



Integrating Food Security, Nutrition and Good Governance in District Development Planning Through Advocacy, Social Mobilisation and Capacity Strengthening

A Methodological Guide

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TABLE OF CONTENTS

	Page
LIST OF ACRONYMS AND ABBREVIATIONS	v
PART ONE: INTRODUCTION	1
1. Background: The Zanzibar Context	2
2. What concepts do we need to understand?	6
PART TWO: INTEGRATING FOOD SECURITY, NUTRITION AND GOOD GOVERNANCE IN DISTRICT PLANNING	13
1. What are we trying to accomplish?	13
2. Food Security and Nutrition in District Plans	13
3. Putting Good Governance in Practice in District Planning	25
PART THREE: ADVOCACY AND SOCIAL MOBILISATION METHODS TO INTEGRATE FOOD SECURITY, NUTRITION AND GOOD GOVERNANCE IN DISTRICT PLANNING	33
1. Building an Advocacy Strategy for Food Security and Nutrition and Good Governance in District Planning	33
2. Building a Social Mobilisation Strategy	40
PART FOUR: CAPACITY STRENGTHENING FOR DISTRICT FSN PLANNING APPLYING GOOD GOVERNANCE PRACTICES	43
1. A District Capacity Strengthening Plan	43
REFERENCES AND LEARNING TOOLS	47
ANNEX I: Relevant Policy Goals Contained in the Zanzibar Strategy for Growth and Reduction of Poverty (2007), Zanzibar Food Security and Nutrition Policy (2008) and the Zanzibar Food Security and Nutrition Programme (2008)	51
ANNEX II: Good Governance Practices Defined	55
ANNEX III: A Food Security and Nutrition Problem Tree	57
ANNEX IV: Example of a District Action Plan	59

List of Acronyms and Abbreviations

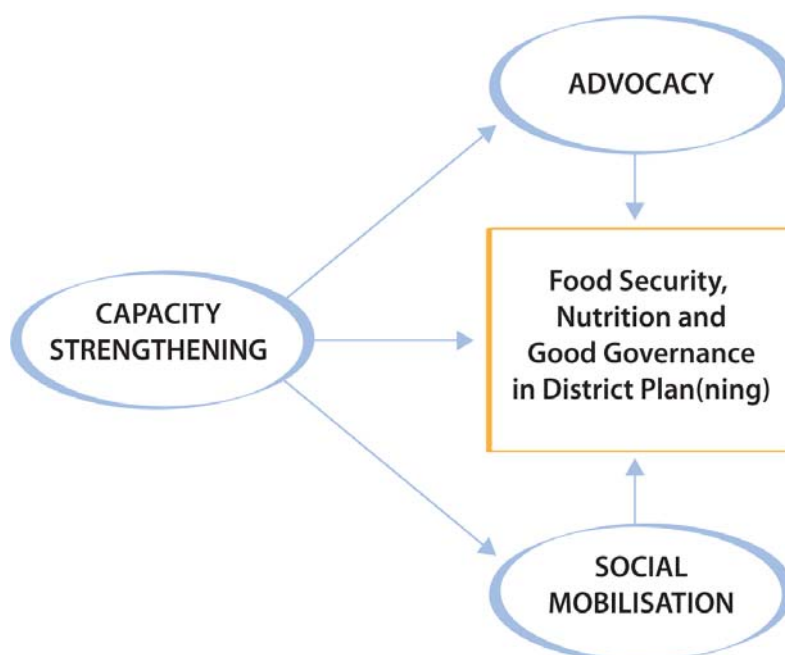
AIDS	Acquired Immune Deficiency Syndrome
DMT	District Management Team
FAO	Food and Agriculture Organisation of the UN
FSN	Food Security and Nutrition
GG	Good Governance
HIV	Human Immunodeficiency Virus
ISSC	Inter-Sectoral Steering Committee
MALE	Ministry of Agriculture, Livestock and Environment
MKUZA	<i>Mkakati wa Kukuza Uchumina Kupunguza Umaskini Zanzibar</i> (Kiswahili acronym for ZSGRP)
NFSND	National Food Security and Nutrition Division
NGO	Non-Governmental Organisation
PAP	Participatory Action Planning
PSO	Private Sector Organisation
ZFSN	Zanzibar Food Security and Nutrition (Policy/Programme)
ZSGRP	Zanzibar Strategy for Growth and Reduction of Poverty

Part One

Introduction

This methodological guide provides methodological and practical guidance to those contributing to strengthening the capacity of district and sub-district level actors to integrate food security, nutrition and good governance in district plans and planning. Effective advocacy and social mobilisation are important tools in the integration process, in addition to skill training. As trainers this will involve, in the first instance, food security and nutrition (FSN) experts, planners, communicators and community mobilisers. This guide is therefore directed to them. The district level actors whose capacity is to be strengthened are: district authorities and technical staff (district commissioner, district management team, and sector technical staff), *shehia* food security and nutrition committee members, and staff and members of non-governmental and community-based organisations. The capacity of regional and national level staff (planners, community development experts) who provide guidance and technical support to local level planners and technical staff is to be strengthened with respect to FSN planning and good governance practices. Outreach and advocacy is also to be extended to members of parliament who represent local constituencies.

The contents of this guide follow the diagram below. The objective is to integrate food security, nutrition and good governance in district plans and in district and sub-district planning processes. Advocacy, social mobilisation and capacity strengthening are the major tools to achieve this objective. The capacities of district and sub-district actors to advocate and mobilise for the achievement of this objective need, in many cases, to be additionally strengthened.



This guide is organised in four parts: an introductory part, a second part that deals with processes and methods to integrate food security, nutrition (FSN) and good governance (GG) in district plans and planning and a third part that details advocacy and social mobilisation strategies and methods to support the FSN and GG integration process. To conclude, the last part of the guide deals with the development of a district capacity strengthening plan. An instructional guide has also been developed to be used by trainers, in conjunction with this methodological guide.

In this introductory part of the guide, we set the stage by providing a Zanzibar-specific context for district and *shehia* level planning with a focus on integrating FSN issues and good governance practices. Next, several relevant key concepts are highlighted in order to provide a common understanding of these concepts and what they mean in practice.

Background: The Zanzibar Context

Policy and institutional environment of district FSN planning

The current Zanzibar policy framework for food security, nutrition and good governance is defined by: (i) food security, nutrition, good governance and human rights priorities established in the Zanzibar Strategy for Growth and Reduction of Poverty (ZSGRP); (ii) Zanzibar Food Security and Nutrition Policy; and (iii) Zanzibar Food Security and Nutrition Programme. The ZSGRP was approved in January 2007, and the latter two in April 2008. These will be complemented soon by the National Food Security and Nutrition Act of 2010, which provides the legislative basis for the institutional framework for the implementation of the Policy and the Programme.

The Good Governance and National Unity Cluster of the ZSGRP have as its overall objectives to ensure a society governed by the rule of law and a government that is predictable, transparent and accountable. Policy goals under this Cluster are: (i) equitable allocation of public resources, improved service delivery and civil service reform; (ii) a strong legal framework to support economic growth; (iii) strengthening institutions of oversight and accountability, among others, through enhanced public awareness and access to information; and (iv) promotion and facilitation of the enjoyment of human rights, among others, through enhanced human rights awareness and observance.

The Zanzibar Food Security and Nutrition Policy has the following objectives:

- Improve food availability through enhanced domestic food production and more efficient food marketing and trade;
- Increase purchasing power and access to food for all resource-poor households;
- Improve utilisation of adequate, nutritious, safe and high quality food for all members of the household;
- Reduce vulnerability to food insecurity and malnutrition for resource-poor population groups through well-targeted social protection measures, effective national emergency preparedness, and direct food emergency measures;

- Improve and sustainable management of the environment, and of land and marine resources.

Readers are encouraged to consult the ZSGRP, and the Zanzibar Food Security and Nutrition Policy and Programme documents. A brief summary of the most relevant policy goals and operational targets contained in each document is provided in Annex I.

These policy priorities, goals and needed measures were defined based on the results of a food security and nutrition situation analysis, which was conducted in 2006. The analysis identified and characterised the most vulnerable livelihoods groups in Zanzibar and the food insecurity and malnutrition risks that they faced. The analysis also included an institutional assessment of governmental agencies, in an effort to identify institutional capacity strengthening needs. The policy environment related to food security and nutrition in Zanzibar was also assessed through a sector policy review. Readers are hence encouraged to consult the 2006 food security and nutritional situational analysis of Zanzibar. (Referenced in the *References and Learning Tools* at the end of this guide)

In the preamble of the Zanzibar Food Security and Nutrition Policy, H.E. President Amani A. Karume reaffirms the Government's commitment to the realisation of the right to food. Policy implementation principles have strong human rights/good governance underpinnings. These are re-affirmed in the Act of 2010, in which they are more operationally defined. Below we shall deal with these principles in detail and examine what they mean in practice.

At the national policy level, policy guidance and inter-sectoral coordination will be provided by the Inter-Sectoral Steering Committee (ISSC), a permanent body with membership of principal secretaries of all key ministries, involved in addressing food security and nutrition issues. The Committee is chaired by the Principal Secretary of the Ministry of Agriculture, Livestock and Environment (MALE), and will monitor progress in achieving food security and nutrition goals and targets. A National Food Security and Nutrition Division (NFSND) is to be established in MALE and will operate under the overall direction of the ISSC, for which it will function as a technical secretariat for the coordination and monitoring of food security and nutrition measures. Technical guidance is to be provided by the Stakeholder Technical Committee, which will advise both the ISSC and the NFSND on technical matters, related to food security and nutrition. Readers are encouraged to read the full Zanzibar Food Security and Nutrition Programme document that details the responsibilities and mandates of the various bodies of the food security and nutrition implementation framework.

According to this institutional framework for the implementation and coordination of food security and nutrition measures at all levels, districts and *shehias* are expected to play an increasingly important role, which includes directly assisting communities and grass roots groups with identifying their priorities and implementing corresponding actions.

District management teams (DMT) will have the mandate to oversee and monitor the implementation of food security and nutrition measures in the district.

They will be responsible for providing support to district and community development plans and budgets. The district planning officer, acting as Secretary to the DTM, will be the liaison person for food security and nutrition issues and actions. Responsibilities of the DTM with respect to food security and nutrition will include: (i) identification of capacity strengthening needs at district and community levels; (ii) support the identification of food security and nutrition issues and their adequate integration into district development plans; (iii) provide technical guidance to the implementation of the Zanzibar Food Security and Nutrition Policy and Programme; (iv) preparation of monitoring reports of the implementation and progress with food security and nutrition interventions; and (v) liaise closely with the National Food Security and Nutrition Division of MALE to ensure inter-institutional coordination.

Food security and nutrition committees are to be established at *shehia* level to administer and mobilise active participation of communities in activities towards addressing food security and nutrition issues. The committees will be responsible for identification, endorsement, facilitation and monitoring of community food security and nutrition projects. Furthermore, they will be responsible for: (i) mobilising technical support and financial resources for community based projects; and (ii) promoting group formation and sensitising grass roots groups about food security and nutrition risks and ways of addressing these risks.

The current status of district planning

Development planning in Zanzibar is, at present, still centralised. Basically, sectors at a central level annually draw up plans and budgets in coordination with regional governments. Once these sector plans and budgets have been approved, regional governments assist districts in drawing up their plans and they are assigned a budget. District councils also collect certain taxes, mostly from local retail trade. These are, however, a minor source of district revenue.

Districts in Zanzibar proceeded in 2008 to draw up district profiles which cover demographic, economic, social and poverty characteristics of the district, making use of disaggregated national surveys, such as the 2004/5 Household Budget Survey, as well as routine health data systems¹. The district level data was then compared to national averages to examine whether the district conditions fall below or above national averages. The data used in the profiles is often not recent. The district profiles were used in 2009 to formulate strategic plans for the period 2009-2012. The district strategic plans cover: (i) vision, mission and overall objective; (ii) specific objectives, strategies and district level targets; and (iii) how these are to be monitored and evaluated. An activity plan, with time lines, is also included and is linked to objectives and targets. The specific objectives may either refer directly to improving household food security and reducing poverty, or to improving related factors, such as rural infrastructure, health conditions, management of HIV/AIDS interventions, and sustainable improvements in the environment. Improved capacity of district institutions and actors is also referred to as an objective.

¹ The descriptions are based on a review of the profiles and strategic plans of Chake Chake and Kusini Districts. (Pemba and Unguja Islands, respectively)

Two challenges can now be highlighted. The first relates to the district three-year strategic plans and the annual sector plans and budgets which need to be aligned. This means that sector plans should accommodate district level strategic objectives and targets, as well as technically and financially support intervention strategies and activities contained in the district strategic plan. This requires strong two-way communication between districts and central sectors. The latter need to be fully aware of the district strategic plans, of their objectives, targets, and proposed strategic interventions. At the same time, the districts and, in particular, members of the district management team need to be fully informed about how and what technical and financial support can be provided by various sectors for the implementation of the district strategic plan.

The second challenge relates to the integration of food security and nutrition (FSN) in the district strategic plans. So far, these plans are not based on an integrated FSN analysis at a district level, which lays out the strong sector linkages with FSN. Consequently, the plans have been formulated on a sector-by-sector basis. At the same time, district plans contain little in the way of FSN priorities, objectives and strategies. These, once incorporated in the district plans, should be coherent with the broad FSN policy framework, as found in the MKUZA and the Zanzibar Food Security and Nutrition Policy and Programme, while at the same time should be designed to address local reasons for food insecurity and malnutrition among vulnerable groups and communities in the district.

Current food security and nutrition situation in Zanzibar

A food security and nutrition situation analysis was produced in 2006. Some of the main findings will be highlighted here; however, readers are encouraged to consult the full report. (See *References and Learning Tools*) An update of the situation analysis should be available soon. National food availability is characterised by a high dependence on imported foods: about 40% of the total food supply is made up of imported foods. Most of the remainder is produced by the subsistence farming sector which suffers from low productivity in food production. Household food insecurity is highly prevalent in urban as well as rural areas. Poverty is the main cause, with half of the population living below the basic needs poverty line. (13% live below the food poverty line). Food poverty is more prevalent on Pemba Island: the Districts of Micheweni, Wete and Chake Chake have the highest prevalence of food poverty among all ten Zanzibar districts. The livelihood groups that are most vulnerable to food insecurity are artisanal fisher folks and firewood collectors in the semi coral fishing zones, particularly, in southern Unguja Island. Factors that make household access to food particularly vulnerable for a sizeable segment of the population include: sharp rising food prices (particularly of imported foods), significant year-to-year fluctuations in rainfall (most agriculture is rain fed), low livelihood diversification, economic dependence on external tourism, inefficient agricultural marketing, significant post-harvest losses, HIV/AIDS pandemic and external trade conditions for both exports and imports.

Achieving and maintaining an adequate dietary energy and nutrient intake all year round is a challenge for most of the population, primarily for women and children. About 23% of children under the age of five are chronically undernourished; children under the age of five on Pemba are more often chronically undernourished

than those on Unguja. Close to one-fifth of all adult women also are undernourished, but a somewhat higher percent are overweight, which constitutes a chronic health risk. A significant segment of the population also suffers from inadequate levels of (micro) nutrient intakes, namely of iron, vitamin A and iodine. Children and women are significantly affected: among children under five, two out of every five, suffer from vitamin A deficiency, and three out of four from iron-deficiency. Among adult women, six out of every ten suffer from iron-deficiency.

The relatively poor nutritional status of the population can be explained, in part, by a number of health conditions in Zanzibar that in turn contribute to poor nutritional status, which are: a high incidence of malaria, diarrhoea and acute respiratory infections, particularly among children resulting frequently in death, when the child is nourished poorly.

What Concepts Do We Need to Understand?

Looking at the goal statement, some terms stand out: food security, nutrition security, vulnerability and good governance. The goal is to be accomplished by implementing advocacy and social mobilisation strategies and methods, in addition to capacity strengthening of key stakeholders. These concepts will be briefly reviewed in this section. This review is deliberately kept short however, a number of references have been included, for those who wish to read more about these terms. (See *References and Learning Tools*)

Food Security

So much has been written about the concepts of food security and nutrition security. Here, the most important elements of these concepts are merely highlighted. Readers who wish to acquire a more detailed understanding of these concepts will find a number of references at the end of this guide.

Food security exists when people have, at all times, physical and economic access to sufficient, safe and nutritious food for an active and healthy life. *Household food security* means that all members of the household are food secure. Thus, when one or more of these conditions do not exist, people suffer from *food insecurity*. Household food insecurity means that one or more members of the household are food insecure. Food insecurity can be caused by unavailability of food, lack of sufficient purchasing power to acquire food and/or lack of capacity to produce sufficient, safe and nutritious foods. People or households that suffer from periods where they lack physical and economic access to sufficient, safe and nutritious foods, while having adequate access at other times, are still considered food insecure. We know, for instance, that the availability of certain foods varies from season to season or people who have seasonal jobs, for example in the tourist industry, have more money to buy food when they are employed than when they are not. The safety of certain foods may also be at risk during certain seasons, for instance, when there is water scarcity.

Food insecurity can thus be chronic (meaning be present most or all of the time), seasonal, or transitory which is when an extraordinary event occurs that results in people being food insecure yet after a while they are able to restore adequate food access. When people or households suffer from food insecurity, their right to adequate

food is not realised. Below we define what the right to adequate food means and what additional conditions have to be fulfilled for people to fully enjoy their right to adequate food – the major policy objective expressed in the Zanzibar Food Security and Nutrition Policy.

Nutrition Security

Nutrition security means that a person, at all times, enjoys an optimal nutrition condition for an active and healthy life. An optimal nutrition condition is relative to age, desired life style, and physiological condition, and covers both quantitative (dietary energy requirements) and qualitative (protein, mineral and vitamin requirements) aspects. Persons who at no time, or only sometimes, enjoy an optimal nutrition condition, are nutritionally insecure. As with food insecurity, *nutrition insecurity* can be chronic, seasonal or transitory. Persons can be nutritionally insecure due to food insecurity, or due to non-food causes, such as poor health and sanitation conditions, which result in certain diseases that affect the body's absorption of food. Nutrition security means the permanent enjoyment of the right to adequate food and the right to health.

Also relevant to our discussion of food security and nutrition security is the concept of *vulnerability*. In the present context, vulnerability refers to the presence of factors that place people at risk of becoming food insecure or malnourished, or in the case where they are already food insecure or malnourished, to become even more so. These factors may also affect people's capacity to deal with or resist negative impacts on people's access to adequate food and/or on their nutritional status. Vulnerability thus combines exposure to one or more risk factors and the capacity to withstand the effects of that risk or those risks. People or households which are exposed to certain risks but have adequate capacity to deal with those risks and maintain or quickly recover adequate access to food, are not considered vulnerable. On the other hand, people or households which have little or no capacity to safeguard their access to food, even when confronted with a minimal risk factor, are considered vulnerable or even highly vulnerable. One can think of vulnerability in terms of degrees, depending on the combination of: (i) the extent of exposure to risks (and the types of risks) and (ii) the capacity to compensate for the effects of those risks on the adequacy of food access or on the condition of one's nutrition. Food insecure people or households are also vulnerable, because any exposure to a risk will further aggravate their food insecurity condition.

What are some of those risks factors to which vulnerable households or people may be exposed? They can be grouped as follows: (i) climatic and environmental changes, such as droughts, floods, environmental degradation, deforestation; (ii) demographic and economic changes, such as rapid population growth, sharply rising consumer prices or falling producer prices, large-scale loss of employment; (iii) health and diseases, such as HIV/AIDS pandemic, high malaria incidence, plant pests; (iv) wars and armed conflicts that lead to population displacements; and (v) laws, policies and regulations that adversely affect the resource-poor and their access to adequate, safe and nutritious foods.

Several food security risk factors have been identified in Zanzibar. These include; (i) environmental degradation because of over-exploitation of natural

resources, including marine resources, and because of poor waste management practices; (ii) rapid population growth resulting in expanding urban settlements; (iii) rising food prices due to high dependence on imported foods and currency devaluation; (iv) high incidence of HIV/AIDS and malaria; and (v) the tourist industry which is highly sensitive to external economic conditions in creating domestic income and employment.

Malnutrition

People suffer from *malnutrition* when they have a physiological condition that may be caused by a consistently deficient intake of energy, protein, and/or of vitamins and minerals, or by a consistently excessive intake of one or more of these, relative to their requirements. Malnutrition thus comprehensively refers to all forms of under- and over-nourishment, and/or to consistently deficient intakes of protein, vitamins and minerals. The brief description presented above of the current nutrition situation in Zanzibar, indicates that indeed malnutrition is a significant problem.

Right to Adequate Food for All

The *right to adequate food* has been defined as a **human right**, inherent in every woman, child and man, “to have regular, permanent and unrestricted **access**, either directly or by means of financial purchases, to quantitatively and qualitatively adequate and sufficient food corresponding to the cultural traditions of people to which the consumer belongs, and which ensures a physical and mental, individual and collective fulfilling and dignified life free of fear.”² As a human right, people are born with the right to adequate food, along with all other human rights. This definition essentially builds on the definition of food security (see above), but adds that: (i) food that is accessed corresponds to people’s cultural traditions; (ii) ways of accessing food should fully respect human dignity; (iii) individuals, alone or in community with others, have at all times the physical and economic means of acquiring adequate and sufficient food; and (iv) foods should contribute to a high level of individual well-being. The right to adequate food is fully realised when every man, woman and child in a society, alone or in community with others, have the physical and economic access at all times to adequate food or means for its procurement.³ The right to be free from hunger is often described as the minimum core content of the right to food, and it is more pressing and immediate to ensure freedom from hunger.

There is a lot of misconception about the concept of the right to adequate food. Therefore, it is useful to highlight what the right to adequate food is **not**. It is not: (i) equal to the right to be fed; (ii) a western concept; (iii) voluntary; (iv) a development fad; (v) ideological or only legal concept; (vi) an FAO invention; (vii) unnecessary; (viii) too demanding on governments or requiring a big government; (ix) too expensive for governments; and (x) a threat to the national economy. Most important is that, the right to adequate food does not mean that all members of society should receive free food from the government, except in exceptional circumstances, such as emergencies when the right to life is at stake. Governments should not make decisions that negatively affect the realisation of the right to adequate food, but instead should

² UN Special Rapporteur on the Right to Food (2002)

³ General Comment 12, UN Committee on Economic, Social and Cultural Rights

pro-actively protect people's right to food, and should assist people through effective policies and programmes to adequately feed themselves in ways that fully respect human dignity.

Good Governance

In short, governance refers to the ways in which public affairs are conducted and public resources are managed, and to the processes by which decisions are made and implemented. This definition emphasises governance in the public sector, which for our purposes is the most relevant⁴. However, it can also refer to the process by which competing priorities and interests of different groups are reconciled, and thus how government and private citizens inter-act, involving mechanisms and processes for citizens to express their interest and priorities, mediate differences between private and public interests, and to exercise legal rights and obligations. Both formal institutions and informal arrangements are part of governance structures. The ultimate desired outcome is the realisation of human rights for all members of society.

In order to know whether actual governance practices are “good”, we need to have a standard against which to examine those practices. This allows us to determine where they fall short and when they can be labelled good governance practices. For this purpose, we may adopt an eight item checklist that has been developed to characterise good governance⁵. Generally, a checklist indicates a set of standards/norms against which to assess real conditions. In this case, we can examine actual governance practices to see whether these apply the principles included in the checklist. If we find that this is the case in most or in all of the cases, we may conclude that those practices in reality are good governance practices.

The governance practices should:

- be participatory;
- build consensus among multiple stakeholders;
- respect the rule of law;
- be efficient and effective;
- contain ways to hold governance actors accountable;
- be transparent;
- be responsive to the needs of various stakeholder groups;
- provide equitable outcomes and be inclusive.

The last criterion can also be interpreted to mean being non-discriminatory. In Annex II, we have provided a brief explanation of what each of these items included in the checklist means in practice. When examining actual governance practices, we will most likely find that they will not meet all of the good governance standards, calling thus for improvements in one or more aspects. In Part Two of this guide we will discuss how to give these terms an operational meaning in district FSN planning.

The first point to make is that the implementation principles of the Zanzibar Food Security and Nutrition Policy largely coincide with this checklist. Thus, as

⁴ Corporate governance refers to governance practices in the private corporate sector.

⁵ UN ESCAP 2009

pointed out before, the Government is committed to implement the Policy applying good governance principles and practices. The second point is that, as participants in the FSN Policy implementation structure, district authorities, district management teams and *shehia* food security and nutrition committees should also adopt and apply good governance practices in the planning, implementation and monitoring of food security and nutrition actions. Thus, we focus on what has been referred to as local governance. The role of sector ministries, the National Food Security and Nutrition Division of MALE, the Ministry of Regional Administration and Special Departments and the Ministry of Constitutional Affairs and Good Governance is to assist districts and *shehias* with the implementation of good governance practices and contribute to an enabling environment through capacity strengthening, while creating commitment to good governance.

Advocacy

Much has been written about advocacy and social mobilisation. A number of useful references have been cited in the section *References and Learning Tools* (at the end of the guide) which can be consulted by the reader who may have a broader interest in these subjects. Here we briefly review these terms.

Advocacy involves inspiring, motivating or influencing someone to do something or to decide to do something differently. The “something” may involve a new action, or a change in a routine or past action. Advocacy is effective when the new action, or change, is actually implemented, or an honest effort is made to implement it, as actual implementation may also depend on decisions or actions by others who were not reached by the advocacy effort. The person who is trying to inspire, motivate or influence someone else to do something is then the advocate. We all know or have listened to advocates, for instance, persons who argue in favour of, a change in government policy, a new government programme, government providing more information to citizens, or people acting in more responsible ways with respect to the environment or being more concerned about their own health.

Communication of information is an instrument of advocacy: by transmitting certain information (such as knowledge, facts, messages, opinions, questions and answers, etc.) a position can be formulated with respect to the need for a new action or a change. Effective communication is an important tool for the advocate. The communication effort is effective when the decision maker has a better understanding of a topic, has understood the message therefore can formulate a new opinion or point of view. The information needs to be expertly interpreted, and the position then needs to be expressed in concrete recommendations for action. Often advocacy efforts are ineffective because the person who needs to decide about an action or change is not presented with actionable recommendations about which to make a decision.

Social Mobilisation

Social mobilisation has been defined in different ways. (See *References and Learning Tools*) However, within the context of district FSN planning, we may refer to social mobilisation as an inclusive process aimed at engaging all stakeholders in addressing local level food security and nutrition problems from a multi-sectoral perspective. It thus involves reaching out to decision makers, technical staff, non-

governmental organisations, local level leaders, private sector representatives, and grass roots and community groups (each of which constitute a stakeholder group). Social mobilisation methods are designed to empower these different groups to contribute to solving FSN problems, looking for complementarities in their relative spheres of action, and taking full account of the felt needs and priorities of the people in the *shehias* and communities. Participation and empowerment are thus the centre pieces of social mobilisation efforts.

Communication of information and advocacy are tools of social mobilisation. All stakeholder groups need to have a clear understanding of the food security and nutrition problems in the community, *shehia* or district, of what causes these problems, who is most affected and why. Advocacy is needed to initiate productive dialogue among these groups, and thus change the ways in which these groups normally interact or, more often, do not interact. Change is also needed in attitudes, in the sense that, relationships are not hierarchical but rather are partnerships among equals with each partner group contributing something to help address FSN problems, whether it is knowledge, time, or resources.

With whom should we be communicating? At whom should advocacy be directed? And who should be mobilised? Taking note of the institutional structure for food security and nutrition in Zanzibar, as outlined above, we should aim FSN advocacy at, and communicate in the first instance with, district authorities, district management teams and *shehia* food security and nutrition committees. “We”, in this instance stands for communicators, trainers and advocates who are outsiders, who are not members of these groups. However, from a longer term perspective, an additional goal is to turn through capacity strengthening, members of these groups into effective communicators, trainers and advocates so that they can reach out to other districts authorities, district management teams, *shehia* FSN committees, as well as community-based groups.

Part Two

Integrating Food Security, Nutrition and Good Governance in District Planning

What Are We Trying to Accomplish?

As a start-off point we need to agree on what is it that we are trying to accomplish - what the goals are. In fact, the principal goals are that:

- District development plans contain goals and priorities related to the food security and nutrition situation in the district and define programmes and actions designed to achieve those goals and priorities through inter-sectoral coordination, and by targeting the food insecure, malnourished and vulnerable residents of the district;
- Formulation, implementation and monitoring of district plans are carried out in accordance with good governance principles and practices by all stakeholders based on the normative elements contained in the district plans.

Furthermore, we can specify the following operational goals, namely that:

- Adequate human and financial resources are put into place to implement the district plans in effective and efficient ways;
- There is popular and institutional support for food security and nutrition actions and for the implementation of the Zanzibar Food Security and Nutrition Programme at district, *shehia* and community levels;
- Grass roots constituencies exist and they are empowered to effectively participate in the formulation, implementation and monitoring of district plans and community actions.

In this part of this guide we discuss ways and methods to achieve the two principal goals, while in Parts Three and Four we discuss advocacy, social mobilisation and capacity strengthening methods to achieve the operational goals.

Food Security and Nutrition in District Plans

Challenge: Integrating Food Security and Nutrition in District Plans

So what would we like to see in the district plan? Referring back to the goal statement above, we are working towards district plans that contain goals and priorities related to the food security and nutrition situation in the district. In addition, we are defining programmes and actions designed to achieve those goals and priorities through inter-sectoral coordination and broad participation, as well as

targeting the food insecure, malnourished and vulnerable residents of the district. This goal statement can be translated into a checklist which is presented in the box below.

Checklist to Integrate Food Security and Nutrition in District Plans

- ✓ Food insecure, malnourished and vulnerable groups in the district, their livelihood assets, strategies and activities, and their location in the district, are all identified and described.
- ✓ For each livelihood and vulnerable group, the reasons of why they suffer from food insecurity and/or malnutrition, or why they are vulnerable to these, have been analysed and are agreed upon by all stakeholders.
- ✓ Objectives and strategies to address major reasons for food insecurity and malnutrition are specified. The links between FSN objectives of the plan and the national food security and nutrition policy objectives contained in the MKUZA and the Zanzibar Food Security and Nutrition Policy and Programme are outlined.
- ✓ FSN targets and benchmarks linked to the objectives of the plan are specified, and are specific for the district.
- ✓ Programmes and actions are included to address within specific timelines food security and nutrition problems in various livelihood and vulnerable groups. (FSN plan of action)
- ✓ A full costing of the FSN plan of action, with buy-ins of various sectors and by other sources of funding has been undertaken and is included.
- ✓ Stakeholder groups both in district government and outside are identified and their roles are described. This includes community and grass roots groups.
- ✓ How programmes and actions that involve various sectors will be coordinated, and when needed, details on how they will work hand-in-hand. Which institutional group or individual will have the responsibility to ensure effective coordination among various sectors and stakeholder groups?
- ✓ Monitoring framework of the district action plan. A full description of:
 - How the implementation of the FSN plan of action and achievement of FSN benchmarks, targets and plan objectives will be monitored, including what process and impact indicators will be generated and what sources of monitoring information will be relied upon.
 - A schedule of monitoring outputs dealing with FSN issues targeted at various stakeholder groups.
 - How the district FSN plan monitoring system will interact with the national FSN monitoring system, i.e. the use of disaggregated national survey data, and the district-specific information to be contributed to the national FSN monitoring system.

Some notes on this nine point checklist are in order. The checklist as a whole represents a large agenda. Ideally, it is what we would like to see in the district plan. It

may not be possible to introduce, all at once, all these items but it is useful to have a clear vision of what integration of food security and nutrition in district plans means, and the work needed towards this end over time. One of the reasons is that the first two points require substantial data and information to conduct the food security and livelihoods vulnerability analysis, and all of the needed data and information may not be immediately available. This issue is dealt with below.

The national FSN policy objectives should be taken as a general reference, but the objectives and strategies of the plan, and consequently the benchmarks and targets, should be specific for the district. Why? Because the “starting point” differs among districts: some are better off in terms of food security and nutrition, and some are worse off. This link between national policy objectives and the objectives of the district plan is often overlooked. In a recent district level training workshop in Zanzibar, participants were asked to link high priority FSN problems in the district to national FSN policy objectives. An extract of this exercise, conducted during a training workshop for staff of District North A in January 2008, is presented in the box, which follows. The starting points were FSN problems identified in the district, but since in general national policy goals are defined broadly, it is usually not difficult to establish the links.

<u>District FSN Problem</u>	<u>Operational Objective</u>	<u>Relevant National Policy Priority</u>
High prevalence of protein-energy malnutrition & micro-nutrient deficiencies	Improved utilisation of nutritious and high quality foods	ZFSN Policy, Goal 3
Low & non-sustainable household production	Increased food crop production among food insecure households	ZSGRP, Cluster 1, Goal 3 ZFSN Policy, Goals 1&2

Source: Final Report, Training Workshop, District North A, Unguja, Zanzibar, January 2008

The FSN plan of action is not meant to be a separate plan. Rather, it consists in a set of activities that are fully integrated in the complete plan of action however produce outputs that contribute to achieving FSN objectives. Thus, it may include activities that have a direct objective of improving household food access or nutrition in a specific group, (for example: food crop diversification among small-scale farmers, investment in boats and fishing gear to increase catches of traditional fishing folk, skill building among low-skill workers in tourism, women’s income generation activities in wood-collecting households, or food and nutrition education for seaweed growers), or activities that are expected to contribute more indirectly to better household access to food or improved nutrition (for example: improved water supplies and sanitation, malaria prevention interventions, rural roads construction, or improved food marketing facilities). What is important is that the plan of action addresses the main reasons for which people have poor access to safe and healthy foods and/or are suffering from nutritional deficiencies.

As was also indicated in Part One, various stakeholder groups can normally be identified, in and outside the government sector, and at central, district and *shehia* levels. Thus, stakeholder groups include: district authorities, district management teams, *shehia* food security and nutrition committees, central and regional staff, food marketing institutions, and non-governmental organisations and community-based and grass roots groups that operate in the district. Good governance practices mean that the formulation of the plan involves participation by all stakeholder groups, an issue we shall re-address below. In order to achieve this, a stakeholder mapping exercise (see below) should be undertaken to identify these groups and understand their roles in relation to addressing food security and nutrition problems.

The plan needs to be precise with respect to how coordination among sectors involved in implementing the FSN plan of action is to take place. For example, what responsibilities will the district administrative officer, the district planning officer and the district management team have to ensure inter-sectoral coordination? How will coordination with sectors at a central level take place? These considerations apply of course to the whole plan, but are particularly relevant for FSN issues because they require coordinated multi-sector actions.

The monitoring of both the implementation of the plan and the achievement of objectives, benchmarks and targets is essential for a dynamic planning process and to provide information on governance practices. This latter will be discussed below. A clear two-way link needs to be established between district level FSN monitoring and monitoring the objectives and targets of the national FSN policy and programme. The latter will partially depend on aggregating monitoring information from districts, while districts will depend on disaggregated data from national surveys and other sources. Monitoring is of course a good instrument of holding stakeholders accountable and thus the plan should specify what monitoring information outputs are to be produced, when they are to be produced and at whom they should be targeted.

Methods to Support the Planning Process

A planning cycle can normally be divided into five stages. To date, the district level planning process in Zanzibar does not consist of these five stages. These stages however provide a framework within which to consider what methods to use, so that the district plan will eventually contain some or all of the elements on the FSN integration checklist. Between Stages 4 and 5 is of course the implementation of the district action plan. Monitoring of the district action plan should provide information useful for the preparation of the next planning cycle, as well as help update the district profile.

Stage 1: Formation of the planning team, mobilisation of stakeholders and organisation of the work

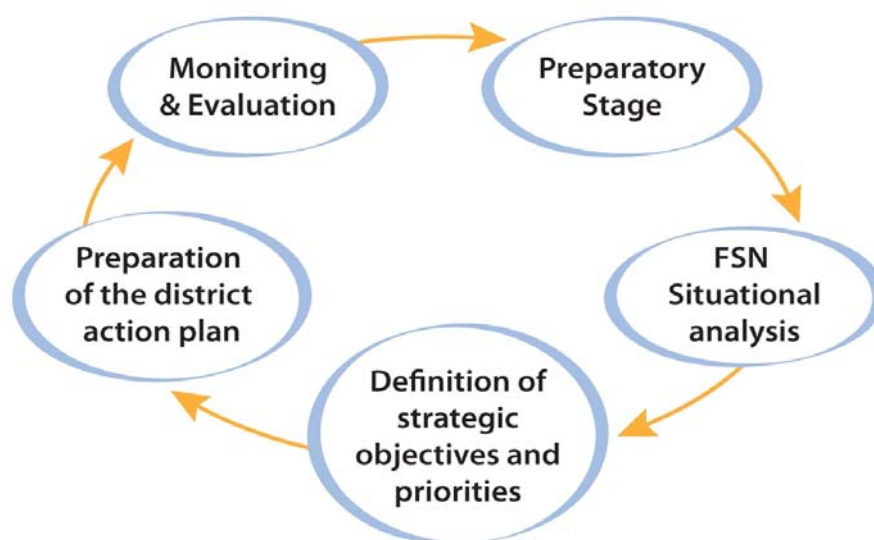
This is the preparatory “getting started” stage. In the case of Zanzibar, the ZFSN Policy and Programme defines the district management team as the planning team, supported in that role by the district planning officer. During this stage, the planning team decides on:

- its strategy to mobilise other stakeholders in the district;

- what capacities need to be strengthened and how to address those needs;
- how to organise and conduct the planning process;
- its work plan and needed resources to undertake the planning process.

We deal in greater detail with aspects of the mobilisation of other stakeholders in Part Three and with capacity strengthening in Part Four. What is important here is that the planning team understands the relevant FSN & GG concepts, and has the necessary skills to design, implement and/or interpret the district situation analysis and profile (Stage 2) as a basis for establishing strategic objectives and priorities (Stage 3). Furthermore, during this stage, how to incorporate good governance approaches in the planning process should be decided. We expand on this in the second half of Part Two.

Five Stages of the Planning Process



Stage 2: Conduct the situation analysis and prepare the district profile

This is where the planning process truly starts. What planning decisions are made during the next three stages depend squarely on the information obtained from the situation analysis. This information needs to be synthesised, i.e. interpreted within a systematic framework to arrive at certain conclusions for action.

The situation analysis can be divided into two parts. The first part covers the food security and nutrition situation (as inter-sectoral issues) in the district. The particular focus is on which population groups are food insecure and/or suffer from malnutrition, as well as what policy and programme responses are evident in the district to address food insecurity and malnutrition problems, along with what effects. The second part of the situation analysis should consider good governance practices in all governmental institutions and non-governmental organisations that operate in the district and that focus their actions on addressing food security and nutrition related problems in the district. The institutions and organisations, including grass roots and community groups, need to be identified as part of the stakeholder group in the

district, and then their governance practices examined. In the case of the district management team, this will involve a self-analysis with respect to its governance practices. In Part One and in Annex II what constitutes good governance practices was briefly discussed. We elaborate on good governance practices during the planning process below. The good governance check list may serve to analyse governance practices of institutions, organisation and grass roots groups.

Checklist for a District Situation Analysis Focused on Food Security, Nutrition and Governance

- ✓ Actual situation in the district with respect to food availability and general food access. How stable has food availability and access been over the last years, and what are the general health and nutrition conditions? What are macro factors that impact on food availability and access, and on health and nutritional outcomes?
- ✓ Emergency conditions or shocks that have recently occurred in the district (define locations) and which are likely to re-occur, as well as their impacts on food availability and access, and health and nutrition outcomes?
- ✓ Which are the most food-insecure population groups, where are they located in the district and what are their numbers? (individuals, number of households) What are their livelihood characteristics and strategies, and what are the reasons that each livelihood group suffers from food insecurity?
- ✓ Which population groups suffer from different types of malnutrition, where are they concentrated and what are their numbers, and what are the reasons that they suffer from malnutrition?
- ✓ What national policies and programmes address the food security and nutrition problems in the district, and what is the evidence with respect to their being effective?
- ✓ What actions (programmes, projects, and community-based actions) are implemented in the districts that address one or more food insecurity and/or malnutrition problems in the district, and what evidence exists that these actions are effective?
- ✓ Institutions and organisations, including grass roots and community groups, that are part of the FSN stakeholder group in the district.
- ✓ Governance practices implemented in all governmental institutions and non-governmental organisations in the district that focus their actions on addressing food security and nutrition related problems in the district.

A Menu of Information Gathering and Analysis Methods to Select From

This is not the place to go into detail about various methods. Much of the detail can be found in the references, including the learning tools, listed in the *References and Learning Tools* section at the end of the guide. We shall merely list these methods and techniques here with a brief description, divided by the three phases of preparing the situation analysis: (i) generating information; (ii) information synthesis and analysis; and (iii) sharing findings and conclusions resulting from information analysis.

Methods to Analyse FSN Information

- *Baseline food security assessment*: Focuses on structural reasons for food insecurity and malnutrition in the district, for planning actions that have medium to long term impacts.
- *Action oriented assessment*: Focuses on short-term or emergency conditions and their impacts on livelihoods, food security and nutrition, to plan emergency mitigation actions that have an immediate impact; an action-oriented assessment can also be applied to periodically updating parts of the baseline assessment that are subject to frequent change.
- *Livelihood assessment*: Centres on people's priorities and needs within a livelihood framework. It focuses on how people's livelihood strategies affect their food security and nutrition status, and examines how sustainable livelihoods are, and the risks that different livelihood groups face. Different approaches may be applied, such as: the household economy approach, vulnerable groups profiling and household and livelihoods security approach.
- *Market assessment*: Provides information of how markets operate and affect food security and vulnerable groups. This assessment can be designed to focus on food commodities that are important for consumption among the resource-poor, and those that are important for production and income generation in the district. Market assessment tools include: market calendars (local food availability), market chain analysis, market network maps and structure-conduct-performance analysis.

An Inventory of Methods to Analyse FSN Information

- *Baseline food security assessment*
 - *Action oriented assessment*
 - *Livelihood assessment*
 - *Market assessment*
 - *Food intake/dietary assessment*
 - *Nutritional status assessment*
 - *Stakeholder analysis*
 - *Institutional analysis*
 - *Budget analysis*
-
- *Food intake/dietary assessment*: Provides information about the foods that people or households normally consume during a 24-hour period. (food account method, 24-recall survey, food frequency survey) A particularly useful and simple tool is the household food insecurity assessment survey which deals with typical meal frequency, as reported by people and how people perceive their own food intake status.
 - *Nutritional status assessment*: Anthropometric measurements (weight, height) which are generated through: (i) surveys (national surveys disaggregated by districts or sub-districts – e.g. Demographic and Health Survey); (ii) clinic-

based or community-based growth monitoring; (iii) sentinel site monitoring (e.g. sentinel sites in areas where vulnerable groups live); and (iv) height census of primary school children (normally 6-9 age group). Measurement of micronutrient deficiencies require biochemical analysis of blood samples which are invasive techniques, or which can be detected through clinical examination.

- *Stakeholder analysis*: The so-called “conflict analysis” is a technique to examine how social groups organise around certain issues, how interest groups get formed and are split up and the different priorities of those groups. A stakeholder matrix can be constructed around e.g. a significant food security issue to understand stakeholder positions or interests with respect to that issue. This is similar to so-called stakeholder mapping, once stakeholder groups have been identified.
- *Institutional analysis*: Institutions have formal and so-called “invisible” attributes. Both are important, but in this case we are particularly interested in attributes and processes that relate to governance. Formal attributes refer to structures, organisation, mandates and responsibilities, resources, formal inter-institutional linkages, etc. Invisible attributes refer to institutional values, identity incentives and motivation, capacity for change, space for individual initiatives, leadership and factors that determine leadership (political power, patronage networks, kin relations) and informal linkages.
- *Budget analysis*: Serves to analyse and monitor governmental allocations and expenditures in relation to food security and nutrition programmes, and to examine whether allocations and expenditures actually reflect government policy priorities.

Relevant information gathering techniques can be grouped as desk reviews, interactive methods, secondary data from national surveys, and primary surveys and direct measurements.

Information Gathering Techniques

- *Desk review*: document reviews (government reports, studies, reports issued by non-governmental organisations, policy briefs, and media reports); examination of relevant laws, regulations, policy documents, and institutional directives and mandates, by-laws, etc.
- *Interactive methods*: brainstorming sessions, key informant interviews, focus group discussions, direct structured observations, participant observations, rapid (participatory) appraisals, life histories and narratives, and client surveys.
- *Secondary data analysis*: national census and survey data, data generated through research activities, data inventories – this requires desegregation to the district or sub-district level.
- *Primary data analysis and direct measurements*: community surveys, crop forecasting and assessment surveys, which require anthropometric measurements.

Analysing and interpreting information

Problem tree analysis is a framework to link a major food security or nutrition problem in the district (or in a vulnerable livelihood group) to reasons (causes) for the problem (causality analysis), as well as to the consequences of that problem. It is a tool to synthesise information in such a way as to provide good indications of needed actions to address a food insecurity and/or malnutrition problem in the district. It has the advantage of looking at (depending on the availability of information) all reasons irrespectively of any particular sector, thus indicating the way to address the cause of a problem in a multi-sectoral way. An example is presented in Annex III. This particular problem tree was developed by the participants in a district training session in Chake Chake District in Zanzibar. The main problem (= the tree trunk) that was identified is “inadequate household food access”. The causes (= tree roots) for inadequate food access by the household are multiple, and are often related to each other. The roots that are close to the tree trunk represent more immediate causes, while deeper roots represent more fundamental or basic causes that in turn are linked to more immediate causes. For example, rapid population growth results in less land being available for food production, which in turn means less capacity to produce foods leading to households having inadequate access to food. At the same time, the main FSN problem that concerns us, also has consequences (= tree branches) which also affect sectors other than food security. In the Chake Chake District problem tree, the main problem does not only have food and nutritional consequences but also health, social and educational consequences. This means that household food insecurity is not only a concern of the food sector, but of a number of social sectors as well.

The problem tree approach provides a handy framework for the next two stages that is, to define strategic priorities and objectives, and to prepare the district action plan (see below).

Sharing the findings and conclusions

The forms, in which the findings and conclusions of the situation analysis are shared with different stakeholder groups is important. A *district food security and nutrition report* would be targeted at decision makers and technical planners. This report should emphasise actionable recommendations for the district plan. To present the findings of the FSN analysis in a succinct form, a *district profile* can be prepared, either in combination with the report or as a free standing document. If sufficient detailed information is available, *shehia* FSN committees can be trained to prepare a *shehia* profile, to be integrated in the district profile. A district or *shehia* profile might cover the items as indicated in the following box.

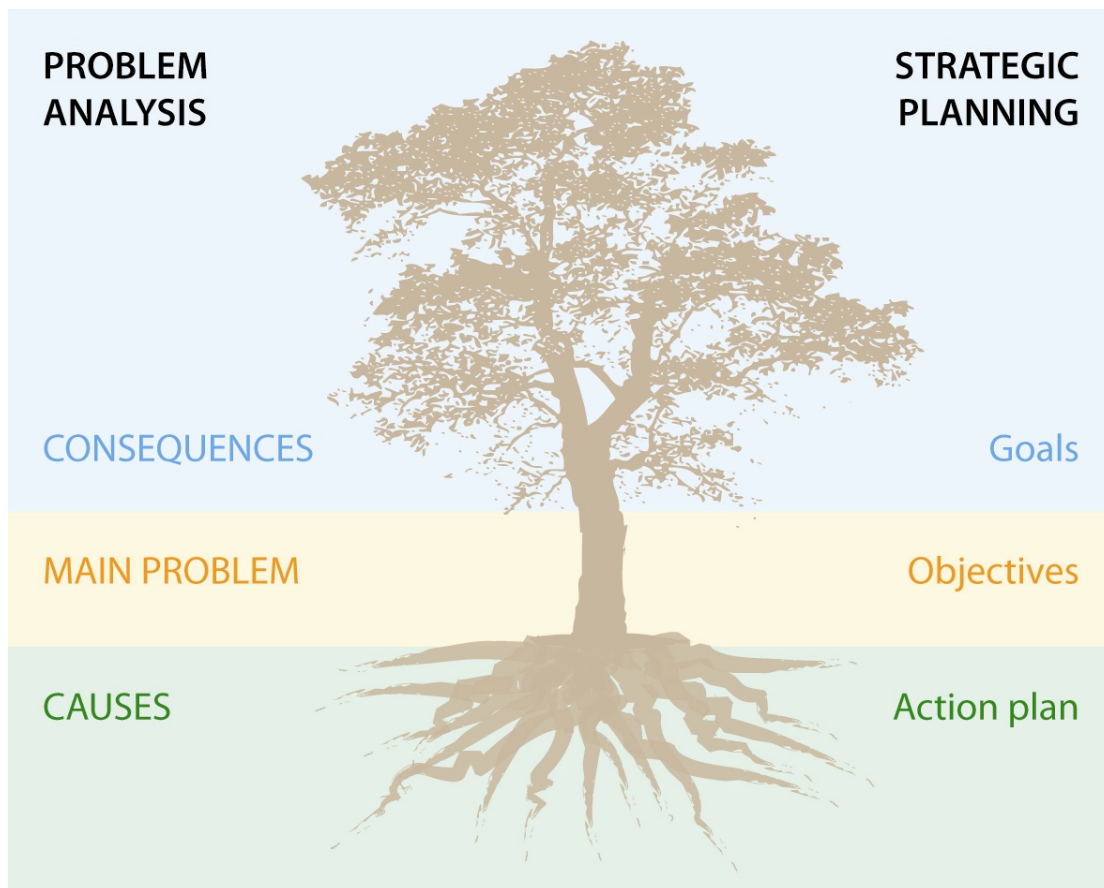
Outline of a District/*Shehia* Profile Focusing on Food Security and Nutrition

- Livelihood groups: livelihood strategies, activities, vulnerabilities;
- Demographic aspects of the district/*shehia*: age and gender structure, social and ethnic groups;
- Infrastructure, such as roads, (food) markets;
- Community-based services;
- Local institutions;
- Natural resources;
- Economic activities, primary (subsistence and commercial agriculture, fisheries), secondary (manufacturing) and tertiary (services, including tourism);
- Specific food security and nutrition problems - which livelihood groups or communities are most seriously affected, structural and acute reasons for vulnerability to food insecurity and malnutrition, linkages with political, social, economic and cultural problems (presentation of the FSN problem tree).

The situation analysis should also serve purposes other than action planning only. These purposes, such as advocacy to place FSN problems on the action agenda of local officials, are explored in greater detail in Part Three. The main point is that the means by which the findings and conclusions are shared need to be adjusted according to the target audience, including people who do not read and write.

Stage 3: Definition of strategic objectives and priorities and Stage 4: Preparation of the district action plan

The *logical planning framework* approach can be used to define: (i) plan priorities and objectives; (ii) strategic approaches; (iii) outputs to be produced to achieve the objectives; (iv) activities to produce the outputs; and (v) inputs needed to undertake the activities. FSN objectives and goals are integrated in the overall logical planning framework of the district plan. The FSN situation analysis and the FSN problem tree that is derived from the information help to define the contents of the logical framework that should underpin the district action plan. This is demonstrated in the following figure.



The main problem(s) around which the problem tree analysis was performed by the planning team can be turned into the main objective(s) of the district plan. Referring to the problem tree analysis presented in Annex III, the main objective would be to increase or improve access to adequate food for a specified group of households in the district. The identified consequences of the analysis can be turned into goals of the plan, i.e. improve the health of members of the targeted households, lower the prevalence of micronutrient deficiencies, reduce child labour and raise the levels of educational attainment among young children. In order to improve household food access it is necessary to develop and implement actions that address the causes of inadequate food access. Two matters are important here. To design an action plan both the inter-linkages between causes and the so-called hierarchy of causes need to be taken into account (see discussion above). This means that to achieve the plan's objective, it may be necessary to address several inter-linked causes at the same time, for example, the lack of access to financial resources and of entrepreneurial capacity, in order to decrease unemployment and increase household cash income. (see Annex III). Actions can relatively quickly be designed to address immediate causes, such as plant pests and diseases in order to increase food production. However, the problem of reduced land availability requires a policy as well as programmes designed to reduce population growth which are much more time-consuming to implement and which have a more long-term effect. This means that the plan must find a balance between short-term and long-term measures and actions. There is of course a natural tendency to tilt the balance towards short-term measures for political or institutional reasons. But these may not be sustainable in the long-term.

There is no given format for the district action plan. An example of a format is presented in Annex IV. What are important are the headings of the columns, that is the action plan format should cover: (i) outputs; (ii) activities to produce the outputs; (iii) needed human, financial and material resources; (iv) when the activity is to take place; and (v) responsibilities for the implementation and coordination of the activities. The latter is particularly important to hold those with responsibilities accountable for the timely production of the outputs and implementation of the specified activities, and for the use and management of resources.

Targeting the food insecure, malnourished and marginalised

All throughout it has been stated that the most food insecure, malnourished and marginalised groups should be afforded a high priority in the district plan for reasons of equity. This means that interventions in the plan will be specifically targeted at these groups. The district plan should clearly spell out how targeting will be done. There are three *targeting levels*: (i) geographic (specific areas, regions or communities); (ii) group (e.g. artisanal fisher folks, food producers with less than one acre of land); or (iii) households or individuals. (for example, women-headed households, and children under five)

Next, there are several *targeting methods*: (i) administrative targeting - people have to qualify according to a specific set of rules to be eligible for participation in a programme or intervention; (ii) community-based targeting - communities decide on the criteria that identify specific households or individuals in the community that can participate in a programme, project or other community-based action; (iii) self-targeting - people themselves decide whether to participate in a programme or intervention, there are few or no specific requirements for participation; (iv) market-based targeting - through the manipulation of market supplies and demand, and consequently market price, targeting takes place through physical availability and price; there are no specific requirements to access market supplies of say, specific foods other than being willing and able to pay the market price where market supplies are available; and (v) institutional targeting - specific institutions are selected based on certain criteria and become the object of institutional improvement interventions. The reader is encouraged to consult the various references related to targeting listed in the *References and Learning Tools* section.

Stage 5: Monitoring the implementation and impacts of the district action plan

Monitoring of the district action plan can take place at two levels: the actual implementation of the action plan and the results of the actions included in the plan (see boxes below). How to design the district FSN monitoring process is too extensive a topic to discuss in detail here. A first step is designing a district monitoring framework which is guided by the contents of the district action plan. Thus, the monitoring framework follows the monitoring levels indicated above. For example, the plan's objectives and goals correspond to outcomes/results.

Monitoring the Implementation of District Action Plans

- Human, physical and financial resources allocated, and conditions under which resources are made available to implementing institutions;
- Implementation processes - procedures and rules applied (e.g. targeting for programme participation), inter-institutional coordination, stakeholder participation, functioning of accountability mechanisms, institutional capacity strengthening;
- Outputs produced, for example, increased food production, improved child feeding, greater market access for marginalised groups, greater awareness and understanding of food security and nutrition issues in the district.

Monitoring Results

- *Intermediate outcomes* - more food secure households, improved nutritional status, higher income levels, better access to quality public services, improved governance conditions;
- *Final outcomes* - improvements in people's well-being, more people whose right to adequate food have been realised.

Monitoring is about generating and analysing information. Thus, one or more of the same information gathering methods listed above can be applied in monitoring. It involves defining a set of indicators that cover both implementation and results. In identifying a set of FSN indicators, the district may be guided by the FSN monitoring framework implemented at national level. The latter also depends on monitoring information provided by districts. Other types of monitoring information will be specific to a district, thus requiring additional indicators to be constructed. Information availability will also be a factor. Periodically updating the district profile is one way to monitor outcomes/results. District budget analysis is a method to monitor the implementation of the district plan. Which stakeholders will participate in monitoring, both as providers and/or as users of monitoring information, is another aspect that needs to be decided. As a general strategy the district should consider implementing monitoring applying simple methods and in an incremental way, i.e. start off with a minimal or bare-bones system. Over time, as monitoring capacity and information availability both increase, the monitoring framework can be expanded to provide wider coverage in terms of what is monitored and the number of indicators that are generated and analysed.

Putting Good Governance in Practice in District Planning

Our starting point is what we are attempting to accomplish again. This is that district plans incorporate good governance principles, and that the formulation, implementation and monitoring of district plans, be carried out in accordance with good governance practices. We have seen in Part One what those good governance principles are and what they mean in practice (see also Annex II). District authorities and technical staff, and *shehia* food security and nutrition committees, are in the first place responsible for the formulation, implementation and monitoring of food security and nutrition measures integrated in district plans, as stipulated in the Zanzibar Food Security and Nutrition Policy and Programme. To put all of this in operational terms,

the district plans should define the good governance standards and norms to be implemented. The plan should indicate by what processes and procedures the good governance principles are to be applied. In other words, how to conduct the planning, implementation and monitoring applying good governance practices.

Good Governance Integrated in the District Plan

To highlight what it means to integrate good governance in district plans, we adopt again the checklist approach. We divide this checklist into two parts: norms and standards and operational terms. In other words, what is to be achieved in good governance through the implementation of the plan, and how the plan proposes to achieve this by applying good governance practices.

**Checklist to Integrate Good Governance Practices in District Plans
(1)**

Norms and Standards

- The district plan states: (a) that the district is committed to implementing good governance practices and (b) what each of the good governance principles, that the district will implement, means in content and in practical terms.
- Who has the responsibility to organise periodic reviews of the ways that good governance practices are implemented is defined in the district, as well as who is to participate in such reviews.
- Who or which body has the responsibility to follow-up on the findings and conclusions of the periodic reviews and proposes and supervises the implementation of actions for improvement, is defined.
- The district plan also specifies by what method(s) the contents will be disseminated and particularly how non-governmental organisations and grass roots and community groups will be informed of the contents.

Checklist to Integrate Good Governance Practices in District Plans

(2)

Operational Terms

Participation

- Non-governmental and private sector organisations in the district with activities that relate to the main areas of action, including food security and nutrition, are identified.
- Specific activities are included to educate and raise awareness among NGOs and PSOs about food security and nutrition problems and issues in the district.
- A specific forum is established by which NGOs, PSOs and *shehia* FSN committees can continuously interact with district authorities and the district management team, particularly, during critical moments of the planning and implementation phases, and when the plan is being monitored.
- The planning process by the *shehia* FSN committees is institutionalised and contemplates the active participation of community and grass roots groups (or their representatives) in undertaking FSN situation analysis and setting of priorities for action.
- Capacity strengthening activities for *shehia* FSN committees and for grass roots and community groups are included in the district action plan aimed at making their participation in planning, action implementation and monitoring, effective and meaningful.
- The district action plan includes awareness raising activities for district staff about participation and how to communicate with other stakeholders.

Respect for the rule of law

- The district plan affirms the commitment to respect and protect human rights and outlines what district authorities and staff should do when district residents report that their human rights are violated.
- A district authority or staff member is designated to be the district ombudsperson, to whom cases of human rights violations can be presented.
- It is described in the district plan how the district will interact, directly or indirectly, with the Ministry of Constitutional Affairs and Good Governance and the Tanzanian Human Rights Commission in Zanzibar.

Transparency

- The district plan spells out how and where decisions made by district authorities are to be communicated, to whom and in which language(s).
- Procedures to share the contents of the district plan with different stakeholders in the district are outlined; these procedures are designed to make this information accessible to all.
- The plan outlines what procedures will be used to hear from district residents and organisations working in the district their points of view on certain issues before major decisions are made by district authorities.

Responsiveness

- Procedures and methods by which the district will periodically review its own performance in relation to providing public services are detailed in the district plan.
- The district action plan includes periodic activities to interact with the public and client groups to obtain feedback on the provision of services.
- The responsibility for needed follow-up actions as a result of the assessments is described.

Checklist to Integrate Good Governance Practices in District Plans

(3)

Operational Terms

Consensus-oriented

- The district plan contains training activities for district authorities and staff on consensus-building and negotiation skills.
- Means and activities by which consensus is reached regarding plan priorities, objectives and the district action plan are defined.

Equity

- The most food insecure and malnourished populations groups in the district are clearly identified and described.
- The district action plan specifically prioritises and targets those groups and includes support to actions and activities that address reasons why each of these groups is food insecure and/or malnourished.
- Activities to strengthen the capacity of the district management team, district authorities and staff, and *shehia* FSN committees to understand food security and nutrition problems and their reasons in different groups, are included in the district action plan.

Inclusiveness

- The district plan identifies and describes the population groups in the district that are marginalised, meaning little is known about these groups, they are not heard or/and they are geographically or socially isolated.
- The district plan includes a strategy to make contact with these groups, and enter into dialogue with them to understand the constraints they face in being heard and in making their priorities known.

Accountability

- The district plan outlines how its implementation, results and impacts are to be monitored, and how the findings and conclusions are to be disseminated; whose responsibility it is to monitor the district plan? (presumably the district management team).
- The annual district budget is disseminated and an accounting provided at the end of the year of district expenditures.
- The district plan outlines by what procedures district authorities and the district management team will interact with other stakeholders to review and discuss: (a) actual results versus expected results with plan implementation; (b) district capital and current expenditures; (c) major decisions made with respect to plan implementation and changes in implementation that were necessitated; (d) consequences for different groups of actions implemented through the plan or of administrative decisions.

These checklists outline what we would ideally like to find in district plans with respect to good governance practices. They serve as a sounding board, in the sense that, district plans can be analysed to identify areas where they are particularly weak in setting norms and standards for good governance, and/or in defining how to apply in practice these good governance norms and standards. This, in turn, may serve to help define the need for remedial actions for the next district plan.

Good Governance during the Planning Cycle

The question that is addressed in this section is how to apply good governance approaches during the various stages of the planning process, in other words, how to give the planning process a good governance quality. We take the same five stages of the planning cycle as discussed above, and see how to implement these applying good governance practices. A different set of good governance principles will be relevant for each planning stage.

Stage 1: Formation of the planning team, mobilisation of stakeholders and organisation of the work

- *Participation* - The district management team (DMT) should establish communication links with other stakeholders in the district, after having identified non-governmental organisations and organised grass roots/community groups that can be invited to become partners (the expanded planning team). The communication link with the *shehia* FSN committees should be strong, and the DMT should play a major role in establishing *shehia* FSN committees where they do not exist yet. Capacity strengthening in participatory practices for the expanded planning team should be planned during this stage.
- *Transparency* - Decisions regarding which organisations and organised groups are to be members of the expanded planning team, and what roles other stakeholders may have, should be first discussed and then widely disseminated, so that it is understood by all how those decisions were reached.
- *Accountability* - The role and responsibilities of the (expanded) planning team should widely be known among all stakeholders. A specific work plan should be raised by the expanded planning team that covers the remaining four planning stages and details: (i) outputs to be produced by specific dates; (ii) planning activities to be implemented within a time frame; (iii) resources to be used in the planning process; and (iv) respective responsibilities of team members. It should be clear to whom the team is accountable for its work and the timely completion of the work plan.
- *Consensus building* - Capacity for consensus building and negotiation should be created among members of the DMT and the planning partners.

Capacity strengthening for good governance during this stage thus focuses on: (a) participatory planning practices and methods; and (b) consensus building and negotiation skills.

Stage 2: Preparation of the situation analysis/district profile

- *Participation* - The situation analysis or district profile should be prepared by mobilising data, information and knowledge from a broad spectrum of stakeholders, including grass roots and community groups. This argues for the use of participatory methods of information gathering, as already explained.
- *Transparency* - All individuals and groups that are invited to provide information and knowledge should have a clear understanding of why the information is being

collected, what use will be made of the information and by whom. Confidentiality of the information provided should be stressed, and safeguards will be in place to ensure that information is not used, other than for the stated purposes.

- *Equity* - If necessary, special efforts should be made to ensure that the information and data adequately cover the food insecure and malnourished population groups in the district. The information and analysis should focus on identifying the reasons for suffering from hunger, inadequate access to food, and from malnutrition, and thus provide a solid basis for identifying targeted interventions for these groups.
- *Inclusiveness* - Similarly, special efforts should be made to obtain adequate information about marginalised groups, so that these are included in the analysis and consequently, in the district action plan. Some training of the information gathering and analysis team may be needed, focused on how to identify and approach marginalised groups and invite them to provide relevant information and knowledge. This stage should serve to strengthen the basis for their inclusion in the following stages of the planning cycle.
- *Accountability* - Findings and conclusions of the situation analysis should be shared with those who provided information and data, as well as with others by being disseminated throughout the district through mass media and by other means.

Capacity strengthening of the information gathering and analysis team for this stage should focus on how to involve food insecure, malnourished and marginalised groups and how to obtain their trust and invite them to provide information.

Stage 3: Definition of strategic objectives and priorities

- *Participation* - Widespread consultation by the district management team of many stakeholders should take place when defining plan objectives, priorities and goals, including of grass roots and community groups.
- *Transparency* - The process by which priorities and goals are established should be as public as possible, so that all stakeholders understand these priorities and the ways that these are to be achieved.
- *Equity* - The objectives and goals should afford high priority to the most vulnerable population groups and to addressing their needs and priorities. This means that the planning team should have frequent interactions and dialogue with these groups or their representatives.
- *Consensus oriented* - The process of defining objectives and goals should be conducive to reaching a consensus among many stakeholders. This may involve, for example, opportunities for negotiations between grass roots/community groups and technical staff.
- *Accountability* – The final set of objectives, priorities and goals should be submitted to a last round of questioning before finalisation. The planning team should provide a clear explanation of the process by which these were reached.

Stage 4: Preparation of the action plan

- *Participation* - As in the previous stage, widespread consultation by the district management team of many stakeholders in preparing the district action plan should take place and include grass roots and community groups.
- *Consensus oriented* - The process of preparing the district action plan should be conducive to reaching a consensus among many stakeholders, including grass roots and community groups. Drafts of the plan should be circulated and opportunities, such as public meetings, should be created for all to comment and provide suggestions. The final plan should be openly endorsed by all stakeholders.
- *Equity* – The actions included in the plan, and the resources assigned to those actions, should fully reflect the high priority afforded to the objectives and goals that address the needs and priorities of the most vulnerable groups. The planning team should continue to have frequent interactions and dialogue with these groups, or their representatives, in establishing the action plan.
- *Transparency* – The process of preparing the district action plan should be as public as possible, so that all stakeholders have full knowledge of the plan, and understand how the final plan was arrived at and what their respective responsibilities for its implementation are.
- *Accountability* - Discussions should be held with, and a consensus be reached among stakeholders (including representatives of community/grass roots groups), about what accountability mechanisms will be included in the action plan. Who is to be held accountable for the implementation of the action plan, and who will be in a position to question responsible persons/officials about progress? In what ways and by what means can the implementers be questioned, and what information is required for this? What person(s) will be responsible for follow-up and the implementation of remedial actions? This ties in of course with stage 5 on monitoring.

Stage 5: Monitoring the implementation and impacts of the district action plan

- *Participation* – The district monitoring framework should foresee that many different stakeholders contribute information – thus, data from more formal surveys as well as information that community groups may routinely collect about how the district plan is implemented and what changes it produces at grass roots level. Stakeholder groups should also participate in analysing and interpreting the monitoring information and in deciding what remedial actions are necessary.
- *Inclusiveness* – The district monitoring framework, and the simple indicators to be constructed, should adequately include information about any marginalised groups in the district. This may require an additional effort to obtain this information, as well as ensuring that representatives of these groups also participate in the analysis and interpretation of the monitoring information.
- *Transparency* – All stakeholder groups should have information about why monitoring information is collected, what monitoring information methods will be used and what use will be made of the monitoring information. The district

monitoring framework should specify how widespread access to the monitoring information will be provided. One area is monitoring district budgets. (see below)

- *Consensus oriented* – The district monitoring framework should be agreed to by all stakeholder groups and should produce monitoring information that various groups consider important. This may mean not only technical information, but also perceptions that groups have about how the plan is being implemented and how they are affected by its actions.

- *Accountability* – Monitoring is an important tool that generates information about how the district plan is being implemented and what changes it produces. This information is then compared to the time table for the implementation of the action plan, the planned activities, and the resources allocated for those activities, as well as any targets and objectives. This analysis generates the basis on which to hold accountable for any short-falls, those with responsibilities for the district plan. One specific tool is the *district budget analysis*, which analyses what funds were initially allocated to specific budget items and to interventions and other actions, as well as to district management and administrative functions, and what funds were actually expended against these allocations. This allows identification of which budget items were under-funded and which over-funded, therefore tells something about the implementation of the district action plan. If detailed budget data is not made public but audits of district budgets are undertaken, the auditing reports should be made public for transparency reasons.

Part Three

Advocacy and Social Mobilisation Methods to Integrate Food Security, Nutrition and Good Governance in District Planning

Advocacy and social mobilisation are means towards achieving our principal aim of integrating food security, nutrition and good governance in district planning. We refer once again to the operational goals described in Part One which are that:

- adequate human and financial resources are put in place to implement the district plans in effective and efficient ways;
- there is popular and institutional support for food security and nutrition actions and for the implementation of the Zanzibar Food Security and Nutrition Programme at district and *shehia*/community levels;
- grass roots constituencies exist and are empowered to effectively participate in the development, implementation and monitoring of district plans and community actions for food security and nutrition.

Building an Advocacy Strategy for FSN and Good Governance in District Planning

Components of the Advocacy Process

Six important components of the advocacy process can be distinguished. These components should be part of the FSN advocacy strategy, as should specific methods for the implementation of each component.

Six Components of the Advocacy Process

- Establish clear advocacy goals;
- Identify the real decision makers and what and who influence them;
- Define realistic ways of achieving the advocacy goal;
- Create political/institutional will for change by reaching out to different audiences;
- Facilitate the formation of formal or informal coalitions or alliances for change;
- Monitor and evaluate how effective the advocacy effort is, and what is not working.

1. Establish clear advocacy goals

The advocacy goals in this case involve decisions with the following outcomes:

- (i) Having sufficient human resources with adequate knowledge, understanding and skills for the formulation, implementation and monitoring of district plans that integrate FSN priorities and objectives;
- (ii) Budgetary allocations that provide sufficient financial resources for the implementation of FSN interventions that address major reasons of why people in the district suffer from food insecurity and malnutrition;
- (iii) Changes in institutional cultures of local government and non-governmental agencies that result in:
 - working together in well-coordinated ways and in effective inter-institutional partnerships;
 - good governance practices being included in the ways that districts and non-governmental organisations operate, including in participatory ways with grass roots constituencies.

This is a broad advocacy agenda that will need to be adapted to specific circumstances found in a given district. Above all, it is important that the advocacy goals are realistic. Goals that are less realistic will take longer to achieve. It may be a good approach to start with the goal or goals that can be more easily achieved. What may determine how realistic the goals are in a particular case, depends on, for example:

- How well key decision makers understand food security, nutrition and good governance concepts and what these mean in practice;
- How much they already know about food security and the nutrition situation in the district as well as in various livelihood groups;
- What their level of concern is about the people suffering from food insecurity and/or malnutrition;
- Whether they see political gains from doing something about the FSN situation or from promoting more participatory or transparent ways of making decisions or from building in more accountability and inclusiveness in implementing FSN interventions (or alternatively, the political costs from not doing these things);
- How much popular support there is for dealing with FSN problems in the district, or how much pressure is exerted by donors to apply good governance practices in district planning?

The last two factors are where social mobilisation comes into play, by creating bottom-up support, and by putting pressure on decision makers to act. We shall discuss social mobilisation methods below.

2. Identify the real decision makers and what and who influence them

Three questions are important here: (i) who are the players that make the real decisions, (ii) who do they listen to and (iii) what are the formal and informal decision making processes?

Decisions with respect to these goals involve different key decision makers, both at district and at central/regional levels. Some individuals who occupy specific positions will have the formal authority to make certain decisions, but may rely on others to really make decisions. It is also good to identify who real decision makers rely on for technical and political advice. Advocates should get to know the real decision makers, and try to understand what they care about, what excites them. (entry points for advocacy). Decisions can be made formally or informally. Formal decision making takes place within a system of established rules, procedures and steps by which decisions are made and implemented. Appropriate entry points in this system need to be identified for advocacy efforts.

3. Define realistic ways of achieving the advocacy goal

Rather than just pointing to a specific problem, advocacy is likely to be more effective if district authorities or other decision makers are presented with one or more options to deal with the problem. For example, let's say that children under five in the district are likely to suffer from nutritional deficiencies and that a major constraint is the lack of funding through the district budget to implement a nutrition programme targeted at these children. As part of the advocacy effort, ideas can be proposed as to how to obtain funding from extra-budgetary sources for such a programme, or how the district can enter into partnership with a non-governmental organisation to address the problem.

4. Create political/institutional will for change by reaching out to different audiences

Advocacy audiences can be distinguished in accordance with how far they are removed from the centre of decision making: (i) decision makers; (ii) those who provide directly advice and have influence with the decision makers (advisers, technical staff); (iii) the general public; (iv) opinion leaders; and (v) the mass media. Each of these audiences should be identified and targeted messages crafted, including precisely what change or action the decision maker is asked to decide about. In addition, it is important who interacts with the various audiences and delivers the advocacy message. For example, an advocacy message destined for a high level decision maker should be delivered by a person respected by the decision maker and in language that the decision maker is accustomed to hearing. On the other hand, an advocacy message designed to spark grass roots mobilisation, should be delivered by someone with popular communication skills and in a language which people use to express themselves.

5. Facilitate the formation of formal or informal coalitions or alliances for change

Forming coalitions or alliances among individuals or groups/organisations that have the same or very similar advocacy goals is a way of making the overall advocacy effort more effective. Coalitions can be formalised, such as an established network of several non-governmental organisations, or they can be informal, when groups of individuals join forces on an *ad hoc* basis to reach a certain advocacy goal. Thus, as an example, a number of NGOs are working in the district to improve household access to food among smallholder farmers, though by different means. To sustain those efforts over time they are advocating that those household food access measures

be permanently included in district plans. With this common advocacy goal, they join efforts to have the district authorities and management team reach the necessary decisions. A more informal coalition is involved when several community groups together approach the member of parliament who represents the constituency the groups belong to, in order to have budgetary funds allocated for the construction of rural roads to improve market access.

To strengthen coalitions, and to keep them functioning well, requires: (i) good internal communication; (ii) effective consensus building about the advocacy goal(s) and strategies; and (iii) involvement of all members of the coalition on a non hierarchical basis.

6. Monitor and evaluate how effective the advocacy effort is and what is not working

Advocacy work requires human and financial resources, and thus it is important to monitor and evaluate whether the advocacy efforts are effective in reaching the advocacy goal, or at least in producing progress towards that goal. Here it should be remembered that reaching the goal, normally does not only depend on the effectiveness of the advocacy efforts, but other factors may also influence the sought advocacy outcome. If that is the case, it may mean that there is a need to adjust the advocacy strategy, and include efforts aimed at other decision makers who are in a position to decide on additional changes and so mitigate or eliminate those obstructing factors.

Intermediate goals may be established for final advocacy goals that can only be expected to be reached in the long-term. For example, a final goal may be for all district level staff in all districts in Zanzibar to have adequate knowledge, understanding and skills for the formulation, implementation and monitoring of district plans that integrate FSN priorities and objectives. This is likely to be a long-term goal, let us assume in five years. Intermediate goals however, can be set. For example: two districts after one year, four additional districts by the end of the third year, and again four additional districts by the end of the fifth year.

Methods of Building an Advocacy Strategy

With these elements for building an advocacy strategy, we are now in a position to outline what methods may be used to put together and implement an advocacy strategy in support of integrating food security, nutrition and good governance in district planning. The advocacy goals as outlined above are of course part of the strategy.

Method 1: An upfront assessment

An assessment may be conducted to gather information with respect to: (i) key decision makers and their advisers; (ii) various target audiences for advocacy; and (iii) opportunities to form or strengthen advocacy coalitions. To guide the design of the assessment, we pose a number of questions which are directly derived from the points listed above. The assessment will then attempt to find answers to these questions.

How can the answers to these three sets of questions best be obtained? Part of the answers may directly be obtained from the stakeholder analysis that was previously discussed. (See Part II) This analysis should help to identify key decision makers and their advisers, provide information about the formal or informal decision making process, and point to opportunities for forming advocacy coalitions, by identifying organisations or grass roots groups that concern themselves with food security and nutrition problems, or with the ways that local authorities conduct business.

Checklist for the Assessment to Build an Advocacy Strategy

A. Key decision makers and their advisers

- ✓ Who are the key decision makers at national, regional and district levels who make decisions about what the priorities and goals/targets are in the district plan? (primary advocacy targets) Who are those making decisions regarding annual district budgets and human resources allocations? Are any of these key decision makers elected officials?
- ✓ Who advises these key decision makers (secondary advocacy targets), and what is their level of understanding of food security, nutrition and good governance concepts of both the key decision makers and those advising them?
- ✓ How familiar are the key decision makers and their advisers with the objectives, priorities and general strategies of the Zanzibar Food Security and Nutrition Policy and Programme?
- ✓ Is there evidence that suggests that the key decision makers and their advisers have good first hand knowledge of the food security and nutrition problems of various livelihood groups in the district? Are they frequently in direct contact with vulnerable groups? Do they refer to those problems during events, in speeches, in planning meetings?
- ✓ What issues do key decision makers and their advisers feel strongly about? Do key decision makers feel constrained in making decisions, and if so, what do those constraints consist of?

B. Decision making processes

- ✓ What are the formal procedures by which specific issues reach key decision makers for a decision? What information is used at various stages of the decision making process, and what is the source(s) of this information?
- ✓ How are decisions reached informally, who then participates and in what way, and do those decisions have equal validity as those reached by formal procedures?
- ✓ Is there any evidence that decisions made can be questioned, either formally through some established mechanism or procedure, or informally in open meetings or otherwise?

C. Opportunities for forming advocacy coalitions

- ✓ What non-governmental, technical cooperation and funding agencies, and private sector, academic or training organisations support or implement FSN or related activities in the district?
- ✓ Is there evidence that any of these have or are engaged in FSN advocacy work?
- ✓ Which ones seem to have good relations with district authorities, and which ones have or are collaborating with district authorities?
- ✓ Have any of these formed a formal or informal coalition, and if so with what results?
- ✓ What grass roots or community-based groups are present in the district, and for which purpose were these groups formed? Are they active? Do they engage in activities that relate to food security and/or nutrition? Can their organisation be characterised as: weak, ineffective – well organised but not effective – well organised and quite effective?

Several other methods can be used to obtain additional information about the attitudes, opinions and beliefs of primary and secondary decision makers. We want to find out what their understanding and knowledge of FSN concepts are? What

constitutes good governance practices, their levels of concern for the FSN situation in the district, leverage points given their interests, and constraints in decision making which they face? Some techniques to obtain this information involve: (i) informally talking with persons familiar with the decision makers, and with colleagues and others who may give their point of view more freely; (ii) review relevant policy and planning documents prepared by decision makers; and (iii) attend public meetings or other forums where key decision makers speak.

Dialogues with: (i) potential coalition partners will further indicate how real the opportunities are of forming coalitions and (ii) members of the public, opinion leaders, and local mass media about their level of understanding of FSN and good governance concepts and what these mean in practice. This provides a direct tie-in with social mobilisation efforts and ways to empower the public for meaningful participation in district planning for food security and nutrition, through capacity strengthening.

Method 2: Mobilising relevant information

The advocacy attempt has to have substance. The advocacy arguments have to be evidence-based, which means they need to be based on information, whether it is data or expert knowledge and opinions. Food security and nutrition are partially technical topics, although the reasons why people suffer from food insecurity and/or malnutrition are not only technical. The district FSN profile will be a primary source of technical evidence on which to base the advocacy message, complemented by other data or evidence from studies conducted elsewhere but that deal with similar problems when it comes to solutions, for example. Evidence can also be generated by conducting focus group discussions, or undertaking client surveys. For example, in Zanzibar the so-called participatory service delivery assessment, which is based on the citizen's report card concept, was conducted in 2004 in two districts covering the provision of primary education and of drinking water. Following up on the assessment results, the Ministry of Education and the Department of Water Services took concrete actions to improve both services.

Method 3: Crafting the advocacy message

Advocacy messages should be prepared based on the information obtained from: (a) the advocacy audience analysis of the upfront assessment (primary and secondary decision makers, opinion leaders, and general public); (b) the FSN information from the district profile and other sources; and (c) the decisions that are being advocated in support of the advocacy goal. Thus, the advocacy message will vary depending on which audience/group is being targeted to influence certain decisions. The message contents in terms of structuring the arguments, the language (technical/non-technical) and organisation should be precise, being short but complete. Specific advocacy entry points (special interest of the decision maker, ongoing public debate, formulation of a plan) may also shape the content of the message. Messages can be delivered in written form (short reports, one pagers, fact sheets, letters, pamphlets), orally (in briefing meetings, face-to-face meetings, informal conversations at social, religious or political meetings) or a combination of both (an oral presentation supported by written material, i.e. a PowerPoint presentation).

Building a Social Mobilisation Strategy

As described in Part One social mobilisation, in this case, is designed to institute an inclusive process aimed at engaging all stakeholders in addressing local level food security and nutrition problems, targeting the most food insecure and malnourished, involving various sectors, and implementing interventions in accordance with good governance practices. It thus involves reaching out to decision makers, technical staff, non-governmental organisations, local level leaders, private sector representatives, grass roots and community groups (each constitutes a stakeholder group). Advocacy aims to make the process more inclusive by having key decision makers make the right decisions for the cause, through the formation of advocacy coalitions, and by reaching out to various audiences with advocacy messages. In other words, advocacy when effective contributes to social mobilisation.

Participation and empowerment are corner stones of social mobilisation, and are good governance principles. We previously stated as an operational goal that grass roots constituencies, empowered to effectively participate in the development, implementation and monitoring of district plans and of community-based actions, exist. Importantly, Components 1 and 2 of the Zanzibar Food Security and Nutrition Programme, include activities to mobilise communities and grass roots groups to participate in community-based FSN interventions and actions. Thus, a social mobilisation strategy should aim at bringing this about. This requires specific actions and hence a strategy over and beyond participation, being incorporated in district plans as a good governance principle.

For one, it requires good grass roots organisation. Popular participation only has meaning when people, or their representatives, are fully prepared to participate as equals with planners, administrative staff and technical workers in formulating, implementing and monitoring district plans. Participatory Action Planning (PAP) involves people participating in the formulation of the district plan by:

- a. contributing knowledge and information about the food security and nutrition problems they face;
- b. helping to think through what may be feasible solutions and how to transform these into actions; and
- c. examining how they can participate in implementing and monitoring those actions and their outcomes.

PAP also takes place when people organise and decide themselves to undertake certain actions to address a problem they experience in the community, relying for implementation of actions on their own resources, and possibly soliciting extra-community assistance. In this case, however, the community action plan represents a consensus of people's priorities and not those of an outside agency. Similarly, participatory community monitoring means community groups (possibly assisted by community-based workers i.e. health workers, extension agents) monitor:

- a. a community project;
- b. changing living conditions in the community and the effects on the most vulnerable households, to solicit outside assistance if needed;

- c. changes in the external environment as a result of new programmes, and their effects on the community; and/or
- d. the provision and delivery of public services and the use of public resources in the community in order to request improvements if needed. In the last two instances, participatory community monitoring can become an instrument to hold public authorities accountable for adverse effects of public programmes, for poor public service delivery, lack of public services, or for inefficient use of public resources.

Key Components of a Social Mobilisation Strategy

- Organisation - Assessment of existing community and grass roots groups, and their organisational strengths.
- Communication and education - Why action is important?
- Information gathering and analysis: Methods of self analysis.
- Capacity strengthening and skill-building for strong organisations and for effective communication and advocacy.

Four important parts of a strategy to mobilise grass roots participation are listed in the box above.

a. Organisation

The upfront assessment for the advocacy strategy, which was discussed above, can provide information about what community and grass roots groups exist in the district, and what their organisational strengths are. Advocacy messages targeted at these groups may have the effect of providing incentives to address food security and nutrition problems in the community. Advocacy can also lead to new groups being formed to address FSN problems, or to take advantage of new opportunities for self-reliant actions. Capacity strengthening and skill-building (see below) should be directed at strengthening the organisational capacity of community and grass roots groups.

b. Communication and education

To mobilise the grass roots, it is necessary to communicate with organised groups about the food security, nutrition and poverty problems in the district and their communities. People need to understand why action is important for their well being, how achieving a specific change can impact on their lives, and why they should devote time and effort to achieve a specific goal. People also need to understand how they themselves can contribute to improving their access to food and their health, and what they should expect from local authorities in terms of public assistance and services. As new decisions are being made with respect to public programmes or projects supported by non-governmental organisations, people need to understand how they are affected by these programmes or projects, and how to take full

advantages of these, or how to act in cases of negative impacts. In this process, outsiders act as facilitators and serve as channels for information about decisions made.

c. Information gathering and analysis

People should have the opportunity and the skills to gather information and analyse it to find answers to questions they may have. In other words, they may partially or wholly rely on information provided from official sources or by non-governmental organisations. At the same time, people should be able to gather and analyse additional information or to verify the information from these sources. The information available to people should allow them to formulate proposals for change. Some simple methods that community or grass roots groups can employ include: mini community surveys, brainstorming sessions, interviews of community members by community members, observational walk-throughs, and interviews with key informants from outside the community.

d. Capacity strengthening and skill-building

Capacity strengthening and skill building in community and grass roots groups should be designed to strengthen their participatory capacities through:

- Stronger organisations - organisational and planning skills, negotiation and consensus building, leadership and management skills;
- Effective communication - skills to synthesise and disseminate information, preparation of communication tools, skills to conduct meetings;
- Efficient information gathering, management and interpretation by using simple methods;
- Advocacy skills to reach decision makers and/or their advisers.

We further discuss capacity strengthening strategies in the following section.

Part Four

Capacity Strengthening for District FSN Planning Applying Good Governance Practices

In the previous sections of this methodological guide we highlighted what needs to be done to integrate food security, nutrition and good governance in district plans, what methods to use and how to apply good governance principles and approaches in the planning, implementation and monitoring process. Furthermore, we highlighted how advocacy and social mobilisation can facilitate the FSN integration process. One critical element, which we have not yet discussed, is that stakeholders need to have adequate capacity to participate in, and contribute to, what needs to be achieved. Since roles differ among stakeholder groups as we have seen, the capacities which they need differ as well. This methodological guide aims to be an instrument to contribute to strengthening the capacities of various stakeholders.

A District Capacity Strengthening Plan

In this part of the guide we propose to discuss two matters related to designing a district capacity strengthening plan for the integration of food security, nutrition and good governance in district plans. In order to define what the capacity strengthening plan needs to emphasise we need to know what knowledge and skills different stakeholder groups should have. Secondly, we need to understand what knowledge and skills stakeholders typically already have. The answer will differ from district to district, but it is useful to have a method that can be applied to ascertain this in each district.

The difference between what capacities are needed, and what capacities already exist, should guide the development of a capacity strengthening plan. Such a plan would thus cover the following items such as indicated in the box.

Outline of a District Capacity Strengthening Plan

- Description of the stakeholder group(s) and their role(s)
- Knowledge, understanding, and skills needed by each group
- Results of a stakeholder capacity assessment
- Content of capacity strengthening efforts:
 - Learning objectives
 - Capacities expected to be developed
 - Learning methods to be applied
- Learning plan:
 - Activities, timelines
 - Human and financial resources needed
 - Institutional responsibilities and partnerships

The following points can be made with respect to this outline. We have previously discussed how to ascertain and describe relevant stakeholder groups. The needed knowledge, understanding and skills can be derived from the roles each stakeholder group plays. A specific example may be of use here. The role of the district management team (DMT) is defined in the Zanzibar Food Security and Nutrition Policy. This is a good starting point. We need to define what knowledge/understanding/skills members of the DMT should have to assume that role effectively. An example is provided in the box below.

The idea of a stakeholder capacity assessment or self-assessment merits some elaboration. We continue here with the same example to illustrate. We start off with a discussion to ensure that all DMT members understand their role in assuming the responsibilities outlined in the Zanzibar Food Security and Nutrition Policy and Programme. A facilitator can structure mock exercises so that weaknesses in knowledge or understanding among DMT members manifest themselves. DMT members can also rate themselves on how confident they are to undertake the assigned tasks, and where they feel additional training would be helpful. In the process, other constraints that do not directly relate to the relevant knowledge, understanding and skills that existing staff members have, should also be identified, such as time constraints because of other work responsibilities, or lack of transport facilities to move around in the district. The capacity strengthening plan should also address these constraints.

Roles and Needed Knowledge and Skills for District Management Teams	
<u>Role</u>	<u>Knowledge/Understanding/Skills</u>
<ul style="list-style-type: none"> ▪ Support identification of FSN issues 	<ul style="list-style-type: none"> ▪ FSN concepts and their practical meaning ▪ Multi-sector FSN linkages ▪ Interpretation of FSN indicators and information ▪ Simple analytical methods
<ul style="list-style-type: none"> ▪ Technically guide the implementation of FSN measures 	<ul style="list-style-type: none"> ▪ Design FSN projects ▪ Targeting of food insecure and vulnerable groups
<ul style="list-style-type: none"> ▪ Prepare monitoring reports on progress in dealing with FSN problems 	<ul style="list-style-type: none"> ▪ Benchmarks and targets for FSN ▪ Simple analytical monitoring methods ▪ Report writing

These approaches should result in a capacity development plan that describes what the learning objectives are and what the expected improvement in capacity is likely to be from each training activity. For example, if it appears that the DMT members have difficulty in designing a FSN project, the learning objectives may be to: (i) prepare a problem tree based on a FSN situation analysis; (ii) develop a logical project framework to address underlying reasons for the FSN problem; (iii) transform the logical framework into project objectives and strategies; and (iv) develop an activity plan to implement the project. All members of the DMT are expected at the end of the training to be able to formulate a project that effectively addresses a FSN problem in a particular vulnerable group in the district, based on an adequate analysis of the FSN situation and applying a sound logical framework with objectives that are achievable within a given time line and with project resources.

The capacity development plan for FSN should be fully integrated in the overall district capacity development plan which, in turn, should be integrated in the district plan. Prioritising will be necessary given that resources are likely to be scarce. Hence the capacity development plan should be set within a time frame, and cost-effective training methods should be chosen. Perhaps the most serious capacity weaknesses should be addressed first.

One last thought. Training of people is usually conceived as a vertical or top-down process: trainers may be drawn from central level, a university, a technical institute, and/or from a technical cooperation agency. They are assumed to have knowledge, skills and understanding of a certain matter, and have methods and ways of transmitting these to others. It may mean that district trainers train members of a *shehia* food security and nutrition committee or of a community group. It is sometimes referred to as the cascade approach to up-scaling training (“training of trainers”), whereby the initial training is provided to a group of trainers who then continue to train others.

However, there is often also a lot of value to horizontal transfer of knowledge, understanding and skills. This means learning by means of direct district-to-district, *shehia-to-shehia*, or community-to-community contacts. Thus, for example, certain members of the district management team in a few selected districts may be trained in FSN concepts, methods of FSN information collection and analysis, and preparation of a FSN situation analysis. These trainers then train their colleagues in other districts, perhaps with “outside” trainers playing a more peripheral role. What are the advantages of the horizontal mode of knowledge and skill transfers? There may be several advantages (see following box).

One major constraint of the horizontal training mode may be that the training responsibilities, unless fully integrated in their normal work plans, may constitute an additional work burden on the available time of trainers. It is not the intention here to advocate one or the other mode of knowledge and skills transfer. Rather, in each case an assessment may be made to see which mode, or combination of these two modes, is likely to result in a more efficient way of strengthening the capacity of a stakeholder group.

It is worth mentioning here that the *References and Learning Tools* section below contains a number of distance learning tools that can be accessed via the

indicated website and are also available free of charge on CD-ROMs. These learning tools, which cover a significant number of relevant topics, will also be useful in designing face-to-face training events.

Some Advantages of the Horizontal Mode of Knowledge and Skills Transfer

- Reduces the dependence on outside trainers, who may not always be available or who have to come from far, resulting in higher training costs and scheduling of training activities that is not the most convenient for the trainees.
- District/*shehia*/community trainers are likely to have transformed knowledge and adapted skills to the realities they face in the localities where they live; these realities are more likely to be similar to the ones the trainees face, resulting in the training to be more effective and the training methods to be more appropriate.
- Trainers and trainees are more likely to speak the same “language”, because they have the same understanding and perceptions of the realities they face.
- Timing of the training activities will be more appropriate as trainers and trainees face similar time/seasonal constraints.
- Interactions may also benefit the trainers as they learn about slightly different realities from the trainees, thus broadening their understanding and perceptions.

References and Learning Tools

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4. *Baseline Food Security Assessments*
5. *Livelihoods Assessment and Analysis*
6. *Markets Assessment and Analysis*
7. *Availability Assessment and Analysis*
8. *Food Security Information Systems and Networks*
9. *Reporting Food Security Information*
10. *Targeting*
11. *Collaboration and Advocacy Techniques*
12. *Food Security Concepts and Frameworks*
13. *Vulnerability Assessment and Analysis*

ANNEX I

Relevant Policy Goals Contained in the Zanzibar Strategy for Growth and Reduction of Poverty (2007), Zanzibar Food Security and Nutrition Policy (2008) and the Zanzibar Food Security and Nutrition Programme (2008)

Zanzibar Strategy for Growth and Reduction of Poverty (2007)

Cluster I: Growth and Reduction of Income Poverty

Overall Objective: Achieve High and Sustained Pro-poor Growth

- Goal 3: Reduce income poverty and attain overall food security
- Operational target 4: Reduce population below the food poverty line from 13 percent (2005) to 10 percent (2010)
- Operational target 5: Effective food insecurity warning and response system developed

Cluster II: Social Services and Well-Being

Overall Objective: Improved Social Well-being and Sustainable Access to Quality Social Services with Emphasis on Poor Men and Women and the Most Vulnerable Members of Society

- Goal 6: Improve food and nutrition security among the poorest, pregnant women, children and the most vulnerable groups
- Operational target 1a: Reduce the number of children under the age of five who are stunted from 23% in 2005 to 10 % by 2010
- Operational target 1b: Reduced prevalence of anaemia among children under five, from 75 % in 2005 to 50% by 2010

Cluster III: Good Governance and National Unity

Overall Objective: Ensure a Society Governed by the Rule of Law and a Government that is Predictable, Transparent and Accountable

- Goal 2: Equitable allocation of public resources, improved service delivery and civil service reform
 - Operational target 1: Enhanced services delivery at all levels
- Goal 3: Respect for the rule of law and access to justice
 - Operational target 1: Enhanced working environment and capacity of the judiciary in Zanzibar
 - Operational target 2: Enhanced working environment and capacity of the law enforcement agencies in Zanzibar
 - Operational target 3: Strengthened Government printing capacity
- Goal 7: Strengthen legal framework to support economic growth

- Operational target: Reviewed commercial laws, regulations, environmental policy and legislation
- Goal 8: Strengthen the institutions of oversight and accountability, including improving access to information
- Operational target 1: Enhanced transparency and accountability
- Operational target 2: Enhanced public awareness and information sharing
- Goal 11: Promote and facilitate enjoyment of human rights
- Operational target 1: Enhanced human rights awareness and observance
- Operational target 2: Enhanced productive and decent work/employment for all
- Operational target 3: Enhanced fair treatment for all

Zanzibar Food Security and Nutrition Policy (2008)

Strategic Areas of Policy Interventions

Goal 1: Improve national food availability through the enhancement of domestic food production and productivity and more efficient food marketing and trade

Policy strategy 1.1- Ensure efficient and sustainable increase in domestic food production and productivity

Policy strategy 1.2- Increase efficiency in (domestic) food marketing and trade

Goal 2: Increased purchasing power and access to food for resource-poor households

Policy strategy 2.1- Increase diversification of rural and urban based economic activities to expand livelihood options and reduce vulnerability to risks of food insecurity and malnutrition

Policy strategy 2.2- Promote credit availability to rural and urban micro-entrepreneurs

Policy strategy 2.3- Development of micro, small and medium enterprises to enable the poor to take advantages of economic growth

Goal 3: Improved utilization of adequate, nutritious, safe and high quality food to all members of the household

Policy strategy 3.1- Ensure use of clean and safe drinking water and improved sanitation

Policy strategy 3.2- Ensure effective public health and nutrition education interventions

Goal 4: Reduced vulnerability to food insecurity and malnutrition for resource-poor population groups through well-targeted social protection measures and effective national emergency preparedness and food emergency measures.

Policy strategy 4.1- Strengthen disaster management, emergency relief and food security and nutrition information systems

Policy strategy 4.2- Strengthen social protection and safety nets to the needy and vulnerable groups

Zanzibar Food Security and Nutrition Programme (2008)

Programme Goals

The overall goal of the ZFSN Programme is to contribute towards reducing extreme poverty and hunger, addressing food and nutrition insecurity, and advocating active participation, fostering the human right to food.

The following goals are set out. The first four are directly in line with the Zanzibar Food Security and Nutrition Policy.

Intervention Goals

- Improved food availability through enhanced domestic food production.
- Improved access to food through enhanced purchasing power of all resource-poor households.
- Improved utilisation of adequate, nutritious, and quality food by all household members.
- Strengthened social safety nets and emergency preparedness and response.

Cross-cutting Goals

- Harmonised food security and nutrition related policies through policy dialogues, advocacy and action planning.
- Enhanced market efficiency, trade and access to credit for micro, small and medium enterprises as well as smallholder farmers.
- Strengthened capacity of FSN institutions.
- Established effective coordination framework and sound management of FSN-related interventions.

ANNEX II

Good Governance Practices Defined (Adapted from UN ESCAP 2009)

Participation

Participation has several dimensions. Participation in essence refers to the degree to which a person's voice is heard and respected in making decisions, and in planning, implementing and in monitoring actions. People can participate on an individual or on a group basis, or through legitimate and accountable representatives. Participation by citizens may be through elected officials who represent, and are accountable to their respective constituencies.

The meaning of participation can range from people: being asked to provide information needed in the planning process or in action monitoring; being consulted on certain issues when decisions need to be made; participating in implementing certain actions (about which they may or may not have been consulted) or all the way to organising to make decisions based on their own priorities and perceptions (self-determination) and implementing actions to fulfil those priorities, with or without public assistance. These are often referred to as the steps of the "participation ladder". Participation can be in informal ways or can be organised or institutionalised. Elections are a formal way to institutionalise political participation. A local level body that brings together (on a non-hierarchical basis) representatives from the public sector and from the grass roots or from community-based organisations, is a way to institutionalise participation in local development.

Respect for the rule of law

Fair legal rules need to be in place and need to be effectively and impartially enforced. Every member of society should have full knowledge of the legal rules, while having an obligation to observe those rules. Respect for, and protection of, the human rights of every member of society, without exception, is also part of respecting the rule of law.

Transparency

Decisions are made and are put in place, and actions are implemented, in accordance with rules, norms and regulations that are known and understood by all concerned. Adequate information is freely provided about decisions and actions, making the information accessible to all concerned, in terms of the ways (written and orally media) and forms (language) in which the information is divulged.

Responsiveness

Responsiveness to the needs and established priorities of all those who are to be served by public institutions is another cornerstone of good governance. It implies that public institutions have full knowledge of and understand the needs and priorities of the public to be served, and respond to these to the best of their capacity. It also means that those who are to be provided with public services have constantly the

opportunity to make their needs and priorities known to the public authorities, and can enter into dialogue with them about needed changes.

Consensus Oriented

This requires the mediation of different viewpoints and interests to reach a broad-based consensus on how to proceed in the best interests of the whole community or group. The mediation should take place on a basis of mutual respect among all who participate in the consensus building process, which should also take into account broad and long term perspectives on what is needed.

Equity

All members of society, but particularly those who are most vulnerable or are worse off, have an opportunity to improve their well-being, and for instance, achieve and maintain food security and good nutrition.

Inclusiveness

All members of society, but particularly those who traditionally suffer from social and economic marginalisation (being on the side-lines), feel that they have a stake in society's well-being and do not feel excluded from participating in decision-making or from contributing ideas and points of view, with respect to what needs to be done for the good of all.

Effectiveness and Efficiency

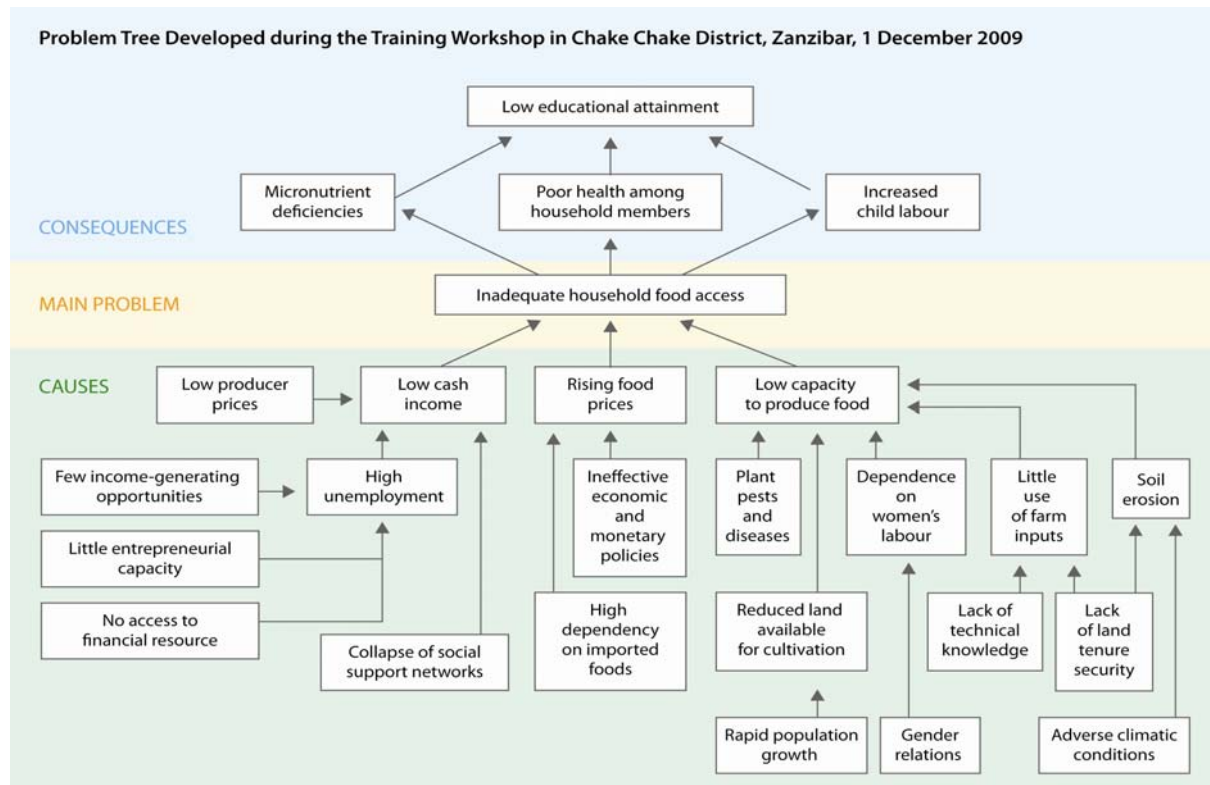
Effectiveness in good governance means that results are produced (by institutions or through specific processes) that meet people's needs. It is thus linked to responsiveness. Efficiency means making best use of available human, financial and physical resources, including sustainable use of natural resources, to produce results. It means the "right" mix of using resources immediately versus in the future. Further, it means that public resources that have been allocated for a specific purpose should only be used for that purpose and not be deviated for private gain.

Accountability

Accountability is closely linked to transparency and the rule of law. Individuals, organisations or institutions can be held accountable when they have an obligation to explain and justify decisions and actions to those being affected by those decisions and actions. Equally accountability means that lack of decisions or actions, needs to be explained and justified. Individuals, organisations and institutions can also be answerable for the consequences of their decisions or actions. Accountability means that those affected by decisions and actions and/or their consequences have complete access to relevant information to ask for explanations and justifications, and have full knowledge of applicable administrative and legal rules. This is particularly important, for instance, when it comes to respecting and protecting human rights.

ANNEX III

A FSN Problem Tree



ANNEX IV
Example of a District Action Plan
Fisheries and Tourism Livelihood Zone, North A District, Unguja, Zanzibar
January 2008

FSN PROBLEM	PLAN OBJECTIVES	NATIONAL POLICY OBJECTIVES	OUTPUTS	ACTIVITIES	RESPONSIBILITY		RESOURCES			TIME FRAME	
					IMPLEMENTATION	COORDINATION	HUMAN	MATERIAL	FINANCIAL	BEGIN	END
Low and non-sustainable household production	Increase production, incomes and purchasing power	ZFSN Policy goal 2	Increased income among food insecure households <u>Targets</u> <ul style="list-style-type: none"> ▪ 6 beneficiary groups (tourism) ▪ 6 fishing groups ▪ 3 food production groups (15 by year 08/09)	Identification, formation and strengthening of beneficiary groups for viable income generation activities for diversification of livelihood options	Shehia council, DMT, DFT	DMT, DFT	Facilitators (district), FSN team		Fuel, stationary, allowances	July 2008	Sept 2008
				Sensitization and awareness raising in community	Shehia council, SDC, DMT, DFT	DMT, DFT	DMT/DFT		Transport	Feb 2008	June 2008
				Sub project design preparation and appraisal (15 sub projects designed)	DFT, TASAF, FS Shehia Committee, beneficiary groups	DMT, DFT, TASAF, FS (sector experts)		TASAF, district north A	Stationary, fuel, refreshments	Oct 2008	Nov 2008
				Implementation of sub projects and capacity building on viable income generation activities to identified food insecure groups	Group leaders of beneficiary groups	Shehia committee, SDC, DMT, DFT, TASAF			Sub-project funds	Nov/Dec 2008	June 2009
				Monitoring and follow up of sub projects implementation	DMT, district	DMT, Shehia, FSND			Transport	Dec 2008	June 2009

High prevalence of protein energy under-nutrition, micro nutrient deficiencies / over-nutrition	Improve utilization of nutritious and quality foods	ZFSN Policy goal 3	Improved health, nutrition and sensitization among food insecure	Conduct group based training at district level on improved health and nutrition issues to representatives of 15 sub project groups	DMT, DFT	FSN experts, DMT	DMT, DFT	TASAF, district north A	Fuel, transport, lunch, stationary	Sept 2008	Jan 2009
			<u>Targets:</u> <ul style="list-style-type: none"> ▪ Group based training for 15 sub project groups ▪ 9 primary school sub-group projects 	Design, plan and support school feeding and gardening activities to the 9 primary school sub projects	DMT, DFT, primary school sub project groups	FSN experts	DMT, DFT, primary school sub-projects groups	TASAF, district north A	Transport, fuel, lunch allowance	Feb 2009	on-going