146.

"Is Globalisation really all it is cracked up to be?", *Review of International Political Economy*, Vol. 7, No 5. Winter, 2000, pp 1:21

"Developing the agile enterprise",(with J. Bessant, S Brown, S Meredith), *International Journal of Entrepreneurship and Innovation Management*, 2000, Vol 1, No. 3.

"Globalisation and trade policy reform: Whither the automobile components sector in South Africa?", (with J. Barnes), *Competition and Change*, Vol. 4, No. 2, 2000, pp. 211-243.

"Globalisation and the death of the local firm? The automobile components sector in South Africa", (with J. Barnes), *Regional Studies*, Vol. 34, No. 9, pp. 797-812., 2000.

"If you want to get somewhere else, you must run at least twice as fast as that!: The Roots of the East Asian Crisis", *Competition and Change*, Vol. 4, Number 1, 1999, pp. 1-30

"Trade Policy Reform and the Competitive Response in Kwazulu Natal Province, South Africa", *World Development*, Vol. 27, No. 4., 1999, pp. 717-737 (with M. Morris)

"Trade and Industrial Policy on an Uneven Playing Field: The Case of the Deciduous Fruit Canning Industry in South Africa", (with D. Kaplan), *World Development*, Vol. 27, No.10, 1998, pp. 1787-1802

"Concentration, competition policy and the role of small and medium sized enterprises in South Africa's industrial development", *Journal of Development Studies*, Vol. 35, No. 1, October 1998, pp. 139-161 (with Claudia Manning)

"Infant industries and industrial policy: a lesson from South Africa", *Transformation*, No. 34 (1997) (with Edmund Mhlongo), pp. 57-85.

"India's Industrial Development: An Interpretative Survey", *World Development*, 1997, Vol. 25, No. 5.

"'Economic Restructuring in South Africa: The Debate Continues': A Response", *Journal of Southern African Studies*, Vol. 20, No. 4, December, 1995, pp. 533-537.

"A Reply to Willmore", *World Development*, Vol. 23 No 3, 1995, pp. 537-540.

"Capital Intensity in South African Manufacturing and Unemployment, 1972-1990", *World Development*, Vol. 23 No 2, 1995, pp. 179-192.

"Industrial Restructuring: Facilitating Organisational Change at the Firm Level", *World Development*, Vol. 23 No. 1, 1995 pp. 129-142. (with John Bessant).

"Technique and System: The Spread of Japanese Management Techniques to LDCs", *World Development*, Vol. 23 No. 1, 1995 pp. 57-72.

"La nueva flexibilidad: promotora de eficacia económica y social", *Economia y Sociologiá del Trabajo*, Numero 19/20, Marzo-Junio, 1994, pp. 8-20.

'From Mass Production to Flexible Specialization: A Case-study of Micro-economic Change in a Semi-industrialised Economy', *World Development,,* 22/3, pp. 337-353, 1994.

"Export Processing Zones in the Dominican Republic: Transforming Manufactures into Commodities", *World Development*, November 1993 Vol 21 No 11, pp. 1851-1865.

"A Growth Path for a Post-Apartheid South Africa", *Transformation*, Vol 16, 1991, pp. 49-55

"TNCs in the Third World: Stability or Discontinuity?", *Millennium, Journal of International Studies*, Vol 20 No 2, 1991, pp. 257-268.

"'Teknolojik evrim' ve Uluslararasi Isbolumunde Ucuncu Dunya'nin Yeri", *Endustri Muhendisligi*, Vol 3 No 11 October 1991, pp. 23-31.

"A Policy Agenda for a Post-Apartheid South Africa", *Transformation*, Vol 12, 1990.

"Industrial Property Rights in the Uruguay Round and Beyond", *Journal of Development Studies*, Vol 25 No 3, 1989, pp. 373-400.

"'Technological Revolution' and the International Division of Labour in Manufacturing: A Place for the Third World?", *European Journal of Development Research*, Vol 1 no 1, 1989, pp. 5-37.

"Restructuring the Capitalist Labour Process: Some Lessons from the Car Industry", *Cambridge Journal of Economics*, Vol 12 No 4, 1988, pp. 451-470.

"Crisis in the World Economy: Some Consequences for Industrial Policy and South-South Trade in Technology", *Development and South-South Cooperation*, Vol III No 5, December 1987, pp. 52-66.

"Human Factors in the Labour Process and the International Division of Labour in Manufacturing", *Advanced Manufacturing Technology*, Vol 2 no 1, pp. 15-24, 1987.

"State Policies towards the Development and Diffusion of Microelectronics Technologies", *Vierteljahresberichte de Entwicklungslander forschung,* Nr. 103, March 1986, pp. 19-28.

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"The International Context for Industrialisation in the Coming Decade", in *Journal of Development Studies*, Vol 21 No 1, 1984, pp. 75-96.

"Computer-Aided Design: An Assessment of the Current International Economic Setting and Policy Implications", *Industry and Development*, No 11 pp. 43-57, 1982, https://digitallibrary.un.org/record/88396?ln=en.

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"Development Strategies in the Microelectronics Age", *Development Research Digest*, No 3, Spring, 1980.

"Microelectronics and the Third World", *Radical Science Journal*, No 10, 1980

"Capitalist Accumulation in the Periphery: The Kenyan Case Re-Examined", *Review of African Political Economy*, No 15, 1980.

"Inappropriate Products and Techniques in UDCs: The Case of Breakfast Foods in Kenya", *Review of African Political Economy*, No 14, 1980.

"Export Oriented Growth: A Large International Firm in a Small Developing Country", *World Development*, Vol 7, No 8/9, 1979, pp. 825-834.

'Accumulation and the Transfer of Technology: Issues of Conflict and Mechanisms for the Exercise of Control', *World Development*, Vol. 4, No. 3, pp 197-224, 1976.

'Health and Development Planning: Lessons from the People's Republic of China', *Journal of Development Studies*, January 1973. 9:2, 213-232, DOI: 10.1080/00220387308421438. (with S Rifkin)

CHAPTERS IN BOOKS

Kaplinsky, R. (2019), "Rent and inequality in global value chains" in S. Ponte, G. Gereffi and G. Raj-Reichert (eds.), *Handbook on Global Value Chains*, Cheltenham: Edward Elgar.

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Kaplinsky, R. (2016), "Global Value Chains, Where they came from, where they are going and why this is important", London**:** in J. Weiss and M. Tribe (eds.), *Handbook on Industrial Development*, Abingdon: Routledge

Kaplinsky, R. (2014), 'Bottom of the pyramid Innovation' and pro-poor growth in M.A. Dutz, Y. Kuznetsov, E. Lasagabaster and D. Pilat (eds.), *Making Innovation Policy Work: Learning from Experimentation*, Paris and New York: OECD and The World Bank.

Kaplinsky, R. (2014), Innovation for Pro-Poor Growth: From Redistribution with Growth to Redistribution through Growth", in G. A. Cornia and F. Stewart (eds.), *Towards Human Development: New Approaches to Macroeconomics and Inequality*, Oxford: Oxford University Press.

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"What Happens when the Market Shifts to China? The Gabon Timber and the Thai Cassava Value Chains", in O. Cattaneo, G. Gereffi and C. Staritz (eds.), (2010), *Global Value Chains in a Postcrisis World: A Develoment Perspective,* Washington, D.C.: The World Bank. (with A.Terheggen and J. P. Tijaja)

"Impacts and challenges of a growing relationship between China and sub-Saharan Africa" in V. Padayachee (ed.), *The Political Economy of Africa*, Abingdon: Routledge (with D. McCormick and M. Morris) (2010)

"The Asian Drivers and SSA: MFA Quota Removal and the Portents for African Industrialisation" in D. McCormick, J. A. Kuzilwa and T. Gebre-

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