



First Draft
Framework for Action for Addressing Food Insecurity and Malnutrition in Protracted Crises
(CFS-A4A)

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ONLINE RESOURCE PACKAGE
TRANSFORMING PRINCIPLES INTO ACTION

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Appendix A – Illustrative examples of policies and actions

A.1 Introduction

This Appendix is targeted at policy makers and decision makers responsible for the design and implementation of policies and actions to address food insecurity and malnutrition in protracted crises. It aims to inspire and guide them in developing and implementing policies and actions in line with the principles in the CFS-A4A.

Users of this Appendix are encouraged to explore the examples, guidance and tools in more depth and contact those involved in the development of these policies, programmes, guidance and tools in order to learn from the experiences of others and identify approaches which are relevant in their own context.

The Appendix contains the following types of resource in relation to the principles:

- Examples of national policies and actions (including programmes) for addressing food insecurity and malnutrition in protracted crises. Good practice examples are sometimes limited – hence the need for the CFS-A4A. Some examples are provided of policies and actions which do not adhere to the principles in order to illustrate their limitations in addressing food insecurity and malnutrition;
- Examples of global and regional initiatives which aim to support the development and implementation of policies and actions at regional and country levels;
- Examples of guidelines and tools which may be of help in implementing the principles;
- Possible actions to be implemented to operationalize the principles.

The inclusion of examples in Appendix A does not imply endorsement by the Committee on World Food Security or individual Member States and other participants. They are provided for illustrative purposes only. They have been selected by the Technical Support Team which supported the drafting of the CFS-A4A according to the following criteria:

- Clearly linked to the elements of the principle they come under and help show how that principle can be turned into action;
- Reflect different types of protracted crisis context, with examples not used more than once if possible;
- Prioritise national policies and actions, led by national governments and other national stakeholders but also provide examples of global and regional level policies and actions of regional entities, International Organizations, donors, international NGOs where they illustrate the principles.

As stated in the ‘Way forward’ section of Part 1, decision makers and programme managers are encouraged in the future to share their own examples of policies, strategies and plans, operational guidelines and tools and outcomes of evaluations, lessons learnt etc.

The examples provided in Appendix A are intended to be a starting point for building a public repository of good practice and tools as a resource for all countries and stakeholders in their efforts to prevent, mitigate and respond to food insecurity and malnutrition in protracted crises.

Principle 1

The examples below illustrate actions that can be taken within a rights-based approach to enshrine the right to food in national legal frameworks, and formal and informal accountability mechanisms in situations affected by, or at risk of, protracted crises.

A.1.1 Malawi: towards a National Food and Nutrition Security Framework Law¹

Malawi is a country with high levels of chronic food insecurity, which has, in the recent past, experienced recurrent, acute food crises as a consequence of natural disasters. A quarter of Malawians are ‘ultra-poor’, having an income below the estimated cost of food providing the minimum daily recommended calorie intake.

Approximately half of all children under the age of five show signs of chronic malnutrition; an estimated 48 percent are too short for their age (stunted), 30.6 percent weigh too little for their age (underweight), and 11.4 percent weigh too little for their height (wasted). Droughts and floods push on average approximately 265,000 more people into poverty each year and cause an annual average loss of 1.7 percent of GDP.

Malawi has a wide range of well-formulated and well-intended policies and strategies to accelerate progress in the realization of the right to adequate food. What is missing, however, is a more solid framework to bring together and build synergies between the multiple policies, strategies and programmes. Such a framework could ideally be grounded in law, through a National Food and Nutrition Security/Right to Food Framework Law. The Special Rapporteur was encouraged by the support expressed by interlocutors within Government and civil society for such a framework law. Initial steps have already been taken in this direction through discussions on a ‘Draft Food Security Bill’ prepared in consultation with civil society organizations through the National Right to Food Network.

The Special Rapporteur is encouraging the Government to revive this proposal in consultation with relevant stakeholders, including Parliamentary Committees, Malawi Law Commission, Malawi Human Rights Commission, civil society organizations, farmers associations and the private sector.

A.1.2 Sierra Leone: creating community-based dispute resolution mechanisms for mediation and resolution of food security and right to food challenges²

The provision of paralegal services free of charge to a community in Sierra Leone enabled local solutions to challenges while reinforcing accountability and transparency. Led by the Access to Justice Law Center, the experience demonstrates an alternative way of resolving disputes between citizens or communities and public administration officials where formal litigation is too costly, inaccessible or not culturally acceptable.

The experience evolved in four stages:

1. Raising awareness on rights, and introducing the role of paralegals in the community;
2. Establishing voluntary community oversight boards whose members act as a gateway to the community and a communication channel between the law centre’s mobile paralegals and the community;
3. Identifying, discussing and mediating cases through paralegals;
4. Referring complex or unresolved issues to the supervising attorney at the law centre.

Mediation involved community members, third parties linked to the State and stakeholders operating in the district. Eleven reported cases involving food security included resolution of a dispute between a landowner and the Sierra Leone Agricultural Research Institute, and a case against a construction

¹ Source: End of mission statement by the Special Rapporteur on the Right to Food, Malawi, 12 to 22 July 2013 <http://www.ohchr.org/EN/NewsEvents/Pages/DisplayNews.aspx?NewsID=13567&LangID=E>

² Source: FAO 2012. Guidance Note: Integrating the right to adequate food into food and nutrition security programmes. Rome. <http://www.fao.org/docrep/017/i3154e/i3154e.pdf>

company that had appropriated properties belonging to three community members, destroying crops, without compensating the landowners.

Community members have been empowered to report issues that affect their livelihoods and that would otherwise have been neglected. A process in which communities assume control in addressing these issues has been initiated through the establishment of community oversight boards to monitor the activities of paralegals and assess whether these activities bring benefits; to provide information to the community; and to create a learning environment for peaceful mediation of disputes involving food, through awareness raising on rights.

Principle 2

The examples below illustrate actions that can be taken to establish and strengthen multi-stakeholder platforms and partnerships that support local, national and regional policies to tackle food insecurity and malnutrition in protracted crises and strengthen resilience to future shocks.

A.2.1. Haiti: the Commission for the Fight Against Hunger and Malnutrition (COLFAM) – an inter-ministerial platform for food security and nutrition policies³

Emergencies are recurrent in Haiti, often jeopardizing potential gains in the fight against malnutrition. In addition to the devastating earthquake in 2010, flooding in the north of the country as a result of Hurricane Sandy destroyed several nutrition rehabilitation centres. Other areas have suffered from a decrease in agriculture production due to damaged crops. Haiti is thus looking for ways to ensure that emergency response and preparedness are fully integrated into their approach to tackling food insecurity and malnutrition.

The national-level Commission for the Fight Against Hunger and Malnutrition (COLFAM) is responsible for the strategic direction of the ABA GRANGOU, the National Strategic Framework of the Haitian Government to fight hunger and malnutrition. Nine ministries, seven autonomous agencies, the Haitian Red Cross (HRC) and 21 government programmes are federated, strengthened and harmonised under the ABA GRANGOU strategic framework.

ABA GRANGOU implements programmes through government ministries in three strategic areas: (i) social safety net programmes to improve the access to the food for the most vulnerable; (ii) agricultural investment programmes to increase the domestic food production; and (iii) programmes which deliver essential services including health and nutrition programmes, improved water and sanitation infrastructure and crop storage to the most vulnerable families.

The COLFAM consists of representatives from the office of the President, the office of the Prime Minister, key line Ministries and the Parliament. The National Coordination Unit of ABA GRANGOU (UNAG) is responsible for the execution and coordination of activities set out in this national framework.

UN agencies contribute to the ABA GRANGOU and COLFAM through a technical committee on nutrition at the national and departmental levels, as well as through sectoral round tables. IFAD is an example of an international organization which is supporting the development of country owned policies and actions through multi-stakeholder participation.

A.2.2 Sahel and West Africa: the Global Alliance for Resilience (AGIR)⁴

Across the Sahel region, an estimated 20 percent of the population (12 million people) are chronically food insecure and vulnerable to the impacts of drought, poor harvests, rising food prices and conflict. Similar to the situation in the Horn of Africa, the Sahel is experiencing a shortening of the gap between hunger crises, with major events in 2005, 2008, 2010 and 2012 undermining the coping abilities of the region's population.

³ Source: <http://scalingupnutrition.org/sun-countries/haiti>

⁴ Sources: <http://globalallianceforaction.com>; <http://www.oecd.org/site/rpca/agir/#nrp>; http://ec.europa.eu/echo/policies/resilience/agir_en.htm

In 2012, the European Union launched a new partnership to strengthen resilience from future crises in the Sahel. The initiative, Alliance Globale pour l'Initiative Resilience (AGIR-Sahel), seeks to ensure that the people in the Sahel can better cope with future droughts. AGIR-Sahel starts from the premise that while emergency response in crises such as those that hit the Sahel in recent years is crucial to saving lives, the time has come for a sustained effort to help people in the Sahel cope better with recurrent crises, with a particular effort towards the most vulnerable people.

AGIR-Sahel aims to foster improved synergy, coherence and effectiveness of resilience initiatives in the region. Its objective is to "...structurally and sustainably reduce food and nutritional vulnerability by supporting the implementation of Sahelian and West African policies". The Alliance is placed under the political and technical leadership of ECOWAS, UEMOA and CILSS and it is based on existing platforms and networks, particularly the Food Crisis Prevention Network (RPCA). Building on a 'Zero Hunger' target within the next 20 years, the core approach of the Alliance is to channel the efforts of regional and international stakeholders towards a common results framework. A Regional Roadmap, adopted in April 2013, specifies the objectives and main orientations of AGIR, with countries defining 'National Resilience Priorities'.

AGIR-Sahel illustrates a regional alliance approach with shared objectives, and complementary actions at three levels: i) local, by supporting local communities and endogenous initiatives and mechanisms; ii) national, by supporting investment programmes and existing consensus-building mechanisms; and iii) regional, by supporting the regional plans and mechanisms put in place by the three regional organisations (ECOWAS, UEMOA, CILSS). This international alliance brings together governments, regional organisations and their international partners, as well as civil society.

Principle 3

The examples below illustrate existing analytical tools and information systems that can be used in situations of protracted crisis or recurrent shocks, and which can contribute to the development of more comprehensive policies and actions, taking wider variables, including the resilience of households, into account.

A.3.1 Afghanistan and Democratic Republic of the Congo: National food security situation analyses using the Integrated Food Security Phase Classification (IPC)⁵

The Integrated Food Security Phase Classification (IPC) was designed to meet the needs of decision-makers by providing them comprehensive, timely and actionable knowledge on the food security situation in different areas. The IPC approach not only complies with the principle of ensuring and supporting comprehensive food security and nutrition analyses, it is also consistent with other principles in the CFS-A4A:

- Comprehensive - analyses underlying causes, risks, resilience and outcomes;
- Evidence based;
- Multi-stakeholder;
- Common analytical framework;
- Enables technical consensus to inform decision-making;
- Protects technical, human rights-based analysis from political and institutional interests;
- Monitors changes and provides early warning.

Democratic Republic of the Congo (DRC): Since 2008, there has been growing institutionalization and government ownership of the IPC approach. At first the IPC process was led by FAO, but later ownership was transferred to the Ministry of Agriculture. In recent years the government has taken the full leadership of the IPC, while FAO and WFP provide funding, administrative and technical assistance. IPC has been influential in DRC in drawing attention to humanitarian emergencies and protracted crisis situations both in the Eastern part of the country (South and North Kivu in particular), and in the Western part of the country (Equateur). IPC analysis results are used,

⁵ Source: <http://www.ipcinfo.org/>

for example, to guide Central Emergency Response Fund (CERF) funding decisions in DRC and donors' decision-making and funding allocations.

Afghanistan: IPC started in Afghanistan in 2012 and initially there were numerous difficulties, such as lack of data, low capacity and security concerns. Despite these issues, IPC has been successfully implemented, and in a short period of time has gained wide support from the government, donors and other stakeholders. The coverage and quality of the analysis has improved and it now covers the whole country. Institutionalization of the IPC in the country is continuing with sustained interest and support from the government, IPC partners, and donors.

A.3.2 South Sudan: resilience analysis as an indicator of project impact⁶

Building resilience is one of the most powerful means to mitigate – or even prevent – food insecurity and malnutrition. This needs to be reflected in how humanitarian and development responses are developed. Resilience is the capacity that ensures that shocks do not have long-lasting adverse development consequences, including a household's food security.

Working with partners, the Food and Agriculture Organization of the UN (FAO) has developed a methodology to measure households' resilience to food security threats caused by natural and human-induced shocks. The Resilience Index Measurement and Analysis (RIMA) model identifies and weighs what factors make a household resilient to food insecurity and traces the stability of these factors over time. In the analytical framework of RIMA, resilience explains why one household returns to a desired level of food security while a similar household does not. The model provides the evidence base to design, deliver, monitor and evaluate assistance to populations in need more effectively, based on what they need most.

In South Sudan, the resilience index is being used as an impact indicator of a project to improve community stability and sustainable food security. A baseline was completed in 2012; the final survey will take place once the security situation has stabilized. A comparative analysis will reveal the impact of the re-emergence of violence on the resilience of the target population and area. The findings will be used to, (i) regularly monitor progress and achievements in terms of food security outcomes of project households, (ii) synthesize lessons learned, providing donors and stakeholders with the knowledge to inform future planning and investments, and (iii) provide detailed food security profiles, with details of socio-economic conditions, agricultural production and resilience.

This innovative work contributes to the growing body of evidence on the role of resilience analysis in improving responses to crisis affected populations, and will guide improvements in the design of future analysis.

A.3.3 Pakistan: Livelihoods Recovery Appraisal (LRA) multi-stakeholder methodology⁷

The LRA is a survey tool adopted by the IASC Food Security Cluster in Pakistan to measure the impact and recovery from successive (annual) major flooding events in the southern part of the country, and the resilience of flood affected households. It is a multi-stakeholder tool, endorsed by Government at local, provincial and federal levels, developed and implemented in a highly participatory manner through the Pakistan Food Security Cluster.

Preliminary results are shared and discussed by stakeholders at the Provincial level, and workshops are held to generate consensus around the findings and the implications for programming. The LRA has been repeated over three successive years (2011, 2012, and 2013) allowing a longer-term analysis of trends in livelihoods and the effectiveness of interventions designed to support recovery.

The analysis is comprehensive and addresses both immediate and underlying causes of vulnerability whilst also providing an assessment of the quality, quantity and appropriateness of livelihood support in a context of chronic exposure to natural hazards and complex governance challenges

⁶ For more information: <http://www.foodsec.org/web/resilience/measuring-resilience/en/>

⁷ See: <http://foodsecuritycluster.net/countries/pakistan>

Repeating the survey over successive years provides an important evidence base for sustained and targeted support to communities and households affected by protracted and repeated shocks. Large sample sizes permit highly accurate estimates to be made regarding the status and trajectory of human, natural, physical, financial and social capitals as well as food security outcomes at the household level.

A.3.4 South Sudan: supporting nationally owned and resilient food security and nutrition information systems in the midst of crisis

Reliable food security and nutrition information systems are critical in protracted crisis situations to inform both immediate humanitarian programming and longer-term development. Prolonged exposure to shocks and chronic food insecurity means that information systems need to account for the actual resilience of households (and higher level analytical units).

Similarly, it is also critical to ensure local authorities' ownership of food security and nutrition analysis and assessments, to produce the information required for evidence-based policies and to underpin accountability to affected populations. Local ownership helps contribute to two key objectives: improved decision-making and improved governance.

The importance of reliable information systems both in terms of the information provided and related institutions was an element of the Sudan People's Liberation Movement (SPLM) development agenda during the 20 year civil war. Before the Comprehensive Peace Agreement (CPA), the New Sudan Centre for Statistics and Evaluation (NSCSE) was the SPLM institution mandated to collect and analyze food security information. The NSCSE, funded by Christian Aid (UK), USAID and Norwegian People's Aid, gathered food security and livelihoods information based on local knowledge. Working with Save the Children (UK), WFP, FAO and USAID Famine Early Warning Systems Network (FEWS NET), the NSCSE used this to identify livelihood zones to help monitoring of the food security situation.

Post-CPA, information gathered by the NSCSE contributed to the Joint Assessment Mission, and the NSCSE's capacity was sufficient to conduct the population census of South Sudan. Cooperation partners supported national institutional capacity development to generate and analyze food security and nutrition information. The NSCSE is now the National Bureau of Statistics for the Republic of South Sudan.

Insecurity and conflict in South Sudan since December 2013 threatens the viability of food security and nutrition information systems, particularly at state level. However, with flexible programme design, the EU-funded Agricultural and Food Information System (AFIS)⁸ project continues to support food security and nutrition analysis in the midst of the recent crisis and to support ongoing capacity development of institutions.

With an emphasis on government leadership and national ownership, and building long-term capacity rather than creating additional and parallel systems, the kind of support from the international community has shifted positively, laying the foundations of long-term development.

Principle 4

The examples below show how innovative strategic approaches and programme interventions can contribute to protecting, promoting and rebuilding livelihoods in protracted crisis situations, and illustrate that it is possible to effectively link humanitarian and development approaches.

A.4.1 Horn of Africa: IGAD Drought Disaster Resilience and Sustainability Initiative (IDDRSI) and regional Resilience Analysis Unit (RAU)

In response to the severe drought that devastated the region in 2010/2011, the Secretariat of the Intergovernmental Authority on Development (IGAD) was tasked with coordinating the design and

⁸ See: <http://www.fao.org/news/story/en/item/176691/icode/>

implementation of an IGAD Drought Disaster Resilience and Sustainability Initiative (IDDRSI) Strategy.

The Strategy was developed with IGAD specialized institutions as well as public and non-state actors in member states and other stakeholders affected by drought or involved in responding to its effects, including CGIAR and UN agencies and development partners.

Between 2013 and 2017, this Strategy will guide and inform the process of implementing drought resilience initiatives at national, regional and international levels, united and harmonized under the overall coordination and leadership of the IGAD Secretariat. The Strategy recognizes the need for a comprehensive and holistic approach to combating chronic food insecurity and malnutrition, and addresses deep-seated poverty and environmental degradation to build the resilience of communities and households to the effects of droughts and other shocks in the region. Seven priority intervention areas include:

- equitable access and sustainable use of natural resources;
- market access, facilitating trade and availing versatile financial services;
- equitable access to livelihood support and basic social services;
- disaster risk management capabilities and preparedness for effective response;
- generation and use of research, knowledge, technology and innovations;
- conflict prevention, resolution and peace building;
- coordination mechanisms and institutional arrangements and improving partnerships.⁹

In 2013 IGAD requested FAO, UNDP, UNICEF and WFP to create a Resilience Analysis Unit (RAU) to support the Strategy through improved resilience measurement and analysis at the regional level. This collaborative 5-year partnership will ensure that IGAD, its Member States and other relevant stakeholders develop and have the future capacity to complete robust resilience analyses for evidence-based programme and policy design, implementation and impact assessment.

The IDDRSI Strategy illustrates the development of a common framework for developing national and regional programmes designed to enhance drought resilience by drawing on innovative approaches, and building sustainability in the IGAD region.

A.4.2 Ethiopia: a mixed relief-and-development programme¹⁰

Adopting a resilience perspective infers the creation of policies and actions that innovatively bridge the relief and development sectors. In the last decade, Ethiopia's government and various international development partners experimented with novel programmes that blend relief and development elements.

Ethiopia's Productive Safety Net Programme (PSNP) was set up in 2005 by the government as part of a strategy to address chronic food insecurity. It was an innovative solution to two major problems: (i) the *ad hoc*, uneven, and unpredictable nature of traditional transfer programmes and, (ii) the commonly held view that an excessive focus on relief was inhibiting sustainable rural development. By combining social protection with public asset building, the PSNP contributes to both relief and longer-term development.¹¹

The PSNP provides cash or food to people who have predictable food needs in a way that enables them to improve their own livelihoods – and therefore become more resilient to the effects of shocks in the future.

However, there are times when a shock results in transitory food insecurity, the scale of which is beyond the mainstream PSNP to address. This requires additional temporary support. In this event

⁹ IGAD. 2013. The IDDRSI Strategy - IGAD Drought Disaster Resilience and Sustainability Initiative. (http://www.itacaddis.org/docs/2013_09_24_07_50_06_IDDRSI%20Strategy%20Revised%20January%202013.pdf).

¹⁰ Sources: Humanitarian Exchange Magazine, Issue 53, March 2012. 'How Ethiopia's Productive Safety Net Programme (PSNP) is responding to the current humanitarian crisis in the Horn' (<http://www.odihpn.org/humanitarian-exchange-magazine/issue-53>).

¹¹ 2013 Global Hunger Index. Welthungerhilfe/International Food Policy Research Institute (IFPRI)/Concern Worldwide (<http://www.ifpri.org/ghi/2013>)

extra funding comes from the PSNP's Contingency Budget and, when that is exhausted, the Risk Financing Mechanism (RFM). The RFM allows the PSNP to scale up in times of crisis, and is designed to reduce the 'typical' timeline for humanitarian response, so that households receive assistance before a crisis makes itself felt.

The 2012 GHA report notes that the early response to warnings and early scaling up of the PSNP helped significantly reduce the overall impact of the 2011 food crisis. The cost per beneficiary in areas where the scaled-up programme was used was estimated at USD 53, compared with USD 169 where a traditional humanitarian food aid response was used.¹²

As an example of a long-term, country owned social protection programme which builds resilient livelihoods and can be scaled up to respond to shocks, the PSNP has much to offer in lessons learned and the development of similar approaches elsewhere.

A.4.3 South Sudan: Linking relief, rehabilitation and development for food security and nutrition¹³

Following decades of civil war, the newly independent state of South Sudan encountered multiple challenges in state-building, conflict settlement and livelihood support. Food insecurity is a severe problem, with low agricultural production, a lack of infrastructure and access to agricultural markets. To respond to complex food security needs the German Federal Ministry for Economic Cooperation and Development (BMZ) is working with the UN World Food Programme (WFP) to link relief, rehabilitation and development.

Germany is supporting medium-term transitional development assistance for returning refugees and host communities, as well as longer-term development of agricultural markets through value chain promotion and advice and support to the Ministry of Agriculture in South Sudan. The objectives are, (i) an increase in and diversification of agricultural production and productivity, (ii) agricultural market development and improved market access for small-scale farmers, (iii) stabilization of local food availability, (iv) improved income generation, and (v) household food security and resilience.

At the same time, WFP's Purchase for Progress (P4P) initiative is working in South Sudan to stimulate agricultural production and enhance market access for small-scale and family farmers. WFP provides an assured market for staple food commodities produced by South Sudanese farmers and redistributes the purchased food through its food assistance programmes. This approach provides immediate food assistance to recipient communities, but also promotes increased agricultural production and creates a market for small-scale farmers.

In recognizing the potential synergies of these activities, BMZ and WFP designed complementary interventions. Support focuses on assisting small-scale farmers to increase production and improve quality (with BMZ supporting Farmer Field Schools and the strengthening of farmer organizations) in order to meet the requirements for purchase under the P4P initiative (with WFP providing training on post-harvest handling, commodity quality and warehouse management). Farmer organizations are now managing the warehouses constructed with BMZ and WFP support to supply the market.

Supporting market access through the P4P programme is just one element of BMZ/WFP cooperation. The various capacity-building interventions support the ability to produce and sell to any potential buyer and helps link actors along the value chain. In this way, the short-term food assistance needs in some parts of the country are addressed, while simultaneously laying foundations for sustainable development in other areas.

A.4.4 Innovative programming: cash transfers

There is growing evidence that cash transfers have a range of positive effects and are good value for money. Using cash transfers and vouchers can be a rapid and cost-effective way to deliver assistance in protracted crises. Under the right conditions it can empower beneficiaries to make decisions and

¹² Global Humanitarian Assistance Report 2012 (http://www.globalhumanitarianassistance.org/wp-content/uploads/2012/07/GHA_Report_2012-Websingle.pdf)

¹³ See: <http://www.wfp.org/purchase-progress/news/blog/video-produced-south-sudan>

choices about their own needs as well as boost local markets and economies without detrimental inflationary side effects.

A growing number of donors and agencies are implementing cash-based programmes and developing appropriate policies, including:

- The UK's Department for International Development's (DFID) Bilateral Aid Review 2010 –2011 announced increased commitments to cash transfer programmes with significant funding to Kenya, Pakistan, Ethiopia and Bangladesh.¹⁴
- The EU has made cash and voucher programmes a sector priority. Between 2007 and 2010 the proportion of funding to these types of programmes more than doubled and now all ECHO food assistance programmes in Haiti and Pakistan contain either a cash or voucher element.¹⁵
- In 2008 WFP implemented its policy on 'Vouchers and Cash Transfers as Food Assistance Instruments: Opportunities and Challenges'. Since then its cash and voucher programming has increased substantially with the number of planned projects increasing from five interventions in 2008 to 35 in 2010.¹⁶

In 2012, Somalia received USD 33 million in humanitarian cash transfer programmes¹⁷. A variant, cash-for-work (CFW), provides immediate cash relief while setting the base for medium term recovery. It does this by rebuilding both livelihoods and infrastructure. Work opportunities provided by CFW ensure that vulnerable people remain in their communities, thereby avoiding more displacement and keeping social ties intact. When combined with other interventions, CFW helps build the roots of stability that will prevent crises from recurring.

As the use of cash transfer programmes in humanitarian situations has gained increasing recognition, the feasibility of scaling up and measuring their effectiveness, particularly from a gender perspective, is now being explored in more detail. Including beneficiaries and their communities more systematically in monitoring and evaluation of cash transfer programmes, and considering gender and nutritional issues in design¹⁸, should improve programme effectiveness.¹⁹

A.4.5 The Gaza Strip: urban agriculture as a response to food insecurity

More than half of the households in the Gaza Strip are still either food insecure (44%) or vulnerable to food insecurity (16%).²⁰ Urban agriculture approaches are being shown to boost long- and short-term food security and nutrition, income and employment generation as well as contributing to empowerment and social inclusion. In the context of restricted access to land and fishing waters, food inflation, rapid urbanization and very high population density, household and roof-top gardens are playing a vital role in building Palestinian households' resilience.

Building on community innovations several local and international civil society organizations in the Gaza Strip, including the Palestinian Agricultural Relief Committees, the Union of Agricultural Work Committees and Oxfam Italia and have developed urban and peri-urban agricultural development programmes which help support the following elements:²¹

¹⁴ Source: Department for International Development (DFID), 2011. Available from <http://r4d.dfid.gov.uk/PDF/Articles/cash-transfers-literature-review.pdf>

¹⁵ Source: European Commission Humanitarian Aid and Civil Protection (ECHO), 2013. Available from http://ec.europa.eu/echo/policies/sectoral/cash_en.htm

¹⁶ World Food Programme (WFP), 2011. Available from <http://home.wfp.org/stellent/groups/public/documents/resources/wfp232630.pdf>

¹⁷ Source: Global Humanitarian Assistance Report (GHA), 2013. Available from <http://www.globalhumanitarianassistance.org/wp-content/uploads/2013/07/GHA-Report-2013.pdf>. Based on analysis of UN OCHA FTS data.

¹⁸ See <http://www.ifpri.org/sites/default/files/publications/ib79.pdf>, p.6 for insights from Niger into cash transfers and nutritional outcomes.

¹⁹ Department for International Development (DFID), 2013. Available from www.gov.uk/government/news/dfid-research-transforming-cash-transfers

²⁰ United Nations Country Team (UNCT) in the Occupied Palestinian Territory. 2012. Gaza in 2020: a liveable place? p. 6. (available at: <http://www.unrwa.org/userfiles/file/publications/gaza/Gaza%20in%202020.pdf>).

²¹ See: <http://site.iugaza.edu.ps/halnajar/files/2010/03/Urban-agriculture-and-ecosanitation-the-strategic-potential-toward-poverty-alleviation.pdf> and http://www.eldis.org/fulltext/urban_agriculture_gaza.pdf.

- Urban agriculture value chains;
- Urban water-harvesting projects;
- Integrated land rehabilitation and cultivation;
- Local market access;
- Innovation and research;
- Small and micro-enterprises;
- Enhanced productivity and reduction of food waste;
- Enhanced nutrition and safe food production systems.

International agencies and organizations are also recognising this approach. Since 2011 FAO has supported 550 rooftop and backyard gardens in Gaza, and has also piloted aquaponics systems. These are a vertical rooftop or backyard garden connected to a fish tank. This integrated production system capitalizes on the synergies between aquaculture (fish farming) and horticulture (vegetable or fruit growing), and can work where there is no land, very little space and where resources are scarce.

Waste water from the fish tanks is used to irrigate the vertical rooftop gardens, and acts as an organic fertilizer, increasing vegetable and fruit production without the need of chemical fertilizers. Conversely, vegetable waste products are used to feed the fish. Aquaponic systems are an inexpensive source of animal protein and vitamins and thus greatly improve the diets and health of vulnerable households.²²

Principle 5

The examples below show how existing CFS guidance on the responsible governance of tenure can be applied in a protracted crisis situation; the important role of conflict analysis in underpinning agreement over the use, access and management of common property resources; and that addressing gender issues in enabling access to and control over productive assets can have, inter alia, a positive economic benefit.

A.5.1 South Sudan: use of the Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security (VGGTs)²³

Endorsed in May 2012 the VGGTs were the first major output of the reformed CFS, hailed as a landmark decision. The VGGTs promote food security and sustainable development by improving secure access to land, fisheries and forests and protecting the legitimate tenure rights of millions of people, many of whom are poor and food insecure. The VGGT is a reference document for design of new land administration projects – a recent example is the design of the new Integrated Land Administration project in Serbia.

No country can implement the VGGT as a whole, since the spectrum of themes included is vast. Each country has its own priorities and, equally important, different stages of development vis-à-vis each theme. Countries are therefore advised to undertake a self-assessment of their governance of tenure situation.

South Sudan plans to use the VGGTs to develop an Agricultural Land Tenure Policy and action plan for its implementation and monitoring. The government has requested technical and institutional support from FAO for this. The Agricultural Land Tenure Policy will be aligned with principles in the VGGTs and the Framework and Guidelines of the African Land Policy Initiative. It will be a consultative process engaging key stakeholders from national and state level and provide the foundation for, and create synergies with, on-going and anticipated land tenure support initiatives.

FAO and the UN Economic Commission for Africa are in the closing stages of signing a Memorandum of Understanding that strengthens linkages and realizes synergies between the Guidelines and the Africa Land Policy Initiative across the whole region.

²² See: http://www.preventionweb.net/files/33680_fao.pdf

²³ See: <http://www.fao.org/nr/tenure/voluntary-guidelines/en/>

A.5.2 North Kordofan State, Sudan: SOS Sahel's experience of conflict transformation between pastoralists and farmers²⁴

The following example illustrates the potential for development projects to exacerbate conflict over natural resources and the importance of working with existing customary institutions even in a situation of unrest and uncertainty.

The aim of the project was, “To design and implement a long term strategy over a period of 10 to 20 years for managing the forest resources of El Ain reserve and the surrounding buffer zone in a sustainable way, while taking into account certain urgent needs of local people, namely: safeguarding access to renewable energy; arresting rapid environmental degradation”. There were four main implementation foci - extension promoting several natural resource oriented activities (e.g. improved stoves; micro-catchments, village nurseries etc.); promotion of local management of forests; research work and dissemination of lessons learnt.

The project targeted villagers living around the El Ain forest, working with them to identify ways to conserve local forest resources by reducing demand for fuel-wood and building materials. Local people identified how the forests would be managed, by whom and for what purpose and began to rehabilitate existing forest.

The project made real progress but, after some time, it became clear that the exclusion of pastoralists, who also relied on resources in the area, was threatening the sustainability of the achievements and could potentially exacerbate existing tensions between pastoralists and resident farmers. The situation was made worse when the government allocated a vast area of pasture to a private company.

The project decided to act to help resolve the situation. Not doing so threatened to reverse many of the achievements realised by the local community, with the support of the project, over the previous eight years. The project undertook training in the analysis and resolution of conflict together with members of the community, government and civil society groups who traditionally deal with conflict situations. The project then identified an area that they knew well, in which they could pilot an approach to conflict resolution with the support of local leaders and the community.

A key outcome was a negotiated agreement between Gagrur farmers and the Sebeihat pastoralists, over the use, access and management of common property resources in the area, which resulted in improved inter-community relations, recognition of the rights of pastoralists and reduced conflicts between herders and farmers.

A.5.3 Closing the gender gap: improved returns²⁵

The State of Food and Agriculture 2010–11 makes the ‘business case’ for addressing gender issues in agriculture and rural employment. The agriculture sector is underperforming in many developing countries, in part because women do not have equal access to the resources and opportunities they need to be more productive.

The gender gap imposes real costs on society in terms of lost agricultural output, food security and economic growth. Promoting gender equality is not only good for women; it is also good for agricultural development. Women make essential contributions to the rural economy of all developing country regions as farmers, labourers and entrepreneurs. Their roles are diverse and changing rapidly, so generalizations should be made carefully. However, there is a consistent fact across countries and contexts: women have less access than men to agricultural assets, inputs and services and to rural employment opportunities.

Women in protracted crisis situations are often primarily responsible for meeting the water, food and energy needs of households and communities. SOFA 2010-11 found that giving women farmers the same access to assets and finance as men could help increase yields on their farms by 20 to 30 per cent. Similarly, it was shown that, on average, improvements in child health and nutrition achieved by a USD 10 increase in women’s income would require an increase of USD 110 in a male’s income.

²⁴ Source: [http://www.sahel.org.uk/pdf/Securing%20the%20Commons%20No.5%20\(English\).pdf](http://www.sahel.org.uk/pdf/Securing%20the%20Commons%20No.5%20(English).pdf)

²⁵ State of Food and Agriculture, 2010-11. <http://www.fao.org/docrep/013/i2050e/i2050e.pdf>

In protracted crises, particularly those affected by conflict, where women's roles in agriculture tend to expand, this could raise total agricultural output and significantly strengthen recovery and food security and nutrition.

Principle 6

The examples below illustrate the relationships between food security and nutrition and peacebuilding at different levels. The first highlights how an internationally supported strategic framework for coordinating political, security and development efforts for peace and statebuilding in a protracted crisis situation seeks to support improved food security outcomes. The second example illustrates the potential peace dividends resulting from food security and nutrition related interventions within a conflict-affected community setting.

A.6.1 The Somali Compact: a country led, multi-stakeholder, statebuilding and peacebuilding strategy, integrating food security and humanitarian objectives²⁶

The New Deal for Engagement in Fragile States (the 'New Deal'), was developed through the forum of the International Dialogue for Peacebuilding and Statebuilding. The Dialogue consists of the g7+ group of 19 fragile and conflict-affected countries, development partners, and international organisations.

The New Deal is an agreement between fragile states and partners to change the policy and practice of engagement. It recognises that: "Processes of political dialogue have often failed due to lack of trust, inclusiveness, and leadership. International partners can often bypass national interests and actors, providing aid in overly technocratic ways that underestimate the importance of harmonising with the national and local context, and support short-term results at the expense of medium- to long-term sustainable results brought about by building capacity and systems".

The New Deal proposes key peacebuilding and statebuilding goals, focuses on new ways of engaging, and identifies commitments to build mutual trust and achieve better results. There has been some concern that the New Deal does not adequately reflect food security and nutrition concerns, for example robust food security indicators are not well reflected in fragility assessments.

The Somali Compact, is an example of an overarching strategic framework for coordinating political, security and development efforts for peace and statebuilding, based on New Deal principles.

One of the strategic objectives of the Somali Compact is to, "Revitalize and expand the Somali economy with a focus on livelihood enhancement, employment generation, and broad-based inclusive growth." It is recognized that the economy has a critical role to play in Somalia's statebuilding and peacebuilding processes, including employment generation, particularly for youth and women. It is a stated priority to "...provide prioritized support to the productive sectors, specifically agriculture (farming, livestock and fisheries)." A further priority is to "...promote the sustainable development and management of natural resources by developing legal and regulatory frameworks and building capacity in key Natural Resources Management (NRM) institutions."

Stakeholders in the Somali Compact are committed to humanitarian principles and ensuring full access to people in need. The 2013-15 humanitarian strategy, which focuses on both life-saving needs and building resilience to drought and other shocks, is considered as integral to the Compact.

²⁶ Sources: <http://www.pbsdialogue.org/The%20Somali%20Compact.pdf>; <http://www.newdeal4peace.org/about-the-new-deal/>; <http://www.newdeal4peace.org/wp-content/uploads/2013/01/new-deal-for-engagement-in-fragile-states-en.pdf>

A.6.2 Food assistance in Mindanao, the Philippines: peacebuilding before peace²⁷

The World Food Programme's (WFP) programme in Mindanao combined immediate interventions to meet humanitarian needs and medium- to longer-term measures to support rehabilitation, recovery, and development.

Activities included school meals, mother-and-child health and nutrition (MCHN), food-for-work (FFW) and food-for-training (FFT), and assistance to internally displaced persons (IDPs). Activities were concentrated in poor municipalities of Mindanao affected by conflict, as identified by the government and the Moro Islamic Liberation Front.

WFP commissioned an evaluation of the programme's effectiveness between June 2006 and March 2009, which showed that WFP's activities indirectly supported the peace process. IDPs reported that the international presence gave them hope for the future and assurances for eventual return to their places of origin. Although there was some concern about creating a dependency on food aid, the IDPs stated that they would indeed return as soon as security conditions permitted.

School meals were effective in bringing more children to school and improving food access at the household level. They also increased community participation: parents claimed to have grown closer as a community, and become better able to trust members and be more sensitive to others' needs. School meals also strengthened the opportunities for dialogue between the government and targeted communities.

FFW and FFT took place on a limited scale, but had a positive impact on the community. People became more cooperative and took on new projects together. The FFW projects did not increase dependence on external support, and provided valuable in-kind support to families.

It was clear that WFP's presence and activities promoted peacebuilding in the region. Beneficiaries and other stakeholders told the evaluation mission that WFP's presence provided a buffer from hunger and also from hopelessness. WFP activities encouraged communities to work together and had a positive psychological impact. The food assistance programmes provided peace dividends that helped foster a sense of stability among the people most affected by the conflict in Mindanao.

Principle 7

The examples below illustrate actions that can be taken at local, regional, national and global levels to strengthen the capacities of communal institutions in order to enhance good governance and to address corruption in protracted crisis situations through a variety of approaches.

A.7.1 Mozambique: the role of traditional institutions²⁸

Informal institutions at village-level often substitute for missing formal institutions and safety nets, and tend to persist even during periods of crisis, including tension with central government. When village-government relations improve, sometimes with the intervention of NGOs, experience shows that more resilient and flexible local institutions can be revitalized and strengthened to take on new roles and responsibilities, particularly in natural resource management and rural development planning.

A deeper understanding of traditional institutions and "local social order", offering forms of mutual assistance and community ties, has been found to play a key success factor when trying to build understanding and capacity for better governance in vulnerable regions. Values can be more readily transformed at this level to allow for further capacity development. Conflict resolution interventions

²⁷ Source: Brinkman, H-J. and Hendrix, C.S. 2011. Food Insecurity and violent conflict: Causes, Consequences, and Addressing the Challenges. WFP Occasional Paper 24. Rome. (available at <http://documents.wfp.org/stellent/groups/public/documents/newsroom/wfp238358.pdf>).

²⁸ Source: Marsh, R. 2003. *Working with Local Institutions to Support Sustainable Livelihoods*. FAO, Rome. (available at <http://www.fao.org/docrep/006/y5083e/y5083e00.htm>).

are better initialised involving smaller, traditional institutions, where bonds of community solidarity and mutual assistance reside, rather than state institutions.

In four communities in Mozambique key local institutions supporting livelihoods and alleviating poverty were identified. Analysis of participation in, and the perceived importance of, local institutions to households indicated that in all four study villages the church was the most important (particularly for women), followed by traditional authorities and political parties.

The remarkably peaceful resettling of internally displaced persons after the civil war in Mozambique has been largely attributed to the critical role of traditional authorities in settling land claims and providing land access to newcomers.

A.7.2 Operationalising anti-corruption frameworks²⁹

The goal of development assistance is to reduce poverty and support countries in their development. To improve aid effectiveness, development partners — both aid providers and aid recipients — have a shared role and responsibility in preventing one of the main breakdowns in effectiveness: corruption.

In protracted crises, aid assistance injects valuable resources into resource-poor and often insecure contexts with high levels of need. Assistance may not reach the most vulnerable populations. The complexity of operating in these contexts makes addressing corruption – and the taboos surrounding it – particularly essential for aid agencies. Without systems in place that can address corruption proactively and comprehensively, future aid flows are jeopardized. This was especially evident in Somalia where major donors withheld aid in recent years. Along with Afghanistan and the Democratic People’s Republic of North Korea, Somalia has the worst perceived level of public sector corruption according to Transparency International’s Corruption Perceptions Index (CPI) 2013.

Anti-corruption approaches are more effective when community-driven monitoring efforts and accountability mechanisms are in place. The Regional Anti-Corruption Programme for Africa (RACP) 2011-2016, a joint UN and African Union initiative, facilitates the elaboration and implementation of two key policy and political frameworks - the United Nations Convention against Corruption (UNCAC) (2003) and the African Union Convention on Preventing and Combating Corruption (AUCPCC) (2003).

The programme adopts a multi-track strategic approach which combines policy research and analysis, with training and capacity development, peer learning and knowledge and information sharing and documentation of best practices on anti-corruption, as well as policy dialogue. The project engages at the national, sub-regional and regional levels, and works with civil society and National Anti-Corruption Institutions through training on monitoring and reporting, as well as workshops that bring together partners to form viable ‘action plans’.

Principle 8

The examples below illustrate an innovative risk-based funding mechanism that can be used to provide more timely and predictable assistance, as well as flexible funding mechanisms that help bridge and coordinate short-term emergency response and longer-term development investment. The importance of considering non-traditional funding sources is also highlighted.

A.8.1 The African Risk Capacity (ARC)³⁰

The ARC is a novel partnership between the African Union, UN agencies, philanthropic foundations and aid providers which aims to be “...an African-owned, standalone financial entity that will provide African governments with timely, reliable and cost-effective contingency funding in the event of a severe drought by pooling risk across the continent.”

²⁹ Sources: <http://www.transparency.org/cpi2013> and http://www.aumaticorruption.org/uploads/Regional_Anti-Corruption_Programme.pdf.

³⁰ For further information refer to the [African Risk Capacity \(ARC\) Briefing Book](http://www.africanriskcapacity.org/) and see <http://www.africanriskcapacity.org/>.

Using a sophisticated risk model developed by the UN World Food Programme (WFP), ARC translates country specific rainfall data into an approximate “response cost”. Countries pay premiums, based on probable risks, to an index-based insurance mechanism. This pools the risk of a drought occurring across several countries, taking advantage of weather system diversity across Africa; it is unlikely that droughts will happen in the same year in all parts of the continent, so not every participating country will need money at the same time. In addition to paying their premium, countries also need to develop national contingency plans for how potential ARC payouts will be used to assist affected populations.

Currently, between appeals for assistance and its delivery, households are often forced to adopt short-term survival strategies, e.g. selling productive assets like livestock, reducing food consumption and pulling children out of school. These strategies can undermine future resilience and reverse development achievements; loss of livelihoods can have long-term repercussions on households and communities.

This new kind of funding mechanism, based on risk rather than crisis management, seeks to improve the efficiency of drought responses, allowing countries to provide more timely assistance to the least resilient and most vulnerable populations, protecting development gains and reducing both the short- and the long-term costs of assistance. ARC aims to catalyse a better risk management system for Africa and provide the capacity building support required to implement it. It is estimated that an ARC contingency fund of USD 250 million could save African countries and donors nearly USD 1 billion over 20 years.

A.8.2 Somalia: the importance of remittances

Remittances, now globally become more than three times larger than official development assistance³¹, have had significant impacts on poverty and food security. Remittances can help to reduce poverty, leading to reduced hunger, better diets and, given appropriate policies, increased on-farm investment.³²

Populations in protracted crisis situations are often dependent on remittances from family members and relatives elsewhere. More than 40 percent of Somalia's population receive remittances from overseas - over four million people - estimated at around USD1.2 billion a year. Families across the country use the cash to cover basic household expenses, with over 70 percent using the money they receive through remittances to pay for food expenses.³³ A loss of remittances in can thus pose significant food security risks.

Related research on cash transfers, an effective response option relative to food aid, demonstrated that it was possible to maintain cash transfers to Somalia in response to the 2011 famine, while maintaining due diligence. The local money transfer system was highly efficient, and agencies were able to avoid diversion of funds, through careful monitoring and engagement.³⁴

The significance of remittances is often underestimated. In 2013, a decision by Barclays Bank to close its Somalia accounts had the potential to severely disrupt the flow of remittances. In September 2013, the 47th Intergovernmental Authority on Development (IGAD) Extraordinary Ministerial Council established a special support facility for the Somali remittance industry, and endorsed practical recommendations proposed by the Somali Money Services Association (SOMSA).

Efforts to facilitate and support remittances can make a difference to livelihoods in protracted crises, and help strengthen mutual accountability between the international community, national authorities and citizens.

³¹ Remittances accounted for USD 40.8 billion in 2011, and development assistance comprised USD 15.1 billion. Global Humanitarian Assistance Report (2013).

³² SOFI 2013

³³ Source: ‘Family Ties: Remittances and Livelihoods Support in Puntland and Somaliland Study Report’ (2013), FSNAU.

³⁴ Source: Final monitoring report of the Somalia cash and voucher transfer programme - Phase 2: April 2012-March 2013. <http://www.odi.org.uk/publications/7749-cash-transfer-somalia-monitoring-me>.

A.8.3 Flexible funding mechanisms

Aid providers rarely fund in holistic way and often prefer to support humanitarian, transition or development interventions separately. This inevitably means that work is less well connected, and also requires greater administration. However, there are an increasing number of efforts to strengthen the integration of humanitarian and development actions through more flexible funding mechanisms and policies. These have facilitated timelier responses to context changes.

- **'Crisis modifiers'**, pioneered by USAID/OFDA in Ethiopia, enable a more integrated, agile and flexible approach. This has been shown to be an effective asset protection mechanism. The Pastoral Livelihoods Initiative II (PLI-II) Crisis Modifier provides direct funding to USAID/Ethiopia to protect development gains during times of shock. Small grants allow partners to provide a quick response in the event of a small and/or localized issue that would otherwise set back larger development activities. Activities are generally no longer than a few months³⁵. The routine adoption of 'crisis modifiers' in development programmes in drought prone areas, for example, would allow for quicker and smoother adaptation to extreme circumstances.
- **Norway's transitional assistance budget line 162.70** was introduced in 2002 to cover assistance to countries and areas recovering from conflict and natural disaster. Institutionally and financially, transitional related assistance fell between traditional long-term development assistance and more short-term humanitarian assistance. Experience from the field revealed that the time-span between the withdrawal of humanitarian assistance from a country and the initiation of long-term development cooperation was often too long. A flexible system of financing was required to ensure continued support for active peacebuilding processes and reconstruction work.³⁶
- **Germany's Strategy on Transitional Development Assistance** was initially designed to bridge the financial gap between humanitarian and long-term measures. Today, transitional development assistance is regarded as a specific area of German development cooperation which seeks to lay the foundations for the transition to a sustainable form of development. Recognizing that development processes in complex crisis situations are not generally linear, this specific budget line can provide funding in parallel or after humanitarian aid interventions or during the transition to longer-term development cooperation.³⁷
- The **European Union's 'Supporting the Horn of Africa's Resilience' (SHARE)** flagship initiative was launched in response to the effects of the delayed response to the 2011 Horn of Africa crisis, with the goal of improving the ability of people, communities and countries to face recurrent crises. SHARE seeks to break the vicious cycle of drought, hunger and poverty through sustained coordination between humanitarian and development assistance. With allocations of over EUR 270 million in 2012 and 2013, SHARE aims to boost resilience by improving the opportunities of farming and pastoralist communities to make a living and the capacity of public services to respond to crises.³⁸

³⁵ Source:

http://photos.state.gov/libraries/ethiopia/427391/PDF%20files/OFDA%20ETHiopia%20Overview%20_2_.pdf

³⁶ Source: Norwegian Peacebuilding Policies: Lessons Learnt and Challenges Ahead. Evaluation Report 2/2004.

<http://www.regjeringen.no/upload/kilde/ud/rap/2004/0044/ddd/pdfv/210674-rapp204.pdf>

³⁷ Source: http://www.bmz.de/en/publications/type_of_publication/strategies/Strategiepapier335_06_2013.pdf

³⁸ Source: http://ec.europa.eu/echo/policies/resilience/share_en.htm

Principle 9

The examples below illustrate how learning from experience can inform improvements in policies and actions. Support can be provided in fragile state settings to identify and address capacity gaps in food security and nutrition programme planning and delivery; similarly, evaluations and analyses of a delayed response in a protracted crisis flagged recommendations for future actions, which have resulted in concrete improvements and change.

A.9.1 FAO-IFAD: capacity development support³⁹

FAO and IFAD launched a joint USD 2.6 million initiative to help developing countries, particularly fragile states, manage public investments in small-scale agriculture more effectively. The focus is on countries where weak governance structures can mean that development projects face challenges in delivering results. Up to 15 projects in ten countries will be targeted over a two-year period, with priority given to projects that are already under way, but that are encountering difficulties.

FAO's Investment Centre Division, which leads the FAO's efforts to generate increased investment in agriculture and rural development, will work with countries to improve their ability to plan and implement investment programmes funded by IFAD.

The goal is to improve capacity at local and national levels to plan, manage and implement agricultural investment programmes, resulting in better developmental outcomes. The initiative focuses on training, mentoring, practical learning and guidance materials, sharing good practices and documentation of the most common institutional and capacity constraints faced by different actors.

Improving governance, project management and knowledge sharing skills helps build a solid foundation for the implementation of future projects, though a better understanding of constraints, building on experience in these challenging contexts.

This initiative is a solid example of identifying and addressing capacity gaps that compromise stakeholders' ability to plan, implement and monitor programmes and projects to address food security and nutrition in fragile states.

A.9.2 Horn of Africa 2011: learning lessons, making changes⁴⁰

The catastrophic effects of the international community's delayed response to the 2011 food insecurity and famine in the Horn of Africa, despite numerous early warnings, has led to a number of changes in policy and practice when responding to forewarned emergencies.

Various evaluations and analyses of the 2011 Horn of Africa crisis response have flagged similar recommendations for future actions. These include more preventative action, less risk aversion by donors, greater flexibility in funding, better use of cash transfers and social safety nets (including at scale), a more organized framework to improve response to early warnings, and multi-year funding cycles. Since the 2011 experience, various stakeholders have made improvements to policies and actions, building on lessons learned, including:

- In late 2012 the UN announced a three-year Consolidated Appeals Process (CAP) for Somalia, the first of its kind. This innovation has since been followed with a similar three-year UN Strategic Response Plan for the Sahel (2014-2016);
- The Nairobi Strategy⁴¹, developed by African leaders and international partners at the Summit on the Horn of Africa in September 2011, outlined a number of commitments to address many of the issues highlighted by the 2011 crisis. It was agreed that the crisis reflected "...long-term under

³⁹ Source: IFAD Press Release: 'IFAD and FAO target small-scale agricultural projects facing challenges \$2.6 million grant to help countries manage public investments'. 2 October, 2013. Available at:

<http://www.ifad.org/media/press/2013/44.htm>

⁴⁰ Sources: Horn of Africa Learning and Accountability Portal (<http://www.hornofafricaportal.org/evaluations>); Global Humanitarian Assistance Report 2013 (<http://www.globalhumanitarianassistance.org/wp-content/uploads/2013/07/GHA-Report-2013.pdf>).

⁴¹ See: http://aigaforum.com/news/Nairobi_Strategy_091411.pdf

investment in drought-prone areas” and a new approach was required in which policies and programmes would have a “...primary objective of building resilience to future climatic and economic shocks.” This new approach and focus should “...encompass the continuum of relief, recovery, reconstruction, innovation and long-term development towards sustainable development to ensure drought resilience and ensuring food security.”

- Subsequent appeals saw an increase in the amount of cash transfer programming, reflecting an understanding that, in Somalia at least, the food crisis was also due to conflict-induced high food prices that people could not afford, as well a drought-induced food shortage.

Principle 10

The examples below illustrate actions that can be taken to improve accountability to all stakeholders in protracted crisis situations. Accountability mechanisms support community participation in programmes, address communication needs of affected populations, enhance transparency, improve targeting, and strengthen trust and social cohesion.

A.10.1 West Bank and Gaza Strip: Accountability to Affected Populations (AAP) in practice

Organizations often fail to respect the communities they work with when they are not, at a minimum, transparent about their role, their agenda, and what communities can expect from them. Further, information and effective communication are key aid deliverables in their own right. Aid agencies therefore need to gain specific understanding of the information needs of communities they are assisting, and then strive to meet those needs to the fullest extent possible.

FAO project participants in West Bank and Gaza Strip were surveyed regarding AAP, including on current standards of information provision and their information needs. They advised that information can be manipulated and used as a tool of power, and emphasized that everyone should have equal access, rather than favouring men by posting information where women don't go. They reported that they currently receive information about interventions, the inputs they will receive and who are targeted. The types of additional information they asked for included updates, when items will be delivered and if they are delayed and why, information on the selection criteria, clarification of the targeting, who the project personnel are, and who to contact.

A.10.2 Building social accountability - the Mwananchi programme⁴²

The Mwananchi programme works to strengthen citizen engagement with governments across six African countries (Ethiopia, Ghana, Malawi, Sierra Leone, Uganda and Zambia), working with sixty-six organisations in over 200 local communities. The aim is to increase transparency and to hold governments to better account. The programme name, Mwananchi (mwah-nah-'n-chee), is the Kiswahili word for 'citizen'. It implies a responsible and hard-working member of the public – exactly the type of person the programme is designed to benefit.

Findings from the programme suggest that there are three major issues with the way social accountability initiatives are currently designed and implemented:

- Failure to engage with the with incentives at the heart of collective action problems;
- Theories of change that fail to take advantage of learning by doing;
- Generic support to 'cookie cutter' agents of change, rather than first identifying the right process to create change.

To combat these challenges, a focus on context-specific processes, or 'interlocution processes', is recommended, by which selected actors, or interlocutors, can orchestrate changes in citizen-state relations at various levels and a retreat from standardised tools which fail to produce the right results in different contexts.

⁴² Sources: <http://www.mwananchi-africa.org/> and UKAid. *Rethinking social accountability in Africa: Lessons from the Mwananchi Programme* by Fletcher Tembo (<http://www.odi.org.uk/sites/odi.org.uk/files/odi-assets/publications-opinion-files/3561.pdf>).

The Mwananchi Justice Agenda Project (MAJAP), implemented by World Voices Uganda, has increased access to justice through informal community-justice systems (known as Bataka courts), part of a strategy to empower the ordinary citizens in the setting of their own justice agenda. Formal courts are frequently difficult for rural people to access, making justice prohibitively expensive. Instead, citizens are able to get decisions on disputes within their own communities, linking justice to community relationships and conflict resolution. This may also reduce reoffending, something formal mechanisms often fail to achieve. By providing ordinary people with an avenue to access affordable justice, the Bataka courts increase their self-determination and capacity to engage in debates. World Voices has now produced a handbook to allow the Bataka model to be implemented in other parts of Uganda.

A.10.3 Kenya and Myanmar: impact of accountability mechanisms⁴³

Accountability is believed to matter because it is understood to improve the effectiveness of humanitarian and development programming by ensuring that goods and services are relevant to people's needs, which helps ensure sustainability; that where accountability systems support community participation in programmes they can contribute to political and social empowerment; and that accountability can make programmes more efficient, by allowing people to identify and correct mismanagement and waste.

Recent research provides some evidence of the efficacy of accountability mechanisms on the quality and impact of assistance. Focused on benchmarks from the Humanitarian Accountability Partnership (HAP) Standard⁴⁴, and drawing on case studies in Kenya and Myanmar and a literature review, results are compelling. Accountability mechanisms were found to have:

- Improved targeting of assistance, the kind of interventions and location of services - community participation provided agencies with a better understanding of local vulnerabilities;
- Strengthened trust between agencies and local communities;
- Contributed to 'trust dividends' with communities in insecure environments;
- Optimised use of resources and promoted value for money;
- Enhanced community ownership of projects.

These results indicate that accountability mechanisms have a positive impact on development and humanitarian outcomes, and should be regarded as essential contributions to the overall development process. More evidence is required to build on these findings.

⁴³ Sources: Featherstone, A. 2013. *Improving Impact: Do accountability mechanisms deliver results?* A joint Christian Aid, Save the Children, Humanitarian Accountability Partnership report. (Available at <http://www.christianaid.org.uk/images/accountability-impact-report-2013.pdf>).

⁴⁴ <http://www.hapinternational.org/what-we-do/hap-standard.aspx>

Appendix B - Case studies

B.1 Introduction

This Appendix presents three case studies in order to:

- Illustrate national, multi-stakeholder processes for developing, implementing and monitoring relevant policies and actions;
- Through the lens of CFS-A4A principles, map and illustrate multi-stakeholder reviews of existing policies and actions, sharing preliminary lessons learnt and, where feasible, plans for future country-owned plans of action;
- Inspire others to transform policies and actions for addressing food insecurity and malnutrition in protracted crises.

The primary audience of the case studies are high-level policy makers in national governments. As stated in the way forward section of Part 1, all stakeholders are encouraged to use the CFS-A4A principles for action, illustrative examples and case studies to guide the establishment or strengthening of multi-stakeholder processes for developing, implementing and monitoring policies and actions, and to share plans and lessons learnt with others through the CFS.

The inclusion of these case studies does not imply endorsement by the CFS or individual Member States and other participants. They are provided for illustrative purposes only.

CFS Members and Participants had the opportunity to make suggestions and/or volunteer to be considered as a case study. Three countries agreed to develop case studies, namely: South Sudan, Yemen and Brazil. The CFS-A4A Technical Support Team (TST) considered that case studies from these countries would be valuable in illustrating how the CFS-A4A principles can be transformed into action. Final versions of the case studies will be included in Annex B of the final draft CFS-A4A.

B.2 Outline of broad content of case studies

South Sudan and Yemen

Case study sections to include:

- Description of the country context with insights into the food security and nutrition situation, and protracted crisis characteristics.
- Description of methodology, including constraints and limitations, and how this informs development of national, multi-stakeholder processes for developing, implementing and monitoring relevant policies and actions.
- Preliminary national, multi-stakeholder analysis of national context through the lens of the CFS-A4A principles, including possible integration and coherence with other broader, related processes and structures.
- Conclusions and policy recommendations for various stakeholders, and description of plans to take these forward.
- Graphics and illustrative text boxes.

Brazil

Case study sections to include:

- Description of current Brazilian cooperation for food security and nutrition in countries at risk of, and affected by, protracted crises.
- Description of the methodology for establishing an on-going, national, multi-stakeholder process of reviewing and planning Brazilian policies and actions.
- Preliminary national, multi-stakeholder analysis of current Brazilian approach and actions.
- Outline strategy for Brazilian cooperation for food security and nutrition in protracted crises.
- Plans and commitments of different national stakeholders to strengthen Brazilian cooperation for food security and nutrition in protracted crises.

Appendix C – Compendium of key policy and reference documents

Background and Rationale

Committee on World Food Security (CFS). 2010. *CFS 2010/6 - Policy Roundtable addressing Food Insecurity in Protracted crises: issues and challenges*, 36th session CFS, Rome. (available at <http://www.fao.org/docrep/meeting/019/k8865e.pdf>).

Committee on World Food Security (CFS). 2012. Section H. Addressing Food Security and Nutrition in Protracted Crises, (paragraphs 66-68), in *CFS 2012/39/5 Add.1 Rev.1 - Global Strategic Framework for Food Security and Nutrition - First Version Consolidated version endorsed by the Thirty-ninth Session of the Committee on World Food Security, Rome, 15-20 October*, 39th session CFS, Rome. (available at http://www.fao.org/fileadmin/user_upload/bodies/CFS_sessions/39th_Session/39emerg/ME49_8E_CFS_2012_39_5_Add_1_Rev_1.pdf).

Committee on World Food Security (CFS). 2012. *CFS 2012/39/7 - Addressing Food Insecurity in Countries in Protracted Crises*, 39th session CFS, Rome. (available at <http://www.fao.org/docrep/meeting/026/me888e.pdf>).

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Appendix D – Selected Glossary

The content of this selected glossary has been prepared by the CFS-A4A Technical Support Team, drawing on its expertise, reflecting a technical understanding of the terms presented. The definitions or descriptions provided in this selected glossary do not infer endorsement by CFS stakeholders.

Accountability

Although there are many definitions of accountability, one that is more specific to crisis-affected communities says that “...accountability is the responsible use of power,” highlighting the imbalance between aid organisations and local communities in the context of natural disaster and crisis. It is a process of taking account of, and being held accountable by, different stakeholders, and primarily those who are affected by authority or power.⁴⁵

The 2007 HAP Standard, and also the Emergency Capacity Building project’s 2007 Good Enough Guide for Impact Measurement and Accountability in Emergencies⁴⁶, unpacked accountability by defining benchmarks and commitments respectively. In 2012 the Inter-agency Standing Committee (IASC) adopted similar commitments⁴⁷, thereby further reinforcing the coherence around what the sector understands by accountability to affected populations.

At risk

A population is at risk of a protracted food security and nutrition crisis when they are faced by multivariate, prolonged and/or recurrent shocks and/or threats that undermine livelihoods, food systems and formal and/or informal support systems, which in themselves are not resilient enough to cope.

Capacity building

Capacity building is about enhancing the ability of individuals, organizations and institutions in developing countries and in countries with economies in transition to identify, plan and implement ways to mitigate and adapt to changing landscapes.⁴⁸ Although there is no “one size fits all” formula for capacity-building, it must always be country-driven, addressing the specific needs and conditions of countries and reflecting their sustainable development strategies, priorities and initiatives.

Civil society

Refers to the sphere in which citizens and social movements organize themselves around objectives, constituencies and thematic interests.

Do no harm

Although not a humanitarian principle *per se*, but an additional point on which to base activities, humanitarian organizations must strive to ‘do no harm’ or to minimize the harm they may be inadvertently doing simply by being present and providing assistance. Humanitarian actors need to be aware of this and take steps to minimize the harm when, for example, assistance is used as an instrument of war by denying access or attacking convoys; assistance is an indirect part of the dynamics of the conflict because it creates jobs, gives incomes in form of taxes, leaves no or little responsibility on the state for social welfare, etc.; or assistance exacerbates the root causes of the conflict by securing rebel activities. To minimize possible longer term harm, humanitarian organizations should provide assistance in ways that are supportive of recovery and long-term development.

Food security

For the purposes of this document, the term is used in line with the definition provided in the Global Strategic Framework for Food Security and Nutrition (2013)⁴⁹. The term ‘food insecurity’ is

⁴⁵ Humanitarian Accountability Partnership (HAP), 2014. Available at: <http://www.hapinternational.org/what-we-do/hap-standard.aspx>.

⁴⁶ Available at: <http://www.echproject.org/the-good-enough-guide/the-good-enough-guide>.

⁴⁷ See: <http://www.humanitarianinfo.org/iasc/pageloader.aspx?page=content-subsidi-common-default&sb=89>.

⁴⁸ See: http://unfccc.int/cooperation_and_support/capacity_building/items/7061.php (accessed 2014).

⁴⁹ Available at: http://www.fao.org/fileadmin/templates/cfs/Docs1213/gsf/GSF_Version_2_EN.pdf.

understood to include the nutritional dimension as integral. In this regard, where useful for the purposes of additional clarity or precision, the term ‘food security and nutrition’ is also used. Food insecurity refers to both the inability to secure an adequate diet today and the risk of being unable to do so in the future⁵⁰.

Governance⁵¹

Governance is the process of governing. It is the way in which society is managed and how competing priorities and interests of different groups are reconciled. It includes the formal institutions of government, but also informal arrangements. Governance is concerned with the processes by which citizens participate in decision-making, how government is accountable to its citizens and how society obliges its members to observe rules and laws.

There is no single and exhaustive definition of “good governance”, nor is there a delimitation of its scope, that commands universal acceptance. The term is used with great flexibility; this is an advantage, but also a source of some difficulty at the operational level. Depending on the context and the overriding objective sought, good governance has been said at various times to encompass: full respect of human rights, the rule of law, effective participation, multi-actor partnerships, political pluralism, transparent and accountable processes and institutions, an efficient and effective public sector, legitimacy, access to knowledge, information and education, political empowerment of people, equity, sustainability, and attitudes and values that foster responsibility, solidarity and tolerance.

However, there is a significant degree of consensus that good governance relates to political and institutional processes and outcomes that are deemed necessary to achieve the goals of development. It has been said that good governance is the process whereby public institutions conduct public affairs, manage public resources and guarantee the realization of human rights in a manner essentially free of abuse and corruption, and with due regard for the rule of law. The true test of “good” governance is the degree to which it delivers on the promise of human rights: civil, cultural, economic, political and social rights.

Institution

An often used definition of institutions, appropriate for protracted crisis situations is, “Institutions are the rules of the game in a society, or, more formally, are human-devised constraints that shape human interaction”.⁵² Institution refers to any structure or mechanism of social order and cooperation governing the behaviour of a set of individuals within a given human community. The term “institution” is commonly applied to customs and behaviour patterns important to a society, as well as to particular formal organizations of government and public service.

Malnutrition

A state in which the physical function of an individual is impaired to the point where he or she can no longer maintain natural bodily capacities such as growth, pregnancy, lactation, learning abilities, physical work and resisting and recovering from disease. The term covers a range of problems from being dangerously thin (see Underweight) or too short (see Stunting) for one's age to being deficient in vitamins and minerals or being too fat (obese).⁵³

Malnutrition is defined as nutritional disorder in all its forms and includes both undernutrition and overnutrition. It relates to imbalances in energy, and specific macro and micronutrients- as well as in dietary patterns. Conventionally, the emphasis has been in relation to inadequacy, but it also applies to both excess and imbalanced intakes. Malnutrition occurs when the intake of essential macro- and micronutrients does not meet or exceeds the metabolic demands for those nutrients. These metabolic

⁵⁰ High Level panel of Experts on Food Security and Nutrition (HLPE). 2012. *Social protection for food security*. Committee on World Food Security, Rome. p. 11. (available at:

http://www.fao.org/fileadmin/user_upload/hlpe/hlpe_documents/HLPE_Reports/HLPE-Report-4-Social_protection_for_food_security-June_2012.pdf).

⁵¹ Source: <http://www.ohchr.org/en/Issues/Development/GoodGovernance/Pages/GoodGovernanceIndex.aspx>.

⁵² North, Douglass (1990) *Institutions, Institutional Change, and Economic Performance*, Cambridge University Press.

⁵³ Source: <http://www.wfp.org/hunger/glossary>.

demands vary with age and other physiological conditions and are also affected by environmental conditions including poor hygiene and sanitation that lead to food- as well as water-borne diarrhoea⁵⁴.

When micronutrient malnutrition occurs in persons who are of a normal weight or who are overweight or obese, it is sometimes referred to as hidden hunger. Hidden hunger often has no visible warning signs, leaving sufferers unaware of their dietary deficiency and its potentially adverse impact on their health. Malnutrition is especially serious for infants during the first 1000 days of life (from conception through the age of two), and infants and young children and has largely irreversible long-term effects on the ability of children to grow and learn, and to develop into productive adults later in life. This can restrict the development potential of whole societies and nations, and create a costly and continuing health and humanitarian burden for the country.

Peacebuilding

A range of measures targeted to reduce the risk of lapsing or relapsing into conflict by strengthening national capacities at all levels for conflict management, and to lay the foundation for sustainable peace and development. Peacebuilding strategies must be coherent and tailored to the specific needs of the country concerned, based on national ownership, and should comprise a carefully prioritized, sequenced, and relatively narrow set of activities aimed at achieving the above objectives.⁵⁵

The concept of peacebuilding was first introduced at the UN by Boutros Boutros-Ghali's *Agenda for Peace* in 1992. The document defined peacebuilding as "...action to identify and support structures which will tend to strengthen and solidify peace in order to avoid a relapse into conflict." Initially conceived as part of a conflict sequence from preventive diplomacy through to peacemaking and peacekeeping to post-conflict peacebuilding, the UN developed the peacebuilding concept further in the 2000 "Brahimi Report"⁵⁶ and the 2004 report of the High-level Panel on Threats, Challenges, and Change⁵⁷, to encapsulate a cyclical view of the causes of conflict and relapse and responses to addressing them.

Policies and actions

For the purposes of this document 'policies and actions' encompasses investments, plans, strategies, programmes, institutional arrangements and related architecture.

Private sector

Refers to that part of the economy which is run by private individuals or groups, usually as a means of enterprise for profit, and is not controlled by the state.

Protracted crises

As noted in the 'Background and rationale' section of the CFS-A4A, for the purposes of this document the terms 'protracted crisis context', 'protracted crisis situation' and 'protracted crisis' are understood to be interchangeable. These terms describe contexts and situations that share certain key characteristics, while simultaneously recognizing that no universally agreed definition of these terms exist.

The absence of one or more of the characteristics listed does not necessarily mean that there is not a protracted crisis situation, and no single characteristic identifies a protracted crisis. Consequently, a considerable degree of heterogeneity among protracted crisis situations exists.

⁵⁴ See WHO. 2013. Global nutrition policy review: What does it take to scale up nutrition action? Geneva. (available at http://apps.who.int/iris/bitstream/10665/84408/1/9789241505529_eng.pdf).

⁵⁵ As defined by the UN Secretary-General's Policy Committee. See: <http://www.unpbf.org/application-guidelines/what-is-peacebuilding/>.

⁵⁶ Lakhdar Brahimi (2000), *Report of the Panel on the United Nations Peace Operations*. United Nations: New York. Available at: www.undocs.org/s/2000/809. The Brahimi Report (2000) defines peacebuilding as "...activities undertaken on the far side of conflict to reassemble the foundations of peace and provide the tools for building on those foundations something that is more than just the absence of war."

⁵⁷ General Assembly (2004), *Report of the High Level Panel on Threats, Challenges and Change*. United Nations: New York. Available at: http://www.unrol.org/files/gaA.59.565_En.pdf.

The various definitions presented below illustrate the fact that the same situations have been characterized, even contemporaneously, as complex emergencies, protracted crises, fragile states or post-conflict transitions by different actors. Indeed, there is a certain amount of overlap between complex emergencies, fragile states and protracted crises. However, the classification of the situation is critical as it can have significant implications for policy and programming. For example, characterizing a situation as a complex emergency brings humanitarian issues to the forefront and often leads to a response led by the international community with an emphasis on emergency food assistance. In contrast, intervention in a fragile state focuses more on developing the state's capacity to deliver services to its citizens.

The term 'protracted crisis' (as used in the CFS-A4A) is preferred as it focuses on understanding and addressing both short- and longer-term issues and recognizes that multiple causes are at play for a prolonged period of time. Varying perspectives inform the basis on which such descriptions are based, including donor, international financial institution (IFI), government self-assessment and international specialized agency:

- *The State of Food Insecurity in the World 2010: Addressing food insecurity in protracted crises (SOFI 2010)*⁵⁸

The Food and Agriculture Organization (FAO) and the World Food Programme (WFP) used three measurable criteria to identify protracted crisis situations:

- Declared a food crisis (i.e. reported in FAO's Global Information and Early Warning System on food and agriculture [GIEWS] list) requiring assistance in eight of the previous ten years;
- Ten percent or more of external assistance received as humanitarian aid since 2000;
- Included on FAO's list of low-income, food-deficit countries.

SOFI 2010 noted that some protracted crisis situations are limited to particular geographic area of a country and may not affect the entire population. For example, Uganda appeared on the list in 2010, but the protracted crisis was limited to the northern and north-eastern parts of the country. A territory, such as the West Bank and Gaza Strip, can also be considered as being in protracted crisis, and was among the case studies presented in SOFI 2010.

- *Department for International Development (DFID)*⁵⁹

The Fragile and Conflict-Affected States (FCAS) definition used by DFID includes situations in which part of a country, or a region, is fragile. A fragile and conflict-affected situation can exist within an otherwise stable state or regionally, i.e. affecting one or more states. The methods for defining and classifying fragile countries often differ between agency, for example, the definition used by OECD states that these situations are found in places where "...governments lack the political will and/or capacity to fulfil the basic conditions for poverty reduction, development, security and human rights." (OECD, 2007). DFID's approach is to use a combination of the three most widely accepted assessment frameworks; the World Bank's Country Policy and Institutional Assessment (CPIA)⁶⁰ indicators, the Fund for Peace's Failed States Index (FSI)⁶¹ and the Uppsala Conflict Database.⁶²

⁵⁸ See FAO/WFP. 2010. The State of Food Insecurity in the World 2010. Rome. (available at <http://www.fao.org/docrep/013/i1683e/i1683e.pdf>).

⁵⁹ See DFID. 2012. Results in Fragile and Conflict Affected States and Situations. (available at https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/67437/managing-results-conflict-affected-fragile-states.pdf).

⁶⁰ See: http://www-wds.worldbank.org/external/default/WDSContentServer/IW3P/IB/2011/06/02/000356161_20110602025428/Rendered/PDF/622550PUBOCHIN000public00BOX361476B.pdf.

⁶¹ See: <http://ffp.statesindex.org/>

⁶² See: <http://www.ucdp.uu.se/gpdatabase/search.php>

- *g7+ countries*⁶³

The g7+ is a group of self-declared eighteen conflict-affected and fragile states. The g7+ is a voluntary association of countries that are or have been affected by conflict and are now in transition to the next stage of development. The main objective of the g7+ is to share experiences and learn from one another, and to advocate for reforms to the way the international community engages in conflict-affected states.

The g7+ is a key contributor in the International Dialogue on Statebuilding and Peacebuilding (IDSP)⁶⁴, part of the OECD's International Network on Conflict and Fragility (INCAF). The g7+ has been a major stakeholder in the development of the New Deal for Engagement in Fragile States⁶⁵, presented and widely endorsed in November 2011, at the 4th High Level Forum on Aid Effectiveness, and developed through the forum of the IDSP.

In the period 2012-2015 seven g7+ countries will pilot the New Deal, monitored through a peer-to-peer mechanism which includes support through international partners, but as a country-led and country-owned process to transition out of fragility.

- *World Bank*⁶⁶

The World Bank-African Development Bank-Asian Development Bank Harmonized List of Fragile Situations is produced annually as part of its work (mainly through the International Development Association (IDA)) on post-conflict reconstruction assistance to fragile and conflict-affected countries, and operationalizing the recommendations of the World Development Report 2011⁶⁷ which proposes a renewed framework to guide the international community's work in fragile and conflict-affected situations.

For the harmonized list, fragile situations are determined by having either, a) a harmonized average Country Policy and Institutional Assessment (CPIA) rating of 3.2 or less, or b) the presence of a UN and/or regional peace-keeping or peace-building mission during the past three years. This list includes only IDA eligible countries and non-member or inactive territories/countries without CPIA data. CPIA score rates countries against a set of 16 criteria grouped in four clusters: (a) economic management; (b) structural policies; (c) policies for social inclusion and equity; and (d) public sector management and institutions.

- *Organisation for Economic Co-operation and Development (OECD)*⁶⁸

The OECD Development Assistance Committee (DAC), through the International Network on Conflict and Fragility (INCAF), has monitored aid and other financial flows such as foreign direct investment, remittances and domestic revenues since 2006.

The annual report aims to provide policy and decision-makers in donor countries and fragile states with a tool to monitor the levels, trends and quality of past and future resource flows (aid and beyond) in situations of fragility, and highlight issues and countries of concern. Forty-seven fragile states and economies were used for the 2013 quantitative analysis, drawing on the 2011 Failed State Index, the World Bank-African Development Bank-Asian Development Bank harmonised list of fragile and post-conflict countries for the year 2012 and the World Bank income classification (August 2012).

⁶³ See <http://www.g7plus.org/>

⁶⁴ See <http://www.oecd.org/international%20dialogue/aboutthediologue.htm>

⁶⁵ See <http://www.newdeal4peace.org/>

⁶⁶ See the World Bank Harmonized List of Fragile Situations FY14. (available at <http://siteresources.worldbank.org/EXTLICUS/Resources/511777-1269623894864/HarmonizedlistoffragilestatesFY14.pdf>).

⁶⁷ See:

http://econ.worldbank.org/external/default/main?pagePK=64165259&theSitePK=469372&piPK=64165421&menuPK=64166093&entityID=000356161_20110602025428

⁶⁸ OECD. 2013. Fragile States 2013: Resource flows and trends in a shifting world (available at <http://www.oecd.org/dac/incaf/FragileStates2013.pdf>)

Resilience

The concept of resilience is already proving to be effective in linking humanitarian and development actions and ensuring a comprehensive approach to food security and nutrition. The concept is currently at the centre of policy discussions for various organizations, and is the focus of large-scale, often well-funded, interventions. Many CFS members' and participants' policies and actions increasingly adopt a resilience-based approach, understanding that the relationship between humanitarian efforts and development is more complex and dynamic than 'transition' from one to the other.

A number of common characteristics and central tenets of the term resilience have been identified, and shared understandings are in use in multi-stakeholder initiatives addressing food security and nutrition in protracted crisis contexts. These are explored in more detail below. It is becoming evident that the added value of applying a resilience perspective include, amongst others:

- Development programmes addressing uncertainty and volatility, protecting gains made;
- Humanitarian programmes designed with sustainable development in mind;
- Potential savings in the form of reduced humanitarian spend, avoided losses and development gains;
- Bolstering support for interventions that bridge relief and development;
- Complementing rather than undermining affected populations' existing absorptive, adaptive and transformative capacities;
- Providing an entry point to ensure that both symptoms and causes of malnutrition are addressed in a comprehensive way, tackled from both the humanitarian and development angles.

The increasing focus on resilience is driven by the desire to avoid repeated impoverishment, food insecurity, malnutrition and suffering caused by frequent, recurrent or protracted shocks. Like any other emerging concept, there are multiple definitions on what resilience means. Several of these definitions are outlined below and are the ones most used by UN agencies, international organizations, donors and other development actors currently championing the concept of resilience:

- *The Office of the United Nations Strategy for Disaster Risk Reduction*: “The ability of a system, community or society exposed to hazards to resist, absorb, accommodate and recover from the effects of a hazard in a timely and efficient manner, including through the preservation and restoration of its essential basic structures and functions.”
- *The Global Alliance for Action for Drought Resilience and Growth*:⁶⁹ “The capacity of vulnerable households, families, communities and systems to face uncertainty and the risk of shocks, and to withstand and respond effectively to shocks, as well as to recover and adapt in a sustainable manner.”
- *The Food and Agriculture Organization*: “The ability to prevent and mitigate disasters and crises as well as to anticipate, absorb, accommodate or recover and adapt from them in a timely, efficient and sustainable manner. This includes protecting, restoring and improving livelihoods systems in the face of threats that impact agriculture, food and nutrition (and related public health).”
- *World Food Programme*: “The capacity of people, communities and countries to resist and recover from extreme events.”
- *USAID*: “The ability of people, households, communities, countries and systems to mitigate, adapt to and recover from shocks and stresses in a manner that reduces chronic vulnerability and facilitates inclusive growth.”
- *UNDP*: “A transformative process of strengthening the capacity of men, women, communities, institutions, and countries to anticipate, prevent, recover from and transform in the aftermath of shocks, stresses and change.”

⁶⁹ A network of over 51 donor and international development partners convened by USAID.

- *DFID*: “The ability of countries, communities and households to manage change, by maintaining or transforming living standards in the face of shocks or stresses (such as earthquakes, drought or violent conflict) without compromising their long-term prospects.”
- *OCHA*: “The ability of communities and households to endure stresses and shocks.”
- *The Global Alliance for Resilience (AGIR)*: “The capacity of vulnerable households, families, communities and systems to face uncertainty and the risk of shocks, to withstand and respond effectively to shocks, as well as to recover and adapt in a sustainable manner.”⁷⁰

Regardless of the source there are central tenets that resonate in all of the above definitions. Fundamentally, resilience is about the inherent capacity (ability) or strength of individuals, communities and institutions to withstand/cope, recover, adapt and transform in the face of specific shocks. This means all interventions in the wake of a crisis begin with identifying and building upon existing capacities and resources. Some definitions of resilience also include anticipating and/or preventing shocks, but this is not a common element across the examples presented here.

Risks

Risks are understood in the context of protracted crises to include the following, which may interplay in a complex manner: human induced disasters, natural hazards and disasters, conflict and insecurity related aspects, and economic shocks and stresses.

Shocks

Shocks are dangerous natural phenomena, human activities or conditions that may cause loss of life, injury or other health impacts, property damage, loss of livelihoods and services, social and economic disruption or environmental damage.⁷¹ They can be rapid onset, unexpected and high impact events (including floods, earthquakes, disease outbreaks, conflict and food price increases), or slow onset in nature (including drought, food price volatility, environmental degradation).

Small-scale food producers and family farmers

For the purposes of this document, references to small-scale food producers or to family farmers are meant to include smallholder farmers, agriculture and food workers, artisanal fisherfolk, herders/pastoralists, indigenous peoples, the landless, urban poor, women and youth. This is in line with categories identified in the Reform of the Committee on World Food Security (2009) document.⁷²

Social protection

Social protection is a relatively recent addition to the development policy agenda, but it has proliferated rapidly in terms of conceptual frameworks, policy influence, budget allocations, programmes and coverage. One reason for its popularity is that it tackles poverty and vulnerability directly, so its impacts are immediate and invariably evaluated as positive. There are numerous definitions of social protection. Most share a focus on managing risk and assisting poor people, while some add a rights dimension. For further discussion and proposed definitions of this term please refer to the 2012 High Level Panel of Experts on Food Security and Nutrition report on *Social protection for food security*⁷³.

Stresses

Compared to shocks, stresses are smaller low impact events and seasonal factors that undermine livelihoods, including unemployment, price fluctuations, ill health, localised conflicts, political instability, population increases or gradual change in climate conditions.⁷⁴

⁷⁰ The Global Alliance for Resilience (AGIR) – Sahel and West Africa Regional Roadmap, 2013, p. 8.

⁷¹ Pasteur, K. 2011. From vulnerability to resilience: A framework for analysis and action to build community resilience. Rugby: Practical Action.

⁷² Available at: <ftp://ftp.fao.org/docrep/fao/meeting/018/k7197e.pdf>.

⁷³ High Level panel of Experts on Food Security and Nutrition (HLPE). 2012. *Social protection for food security*. Committee on World Food Security, Rome. [available at: http://www.fao.org/fileadmin/user_upload/hlpe/hlpe_documents/HLPE_Reports/HLPE-Report-4-Social_protection_for_food_security-June_2012.pdf].

⁷⁴ Pasteur, K. 2011. op. cit..

Stunting

Reflects shortness-for-age; an indicator of chronic malnutrition and calculated by comparing the height-for-age of a child with a reference population of well-nourished and healthy children.

Twin-track approach

The twin-track approach, consolidated in the practice of the UN system and endorsed as part of one of the Rome Principles for Sustainable Global Food Security, requires specific and urgent attention to both short- and longer-term interventions to address food insecurity and malnutrition. In this approach, it is important to emphasize “long-term” does not mean action to be started in the future, or after completion of short-term action. Rather, both kinds of interventions, or “tracks”, need to be undertaken simultaneously and in a coordinated manner in order to successfully fight hunger and progressively realize the right to adequate food.⁷⁵

Undernourishment

Describes the status of people whose food intake does not include enough calories (energy) to meet minimum physiological needs. The term is a measure of a country's ability to gain access to food and is normally derived from Food Balance Sheets prepared by the UN Food and Agriculture Organization (FAO).

Underweight

Wasting or stunting or a combination of both, measured by comparing the weight-for-age of a child with a reference population of well-nourished and healthy children.

Vulnerability

Vulnerability means different things to different people; there are many definitions of vulnerability, and seemingly, no consensus on its definition or measurement. However, in general terms, vulnerability is the likelihood that at a given time in the future, an individual will have a level of welfare below some norm or benchmark. For further discussion and proposed definitions of this term please refer to the 2012 High Level Panel of Experts on Food Security and Nutrition report on *Social protection for food security*⁷⁶.

Wasting

Reflects a recent and severe process that has led to substantial weight loss, usually associated with starvation and/or disease. Wasting is calculated by comparing weight-for-height nutritional index or mid-upper arm circumference of a child with a reference population of well-nourished and healthy children. Technically defined as below minus 2 standard deviations from median weight-for-height of a reference population. Often used to assess the severity of emergencies because it is strongly related to mortality.

⁷⁵ See the Global Strategic Framework for Food Security and Nutrition (2013). Available at:

http://www.fao.org/fileadmin/templates/cfs/Docs1213/gsf/GSF_Version_2_EN.pdf.

⁷⁶ High Level panel of Experts on Food Security and Nutrition (HLPE). 2012. *Social protection for food security*. Committee on World Food Security, Rome. [available at:

http://www.fao.org/fileadmin/user_upload/hlpe/hlpe_documents/HLPE_Reports/HLPE-Report-4-Social_protection_for_food_security-June_2012.pdf].