

UGANDA

INTEGRATING FOOD AND NUTRITION SECURITY AND THE RIGHT TO FOOD IN LOCAL GOVERNMENT DEVELOPMENT PLANNING AND BUDGETING



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PREFACE

The latest estimates from the Food and Agriculture Organization of the United Nations (FAO) show that the prevalence of undernourishment is stagnant despite the economic growth the world as a whole has experienced in the past decades. It is becoming ever more apparent that unless the political economy of hunger is acknowledged, reducing undernourishment in the world is illusory. The twin-track approach of improving agricultural productivity while at the same time enhancing direct access to food and nutrition therefore remains valid. However, more emphasis must be placed on the food-security governance of a country. This implies an enhanced understanding of the institutions and actors involved in the design and implementation of government action, and of the processes by which policies and programmes are designed, implemented and monitored.

It is likely that an approach based on the fundamental principles of the right to food as exemplified in the *Voluntary Guidelines to Support the Progressive Realization of the Right to Adequate Food in the context of National Food Security* (“Right to Food Guidelines”) is the missing element that enhances the effectiveness, efficiency and inclusiveness of public policies. In other words, a closer look at and proper reform of food-security governance at all levels may be needed in order for the twin-track approach to bear fruits when applied.

The formulation and implementation of targeted interventions to reduce food insecurity, vulnerability and poverty fall on *districts*. It is at this level that Government (district administrators) and civil society interact closely on a day-to-day basis. The district represents a point of intersection of: (i) national development and poverty-reduction policy and strategy priorities, (ii) sector policies and priorities and (iii) community-level priorities and needs. District development plans therefore are the expression of concrete interventions aimed to improve the well-being of individuals.

It is thus necessary to strengthen the capacity of district-level actors to understand how an augmented twin-track approach can be applied at this level. At the same time, some policy and legal support needs to be geared to the national and provincial levels in order to establish the necessary enabling environment that allows district administrators to modify their established way of preparing district plans. This reference guide, which will help address this need, is adapted to the specific needs of the Government of Uganda.

ACKNOWLEDGEMENTS

This tailor-made version of the reference guide for Uganda builds on a version that was used in Zanzibar and was mainly drafted by Dr Maarten Immink (FAO). A second source of inspiration was a two-week training course on food and nutrition security, right to food and district planning that FAO offered to district officials from three countries, among them Uganda. A preliminary version of the guide was used, tested and refined in seven districts drawn from West Nile, Acholi, Teso and Karamoja subregions in the greater Northern Uganda, namely: Nebbi, Yumbe and Zombo (West Nile subregion), Gulu (Acholi subregion), Soroti and Serere (Teso subregion) and Abim (Karamoja subregion).

LIST OF ACRONYMS

AIDS	Acquired Immune Deficiency Syndrome
BMI	Body Mass Index
CG	Central government
CS	Civil society
FAO	Food and Agriculture Organization of the United Nations
DUCDPG	District and Urban Councils Development Planning
FNB	Food and Nutrition Bill
FNS	Food and Nutrition Security
GG	Good governance
HPPG	Harmonized Participatory Planning Guide for LLGs
ICESCR	International Covenant on Economic, Social and Cultural Rights
IPC	Integrated Phase Classification for Food Security
LG	Local government
LLG	Lower local government
MAAIF	Ministry of Agriculture, Animal Industry and Fisheries
MOLG	Ministry of Local Government
NGO	Non-governmental organization
TPC	Technical planning committee
PLHA	People living with HIV and AIDS
SWOT	Strengths, weaknesses, opportunities and threats
UDHS	Uganda Demographic Health Survey
UNICEF	United Nations Children's Fund
VAD	Vitamin A Deficiency
WFP	World Food Programme
WHO	World Health Organization

1 INTRODUCTION: SETTING THE SCENE

This reference guide provides tools and guidance to technical officers at district level who are tasked to integrate food and nutrition security (FNS) and the right to food into district development plans. Before delving into the subject matter, it is important to reflect on why the integration of FNS and right to food should be emphasized and why the focus on sub-national level is needed.

1.1 WHY THE FOCUS ON THE HUMAN RIGHT TO FOOD AND GOOD GOVERNANCE PRACTICES?

The right to food and good governance (GG) practices are essential if sound food security interventions are to be effective. Fighting food insecurity and malnutrition requires a two-pronged approach: (i) improving agricultural productivity on the one hand and (ii) enhancing direct access to adequate, safe and nutritious food that is culturally acceptable on the other (FAO, 2003).

However, technical solutions alone are not enough. Targeted interventions to address food insecurity and malnutrition are likely to be more effective when vulnerable groups participate directly in the development, implementation and monitoring of FNS actions. Meaningful participation requires transparent planning processes and real opportunities to hold government and its partners accountable for their actions and performance, and for the use of public resources.

With the additional emphasis on the right to food and good governance practices it is expected that the planning and implementation of technically sound FNS actions will be more efficient and effective. In this reference guide various tools to analyze whether certain actions comply with the right to food standard and human rights principles are presented. Commonly used concepts and approaches in human rights and good governance are also defined.

1.2 WHY THE FOCUS ON LOCAL GOVERNMENT LEVEL?

There is a global trend of decentralization – particularly the devolution of functions, decision-making power and resources from national to sub-national level. This trend supports the hypothesis that food security action based on community-level priorities and needs can potentially accelerate the reduction of persistent prevalence of hunger and malnutrition. The local government (LG) with its close ties to grassroots groups, with guidance and general policy direction from the central level, is considered to be the most appropriate administrative level for development planning. Further, the close interaction between LG officials and civil society that is possible at district and lower local government (LLG) level catalyses the positive effects of applying human rights principles when planning and implementing FNS activities.

Knowledge Box 1.1

Foundation of right to food work at local government level

- ◆ Planning and implementation of technically sound FNS actions will be more efficient and effective if human rights principles and good governance practices are applied throughout the process.
- ◆ Improving food security interventions at sub-national level has the potential to accelerate the reduction of persistent prevalence of hunger and malnutrition.

This reference guide responds to the capacity needs of LG technical officers who may lack the necessary tools to prepare well-articulated and justified FNS plans. The guide also gives direction on how to meaningfully apply human rights principles at sub-national level.



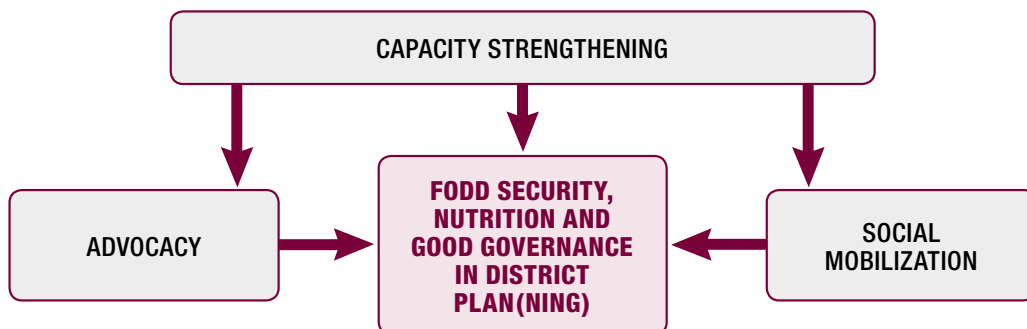
1.3 IMPLICATIONS OF THE FOCUS ON FOOD AND NUTRITION SECURITY AND THE RIGHT TO FOOD

This reference guide follows the conceptual framework shown in Fig. 1.1. The aim is to integrate FNS and the right to food in LG plans and planning processes. Improved information, advocacy, social mobilization and capacity strengthening are the major tools to achieve this aim. The capacities of LG technical personnel to collect and analyze improved data, to advocate and mobilize for the achievement of this objective need in many cases to be strengthened as well.

This guide is intended for the use of FNS practitioners, planners, communicators and community mobilizers to enhance the capacity of other personnel in the district and LLG so as to make a meaningful contribution in FNS planning. The stakeholders whose capacity is to be strengthened are district (political and technical officers) and LLG (subcounty, municipality, parish, division) staff, FNS committee

members and members of non-government and community-based organizations. National-level staff from relevant line ministries will provide guidance and technical support to local-level planners and technical staff with respect to FNS planning and good governance practices. Outreach and advocacy are also to be extended to councillors who represent local constituencies.

Figure 1.1 Content of the Guide



1.4 KEY CONCEPTS

Before embarking on *how* FNS and the right to food should be integrated into district and LLG plans and planning processes a common understanding of the terms is needed. So much has been written about the concepts of food and nutrition security, vulnerability and good governance. This review is purposefully kept short by highlighting only the most important elements of these concepts. Users who wish to acquire a more detailed understanding of these concepts will find a number of references at the end.

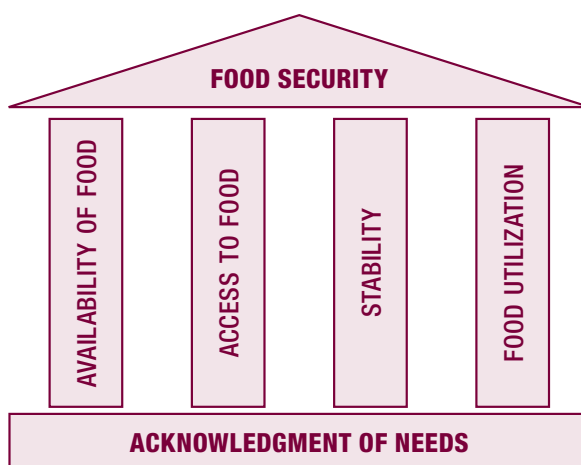
1.4.1 Food security

Food security exists when people have, at all times, physical and economic access to sufficient, safe and nutritious food for an active and healthy life (Fig. 1.2). *Household food security* means that all members of the household are food secure. Thus, when one or more of these conditions does not exist, people suffer from *food insecurity*.

Food insecurity can be caused by the unavailability of food, lack of sufficient purchasing power to acquire food and/or lack of capacity to produce sufficient, safe and nutritious foods. People or households that suffer from periods of a lack of physical and economic access to sufficient, safe and nutritious foods, while having adequate access at other times, are still considered food insecure. We know, for instance, that the availability of certain foods varies from season to season. For example, people who have seasonal jobs, such as in the tourism industry, will have more money to buy food when they are employed than when they are not. The safety of certain foods may also be at risk during certain seasons, for instance when there is water scarcity or shortly before the next

harvest (“hunger season”). Food insecurity can thus be chronic (it is present most or all of the time), seasonal, or transitory (i.e. the occurrence of an extraordinary event can mean food insecurity but adequate food access is restored in time).

Figure 1.2 Food Security Temple



1.4.2 Nutrition security

Nutrition security means that a person enjoys at all times an optimal nutrition condition for an active and healthy life. An optimal nutrition condition is relative to age, desired lifestyle, and physiological condition, and includes both quantitative (dietary energy requirements) and qualitative (protein, mineral and vitamin requirements) aspects. A person who at no time, or only some times, enjoys an optimal nutrition condition, is nutritionally insecure. As with food insecurity, *nutrition insecurity* can be chronic, seasonal or transitory. A person may be nutritionally insecure because of food insecurity, or because of non-food causes – for instance, poor health and sanitation conditions that result in certain diseases affecting the absorption of food by the body. Nutrition security therefore means the permanent enjoyment of the right to adequate food *and* of the right to health.

People suffer from *malnutrition* when they have a physiological condition that may be caused by a consistently deficient intake of energy, protein, and/or of vitamins and minerals, or by a consistently excessive intake of one or more of these, relative to their requirements. Malnutrition thus comprehensively refers to all forms of under- and over-nourishment, and/or to consistently deficient intakes of protein, vitamins and minerals.

1.4.3 Vulnerability

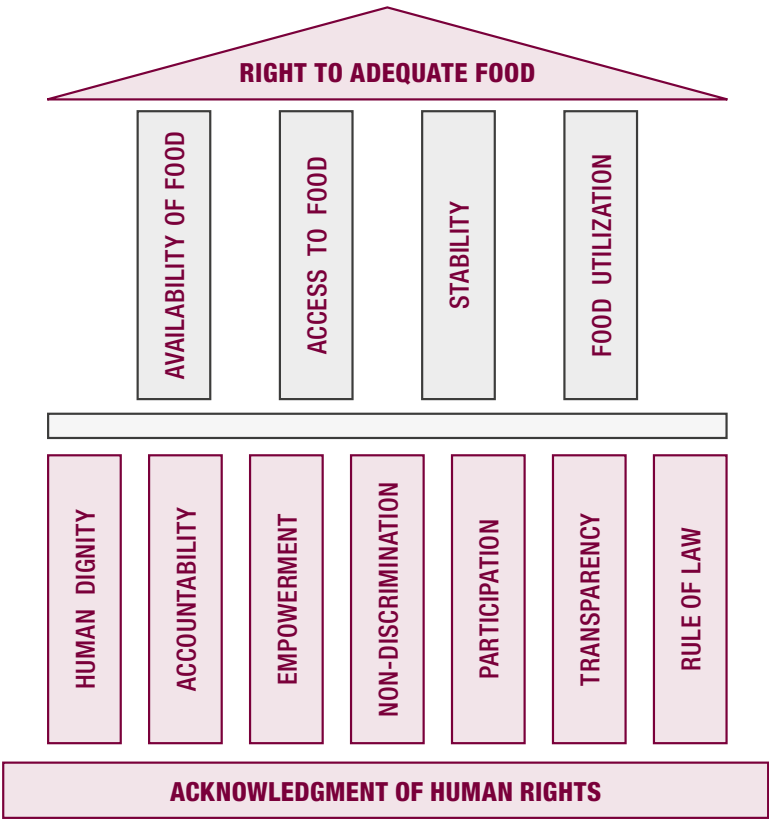
Vulnerability describes the probability of an individual to become food insecure. It is a function of a risk (e.g. sickness, drought, armed conflict) and the ability to cope with this risk (e.g. insurance, diversified income, savings). Vulnerability thus combines exposure

to one or more risk factors, and the capacity to withstand the effects of that risk or those risks. People or households that have little or no capacity to safeguard their access to food, even when confronted with a minimal risk factor, are considered vulnerable.

1.4.4 Human right to adequate food

The *right to adequate food* is a human right, inherent in every woman, child and man, “to have regular, permanent and unrestricted access, either directly or by means of financial purchases, to quantitatively and qualitatively adequate and sufficient food corresponding to the cultural traditions of people to which the consumer belongs, and which ensures a physical and mental, individual and collective, fulfilling and dignified life free of fear” (UN, 2002) (Fig. 1.3).¹

Figure 1.3 Right to Food Temple



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

A right-to-food-based approach complements food security considerations with concerns for dignity, the acknowledgment of rights, transparency, accountability and empowerment. It is based on an a priori commitment to the value of human dignity and makes the individual an agent of change in a way that enables him or her to hold governments accountable and to seek redress for violations of his or her rights. Realizing the right to food is central to rights-based approaches to development that aim to implement all human rights obligations that states have committed themselves to under human rights law.

1.4.5 Good governance practices and human rights principles

Governance is a broad concept, with many dimensions and institutional and political manifestations. In short, governance refers to the ways in which public affairs are conducted and public resources are managed, and to the processes by which decisions are made and implemented.

At national level, it refers to the way the state and its institutions link with people, the market and civil society through policy, laws, regulations and finance. It is the process of exercising different forms of power – social, political, economic, legal and administrative – and comprises the mechanisms, processes and institutions, through which citizens and groups can articulate their interest, exercise their legal rights, meet their obligations and mediate their differences (UN, 2000).

Human rights and governance share a preoccupation with necessary outcomes for improving people's lives, but also with better processes. A focus on the relationship between citizens and the state authorities helps to bridge the gaps that often exist between, on the one hand, those concerned with institutional capacity and state building, and, on the other hand, those who focus on rights and human dignity. Both are necessary given that they are people centred and reflect a fundamental concern with institutions, policies and processes.

The promotion of fair and democratic governance involves the empowerment of citizens, and particularly the marginalized, to become part in governance processes, claiming their rights and demanding accountability. Similarly, human rights require a conducive and enabling environment with appropriate regulations, institutions and procedures that frame the actions of the state. However, human rights cannot be respected and protected in a sustainable manner without good governance. This necessitates focus on political, administrative and institutional processes to respond to the rights and needs of the population. The true test of good governance is the degree to which it delivers on the promise of human rights, including economic, social and cultural rights.

At implementation level, both governance and human rights activities are based on the core principles of participation, accountability, non-discrimination, transparency, human dignity, empowerment and rule of law. The rule of law includes the respect for international human rights law. This guide adopts the understanding that the concept of the right to food includes all components of good governance. Annex 6.3 gives a description of the different human rights principles and good governance practices.

Figure 1.4 Human rights principles



1.5 WHAT ARE WE TRYING TO ACCOMPLISH?

Local government development planning and implementation of the right action is an essential ingredient for achieving the objective of realizing the human right to adequate food for everyone. With respect to district and LLG development plans the principal goals are that:

- ◆ Development plans contain goals and priorities related to the FNS situation in the locality.
- ◆ These plans include FNS actions that address the underlying and root causes of food insecurity and malnutrition that target the food-insecure, malnourished and vulnerable people in the locality.
- ◆ Formulation, implementation and monitoring of plans are carried out in accordance with human rights principles.

For this to happen, a number of *operational goals* must be achieved:

- ◆ Adequate human and financial resources must be put in place to implement the plans in effective and efficient ways.
- ◆ There is popular and institutional support for FNS actions at district and LLG levels.
- ◆ Grassroots constituencies exist, and are empowered to participate in the formulation, implementation and monitoring of district plans and community actions effectively.

1.5.1 Food and nutrition security in district plans

Referring back to the goals of development planning above, the intention is to have district and LLG plans that contain goals and priorities related to the FNS situation in the district, and define programmes and actions designed to achieve those goals and priorities through intersectoral coordination and broad participation, and by targeting the food insecure, malnourished and vulnerable population in the district. In trying to achieve these goals, it is important to take into consideration the provisions given below:

1. All food-insecure, malnourished and vulnerable groups in the district, their livelihood assets, strategies and activities, and their location in the district, are identified and described.
2. All stakeholders analyze – and agree on – the reasons why each livelihood and vulnerable group suffers from food insecurity and/or malnutrition, or why they are vulnerable to these.
3. Objectives and strategies to address major reasons for food insecurity and malnutrition are specified and links between these FNS objectives (where they exist) are outlined.
4. FNS targets and benchmarks linked to the objectives of the plan are specified, and are specific for the district.
5. Programmes and actions to address within specific timelines FNS problems in various livelihood and vulnerable groups (FNS plan of action) are included.
6. A full costing of the FNS plan of action, with buy-ins of various sectors and by other sources of funding has been undertaken and is included.
7. Stakeholder groups both in LG and outside including community groups are identified and their roles described.
8. Detailed information about how programmes and actions that involve various sectors are coordinated – and who will assume responsibility for the coordination – are defined clearly.
9. A full description of the monitoring framework of the district action plan should be articulated, i.e.:
 - ◆ how the implementation of the FNS plan of action and achievement of FNS benchmarks, targets and plan objectives will be monitored, including what process and impact indicators will be generated and what sources of monitoring information will be relied upon;
 - ◆ a schedule of monitoring outputs dealing with FNS issues targeted at various stakeholder groups;
 - ◆ how the district FNS plan monitoring system will interact with the national FNS monitoring system, i.e. use of disaggregated national survey data, and the district-specific information to be contributed to the national FNS monitoring system.

This nine-point checklist represents a large agenda of what would ideally be contained in the district and LLG development plan. It may not be possible to introduce all these items at once, but it is useful to have a clear vision of what the integration of FNS in district plans means, and what work is needed to achieve this over time. One reason is that the first two requirements need substantial data and information to conduct the food security and livelihoods vulnerability analysis, and all of the needed data and information may not be immediately available.

The national FNS policy objectives should be taken as a general reference, but the objectives and strategies of the plan, and consequently the benchmarks and targets, should be specific for the locality. This is because the “starting point” differs from one district to another and one LLG to another: some are better off in terms of food and nutrition security, some worse off. This link between national policy objectives and the objectives of the district and/or LLG plan is often overlooked.

1.5.2 Compliance with right to food

This section discusses what it means to comply with the right to food. We look at the final outcome (i.e. the right to food is realized) and the process of achieving this outcome. For the former, the right to food standard is of importance, for the latter we rely on the application of human rights principles.

Policy outcomes. In accordance with human rights principles, the outcomes of programmes and other measures to reduce food insecurity and malnutrition should be distributed equitably and should contribute to reducing inequities among different population groups. This means that those population groups suffering from food insecurity and/or malnutrition should be targeted as high priority, and that effective and efficient measures should be used to address the reasons why they are food insecure and/or malnourished. Therefore, measures taken by government and its partners must contribute to achieving this outcome. A state that subscribes to the right to food has agreed to use “the maximum of available resources” for the progressive realization of the right to food (UN, 1967).² This implies that activities are conducted that are targeted to those whose right to food is not (yet) realized or whose access to food is at risk. Progressive realization means that plans and policies are developed and implemented that make the realization of these rights possible over a reasonable period of time.

Implementation processes. In implementing action towards the realization of the right to food, the checklist below can be used to ascertain that the human rights principles have been applied in policy and strategy formulation and implementation effectively.

² Article 2 of the International Covenant on Economic, Social and Cultural Rights is applicable to all human rights included in the covenant. This includes the right to an adequate standard of living.

- ◆ People (or their representatives) participate fully in making decisions and in implementing actions related to their well-being, and do so in well-informed ways and as equal partners with government and non-government decision-makers and implementers.
- ◆ Policy and other decisions are communicated in easily understood ways, providing a clear rationale for such decisions to all concerned.
- ◆ The ways in which public services are provided and public investments are made are free from any form of discrimination against any population group with specific characteristics such as sex, race, ethnicity, religion, location etc.
- ◆ People (or their representatives) have adequate access to necessary information to monitor the provision of public services, the allocation and expenditure of public financial resources and the use of public goods.
- ◆ Implementation of public actions to reduce food insecurity, malnutrition and vulnerability includes adequate ways by which people (or their representatives) can talk to and call to task, public officials who do not perform to a high standard and in accordance with the law.
- ◆ People (or their representatives) have adequate access to legal and other means to request that actions to reduce food insecurity, malnutrition and vulnerability be implemented in accordance with norms and standards provided for in legislation, with observance of the rules of law, and with complete respect for human dignity.

As a result, each point on this checklist becomes a specific and cross-cutting goal in formulating policies as well as implementation plans (such as district development plans). This means that specific activities to these ends need to be included, and that resources are allocated to achieve these.

1.5.3 Challenges of integrating food and nutrition security in district and lower local government plans

Several challenges that have up till now hindered the integration of FNS in the district/LLG plans. Key among them are:

- ◆ Lack of non-functional food-security committees – until recently districts did not have food-security committees, and even where similar committees exist they are not fully functional. A major focus of these committees tends to be on short-term emergency responses informed by rapid assessments of the food situation rather than longer-term solutions to the problem.
- ◆ Financing of LG plans – a major shortcoming to the decentralization policy is the inability of LGs to raise adequate revenue to finance service delivery. LGs continue to depend on grants from the central government (CG) or from development partners to finance their budgets. Transfers from CG to LGs are highly conditional and limit the ability of LGs to apply flexibility in order to tailor expenditure to circumstances that are unique to their localities.

- ◆ Staffing shortages in LGs – the inability of particularly remote (hard-to-reach) LGs to attract and retain enough production (and other) staff is a serious constraint to effective service delivery.
- ◆ Inadequacy of FNS information – most LGs do not have the human and financial resources to obtain necessary FNS information that can form the basis for identifying the necessary activities to tackle the underlying reasons for food insecurity. In addition, the lack of information and knowledge of who the vulnerable groups are, where they are located and why they are food insecure present a serious constraint for implementing targeted interventions.
- ◆ Inadequate participation by civil society – the current planning and budgeting process does not sufficiently involve CS. On the other hand, involving CS in planning activities, especially in districts with a high density of NGOs, has bred a consultation fatigue which has resulted in an expectation of communities to be paid for participating in planning activities.
- ◆ Difficulty in holding government accountable – currently individuals do not appreciate their right to hold government accountable for FNS issues or any other issues for that matter. Civil society may be at the forefront of mobilizing and sensitizing communities for development, but often has no knowledge of government policies, plans and budgets, and lacks the tools to monitor the government. Coupled with this, accountability and complaint mechanisms regarding FNS are not known or appreciated.

1.6 UGANDA: THE COUNTRY CONTEXT

1.6.1 Policy and institutional environment of local government food and nutrition security planning

The current national policy framework for addressing food security, nutrition and the right to food is defined by the:

1. Food and Nutrition Policy (2003).
2. Food and Nutrition Strategy (revised 2010).
3. Health Sector Strategic Plan (2010/11–2014/15).
4. Agriculture Sector Development Strategy and Investment Plan (2009/10–2013/14).
5. National Development Plan (2010/11–2014/15).
6. Uganda Nutrition Action Plan (2011–2016).

The legal framework to support these policies is contained in the draft Food and Nutrition Security Bill (April 2010) which at the time of writing was discussed by Government for approval. Some of its provisions, which have been included in the 2011 Uganda

Nutrition Action Plan (UNAP), are being implemented – such as the establishment of FNS committees at national and district levels.

The issues relating to FNS are multisectoral, involving both public and private sector stakeholders. In order to coordinate the various stakeholders, Government established the Uganda National Food and Nutrition Council (UFNC) in 1987 with the key function of advising on the formulation of the policy, providing guidance on the implementation of the policy, research, monitoring and evaluation. An interim body to provide policy oversight for action is necessary because the instrument that legalizes the Uganda Food and Nutrition Council is not yet in place. With the launch of the UNAP and by directive of the Presidency, the Office of the Prime Minister coordinates this forum using the established mechanisms of government.

The overall objective of the National **Food and Nutrition Policy (2003)** is to promote the nutritional status of the people of Uganda through multisectoral and coordinated interventions that focus on food security, improved nutrition and increased incomes. Specific objectives are to:

1. Ensure availability, accessibility and affordability of food in the quantities and qualities sufficient to satisfy the dietary needs of individuals sustainably.
2. Promote good nutrition of all the population.
3. Incorporate food and nutrition issues in the national, district, subcounty and sectoral development plans.
4. Ensure that nutrition education and training is incorporated in formal and informal training in order to improve the knowledge and attitudes for behavioural change of communities in food and nutrition-related matters.
5. Ensure food and income security at household, subcounty, district and national levels to improve nutrition as well as the socio-economic status of the population.
6. Monitor the food and nutrition situation in the country.
7. Create an effective mechanism for multisectoral coordination and advocacy for food and nutrition.
8. Promote the formulation and/or review of appropriate policies, laws and standards for food and nutrition security.
9. Ensure a healthy environment and good sanitation in the entire food chain system.
10. Safeguard the health of personnel associated with agricultural chemicals, food processing inputs and products, consumers and any other third parties likely to be affected.
11. Promote gender-sensitive technologies and programmes.

12. Achieve maximum production with minimum effort.
13. Promote technologies that are user friendly to Persons with Disability (PWD).

It is therefore important that one consults the policy and strategy documents as well as the UNAP alongside this guide to better internalize the goals and their accompanying objectives and strategies.

1.6.2 Status of local government planning

Uganda operates under a devolved decentralized system of governance. Development planning is therefore decentralized. Until 2010, development planning followed a three-year rolling system. This was changed to five-year medium term planning modality in alignment with the national planning time frame from which annually sectors at district and LLG level draw up plans and budgets in close consultation with the central government line ministries and the National Planning Authority (NPA). These development plans are approved by the respective local councils. Once these plans and budgets have been approved, the central government through the Ministry of Finance, Planning and Economic Development (MFPED) releases the funds for implementation. To a limited extent the district and LLGs also generate local revenue to contribute towards implementation of the plans.

Among the challenges faced in the development planning process at the district and LLG level are:

- ◆ The nature of determination of the Indicative Planning Figures may not always address the priorities at the LG level.
- ◆ National priorities determined by the central government may not respond directly to local needs.
- ◆ Delays in communication and sudden changes in the planning guidelines and feedback mechanism to stakeholders.
- ◆ Non-adherence to the stipulated steps in the planning cycle.
- ◆ Rigidity in conditions attached to implementation of some projects emanating from the plans which can lead to long delays in their implementation.
- ◆ Inadequate capacity for interpreting and articulating issues in the development plan correctly – such as linking the situation analysis and priorities to goals, objectives and interventions.
- ◆ Inadequate capacity of district councilors to understand and internalize the proposals contained in the plans for logical decision-making.³

³ Report of score card for performance.

In addition to the above general challenges, there is inadequate capacity to integrate FNS in the district and LLG development plans. The current plans therefore attempt to only address issues of FNS and, less so, its governance. Generally the plans address more “tangible” actions such as infrastructure than the “silent” actions such as nutrition.

The Ministry of Local Government and the National Planning Authority are currently reviewing the guidelines for development planning at higher- and lower-level government. The inclusion of FNS (which will be highlighted as a cross-cutting concern) in the guidelines will be mandatory.

1.6.3 Food and nutrition security situation in Uganda

Food Security

The *Comprehensive Food Security and Vulnerability Assessment Report* (2009) prepared by the UN World Food Programme (WFP) in Uganda indicated that 6 percent of households were “food insecure”, 21 percent “moderately food insecure” and at risk of becoming food insecure should the conditions then deteriorate. The remaining 73 percent were classified as “food secure”. The *Integrated Food Security Phase Classification Uganda Food Security Brief* (FAO/GOU/WFP, September 2010) indicated that there had been a general improvement in the food security situation in the country between 2008 and 2010 with the populations of Karamoja and Acholi moving from humanitarian emergency phases (acute food and livelihood crisis and humanitarian emergency respectively) to non-emergency phasing (borderline food insecure phase) (Fig. 1.5).

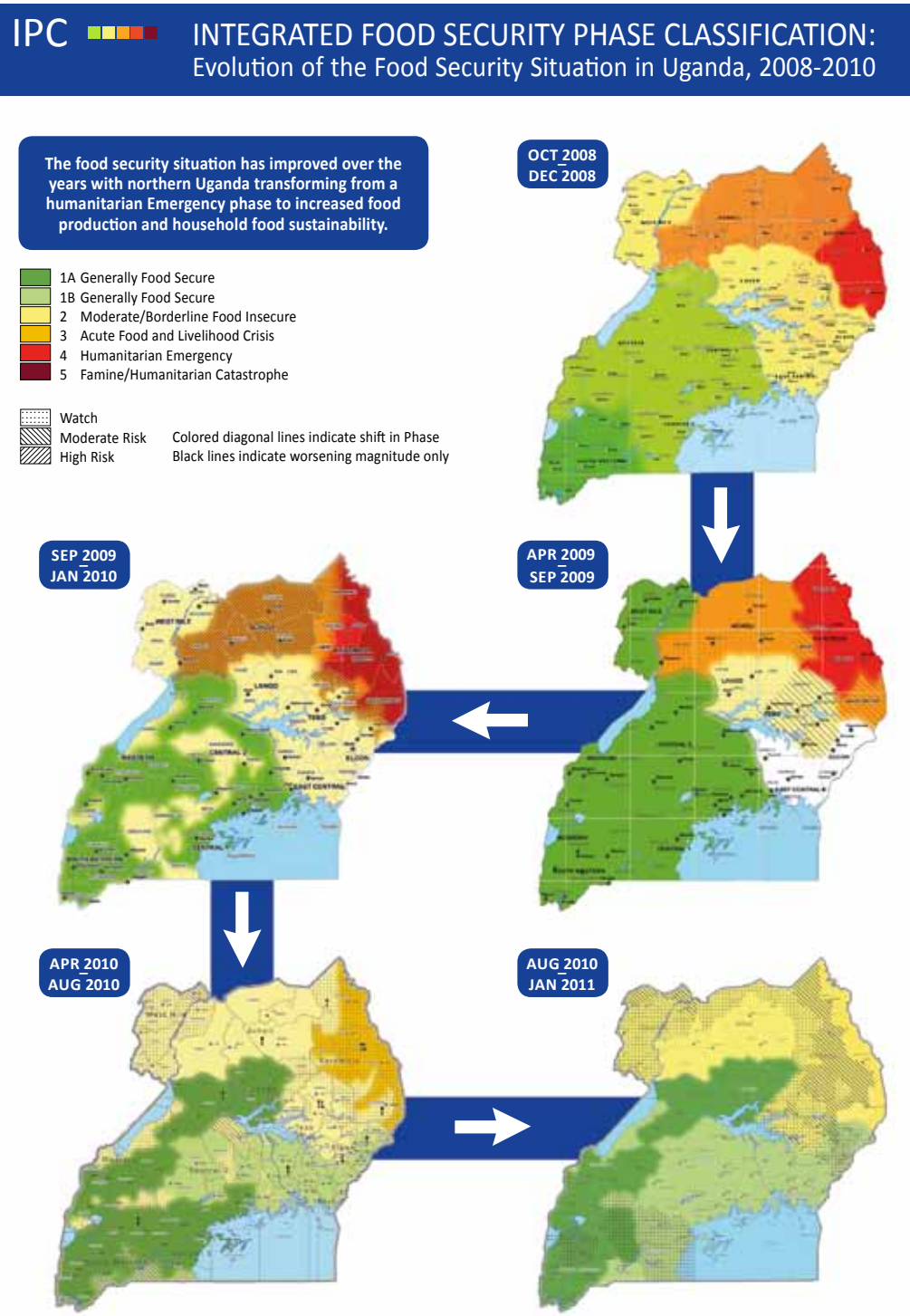
The Karamoja, Acholi, West Nile and Teso subregions were classified as “borderline or moderately food insecure”, which implied that appropriate responses and strategies were necessary to increase resistance and resilience of the livelihood systems to reduce the risk to hazards and address structural hindrances, such as access to health, education, water and sanitation to prevent these populations from slipping back into humanitarian phases and to ensure increased production and household food sustainability into the future. More improvements in the status of FNS continue to be registered.

Status of nutrition/malnutrition

The 2010 report, *The Analysis of the Nutrition Situation in Uganda*,⁴ places the malnutrition status using prevalence of underweight in children under-five at 16 percent or about 2 million children, prevalence of stunting in children under five at 6 percent and the percentage of the population undernourished at 19 percent. The Demographic and Health Survey (UDHS) 2011 put the figures at 33 percent of children under five being stunted or short for their age and 14 percent severely stunted; 5 percent of children under five are wasted and 2 percent are severely wasted; and 14 percent of children under five are

⁴ FANTA-2. 2010. *The Analysis of the Nutrition Situation in Uganda*.

Figure 1.5 Evolution of the Food Security Situation in Uganda, 2008-2010



underweight and 3 percent are severely underweight. Stunting, wasting and overweight are the outcome of failure to receive adequate nutrition over an extended period and are also affected by recurrent or chronic illness. The most common malnutrition problems are high chronic malnutrition and micronutrient deficiencies, especially of Vitamin A and iron. In addition, the prevalence of overweight and obesity is rising in both rural and urban areas. Table 1.1 below shows the World Health Organization (WHO) classification of the public health importance of prevalence of malnutrition.

Table 1.1 WHO Classification of the Public Health Importance of Prevalence of Malnutrition

INDICATOR	ACCEPTABLE (%)	POOR (%)	SERIOUS (%)	CRITICAL (%)
STUNTING	<20	20–30	30–40	>40
WASTING	<5	5–10	10–15	>15
UNDERWEIGHT	<10	10–20	20–30	>30

Source: USAID (2010)

When disaggregated by region, the prevalence of **stunting** is highest in Karamoja followed by the Southwest and the North; underweight is highest in East Central and the North; and wasting is highest in the Karamoja, East Central, Southwest and West Nile subregions. The prevalence of overweight in children is highest in the Southwest region.

The national prevalence of **chronic energy deficiency**, defined by body mass index (BMI) <18.5 kg/m² was reported in the Uganda Demographic Health Survey (UDHS, 2006) report to be 12 percent among non-pregnant women of child-bearing age (15–49 years) with the peak being among women 35 and older. The highest prevalence was in the Karamoja subregion, the North, West Nile, Eastern and East Central subregions. Fourteen per cent of rural women and 6 percent of urban women were undernourished. The UDHS 2011 indicates that 71 percent of women are considered to have a normal BMI. Only 12 percent of women between 15 and 49 years old were found to be undernourished or “thin”.

Overweight (BMI >25) among women is increasingly becoming a health problem, standing at 17 percent (UDHS, 2006). The proportion of overweight women ranged from 6 percent in the North to 26 percent in the central region. Overweight/obesity among women is also higher in urban areas (34 percent) than in the rural areas (13 percent) and among women in the wealthiest households. In the UDHS 2011, 17 percent are overweight or obese. Women in rural areas are more likely to be thin (14 percent) than those in urban areas (6 percent), and urban women have a higher rate of overweight and obesity (34 percent) compared to rural women (13 percent). The controversy however is that the proportion of households with both an overweight mother and a stunted child under-five is also increasing in both rural and urban areas,

especially in southwest region.

In regard to the prevalence of Vitamin A Deficiency (VAD) in children 6–59 months and women of child-bearing age, the UDHS 2006 put it at 20 percent and 19 percent respectively with an almost similar regional distribution. The World Health Organization has classified Uganda as having a moderate public health problem with VAD (FANTA-2).

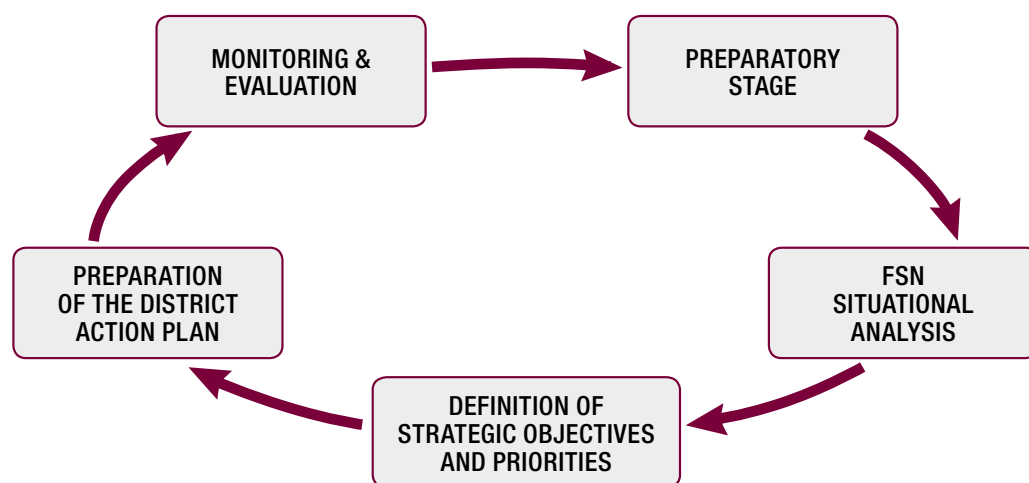
The prevalence of **anaemia** is higher among children than in adults. In 2010 among children 6–59 months, 22 percent were found to be mildly anaemic (Hb 10.0–10.9 g/dl), 43 percent moderately (Hb 7.0–9.9 g/dl) and 7 percent severely (Hb <7.0 g/dl) (UDHS, 2006). The UDHS 2011 however revealed that half of the children 6–59 months are anaemic. Almost all children who suffer from anaemia are mildly anaemic (22 percent of all children) or moderately anaemic (25 percent of all children). Three percent of children 6–59 months are severely anaemic. In women of child-bearing age, in 2010, 49 percent were anaemic (Hb <12.0 g/dl) if not pregnant and (Hb <11.0 g/dl) if pregnant with 35 percent mildly anaemic, 13 percent moderately and 0.8 percent severely (UDHS, 2006). The highest prevalence is in the Central region. In the UDHS 2011, overall about one in four women (24 percent) show any evidence of anaemia. The large majority of anaemic women are mildly anaemic (18 percent); 5 percent of women are moderately anaemic and 2 percent are severely anaemic. The prevalence of anaemia varies by residence and by region among both children and women. Rural residents and those living in Karamoja are the most likely to be anaemic when compared with urban residents and those living in other regions.

Currently there is no accurate snapshot of the prevalence of **iodine deficiency**, which manifests as goiter. A prevalence of more than 5 percent signals a public health problem by WHO standards. Similarly, there are no good data on malnutrition rates among people living with HIV and AIDS.

2 GENERIC PLANNING CYCLE

The district represents a point of intersection of: (i) national development- and poverty-reduction policy and strategy priorities, (ii) sector policies and priorities, and (iii) community-level priorities and needs. These different expressions of priorities and strategic actions have to be merged to one single district development plan. The process to produce a district development plan can be divided into five main stages as illustrated in Fig. 2.1.

Figure 2.1 Five Stages of the Planning Process



This illustration of the planning process is however highly generic. In the case of Uganda, the *District and Urban Councils Development Planning Guidelines* (DUCDPG, 2006) provides for a four-phase planning cycle while the *Harmonized Participatory Planning Guide for LLGs* (HPPG for LLG, 2003) provides for an 18-step planning cycle. Both are being revised at the time of writing of this guide.

The planning is linked to the budget year of the country and has to be approved by district council and submitted to the Ministry of Finance, Planning and Economic Development. The summary of the phases of the planning cycle as given in the *DUCDPG* is set out in Table 2.1.

Table 2.1 Planning Phases for District Councils


GENERIC STAGE OF PLANNING CYCLE	TIMING	DISTRICT AND URBAN COUNCILS DEVELOPMENT PLANNING GUIDELINES PHASE/NAME
PREPARATORY STAGE	July–September	Situation analysis
FOOD AND NUTRITION SECURITY SITUATION ANALYSIS		
DEFINITION OF STRATEGIC OBJECTIVES AND PRIORITIES	September–October	Strategic planning
FOOD AND NUTRITION SECURITY ACTION PLAN	October–January	Formulation of the Budget Framework Paper
FOOD AND NUTRITION SECURITY ACTION PLAN		Consolidating the District and Municipal Development Plans
MONITORING AND EVALUATION	January– June	

The summary planning steps according to the *HPPG for LLG* is set out in Table 2.2.

Table 2.2 Planning Phases for Lower Local Government

GENERIC STAGE OF PLANNING CYCLE	TIMING	HARMONIZED PARTICIPATORY PLANNING GUIDE (HPPG) FOR LOWER LOCAL GOVERNMENT (LLG) STEPS
PREPARATION OF TECHNICAL TEAM	July	Review technical planning committee (TPC) functionality
	August	Dissemination of planning information for parishes/wards
	September	Support to village/parish level planning
FOOD AND NUTRITION SECURITY SITUATION ANALYSIS	October	Situation analysis at LLG level
DEFINITION OF STRATEGIES OBJECTIVES AND PRIORITIES	October	Discussion and prioritization of LLG challenges/obstacles and opportunities (SWOT)
	October	Visioning and goal setting
	November	Identification of investment priorities
		Budget conference
	December	Forwarding projects for district/municipal consideration





GENERIC STAGE OF PLANNING CYCLE	TIMING	HARMONIZED PARTICIPATORY PLANNING GUIDE (HPPG) FOR LOWER LOCAL GOVERNMENT (LLG) STEPS
FOOD AND NUTRITION SECURITY ACTION PLAN	January	Development of project profiles
	January/February	Review of project profiles by standing committees
	February	Compilation of the draft development plan
	March	Review of the draft development plan by the Executive
		Refinement of the draft development plan by the TPC
	April	Discussion and approval of the development plan by the council
		Finalization of the development development plan
		Submission of the approved development development plan to the higher local government
MONITORING AND EVALUATION	May/June	Final feedback to the LLGs (parish/wards and villages/cells)

This section of the manual should therefore be read hand in hand with both the *DUCDPG*, 2006 and the *HPPG for LLG*, 2003 or the revised versions when they come into force.

2.1 STAGE 1: PREPARATION OF TECHNICAL TEAM

At this stage the necessary preparations are made for the FNS planning process to go smoothly. Important steps during the preparatory phase include:

- ◆ Formation of the district planning team (which in this case is the Technical Planning Committee).
- ◆ Ensuring that technical staff is familiar with the planning cycle in general and are knowledgeable of key concepts, such as food and nutrition security.
- ◆ Developing a work plan, including a timeline and communicate to all actors involved in the planning process.
- ◆ Making contacts with local authorities and other stakeholders.
- ◆ Mobilizing the necessary human, material and financial resources.
- ◆ Informing the public at large about the planning cycle and how to participate in it and at what level.

Various stakeholder groups can normally be identified, in and outside the government sector, and at central, district and LLG levels. This could comprise district authorities, district technical officers, LLG officers, FNS committees, food marketing institutions, non-governmental organizations (NGOs), community-based groups and private sector etc. Good governance practices mean that the formulation of the plan involves participation by all stakeholder groups, an issue we shall turn to below. For this, a stakeholder mapping exercise should be undertaken to identify these groups and understand their roles in relation to addressing FNS problems.

Human Rights Check 2.1

Formation of the planning team, mobilization of stakeholders and organization of the work

Participation

- ◆ The district technical team, responsible for the planning process, should establish communication links with other stakeholders in the district, after having identified NGOs and organized grassroots/community groups that can be invited to become partners (the expanded planning team).
- ◆ Capacity strengthening in participatory practices for the expanded planning team should be planned during this stage.

Accountability

- ◆ The role and responsibilities of the (expanded) planning team should be known widely among all stakeholders. A specific work plan should be raised by the expanded planning team that covers the remaining planning stages and details: (i) outputs to be produced by specific dates, (ii) planning activities to be implemented within a time frame, (iii) resources to be used in the planning process and (iv) respective responsibilities of team members. It should be clear to whom the team is accountable for its work and the timely completion of the work plan.

Transparency

- ◆ Decisions regarding which organizations and organized groups are to be members of the expanded planning team, and what roles other stakeholders may have, should be first discussed and then widely disseminated, so that everybody understands how those decisions were arrived at.

Rule of law

- ◆ Regarding the planning cycle but also in general, fair legal rules should be effectively and impartially enforced.



2.2 STAGE 2: FOOD AND NUTRITION SECURITY SITUATION ANALYSIS

This is when the planning process truly starts. The outcome of this stage should provide clear answers to the questions:

1. **What** are the main FNS problems in the district? Which of these are chronic problems, and which stem from short-term acute or emergency conditions?
2. **Who** in the district (population) suffers from one or more of these problems? And how severe are these problems for different population groups, i.e. how vulnerable are these groups?
3. **How** can we identify the groups, for example, by location, main livelihood characteristics, and/or by socio-economic status, and how many people (or households) belong to each group?
4. **What** are the reasons **why** each group suffers from the identified FNS problems?

Knowledge Box 2.1

Outline of a district/lower local government food and security nutrition Profile Report

5. Introduction:
 - i. Background;
 - ii. Geographical information (location, natural resources);
 - iii. Social services/facilities (local institutions, infrastructure – roads, markets, health facilities, schools, water points, community based services;
 - iv. Demographic information (population, gender structure, household information – size, headship, literacy, assets);
 - v. Social ethnic groups (culture, tradition and norms);
 - vi. Administrative Units (district, municipality, Town Councils, division/subcounty, parishes, villages/wards);
 - vii. Objectives of the profiling;
 - viii. Approach and methodology.
2. Food security and nutrition situation (food availability, accessibility, food utilization and nutrition status, coping strategies, vulnerability analysis, livelihood groups, economic activities, primary (subsistence and commercial agriculture, fisheries), secondary (manufacturing) and tertiary services (including tourism); specific food security and nutrition problems; political, social, economic, cultural problems; and existing FSN programmes.
3. Key actors in FSN in district/LLG and their roles and responsibilities (district and LLG levels, NGO, CBO, private sector) and the community.
4. Conclusions and Recommendations.



The analysis of the FNS situation (as intersectoral issues) in the district should have a particular focus on which population groups are food insecure and/or suffer from malnutrition, as well as what policy and programme responses are evident in the district to address food insecurity and malnutrition problems, and with what effects. The information obtained from the situation analysis is crucial for the remainder of the planning process.

Two analytical tools are briefly discussed here: **causality analysis** and **vulnerability analysis** that are constituent to the process of situation analysis.

2.2.1 Causality analysis

Causes of food insecurity and malnutrition can be divided into (i) immediate causes, (ii) underlying causes and (iii) basic or structural causes (UNICEF Conceptual Framework for Nutrition, 1990) (Fig. 2.2).⁵

Using the case of malnutrition, the **immediate causes** of the nutritional status manifest themselves at the level of the individual human being. These are dietary intake and health status.

The immediate causes of the nutritional status are influenced by four **underlying causes** manifesting themselves at the household and community levels: (i) adequacy of household food security; (ii) adequacy of care for mothers and children; (iii) proper health environment; and (iv) access to health services.

Finally, the most basic factors operate at the cultural, ideological, ecological, economic or policy levels.

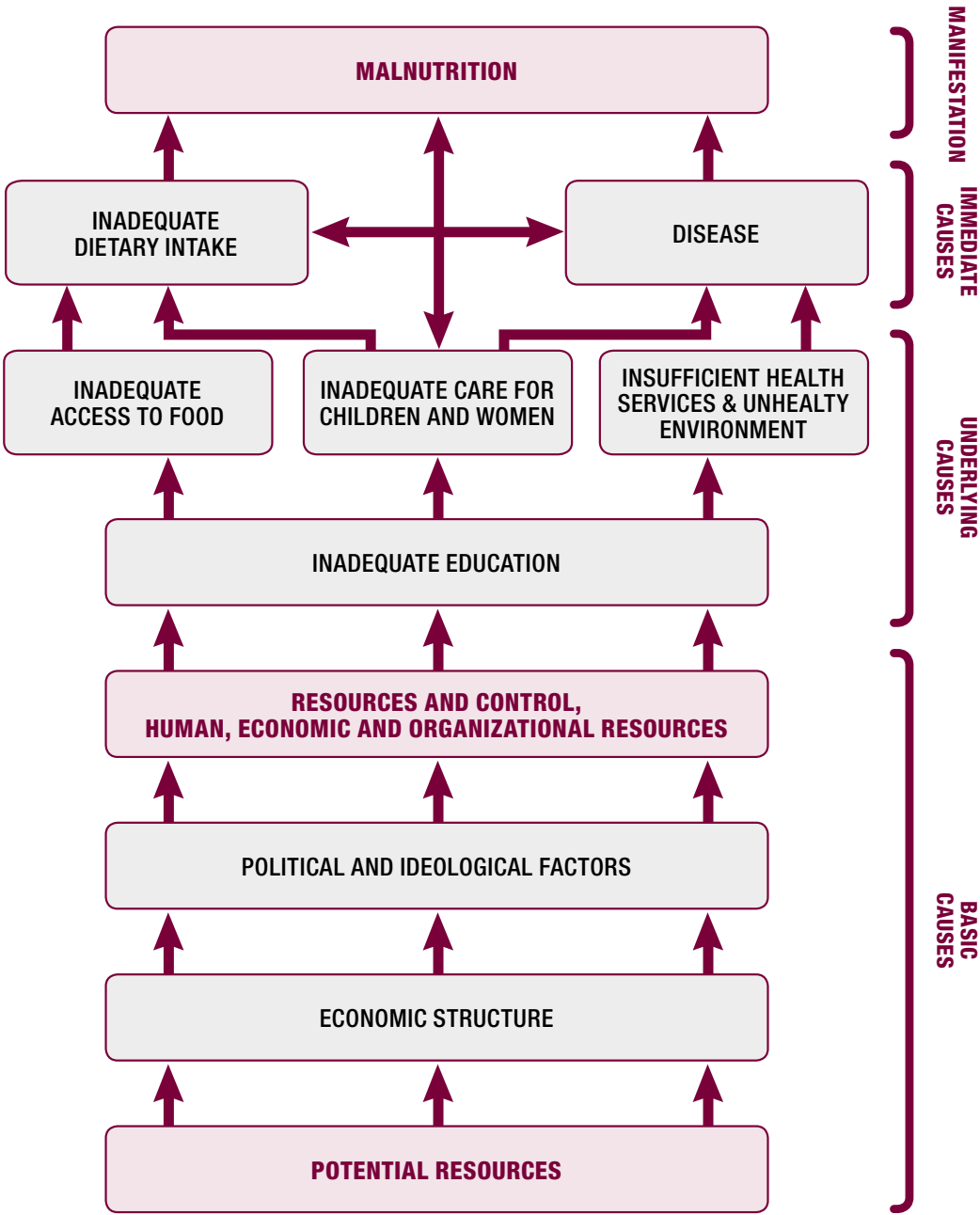
These basic or structural causes condition underlying causes, which in turn condition immediate causes. This distinction is important because immediate causes can presumably be addressed in the short term, underlying causes in the medium term and structural causes in the long term. The causality analysis should be conducted for the main vulnerable groups and livelihood zones of the district.

The UNICEF Conceptual Framework shows that the causes of malnutrition are multifaceted and occur at several levels. Malnutrition therefore is not the result of action (or inaction) of one actor alone. Instead, efforts by all sectors and actors are needed to create a situation that enables every individual to feed him- or herself in dignity.

The task at this point is to understand which information is needed and where to get it from in order to carry out such an analysis. In-depth information should be collected regularly at district level in respect of the following sectors: agriculture, health, social

⁵ The UNICEF Conceptual Framework for Nutrition (1990) focuses on children under five but can be applied, with small variations, to the population at large.

Figure 2.2 UNICEF Conceptual Framework for Nutrition (1990)




Knowledge Box 2.2 From numbers to information⁶

Data can be qualitative or quantitative. Both types have their merits that elicit different kinds of information, which can be used in assessing a situation.

Quantitative data can help describe the extent of a problem by providing precise information in precise amounts, such as “the national prevalence of stunting has declined from 45 percent in 1995 to 39 percent in 2006” (UDHS, 2006).

Qualitative data provide a descriptive account of a situation: “Food-insecure households in West Nile subregion reported using strategies such as sale of labour, barter trading for food, and reduction in number of daily meals to help them cope with food security problems” (IPC review for the period January–June 2010).



welfare, education, infrastructure (roads, energy, schools and hospitals) and the economy (finance, industry and investment). It should be in absolute figures, volumes, rates and or existence of relevant policies. This will constitute data, which are raw numbers of values, and are usually not very meaningful until they have been analysed and interpreted to become information. Following the collection and collation of the information it should be analysed and synthesized.

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At district level, there is usually a good understanding of the nature of food insecurity. However, the underlying causes of food insecurity may not be well understood even by Government and development partners. A review of secondary data, for example, national level; development reports, analysis carried out on a specific aspect by an NGO in a given location/district etc. hints at what to look at in more detail.

6 For a detailed discussion about how to plan and design the process of assessment and analysis of the FSN situation, consult InWEnt (2009), paper 5

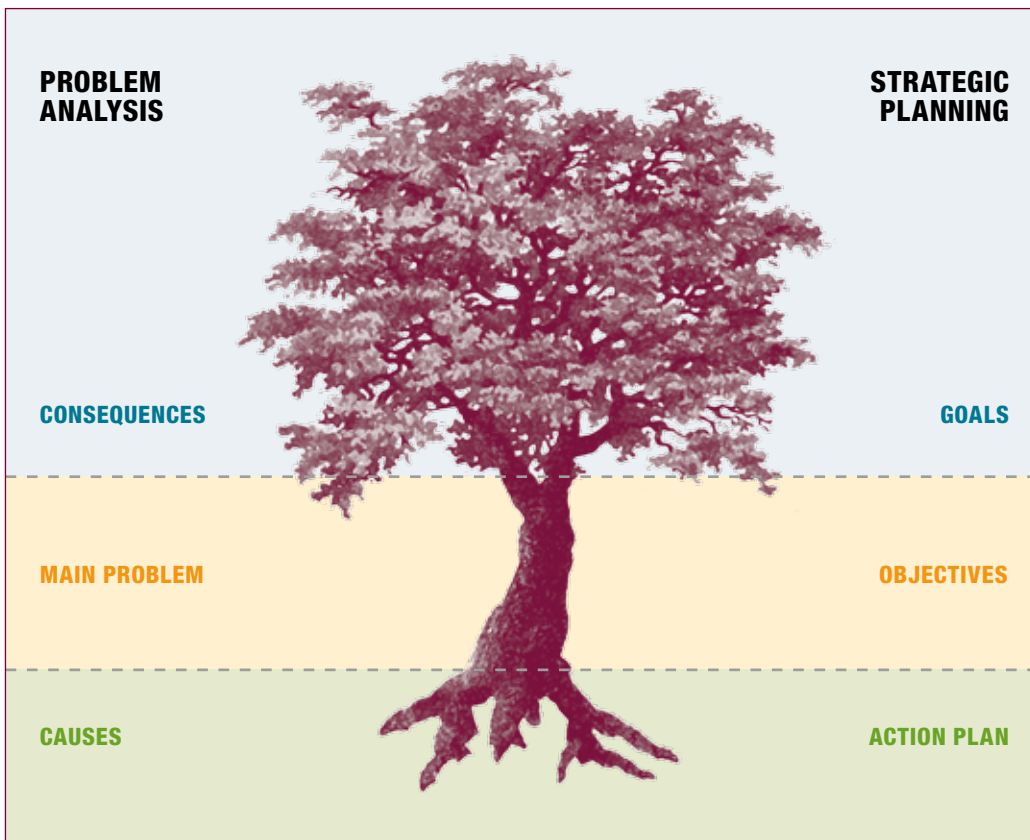
Some examples:

- ◆ From the nation-wide vulnerability assessment we learned that levels of malnutrition were high across the country; but we knew very little about the socio-economic characteristics of malnourished or undernourished individuals.
- ◆ We knew that income distribution was poor and getting worse, but we had very little information about the social relations underlying poverty, especially in rural areas where there was said to be a land frontier.
- ◆ We knew from the experience of drought that many people were vulnerable to a sudden collapse of livelihood and food security, but it was not clear how vulnerability was distributed throughout the population, nor how vulnerable groups could be identified.

In order to get a better understanding of the reasons for food insecurity and malnutrition, it is important to pick and analyse each identified FNS concern critically.

One way of doing this is through Problem tree analysis (Fig. 2.3).

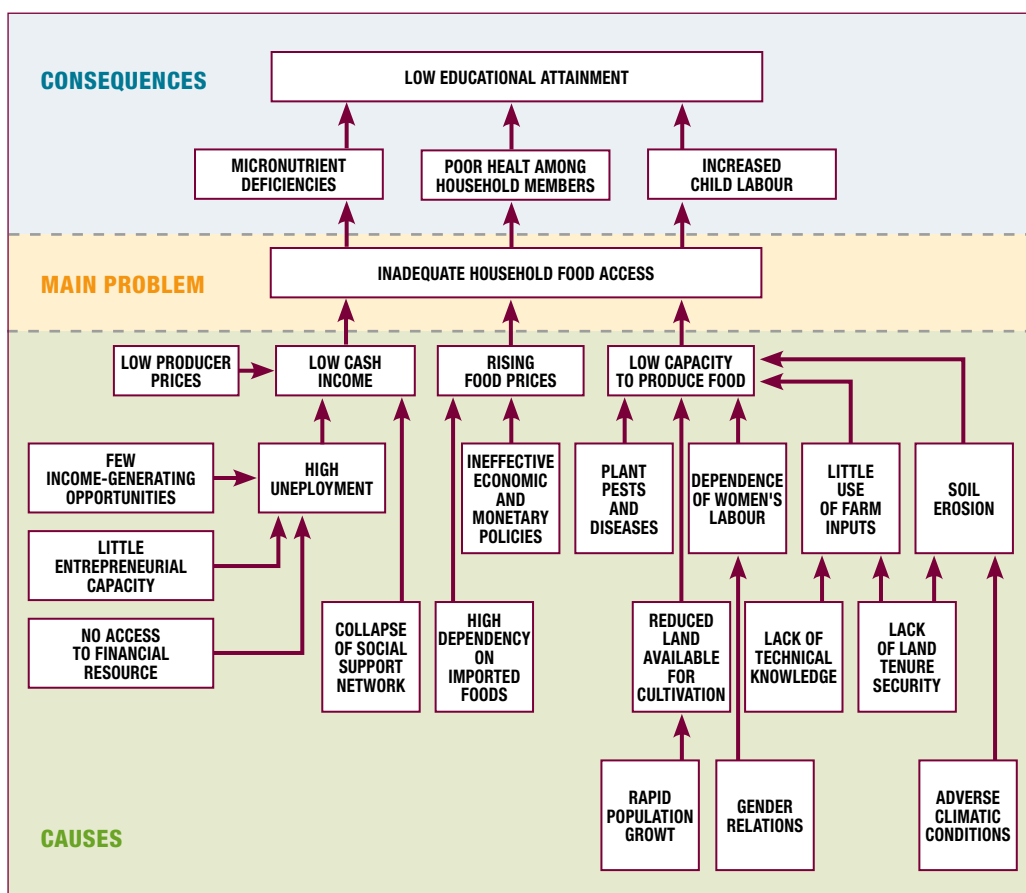
Figure 2.3 Problem Tree



It helps to link a major food security or nutrition problem in the district (or in a vulnerable livelihood group) to reasons (causes) for the problem (causality analysis), as well as to the consequences of that problem. It is a tool to synthesize information in such a way as to provide good indications of needed actions to address a food insecurity and/or malnutrition problem in the district.

It has the advantage that it can look at all reasons (depending on the availability of information) irrespective of the sector, thus indicating the way to address the cause of a problem in a multisectoral way. An example is presented in Fig. 2.4.

Figure 2.4 Use of Problem Tree to Conduct Analysis



The main problem (= the tree trunk) that was identified is: “inadequate household food access”. The causes (= tree roots) for inadequate food access by the household are multiple, and are often related to each other. The roots that are close to the tree trunk represent more immediate causes, while deeper roots represent more fundamental or basic causes that in turn are linked to more immediate causes. At the same time, this

main FNS problem of concern also has consequences/effects (= tree branches) that affect sectors other than food security. In the above problem tree, the main problem does not only have food and nutritional consequences, but also health, social and educational consequences. This means that household food insecurity is not only a concern of the food sector, but of a number of social sectors as well.

Ideally, the causality analysis should be conducted for each vulnerable group. In some instances, though, too many different vulnerable groups will be identified in one district. Performing a causality analysis for all groups might not be possible. In these instances four to five groups should be chosen that represent most appropriately the entire spectrum of marginalized people. For detailed information on how to conduct a causality analysis consult FAO (2009a) Guide to Conducting a Right to Food Assessment. The results of the causality analysis can be summarized in a Summary Problem Analysis Matrix (Annex 6.1.2).

The problem tree approach provides a handy framework for the next two stages of defining strategic priorities and objectives and preparing the action plan.

Knowledge Box 2.3 **Information-gathering techniques**

As a general rule, maximum use should be made of existing information and documentation. Primary information collection should always be a last resort to fill in important information gaps, because it absorbs time and resources. Relevant information gathering techniques can be grouped as desk reviews, interactive methods, secondary data from national surveys and primary surveys and direct measurements.

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

Primary data analysis and direct measurements: community surveys, crop forecasting and assessment surveys, which require anthropometric measurements. Partners at district level (UN, NGOs, private sector) often have resources to conduct primary data analysis. If applicable and relevant, such studies and analysis should be used by the district technical officers. To avoid incurring the cost for primary data collection, to whatever extent possible, district officials should identify and link the primary data collection to regular work. For example, extension and community development workers could be asked to collect certain information during their regular visits to communities.



Human Rights Check 2.2

Situation analysis/district profiling

Participation

- ◆ The situation analysis or district profile should be prepared by collecting data, information and knowledge from a broad spectrum of stakeholders, including community groups, using participatory methods such as a participatory rural appraisal.
- ◆ Special efforts should be made to obtain adequate information about marginalized groups, so that these are included in the analysis and consequently in the district action plan. The team that will collect and analyse the data, information and knowledge may require to be trained on how to identify and approach marginalized groups, and invite them to provide relevant information and knowledge. This stage should serve to strengthen the basis for their inclusion in the following stages of the planning cycle.

Accountability

- ◆ Findings and conclusions of the situation analysis should be shared with those who provided information and data, as well as with others by being disseminated throughout the district through mass media and by other means.

Non-discrimination

- ◆ Special efforts should be made to ensure that the information and data adequately cover the food insecure and malnourished population groups in the district. The information and analysis should focus on identifying the reasons for suffering from hunger, inadequate access to food, and from malnutrition, and thus provide a solid basis for identifying targeted interventions for these groups.

Transparency

- ◆ All individuals and groups that are invited to provide information and knowledge should have a clear understanding of why the information is being collected and what use will be made of the information and by whom. Confidentiality of the information provided should be stressed, and safeguards should be in place to ensure that the information is not used other than for the stated purposes.

Human dignity

- ◆ Emphasis should be on putting people in the forefront of development and letting them analyze their situation. People's rights should be respected and their involvement valued as every contribution counts.
- ◆ When questions are directed to individuals, care should be taken to respect the culture of the respondent, and the question should not be too personal nor risk insult (e.g. Are you HIV Aids positive?).



2.2.2 Vulnerability analysis

Vulnerability is the probability of a person or household failing or staying below a minimum FNS threshold within a given time frame. The concept of vulnerability thus consists of two components: (i) **exposure to** hazards or shocks, and (ii) **ability to cope with** the pacts of hazards or shocks. Vulnerability analysis uses historical data where possible and the views and indigenous knowledge of key informants to understand how vulnerable population groups are to future hazards or shocks. Nonetheless, it should be borne in mind that this analysis is all qualitative, and historical data may not be indicative of the occurrence of future hazards or shocks. Some hazards, however, may occur regularly every year, such as flooding or prolonged dry spells in specific areas. This increases the need for corroborating data or at least some consideration of the historical frequency and severity of shocks and trends and the ability to cope with these as seen in terms of outcomes. Completing a historical timeline on these issues going back say 20 years can help here, but it needs to be conducted consistently across different areas and the historical data or memory may not be available.

Vulnerability to food insecurity and to malnutrition should be assessed separately. Vulnerability to malnutrition introduces possible exposure to hazards or shocks with an individual dimension, i.e. not everyone in a household may be affected to the same degree to a specific hazard or shock. Individuals or households that have little or no capacity to safeguard their access to food, even when confronted with a minimal risk factor, are considered vulnerable. The degree of vulnerability depends on the extent of exposure to risks, the types of risk and the capacity to be resilient.

The output of a vulnerability assessment is drawn out in a Vulnerability Matrix by Livelihood Zone (Annex 6.1.3), in which the level of risk of household food insecurity or malnutrition is defined as the score of exposure to adverse shocks and trends multiplied by the score of ability to cope, taking into account coping strategies as employed by households.

2.3 STAGE 3: DEFINITION OF STRATEGIC OBJECTIVES AND PRIORITIES

A good situation analysis ought to provide a clear picture of what the problem concerning FNS is in the district. This would give a clear idea of what type of positive, intended change should be aspired to address some of the problems and lead to a general improvement of the lives of the poor and food insecure. This intended positive change is what is referred to as a “vision”. It is a mental image produced by the imagination which defines the desired or intended future state of an institution (district/LLG) in terms of its fundamental objective and/or strategic direction. It is a long-term view, sometimes describing how the institution would like the world in which it operates to be. For example, a district whose majority population is poor could have a vision statement which reads “A world without poverty”.

A vision is often set at a national level but also at sectoral or district level. It is important however that these vision statements build on each other: a district vision should feed into a higher-level national vision statement – the National Development Plan.

Development goals and strategic objectives are next in line to be defined after the vision. A goal is the purpose toward which an endeavour is directed in order to realize a vision.

Knowledge Box 2.4

National food and nutrition policy (2003), Uganda: Goals

- ◆ **Food supply and accessibility:** to ensure an adequate supply of, and access to good quality food at all times for human consumption, income generation, agro-based industries, and local, regional and international markets.
- ◆ **Food processing and preservation:** to promote adequate, safe, high-quality and nutritious foods with a long shelf-life for local, regional and international markets.
- ◆ **Food storage, marketing and distribution:** to promote the availability of, and access to, affordable, safe and nutritious foods.
- ◆ **External food trade:** to broaden the foreign exchange base, subject to the food security needs of the country being met, as well as the quality and quantity of food imports being monitored and regulated, as necessary.
- ◆ **Food aid:** to restrict aid to alleviating temporary food crises and to ensure its safety for human consumption.
- ◆ **Food standards and quality control:** to ensure that food meant for consumption is nutritious, safe and that it conforms to acceptable standards and to ensure that both locally manufactured and imported foods are safe and conform to acceptable standards.
- ◆ **Nutrition:** to improve and promote the nutritional status of the population to a level that is consistent with good health.
- ◆ **Health:** to ensure that the population is healthy so as to be able to benefit from good nutrition.
- ◆ **Information, education and communication:** to provide information and develop skills to promote proper food and nutrition practices in both rural and urban communities.
- ◆ **Gender, food and nutrition:** to ensure that both men and women achieve optimal nutrition status through improved food and nutrition security, taking into account their reproductive and productive roles in the food chain and in nutrition.
- ◆ **Food, nutrition and surveillance:** to have a monitoring system in place that will provide timely information used to stabilize the food and nutrition situation in the country.
- ◆ **Research:** to have effective research programmes that are geared to the improvement of FNS in the country.



A strategic objective on the other hand is a statement of specific, measurable and attainable outcomes that contribute to the achievement of a particular goal. In other words, a strategic objective delineates how a goal will be achieved in terms of how

much of what will be accomplished by when. Several strategic objectives can lead to a development goal, and several development goals can contribute to achieving a vision.

The problem tree analysis is also helpful in determining goals and objectives. The main problem (the *trunk* of the tree) can be turned to a strategic objective; the identified consequences of the analysis can be turned into goals of the plan, i.e. improve the health of the members of the targeted households, lower the prevalence of micronutrient deficiencies, reduce child labour and raise the levels of educational attainment among young children.

Knowledge Box 2.5

Uganda Nutrition Action Plan (2010–2016): Goal and objectives

Goal

- ◆ To reduce malnutrition levels among women of reproductive age, infants and young children.

Objectives

- ◆ Improve access to and utilization of services related to maternal, infant and young child nutrition.
- ◆ Enhance consumption of diverse diets.
- ◆ Protect households from the impact of shocks and other vulnerabilities that affect their nutritional status.
- ◆ Strengthen the policy, legal and institutional frameworks and the capacity to effectively plan, implement, monitor and evaluate nutrition programmes.



Whatever the goals and strategic objectives derived at the district level, they should conform with, among others, the overall objective of the National Development Plan, the Food and Nutrition Policy and UNAP, which is to promote the nutritional status of the people of Uganda through multisectoral and coordinated interventions that focus on food security, improved nutrition and increased incomes. Similarly, they should reflect the FNS policy goals highlighted in Box 3. Both the policy and strategy are evidence of Government's commitment to fulfilling its constitutional obligation of ensuring FNS for all Ugandans. Pending the enactment of the draft Food and Nutrition Bill into law, and given the multisectoral dimension of the policy, its oversight and coordination is planned to be provided by the National Food and Nutrition Council which would link with the Food and Nutrition Committees (FNC) at the LG level. The main functions of the Council and the Committees will be to promote, regulate and monitor progress in achieving FNS goals and targets at their respective levels.

Human Rights Check 2.3

Definition of vision, goals, strategic objectives and priorities

Participation

- ◆ Widespread consultation by the district technical team of many stakeholders when defining plan objectives, priorities and goals, including of grassroots and community groups is critical and must be emphasized.

Accountability

- ◆ The final set of objectives, priorities and goals should be subjected to a last round of questioning before finalization. The planning team should provide a clear explanation of the process by which these were arrived at.

Non-discrimination

- ◆ The objectives and goals should accord high priority to the most vulnerable population groups and to addressing their needs and priorities. This means that the planning team should have frequent interactions and dialogue with these groups or their representatives.

Transparency

- ◆ The process by which priorities and goals are established should be as public as possible, so that all stakeholders understand these priorities and the ways that these are to be achieved.

Rule of law

- ◆ The right to food is often enshrined in national legislation and promoted by national policies. The reaffirmation of the right to food as a development objective at district level will reconfirm this commitment and may guide and facilitate implementation. Likewise, a reaffirmation of good governance practices as lined out in state policies (e.g. accountability, right to information, participation, etc.) should be reaffirmed at district level.

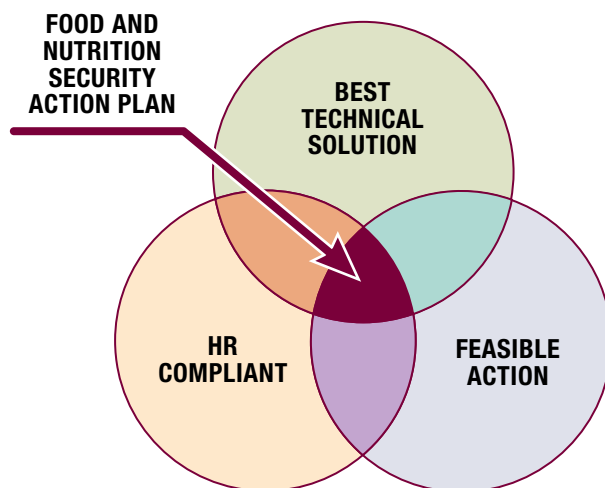


2.4 STAGE 4: FOOD AND NUTRITION SECURITY ACTION PLAN

The previous three stages have dwelt on information collection and analysis of FNS situation in the district in order to understand why (the causes) people are food insecure or malnourished or vulnerable to it. This analysis will in this stage help in the formulation of action to address the underlying and root causes. These actions will then be integrated into the district development plan. In addition, a free-standing FNS action plan could be produced to increase visibility of the LG's action against food insecurity and malnutrition.

The FNS Action Plan (Fig. 2.5) comprises a set of activities that are fully integrated in the complete district development plan. It should for example include activities that have the direct objective of improving household food access or nutrition in a specific group and activities that are expected to contribute more indirectly to better household access to food

Figure 2.5 Food and Nutrition Security Action Plan



or improved nutrition. What is important is that the plan of action should address the main reasons why people have poor access to safe and healthy foods and/or are suffering from nutritional deficiencies, i.e. it should respond to the findings of the problem tree analysis.

Such an action plan should show clearly the interlinkages between the causes, including addressing immediate causes, such as plant pests and diseases in order to increase food production. However, the problem of reduced land availability requires a policy and programme designed to reduce population growth, which are much more time consuming to implement and which have a more long-term effect. This means that the plan must find a balance between short-term and long-term measures and actions. There is of course a natural tendency to tilt the balance towards short-term measures for political or institutional reasons. These may not, however, be sustainable in the long term.

Knowledge Box 2.6

Examples of food and nutrition and security action

- ◆ **Direct action:** food-crop diversification among small-scale farmers, investment in seeds and tools to increase yield of small-scale farmers, skill building among low-skill workers in non-agriculture businesses like tourism or garment, women's income-generation activities in wood-collecting households, food and nutrition education for seaweed growers, bee-keepers or other specialized businesses.
- ◆ **Indirect action:** improved water supplies and sanitation, malaria-prevention interventions, rural-roads construction, improved food-marketing facilities.

2.4.1 How to identify technically best feasible actions and comply with human rights principles

The principal objective of the district FNS planning process as outlined here is to introduce more analytical rigour, transparency and realism into the final identification of FNS actions to address chronic and acute causes of food insecurity and malnutrition, and vulnerability to these. Instead of going directly from the identification of causes of food insecurity and malnutrition to determining an inventory of FNS actions, an intermediate analytical process is introduced to identify the most feasible and appropriate FNS actions that are likely to have the greatest impacts in reducing food insecurity and malnutrition. This is because the process identifies the most feasible FNS actions by taking full account of constraints, including good governance constraints.

The process fosters consensus among multiple actors, thus laying the groundwork for partnerships, and good collaboration and coordination during the implementation of the FNS actions. Directly involving high level decision-makers in the planning process also serves as an advocacy tool to get FNS issues high on policy and programme agenda. For this, there are three simple tools that can be applied to produce a solid FNS action plan – and not a lengthy wish-list! These are dealt with below: (i) inventory of best technical solution; (ii) feasibility scoring; and (iii) human rights compliance test. The accumulation of these steps will constitute an FNS Action Analysis Matrix (see Annex 6.1.4).

2.4.2 Inventory of best technical solutions

The objective of this analysis is to identify the best technical FNS actions for addressing the causes of food insecurity and malnutrition as identified in the FNS Situation Analysis. The cumulative evidence from current and past FNS actions in the district will help in the identification of best case response actions during this first round. Best-case FNS actions are those that can potentially address the identified FNS problems and their causes and that *should* be carried out if technical and other expertise, institutional capacity and funding are all adequately available (Table 2.3).

Table 2.3 Potential FNS activities

	TYPE OF ACTION/ INTERVENTIONS	TARGET GROUPS	IMPACT ON HOUSEHOLD FOOD ENTITLEMENT
AVAILABILITY	<p>Improvement of productive assets and targeted production support, e.g.</p> <ul style="list-style-type: none"> ◆ Land (tenure) reform ◆ Natural resource conservation ◆ Technology, water ◆ Input supply ◆ Agricultural credit ◆ Extension & training 	<ul style="list-style-type: none"> ◆ Small farmers ◆ (Semi-)subsistence farmers ◆ Victims of conflict, e.g. landless returnees 	<ul style="list-style-type: none"> ◆ Increased agricultural income = purchasing power = increased household food demand ◆ Increased household food supplies from own production
ACCESS	<ul style="list-style-type: none"> ◆ Income-generation schemes (e.g. training, micro-credit programmes) ◆ Public works/employment generation schemes ◆ Food-for-work (FFW) programmes 	<ul style="list-style-type: none"> ◆ Rural and urban poor un- and under-employed ◆ Rural landless ◆ Victims of conflict, e.g. land-less returnees 	<ul style="list-style-type: none"> ◆ Increased cash income = increased purchasing power = increased household food demand & supplies; ◆ Increased income in kind of food = increased household food supplies
	<p>Targeted food subsidies, e.g.:</p> <ul style="list-style-type: none"> ◆ Food stamps ◆ Fair price shops ◆ Subsidies for inferior goods ◆ Geographic targeting 	<ul style="list-style-type: none"> ◆ Urban poor ◆ Rural poor ◆ Specific vulnerable groups (see below) 	<ul style="list-style-type: none"> ◆ Increased real income caused by lower food prices = purchasing power = increased household food demand
USE AND UTILIZATION	<p>Direct food transfers, e.g.</p> <ul style="list-style-type: none"> ◆ Relief assistance ◆ Special/supplementary feeding programmes ◆ Wet feeding ◆ Nutrition and health education (hygiene) 	<p>Specific vulnerable groups, e.g.</p> <ul style="list-style-type: none"> ◆ Disaster-affected people, war invalids, landmine disabled, internally displaced people (IDP) ◆ Undernourished children ◆ Female-headed households ◆ Child-headed households ◆ Pregnant & lactating women ◆ Elderly, disabled & sick persons 	<ul style="list-style-type: none"> ◆ Increased individual and/or household food supplies through direct food transfers

Source: FAO 1997

2.4.3 Feasibility scoring

It should be noted that not everything that is technically sound or that is identified as the best solution to a problem can be implemented. There may be a lack of resources, capacity or political will that will make it difficult if not impossible to implement a given action. In as far as possible, only feasible actions should be integrated in the district development plans. Thus, this is the rationale behind the step of scoring all actions according to their feasibility. The purpose of this step is to analyse more systematically the strengths and weaknesses of an action, and also consider the external environment of the action in impacting on the action.

Therefore for each action contained in the inventory of best technical solution, a Strengths, Weaknesses, Opportunities and Threats (SWOT) analysis should be run (Table 2.4).

Table 2.4 SWOT Analysis

	ACTION: [Insert name of technically sound action]	
	FAVOURABLE	UNFAVOURABLE
INTERNAL	Strengths <ul style="list-style-type: none">◆ Capacity to deliver the action◆ Design of action◆ Sustainability◆ Cost-effectiveness◆ Timeliness of action	Weaknesses <ul style="list-style-type: none">◆ Capacity to deliver the action◆ Design of action◆ Sustainability◆ Cost-effectiveness◆ Timeliness of action
EXTERNAL	Opportunities <ul style="list-style-type: none">◆ Institutional, social and political environment◆ Action may become high priority of an institution, community◆ in line with institutional or sector policies	Threats <ul style="list-style-type: none">◆ Institutional, social and political environment◆ Opposition to the proposed action◆ Priority given to short-term action rather than long-term

The results of the SWOT analysis should be clustered according to feasibility criteria. These criteria are that: (i) the action addresses a high-priority vulnerability factor; (ii) the action is technically appropriate; (iii) the action is timely, (iv) that there is technical and logistical capacity to implement it; (v) the action has no potentially adverse impacts; (vi) the action can be easily monitored and (vii) the action can be implemented cost effectively. These criteria are discussed in Box 2.7., but it is recommended that they are adapted according to specific local needs. The results are then summarized in the FNS Action Analysis Matrix (Annex 6.1.4).

Knowledge Box 2.7 **Feasibility criteria**

1: Addresses a high-priority vulnerability factor

This is particularly relevant when actions are to be implemented in vulnerable regions or targeted at highly vulnerable groups. In other words, is this an appropriate action to address a component of vulnerability, either exposure to hazards or shocks, or households' ability to cope with the impact of a hazard or shock? The information contained in the Vulnerability Matrix by Livelihood Zone should be helpful in deciding whether the action is appropriate.

1 = highly appropriate and feasible; 5 = completely irrelevant

2: Technical appropriateness

The action may or may not be costly, complicated to undertake or highly visible but irrespective of this, is it a technically appropriate solution to tackle the FNS outcome or cause considering the livelihood group and condition?

1 = highly appropriate technically; 5 = highly inappropriate

Some examples of appropriate FNS actions under different conditions may be:

- i Free-food distribution – this is appropriate when:
 - a targeted households lack access to food and
 - b there is a lack of availability of food on local markets and inelastic supply (thus income support is ineffective in helping to increase access to food through the market) and
 - c alternative ways of helping people get access to food would either take too long or might not be practical or reliable.
- ii Food-for-work projects – these are appropriate when:
 - a targeted households lack access to food and
 - b there is lack of availability of food and inelastic market supply and
 - c targeted households have labour potential that is not currently used or only poorly paid and
 - d security and access permit implementation.
- iii Seeds and tools distribution – is appropriate when:
 - a targeted households lack seeds and tools and
 - b there is a general lack of availability of seeds or tools of the right quality and
 - c their lack is limiting on farm production.
- iv Demonstration garden projects – these are appropriate when:
 - a malnutrition is caused by lack of vegetables and
 - b households have at their disposal land available for vegetable production and
 - c households have surplus time for tending these gardens and
 - d households do not use their land and labour to grow vegetables (or use them inefficiently) because of ignorance and
 - e any vegetables grown will (at least in part) be eaten by children.
- v Road reconstruction/maintenance – is appropriate when the existing poor state of roads:
 - a affects access to markets (and humanitarian aid) and
 - b market access is a factor in food security or
 - c affects security both on and off the road and
 - d affects the cost of access (in money and time) to essential basic services.



Knowledge Box 2.7

Feasibility criteria



3: Timeliness

What is the likelihood that the action achieves significant impact within the time period (as defined by the objective and the planning horizon)? Issues to be taken into account include: on the basis of past experience, current conditions, agency capacities etc., is the set up time for the action lengthy or short? If there is a window of opportunity (e.g. as in the case of seed interventions), is there a good chance that this will be met or missed?

1 = impact within the time frame highly likely; 5 = impact within the time frame highly unlikely

NOTE: A seasonal calendar is a useful tool here.

4: Technical/logistical capacity to carry out function

1 = currently exists at sufficient scale; 2 = Exists and can be scaled up quickly; 3 = Does not exist but can be scaled up; 4 = Exists but scaling up is difficult; 5 = Does not exist and establishment would be difficult

5: Probability of adverse impacts

This answers the question whether the action has a negative impact on the target beneficiaries (e.g. environmental damage, create conflict or dependency, requires investments beyond the capacity of the beneficiaries or that would negatively affect other basic expenditures, etc.).

1 = very low probability; 2 = low probability; 3 = 50:50; 4 = on balance likely to have negative impact(s); 5 = highly likely to have negative impact(s).

6: Ability to monitor and evaluate

Several issues may influence the ability to monitor and evaluate particular interventions. Some of these relate to the other criteria, for example the security situation. Other considerations would include the geographical spread of the intervention, or whether implementing partners are able to give reliable monitoring information.

1 = monitoring and evaluation is easy; 5 = monitoring and evaluation is impossible.

7: Overall cost of the action

This is a qualitative estimate, based on experience. Some programmes are very expensive to implement and others are relatively cheaper. The cost of the action also needs to be compared to the available budget. Some actions may be costly, but still only absorb a small portion of the available budget.

1 = very inexpensive; 5 = very expensive and takes up a major share of the available budget.



Tips for the Assessment/Planning Team

- ✓ This exercise represents another opportunity for consensus-building to arrive at the score on each of the feasibility/appropriateness criteria. To start off, the team should ensure that all members have the same understanding of the criteria. This is essential before beginning to assign a score to each FNS action. If necessary, the team may consult specific experts to obtain clarification.
- ✓ The team should consider whether there is a need to define new criteria or eliminate criteria in the specific setting. If one or more new criteria are added, a specific definition needs to be provided to arrive at the scoring system for that criterion. An example of an additional criterion may be the sustainability of the action.
- ✓ The current scoring system is set up in such a way that the lower the score, the more feasible or appropriate the action is deemed to be.
- ✓ By adding up the score of each criterion, we obtain the aggregate score to be recorded in the last column of the matrix. It is possible to decide to weigh the various criteria differently, by multiplying the respective scores by a multiple of one before adding across all criteria.
- ✓ Looking at the distribution of total scores, cut-off points can be established to categorize actions as, for example, “highly feasible/appropriate”, “feasible/appropriate”, or “not likely to be feasible or appropriate”.

2.4.4 Human rights compliance

Following the feasibility assessment, it is also important to check whether the high priority FNS actions comply with human rights criteria. This additional quick check is relevant to see whether the actions identified are conducive to progressively implement the right to food or, the other way around, how human rights principles can help in strengthening the effectiveness and efficiency of actions by improving their design and the way they are implemented.

As noted in the section “Good governance practices and human rights” different lists of principles can be used for this step. This guide uses the seven human rights principles. This should be seen as a menu, i.e. the assessment team should decide which ones (or all) are the most relevant in a particular setting. See Annex 6.3 for a

Description of human rights principles and governance . The Human Rights Standard is that the action must focus on most vulnerable and have no adverse effects.

The seven **human rights principles** are:

1. participation;
2. accountability;
3. non-discrimination;
4. transparency;
5. human dignity;
6. empowerment;
7. rule of law.

In addition to the above, **Good Governance Practices** that should also be considered are that the action must be consensus oriented and responsive to the needs of the vulnerable population.

Therefore, the assessment team should ask a number of simple questions for the criteria considered and determine whether the human rights and good governance feature is adequately taken care of. A score from 0–2 is suggested but this can be modified by the assessment team. For example, if it is felt that one criterion is more important than another, a higher score could be given. Annex 6.1.5 (Human rights compliance of food and nutrition security actions) contains a detailed discussion of each principle and suggests a way of scoring compliance with it.

An additional element to qualify actions is with respect to **remedial actions**. Remedial action here refers to anything that may be done to improve the governance of the action such as an institutional and/or a policy and/or a programme change. Three examples might be:

- ◆ To improve *transparency* in decision-making may require first a set of rules and norms that regulate the particular action, and make it known to all participants what those rules and norms are.
- ◆ To reduce the threat to *human dignity* may require sensitivity training of the implementers of the action about human rights. Assistance to people to organize themselves, to establish their priorities and to improve their capacity to articulate and act upon those priorities may contribute to meaningful participation by participants.
- ◆ To make an action more *responsive* to the needs and priorities of participants, it may be necessary to first undertake a participatory needs assessment with participants.

The idea is to first identify the remedial action, and then to assess to what extent, within a reasonable period of time, the remedial action is likely to improve the governance of the FNS action. Remedial actions that are not likely to be implemented should not be considered. In the description of the remedial action, include which institution(s) would be responsible for implementing it. If it concerns a remedial action that would not be implemented directly by the district or by the institution(s) responsible for the action, the district could promote or advocate for the remedial action by the institution responsible for its implementation. For example, the action may consist of constructing small-scale irrigation systems, which is the responsibility of the Farm Development Department of the Ministry of Agriculture, Animal Industry and Fisheries, but to improve community participation it would involve actions undertaken by the Community Development Department of the Ministry of Gender, Labour and Social Development.

2.4.5 Formulation of a district/lower local government food and nutrition security implementation plan

The last step of the action planning foresees the formulation of a free-standing FNS action implementation plan. Free-standing means a separate document that contains the action implementation plan outside of the district/LLG development plan. The rationale for this is that a free-standing strategy will give greater visibility to the FNS issues and to the need for action in the district/LLG. The action implementation plan can be accompanied by a district FNS strategy (see Annex 6.1.7).

The Summary Matrix of Feasible Food and Nutrition Security Actions (Annex 6.1.6) is an input in this step in that it would already have identified and articulated:

- ◆ Causes of food insecurity and malnutrition, divided into immediate, underlying and basic causes – from the situation analysis.
- ◆ List of best-case FNS actions corresponding to various causes.
- ◆ Feasibility rating (score) of each FNS action.
- ◆ Human rights/governance rating (score) of each FNS action.
- ◆ Final priority rating, to establish a list of feasible FNS actions.

In this last step, the emphasis is on discussion, negotiation and consensus-building among the members of the assessment team. Food and nutrition security actions that have both a poor feasibility and governance rating are likely to be assigned a low priority, whereas actions with a good feasibility and governance rating are likely to be assigned a high priority. When the action is assigned average ratings on both feasibility and governance, it could be assigned a second-level priority rating. However, it becomes a matter of discussion and negotiation when the FNS action is assigned different feasibility and governance scores. It is also important to take into account the likelihood that speedy remedial actions can in the short-run improve the governance rating of the FNS action. Furthermore, though this reductionist approach may be useful at the start in establishing priority ratings, the individual feasibility and governance ratings should not be relegated. Thus, when the priority rating is not “obvious” the first time around, reference should be made to individual ratings in a discussion aimed at building consensus about what the priority rating of specific FNS actions should be.

The selected action should then be presented in the FNS Action Implementation Plan of the District. This plan should include the following information (see Annex 6.1.7):

1. Feasible FNS actions organized by immediate, underlying and basic causes.
2. Description of the livelihood zone(s) and locations where the action is to be implemented and the groups at which the action is to be targeted (if any).

3. Time-bound (operational) target(s) of the action expressed as indicator(s).
4. Yearly operational targets.
5. Required human, material and financial inputs.
6. An indicative budget for each year of the planning period.
7. Sources of funding (district budget, donor funding, national programme funding, etc.); and
8. Responsible institutions and/or agencies (governmental and non-governmental).

An additional section can be included with the same outline for remedial actions to improve governance. Such remedial actions would have been identified during the review of complaints using good governance principles. The most feasible and appropriate actions can be included in the FNS action plan. As with the FNS actions, remedial governance actions may be defined for the district as a whole or for specific locations, may have time-bound operational targets, require resources in order to implement and should be budgeted for. And above all, it should be clear which institution/organisation/agency is or are responsible for implementing the remedial action.

Tips for the Assessment/Planning Team

- ✓ Once an inventory of feasible FNS actions has been drafted, it will be useful to organize an event with local experts (decision-makers, district officials, programme managers, technical staff and community leaders) to present the draft inventory and obtain feedback as a way of validating the inventory. This expert group may also come up with alternative FNS actions (not included in the inventory or variations on the actions that are included) and outline ways to implement each action. These inputs lay the groundwork for the formulation of the district FNS implementation plan. This session should also be designed to create further ownership among multiple stakeholders in the district FNS implementation plan.
- ✓ The formulation of a stand-alone FNS action plan should serve to raise awareness about the major FNS issues in the district and create widespread ownership of the district FNS action plan, thus laying the groundwork for its implementation. This means that the process of formulating the action plan should be inclusive and build on the relationships that were developed with district decision-makers and technical staff, NGOs, aid agencies and community organisations (partners) during the previous steps. Those individuals who were interviewed or otherwise provided information should also provide inputs for the formulation of the action plan, as its impacts largely depend on them. One way to give the implementation plan good visibility is an official launching event organized by the district authorities. The message here is that the district is the owner of the FNS action plan, and takes responsibility for its implementation.



Human Rights Check 2.4 **Preparation of the action plan**

Participation

- ◆ As in the previous stage, widespread consultation by the district technical team of many stakeholders in preparing the district action plan should take place, including with community groups.

Accountability

- ◆ Discussions should be held with, and a consensus reached among stakeholders (including representatives of community groups), about what accountability mechanisms will be included in the action plan i.e. who is to be held accountable for the implementation of the action plan, and who will be in a position to question responsible persons/officials about progress. The ways and means of questioning the implementers, and what information is required for this, also need to be agreed, as well as who will take responsibility for the follow-up and implementation of remedial actions.

Non-discrimination

- ◆ The actions included in the plan, and the resources assigned to those actions, should fully reflect the high priority afforded to the objectives and goals that address the needs and priorities of the most vulnerable groups. The planning team should continue to have frequent interactions and dialogue with these groups or their representatives, in establishing the action plan.

Transparency

- ◆ The process of preparing the district action plan should be as public as possible, so that all stakeholders have full knowledge of the plan, and understand how the final plan was arrived at and what their respective responsibilities for its implementation are.

Rule of law

- ◆ Set rules for administrative and legal recourse mechanisms (within the authority of the district).



2.5 STAGE 5: MONITORING AND EVALUATION

Monitoring is about generating and analysing information. Thus, monitoring of both the implementation of the plan and the achievement of objectives, benchmarks and targets are essential for a dynamic planning process and for providing information on governance practices.

A first step is to design a district monitoring framework which is guided by the contents of the district action plan. This monitoring framework would follow the monitoring levels according to the plan's objectives and goals and the corresponding outcomes/results. It involves defining a set of indicators that cover both implementation and results.

In identifying FNS indicators, the district may be guided by the FNS monitoring framework implemented at national level. The latter also depends on monitoring information provided by districts. Other types of monitoring information will be specific to a district, thus requiring additional indicators to be constructed. Information availability will also be a factor. Periodically updating the district profile is one way to monitor outcomes/results.

Knowledge Box 2.8

What to monitor during implementation of district/lower local government action plans

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

Monitoring results

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



Identifying who will participate in monitoring, both as providers and/or as users of monitoring information, is another aspect that needs to be decided. As a general rule, the district should consider monitoring using simple methods and in an incremental way, that is begin with a minimal or “bare-bones” system. Over time, as monitoring capacity and information availability increase, the monitoring framework can be expanded to provide wider coverage in terms of what is monitored and the number of indicators that are generated and analyzed. One way of monitoring the implementation of the district plan is through *budget analysis (or public expenditure review)* which analyses what funds were initially allocated to specific budget items and to interventions and other actions, as well as to district management and administrative functions, and what funds were actually expended against these allocations. This allows identification of which budget items were under-funded, and which over-funded, and thus tells something about the implementation of the district action plan.

Of course, monitoring is a good instrument for holding stakeholders accountable, so the plan should specify what monitoring information outputs are to be produced, when they are to be produced, and at whom they should be targeted.

Human Rights Check 2.5

Monitoring the implementation and impacts of the district FNS action plan

Participation

- ◆ The district monitoring framework should foresee that many different stakeholders contribute information. Data from more formal surveys as well as information that community groups may routinely collect about how the district plan is implemented and what changes it produces at grassroots level should be gathered and used. Stakeholder groups should also participate in analyzing and interpreting the monitoring information, and in deciding what remedial actions are necessary.

Accountability

- ◆ Monitoring is an important tool that generates information about how the district plan is being implemented and what changes it produces. This information is then compared to the timetable for the implementation of the action plan, the planned activities, and the resources allocated for those activities, as well as any targets and objectives. This analysis generates the basis on which to hold those with responsibilities for the district plan accountable for any shortfalls. If detailed budget data are not made public, but audits of district budgets are undertaken, the auditing reports should be made public for transparency reasons.
- ◆ Procedures and methods by which the district will periodically review its own performance in relation to providing public services are detailed in the district plan.
- ◆ The district action plan includes periodic activities to interact with the public and client groups to obtain feedback on the provision of services.

Non-discrimination

- ◆ The district monitoring framework, and the simple indicators to be constructed, should adequately include information about any marginalized groups in the district. This may require an additional effort to obtain this information, as well as ensuring that representatives of these groups also participate in the analysis and interpretation of the monitoring information.

Transparency

- ◆ All stakeholder groups should have information about why monitoring information is collected, what monitoring information methods will be used and what use will be made of the monitoring information. The district monitoring framework should specify how widespread access to the monitoring information will be provided. For example: Public Expenditure Review.



3 CROSS-CUTTING CONCERNS

3.1 COORDINATION

The institutional framework for the implementation and coordination of FNS measures at all levels is such that districts and LLGs are expected to play a lead role in guiding communities to identify their priorities and implement the corresponding actions. The TPC at the district and LLG levels would be responsible for overseeing and monitoring the implementation of the FNS measures. It would also be responsible for providing support to district/municipality/subcounty/division/parish development plans and budgets. The District Planner, as secretary to the district-level TPC (DTPC) and the Community Development Officer, as secretary to the subcounty TPC (SCTPC) would be the liaison persons to ensure that FNS issues and actions are integrated in the respective plans. Responsibilities of the TPCs with respect to FNS would include:

- ◆ Identification of capacity enhancement needs at district and LLG levels.
- ◆ Support for the identification of FNS issues and their adequate integration into district and LLG development plans.
- ◆ Provision of technical guidance to the implementation of the FNS Policy and Strategy.
- ◆ Preparation of FNS-focused implementation and progress monitoring reports.
- ◆ Close liaison with the relevant line ministries responsible for FNS planning to ensure inter-institutional coordination.

Given that each district and LLG must have a FNS Committee (FNSC), its role will be to mobilize, implement and coordinate active participation of communities in activities towards addressing FNS issues. The committees will be responsible for ensuring that FNS issues are incorporated in the programmes of the district/LLG and monitoring their performance. Details of the functions of the FNSCs are in the draft FNS Bill (draft April 2010) and the *National Nutrition Plan of Action* which should be read hand in hand with this guide.

3.1.1 Composition

The composition of the FNS committee will depend on its functions. Care should be taken not to overload the committee with too many members. It is however acceptable to co-opt persons to discussions when there are issues that concern them directly. Before members are nominated to the FNSC there is need to carefully consider the time availability of the preferred members and their incentive to be proactive. In addition, the questions of *who* should chair the committee and act as a focal point, and to whom the committee should report (and about what and when), must be considered from the start. Other considerations include ensuring that nobody has been left out who should be included; checking that no roles are duplicated (i.e. where two or more members have the same function); and distinguishing between permanent members (maybe a small group) and part-time members (an enlarged group that meets only once or twice a year).

Therefore, in deciding on the composition of the FNSC both at the district and subcounty levels the issues highlighted below should be taken into account:

- ◆ a composition that can carry out the duties and responsibilities effectively;
- ◆ a balanced but effective committee capable of delivering services and working harmoniously with the political actors – which depends on ownership of all stakeholders;
- ◆ the required expertise or ability to handle responsibility of implementing and coordinating policies, programmes, and plans that promote and protect FNS within a given jurisdiction – which relates to capacity-building requirements.
- ◆ the number of committee members, which should stay within a reasonable range – a number neither too large nor too small, but representative enough for the committee to carry out its work effectively – which is largely a discretionary issue.
- ◆ budgetary allocation to ensure that members of the committee are paid allowances and can be facilitated to do their work.
- ◆ a focal person whose role will be to provide reports to the district or LLG council.

3.1.2 Functions

The feasibility of tasks to be assumed by the committee should be reviewed before including them in their terms of reference. Experience shows that a committee needs a *raison d'être* that has to be very precise and the contribution from everyone is needed. If people feel that their contribution doesn't matter they tend to discontinue their participation. The functions expected to be executed by the FNSC are to:

- ◆ Ensure that FNS issues are planned for, costed and integrated in District Development Plans and Annual Work Plans and Budgets.
- ◆ Monitor performance of the district/LLGs in implementation of policies, programmes and plans on FNS issues.
- ◆ Assess the FNS situation and recommend actions regularly.
- ◆ Mentor LLG to plan and implement FNS actions.
- ◆ Ensure capacity exists to implement FNS actions in different sectors.
- ◆ Coordinate all partners implementing FNS actions.
- ◆ Report to the TPC on committee activities.
- ◆ Advise the TPC on FNS issues.

Because participation in the committee may be additional to the member's normal work, there may be need for incentives to keep their interest and participation.

The responsibilities of the focal person would be to:

- ◆ Hold the secretariat position in the FNSC.
- ◆ Prepare meeting schedules and agenda (in consultation with the CP/FNSC).
- ◆ Prepare briefs and reports on committee activity.
- ◆ Prepare and manage WPB for committee activities.
- ◆ Minute meetings of committee.
- ◆ Act as custodian of committee documents and assets.
- ◆ Liaise between different sectors and the District Technical Planning Committee.

The focal person should be appointed on the basis of his or her interest, initiative and innovativeness in resolving FNS issues, and may be drawn from any relevant line departments.

3.2 CAPACITY-STRENGTHENING

Stakeholders need to have adequate capacity to participate in, and contribute to, the integration of FNS into district plans. Since roles differ among stakeholder groups, their required skills differ as well.

In order to define what the capacity-strengthening plan needs to emphasize we need to know what knowledge and skills different stakeholder groups should have and what they already know – in other words: analyze the *gaps*. The answer will differ from district to district, but it is useful to have a method that can be applied to ascertain this in each district (see Table 3.1 for an example).

Knowledge Box 3.1

Outline of a capacity-strengthening plan

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



Table 3.1 Potential FNS activities

ROLE	KNOWLEDGE/UNDERSTANDING/SKILLS
Support identification of FNS issues.	<ul style="list-style-type: none"> ◆ FNS concepts and their practical meaning. ◆ Multisector FNS linkages. ◆ Interpretation of FNS indicators and information. ◆ Simple analytical methods.
Technically guide the implementation of FNS measures.	<ul style="list-style-type: none"> ◆ Design FNS projects. ◆ Targeting of food insecure and vulnerable groups.
Prepare monitoring reports on progress in dealing with FNS problems.	<ul style="list-style-type: none"> ◆ Benchmarks and targets for FNS. ◆ Simple analytical monitoring methods. ◆ Report-writing.

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

4 MAKING THE RIGHT A REALITY

The work of technical officers ends with the formulation of the annual work plan. Usually, the compilation of all sector plans into a single district development plan is the responsibility of the district planning unit. The approval of the plan is the tasks of the district council. The respective heads of sector/department are responsible for explaining or defending an activity or budget item. The skill thus is to provide the necessary information at the right time to the right person. Depending on the situation, a technical officer may also decide to communicate the rationale of some activities to the Council before approval (lobbying). The next section on advocacy discusses how to enhance these skills.

Participation by and involvement of civil society and associations are mandated by the decentralization policy.⁷ This stems from the belief that planning and implementation of technically sound FNS actions will be more efficient and effective when human rights principles and good governance practices are adhered to. This requires proactive support of civil society by Government, for instance by sharing analysis of the development situation of the district, by informing about the planning process or by involving citizens in decision-making processes. We will discuss these matters in Section 4.2 on social mobilization.

4.1 INFORMATION AND ADVOCACY

The availability of meaningful information is the beginning of the right to food in practice. Without information about the planning process and the development situation of the district it is difficult to participate meaningfully in the planning process. Without information about what's in the approved district development plan and its budget, citizens cannot monitor the implementation of this plan and hold their Government to account when irregularities occur.

⁷ See FAO, 2013. Guide for Civil Society Participation in Sub-national Development Planning

The involvement of civil society in the formulation, implementation and monitoring of district plans as well as the relationship between Government and civil society is discussed extensively in FAO (2013) (*Guide for Civil Society Participation in Sub-national Development Planning*).

Governments of countries that do subscribe to a human rights approach to development (e.g. by ratifying the International Covenant on Economic, Social and Cultural Rights [ICESCR]) have an obligation to provide information to their citizens.

Advocacy involves inspiring, motivating or influencing someone to do something or to decide to do something differently. The “something” may involve a new action, or a change in a routine or past action. Advocacy is effective when the new action, or change, is actually implemented, or an honest effort is made to implement it, as actual implementation may also depend on decisions or actions by others who were not reached by the advocacy effort.

4.2 SOCIAL MOBILIZATION

Within the context of district FNS planning, social mobilization can be defined as an inclusive process aimed at engaging all stakeholders in addressing local level FNS problems from a multisectoral perspective. It thus involves reaching out to decision-makers, technical staff, NGOs, local level leaders, private sector representatives and community groups. Social mobilization methods are designed to empower these different groups to contribute to solving FNS problems, looking for complementarities in their relative spheres of action, and taking full account of the felt needs and priorities of the people in the communities. Participation and empowerment are thus the centre pieces of social mobilization efforts.

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

4.3 THE OBLIGATIONS OF THE GOVERNMENT

There are three types of obligations emanating from the ICESCR⁸ namely to respect, protect and fulfill (facilitate and provide).

Figure 4.1 State Obligations



The first obligation to **respect** is a negative one: a state must refrain from interfering with the free enjoyment of a right, from taking any measure that would result in preventing individuals from accessing adequate food.

Secondly the obligation to **protect** requires the state to take positive measures this time to ensure that third parties do not interfere in rights-holders' access to food.

The third obligation to **fulfil** also refers to a positive intervention on the part of the state – that of providing food to those that cannot provide for themselves for reasons beyond their control. This obligation covers from facilitation to direct provision of food. By **facilitate** it is intended that states must pro-actively engage in activities intended to strengthen people's access to and utilization of resources and means to ensure their livelihood, including food security. The obligation to **provide** is called for, whenever an individual or group is unable, for reasons beyond their control, to enjoy the right to adequate food

8 General Comment 12 (ICESCR).

by the means at their disposal. In this case the state has to provide for the right directly. This obligation also applies for persons who are victims of natural or other disasters.

While only states are parties to the Covenant and are thus ultimately accountable for compliance with it, all members of society – individuals, families, local communities, NGOs, civil society organizations, as well as the private business sector – have responsibilities in the realization of the right to adequate food. The state should provide an enabling environment for the implementation of these responsibilities.

Given that many LGs have lack of resources, capacity and staff, to what extent can we expect that these Government units live up to the role of “duty bearer” assigned to them by international law? Certainly, being able to be a functional duty bearer is a process. Four broad areas can be used when assessing institutions (Jonsson 2004):

- ◆ Responsibility: has the institution the mandate to act? What are its terms of reference?
- ◆ Authority: can the institution speak with authority about a specific topic? What is the institution’s standing?
- ◆ Access and control of resources: do they have sufficient resources to fulfill their mandate?
- ◆ Capacity: has the institution the technical capacity to fulfill its tasks?

For more tools on assessing institutions on their compliance with right to food standard see (FAO 2009a).

Even if the state is the ultimate duty bearer for realizing the right to food, every individual holds some responsibilities. Pattern Analysis aims at identifying key claim/duty relationships in a particular societal context (Jonsson 2004). It is important to realize that the same individual or group of individuals often may enter the roles of both claim-holder and duty-bearer.

An extension worker may have a duty to farmers to disseminate appropriate technology and train farmers on its use and management, but may at the same time have a claim against the government to receive a salary and necessary work logistics. It is also important to note that a right-holder’s claim is always equivalent to the bearer of the correlative duty. Farmers’ claim on extension workers to provide good agricultural advice is equivalent to extension workers’ duty to do the same. The extension workers however do not just have duties to farmers; they may also have valid claims on farmers, for example that farmers adopt use of the technologies and practices. This is illustrated in the matrix below, which includes examples of claim/duty relationships in relation to the right to adequate food (Table 4.1).

Table 4.1 Obligations versus rights matrix

		RIGHTS HOLDERS			
		FARMERS	EXTENSION WORKERS	DISTRICT	NATIONAL
DUTY-BEARERS	FARMERS		Allow time for knowledge and skill transfer	Provide backup for production activities	
	EXTENSION WORKERS	Establish Farmer Groups		Participate in training, planning and demonstrations	Follow established guidelines
	DISTRICT	Provide logistical support for extension activities	Re-train , equip and tool extension workers		Use funds correctly
	NATIONAL GOVERNMENT	Policy on improving agriculture production and productivity	Ensure adequate salaries for extension workers	Allocate adequate funds for production related activities	

Most often the key claim/duty relationships cluster around the diagonal of the matrix, i.e. the farmers/extension workers, extension workers/district and district/national government relationships, reflecting a bottom-up “chain” of claims at lower level create claims at higher levels. In reverse, a top-down “chain” reflects the fact that higher level duties create duties at lower levels.

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5 ANNEXES

5.1 SUMMARY OF TOOLS

5.1.1 Situation Analysis Data Table⁹

AREA OF INFORMATION/ INDICATOR	IF AVAILABLE: ASSESS QUALITY OF DATA				IF NOT YET AVAILABLE: PROCEDURES TO FILL THE GAP	
	SOURCE OF INFORMATION AND METHOD OF DATA COLLECTION	RELIABILITY	FREQUENCY OF DATA COLLECTION	REPRESENTA- TIVENESS	DATA SOURCE/ PERSON TO CONTACT	METHOD OF COLLECTION
MALNUTRITION						
Number and percentage of under-five children moderately or severely wasted (weight-for-height below cut-off point)						
Number and percentage of under-five children moderately or severely stunted (height-for-age below cut-off point)						
Number and percentage of under-five children that are moderately or severely underweight (weight-for-age below cut-off point)						

⁹ Elaborated in the context of the FAO-InWEnt Training Course “Integration of Food and Nutrition Security and the Right to Food into District Development Plans – Application of Good Governance Practices in Sierra Leone, Uganda and Zanzibar”, 30 August–10 September, 2010 in Feldafing near Munich (Germany).

AREA OF INFORMATION/ INDICATOR	IF AVAILABLE: ASSESS QUALITY OF DATA				IF NOT YET AVAILABLE: PROCEDURES TO FILL THE GAP	
	SOURCE OF INFORMATION AND METHOD OF DATA COLLECTION	RELIABILITY	FREQUENCY OF DATA COLLECTION	REPRESENTA- TIVENESS	DATA SOURCE/ PERSON TO CONTACT	METHOD OF COLLECTION
Prevalence of kwashiorkor						
Number and percentage of low-birth-weight babies						
Prevalence of anemia (Iron deficiency)						
Prevalence of Vitamin A deficiency (VAD) among under-five children						
Prevalence of iodine deficiency						
Overnutrition among adults: number and percentage of adult population with Body Mass Index (BMI = kg/m ²) greater than 25.0 and greater than 30.0						
Undernutrition among adults: number and percentage of adult population with Body Mass Index (BMI = kg/m ²) below 18.5 and below 16.0						
AVAILABILITY						
Total arable land						
Total land area under cultivation in all food crops by district per year						
Access to and ownership of land, farm sizes						
Yield/ha for staple foods						
Diversity of food production						
Food-processing and -handling along the value chain						
Number of households engaged in livestock-keeping						
Access to inputs /source of inputs						
Access to agricultural extension services						
Level of post-harvest losses/food-handling practices						

AREA OF INFORMATION/ INDICATOR	IF AVAILABLE: ASSESS QUALITY OF DATA				IF NOT YET AVAILABLE: PROCEDURES TO FILL THE GAP	
	SOURCE OF INFORMATION AND METHOD OF DATA COLLECTION	RELIABILITY	FREQUENCY OF DATA COLLECTION	REPRESENTA- TIVENESS	DATA SOURCE/ PERSON TO CONTACT	METHOD OF COLLECTION
Status of landholding						
Source of food (production versus purchases)						
Frequency and intensity of risk factors to production (drought, flood, pest, diseases etc.)						
Access to information (early warnings)						
Extension coverage						
Farm labour and type/degree of mechanization						
Access to microcredit for agricultural production						
ACCESS TO FOOD						
Number of months of food insufficiency (i.e., where own production is insufficient for own consumption) and which months						
Purchasing power (household income level and food prices)						
Per capita food expenditures						
Quantity and quality of food available in markets in the district						
Food assistance (transfers to improve food and nutrition security) interventions in the district						
Infrastructure (markets, roads, storage facilities)						
Percentage of per capita income that households spend on food/income flexibility						
Average number of meals consumed per day ¹⁰						

¹⁰ The indicator “food energy consumption per person per day (as compared to an average of 2,100 Kcal per person per day)” has not been included in this checklist because such an assessment requires a very specific and resource intensive survey.

AREA OF INFORMATION/ INDICATOR	IF AVAILABLE: ASSESS QUALITY OF DATA				IF NOT YET AVAILABLE: PROCEDURES TO FILL THE GAP	
	SOURCE OF INFORMATION AND METHOD OF DATA COLLECTION	RELIABILITY	FREQUENCY OF DATA COLLECTION	REPRESENTA- TIVENESS	DATA SOURCE/ PERSON TO CONTACT	METHOD OF COLLECTION
Number and percentage of people falling below the Food Poverty Line						
Number and percentage of people falling below the Basic Needs Poverty Line						
Employment opportunities and unemployment rates						
Level of vulnerability to food						
Dependency ratio						
Access to microcredit for non-agricultural business development						
Mechanisms to cope with food shortages, e.g. reduction of the number of meals per day, changes in the composition of the diet, theft of food						
CARE						
Food-preparation habits, e.g. dietary diversity (according to usual indicators), duration of cooking, access to energy sources for food preparation, cooking utensils used, food hygiene practices						
Eating habits, e.g. number of meals per day, intra-household food distribution, food taboos						
Infant-feeding practices related to breastfeeding and weaning (according to usual indicators)						
Household size and age composition						
Level of knowledge of care givers related to in nutritional habits, health, hygiene and specific needs/care for vulnerable groups						
Number of female-headed households						
Number of potentially vulnerable people per group (e.g. female/single-headed households, refugees, IDPs, orphans, chronically ill, disabled, elderly people)						

AREA OF INFORMATION/ INDICATOR	IF AVAILABLE: ASSESS QUALITY OF DATA				IF NOT YET AVAILABLE: PROCEDURES TO FILL THE GAP	
	SOURCE OF INFORMATION AND METHOD OF DATA COLLECTION	RELIABILITY	FREQUENCY OF DATA COLLECTION	REPRESENTA- TIVENESS	DATA SOURCE/ PERSON TO CONTACT	METHOD OF COLLECTION
HEALTH						
Access/availability of health facilities						
Distance to health services						
Types of common diseases, esp. infectious diseases						
Percentage of infant, children and adult affected by various diseases, esp. infectious diseases (by sex)						
Rate of HIV/AIDS by population groups (according to usual indicators)						
Mortality rate for under-five children/adult/maternal						
Number of persons per doctors/nurse						
Costs of health services						
Reported malnutrition cases per health facility						
Number of children under five year of age and percentage of child population under therapeutic feeding						
Duration of therapeutic feeding						
Number of children under five year of age and percentage of child population under supplementary feeding						
Duration of supplementary feeding						
WATER AND SANITATION						
Access to safe drinking water (incl. potential resources)						
Number of person per water source						
Distance to water-collection points						

AREA OF INFORMATION/ INDICATOR	IF AVAILABLE: ASSESS QUALITY OF DATA				IF NOT YET AVAILABLE: PROCEDURES TO FILL THE GAP	
	SOURCE OF INFORMATION AND METHOD OF DATA COLLECTION	RELIABILITY	FREQUENCY OF DATA COLLECTION	REPRESENTA- TIVENESS	DATA SOURCE/ PERSON TO CONTACT	METHOD OF COLLECTION
Cost of water						
Water consumption per capita per day						
Availability and use of toilets						
Water pollution/contamination						
EDUCATION						
Enrolment ratio (primary and secondary) by sex						
Proportion drop-out students by sex						
Examination performance						
School completion rates by sex						
Distance to nearest school (primary and secondary)						
Cost of education						
Availability of training institution (vocational training)						
Access to adult literacy programme						
Availability of qualified teachers and teacher/pupil ration						
Availability of teaching materials						
Teachers motivation/incentive programme						
Parental involvement						
School-feeding interventions						
Food and nutrition, right-to-food related topics (theoretical and practical) in school curricula (different grades)						

AREA OF INFORMATION/ INDICATOR	IF AVAILABLE: ASSESS QUALITY OF DATA				IF NOT YET AVAILABLE: PROCEDURES TO FILL THE GAP	
	SOURCE OF INFORMATION AND METHOD OF DATA COLLECTION	RELIABILITY	FREQUENCY OF DATA COLLECTION	REPRESENTA- TIVENESS	DATA SOURCE/ PERSON TO CONTACT	METHOD OF COLLECTION
OTHERS (CROSS-CUTTING ISSUES)						
Age structure of population						
Gender equality						
Level of participatory decision-making processes, esp. district-planning process						
Risks and conflicts, incl. corruption						
Natural disaster/calamities						
Conflicts and (civil) war						
Available policy/strategy/programme with regard to promoting FNS at different levels						
Organizations and institutions in charge of FNS and right to food at different levels						

5.1.2 Summary Problem Analysis Matrix

Problems of food insecurity and malnutrition can be divided into food-availability, food-access and food-utilization outcomes. These should be analysed separately for different livelihood zones in the district because food insecurity and malnutrition outcomes as well as the reasons for food insecurity can differ between livelihood zones. Aspects of instability (significant variations in time) of food availability and food access also need to be considered, i.e. seasonal or year-to-year variations. Problems of malnutrition can either be food based or non-food based (health, child care).

Please note that the matrix below is an illustration only. Users should feel free to adapt it to their needs. The important issue here is that the reasons of food insecurity and malnutrition are well understood and organized in a way that will facilitate the subsequent steps. What’s listed under “causes” will later be transformed into “actions”. When we already know in which field the causes belong, we may find it easier later on to determine which actors should assume responsibility for an action.

District:
Vulnerable Group:
Livelihood Zone:
Approx. Number of Households or of Population:

OUTCOME	IMMEDIATE CAUSES	UNDERLYING CAUSES	ROOT CAUSES
FOOD SECURITY			
Food availability			
Food access			
Utilization			
NUTRITIONAL STATUS			
Food based			
Non-food based			

5.1.3 Vulnerability Matrix by Livelihood Zone

The purpose of the matrix is to capture the significance of shocks and risks (“A = Exposure to hazards”), such as whether related events (draught, floods, heavy winds etc.) or politically motivated events (risk of civil strife or unrest). On the next column (B = Ability to cope”) we should list the ability of individuals to cope with the events with the highest probability of occurring. For events that occur regularly (like a dry spell) individuals may have coping mechanisms in place. The analysis should then tell how well-prepared

individuals are and whether there are any differences among the population (e.g. poorer farmers may find it more difficult to fend off risks).

The matrix should be completed for each livelihood zone in the district. When possible, specific locations in the livelihood zone that are particularly vulnerable should be identified. The specific hazards and/or shocks, as well as the particular coping strategies employed in response to hazards and shocks should be recorded. Both exposure to hazards and ability to cope are scored on a scale from 1 to 5:

	LIVELIHOOD ZONE (LOCATIONS IN THE DISTRICT)	VULNERABILITY RANKING (GENERAL)		
		A: EXPOSURE TO HAZARDS (5 = HIGH; 1 = LOW) DESCRIPTION OF HAZARDS	B: ABILITY TO COPE (5 = LOW; 1 = HIGH) DESCRIPTION OF COPING STRATEGIES	VULNERABILITY SCORE (A×B) RANGE: 1–25
1	Livelihood description: Locations:	Score:	Score:	Score:
2	Livelihood description: Locations:	Score:	Score:	Score:
3	Livelihood description: Locations:	Score:	Score:	Score:

5.1.4 Food and Nutrition Security Action Analysis Matrix

In order to complete the Food and Nutrition Security (FNS) Action Analysis Matrix successfully, go back to the FNS situation assessment, and the results of the causality analysis and vulnerability analysis to identify the key problems/outcomes and their immediate, underlying and basic causes by livelihood zone.

Then in all cases, separate out chronic/structural problems from problems caused or aggravated by emergency conditions (such as drought).

For each identified problem and cause, ask: what would be the best-case solution/action under optimal conditions. Finding answers to this question may involve a brainstorming session among team members, followed by consultations with specific technical experts, programme/project managers, community leaders and others. The team would re-assemble again to consider the inputs and feedback obtained during the consultations, and work towards building a consensus on an inventory of best-case FNS actions.

An objective and corresponding objectively and verifiable indicator (OVI) should be defined for each best case action. The objective of the action defines what the action is expected to accomplish in terms of addressing a FNS outcome or cause. The corresponding OVI allows measurement over time to see whether the action actually is accomplishing what it is to achieve.

The action objective, the OVI and the (short) action description should be recorded in the first three columns respectively of the FNS Action Analysis Matrix.

5.1.5 Human rights compliance of food and nutrition security actions

Before using this tool it is useful to review Annex 6.3 to remind oneself of the meaning of human rights principles and good governance practices.

The steps that may be involved in undertaking this assessment may be as follows:

1. The assessment/planning team holds a brainstorming session to decide:
 - ii. which human rights and governance features should be included in the assessment as being the most relevant for the actions that are included on the list of best-case actions;
 - iii. which human rights/governance feature(s) determine(s) whether an action is unacceptable if rated 2;
 - iv. which human rights/governance feature(s) should be weighted and by what factor;
 - v. which methods to apply (document review, semi-structured interviews, focus group discussions, and/or direct observation); and
 - vi. which groups and/or persons to involve in the assessment.
2. Conduct the assessment by taking the inventory of best case FNS actions and generate the information necessary to obtain a rating of HR compliance for each action. Different methods may generate information on different governance features.
3. Total the HR compliance score for each FNS action and decide on the cut-off points to qualify a FNS action as either (i) “likely to be human rights compliant and overall well governed”, (ii) “with some positive governance features” or (iii) “likely to be not human rights compliant and poorly governed”. For the last two categories, consider possible remedial actions and the likelihood that the governance of the FNS action can be improved through those actions. If this is highly likely, then the FNS action could still be included on positive governance grounds.
4. The final score is the sum of all scores divided by the number of principles used.

FNS Action Analysis Matrix

District:
Livelihood Zone:[illegible]

Description of the FNS Action (high-priority FNS actions)

Human rights standard

1. Focus on the most vulnerable

- a. How likely is it that the action will reach and benefit the most vulnerable and most marginalized segments of the population?

0 = Very likely (the action is specifically designed to reach the most vulnerable and most marginalized segments, and these have previously been identified clearly; targeting criteria have or are usually established that aim at reaching the most vulnerable and marginalized).

1 = Somewhat likely.

2 = Not likely at all (this is a non-targeted action that is designed to benefit the population at large; there is no stated intention to reach the most vulnerable and marginalized).

RATING: 0 1 2

ARGUMENT (WHY THIS RATING?):

- b. Remedial action(s): What should and can realistically be done to ensure that the action brings real benefits in line with the stated objectives for the most vulnerable and marginalized?

DESCRIPTION OF REMEDIAL ACTION(S)

2. Adverse effects on non-participants

- a. How likely is it that the action adversely affects the well-being (in one form or another) of non-participants?

0 = Not likely at all.

1 = Somewhat likely.

2 = Very likely (describe what type of effects, and who would be affected).

RATING: 0 1 2

ARGUMENT (WHY THIS RATING?):

- b. Remedial action(s): What should and can realistically be done to decrease the likelihood that the action will adversely affect non-participants (score 1) or to completely eliminate any adverse effects on non-participants (score 0)?

DESCRIPTION OF REMEDIAL ACTION(S)

Human rights principles:

3. Participation

- a. How likely is it that the action allows for meaningful participation by its participants during its development and implementation phase?

0 = Very likely (the implementing institution is committed to participatory processes and has the capacity and commitment to promote participant participation; the action offers good opportunities for community participation; community organization is strong).

1 = Somewhat likely.

2 = Not likely at all (the implementing institution has no experience of working in participatory ways and directly involving the grassroots; community organization is very weak or non-existent).

RATING: 0 1 2

ARGUMENT (WHY THIS RATING?):

- b. Remedial action(s): What should and can realistically be done to increase meaningful participation by participants and how likely are these efforts to have a significant impact on participant participation within a reasonable time period?

DESCRIPTION OF REMEDIAL ACTION(S)

4. *Accountability*

- a. How likely is it that the implementers of the action will explain and justify their decisions and efforts to participants who will then have the opportunity to demand a full accounting of those decisions and efforts and their consequences?

0 = Very likely (the implementing institution makes special efforts to inform the participants regularly about decisions and their efforts; mechanisms are in place by which participants can question institutional staff; the institution is committed to constantly improving its actions and takes full account of the suggestions of participants).

1 = Somewhat likely (the implementing institution listens to participants but usually does not follow up with putting improvements in place in line with participants' suggestions).

2 = Not likely at all (the implementing institution does not explain and justify its decisions to participants; there are no mechanisms in place by which participants can question institutional staff and make suggestions for improvements).

RATING: 0 1 2

ARGUMENT (WHY THIS RATING?):

- b. Remedial action(s): What should and can realistically be done to strengthen the ways by which participants ask institutional staff to explain and justify their decisions and efforts as well as the consequences of these, and how likely is it that this can be done with a positive effect within a reasonable time period?

DESCRIPTION OF REMEDIAL ACTION(S)

5. *Non-discrimination*

- a. How likely is it that the action be implemented in practice by discriminating against anyone or any group based on any grounds?

0 = Not likely at all (there is no evidence of any type of discrimination; there are safeguards in place to prevent any discrimination).

1 = Somewhat likely.

2 = Very likely (discrimination takes place on what grounds? There is considerable evidence that shows that this action or similar ones in practice are implemented

in discriminatory ways; the institution(s) responsible for the action has/ve a poor record to combat discrimination).

RATING: 0 1 2

ARGUMENT (WHY THIS RATING?):

- b. Remedial action(s): What should and can realistically be done to reduce the likelihood of discrimination within a reasonable period of time?

DESCRIPTION OF REMEDIAL ACTION(S)

6. Transparency

- a. How likely is it that decisions concerning this action be made and put into effect in accordance with rules, norms and regulations that are known and understood by the implementers and the participants?

0 = Very likely (the implementing institution is committed and has the capacity to inform about decisions to participants and its own staff; mechanisms are in place to educate participants about rules and norms that apply and to review with participants the compliance to those rules and norms).

1 = Somewhat likely (rules and norms exist that may be known by institutional staff but not by participants).

2 = Very unlikely (rules and norms, if they exist at all, are known to a few in the institution, and there is no institutional culture to share these with staff and participants; decisions are usually made by a few and are not subject to review).

RATING: 0 1 2

ARGUMENT (WHY THIS RATING?):

- b. Remedial action(s): What should and can realistically be done to improve the transparency in decision-making with respect to this action, and how likely are those efforts to have an effect within a reasonable time period?

DESCRIPTION OF REMEDIAL ACTION(S)

7. *Threat to human dignity*

- a. How likely is it that the action be implemented in ways that are disrespectful of the human dignity or lead to abuse of the participants?

0 = Not likely at all (this action or similar ones have always been respectful of human dignity and there was never any evidence of abuse of any kind).

1 = Somewhat likely.

2 = Very likely (this action or similar ones showed a great deal of disrespect or disregard for human dignity and/or showed that there existed significant instances of abuse of participants).

RATING: 0 1 2

ARGUMENT (WHY THIS RATING?):

- b. Remedial action(s): What should and can realistically be done to assure that the human dignity of participants is fully respected, and to what likelihood level can disrespect for human dignity potentially be reduced by this remedial action (1 –0)?

DESCRIPTION OF REMEDIAL ACTION(S)

8. *Empowerment*

- a. How likely is it that the action contributes to the empowerment of the participants by providing them with new understanding, knowledge and skills that improve their capacity for self-determination?

0 = Very likely (the empowerment of the participants is an explicit objective of the action; specific activities are to be implemented to empower the participants).

1 = Somewhat likely (the institution that implements the action has a general sensitivity towards participants' empowerment).

2 = Not likely at all (the institution responsible for the action has never shown much concern for participants' empowerment and/or does not have the capacity for this).

RATING: 0 1 2

ARGUMENT (WHY THIS RATING?):

- b. Remedial action: What should and can realistically be done to increase the likelihood that the action will result in empowerment of participants and would this remedial action have a significant effect (score 0) or only some likely effect (score 1) within a reasonable period of time?

DESCRIPTION OF REMEDIAL ACTION(S)

9. Rule of law

- a. Is the action in line with laws and regulations of the country?

0 = Yes (the action falls into a well regulated area. No ambiguity from a legal perspective).

1 = Maybe (interpretation of the law or regulation may lead to some ambiguity, there may be clash between customary and legal rights, or there the action falls within an area that is not or not sufficiently regulated).

2 = No (the action falls within an area that is not regulated or conflicting regulation exist).

RATING: 0 1 2

ARGUMENT (WHY THIS RATING?):

- b. Remedial action: What should and can realistically be done to increase the likelihood that the action will not result in a breach of the rule of law? In cases where the jurisdiction is in conflict with human rights standard what measures can be taken to correct current laws and regulation within a reasonable period of time?

DESCRIPTION OF REMEDIAL ACTION(S)

10. Good Governance Practices

Responsiveness

- a. How likely is it that the action fully responds to the needs and established priorities of those who are to be served by it?

0 = Very likely (the implementing institution makes upfront efforts to understand the needs and priorities of the participants, and has adequate capacity to respond to those needs and priorities; mechanisms are in place for the participants to constantly interact with the institution to inform it about their needs and priorities).

1 = Somewhat likely.

2 = Not likely at all (normally little is known about the needs and priorities of the participants; there are no mechanisms in place with which participants can make their needs and priorities known).

RATING: 0 1 2

ARGUMENT (WHY THIS RATING?):

- b. Remedial action(s): What should and can realistically be done to ensure that the action more closely responds to the needs and priorities of those to be served, and how likely will those efforts have an effect within a reasonable time period?

DESCRIPTION OF REMEDIAL ACTION(S)

Consensus oriented

- a. How likely is it that a broad-based consensus can be built among multiple stakeholders about how the action is to be designed and implemented?

0 = Very likely (there is considerable evidence that this type of action is implemented based on dialogue and consensus among stakeholders; the implementing institution always undertakes special efforts to that effect).

1 = Somewhat likely.

2 = Not likely at all (previous evidence shows that this type of action is usually a “one-man show” and that no efforts are made to involve other stakeholders and proceed based on consensus).

RATING: 0 1 2

ARGUMENT (WHY THIS RATING?):

- b. Remedial action(s): What should and can realistically be done to improve the consensus-building process, and to what likelihood level can consensus building be improved by this remedial action within a reasonable time period (to 1or 0)?

DESCRIPTION OF REMEDIAL ACTION(S)

5.1.6 Summary Matrix of Feasible Food and Nutrition Security Actions

District:

Livelihood Zone:

CAUSES (FROM SITUATION ANALYSIS)	FOOD AND NUTRITION SECURITY ACTIONS	FEASIBILITY RATING	HUMAN RIGHTS COMPLIANCE RATING	FINAL PRIORITY RATING OF FOOD AND NUTRITION SECURITY ACTIONS ¹⁰
FOOD SECURITY				
Immediate causes				
Underlying causes				
Basic causes				
NUTRITIONAL STATUS				
Immediate causes				
Underlying causes				
Basic causes				

¹⁰ 1 = high priority; 2 = average priority; 3 = low priority

District:









[illegible]

[illegible]




5.1.8 Monitoring Matrix




Below is an example of the indicator dashboard developed by REACH, a UN partnership to accelerate the scale-up of food and nutrition actions. The dashboard gives a snapshot of a country's nutrition status. The example below lists the interventions promoted by REACH. Local governments however can amend this tool to their needs and include the most important interventions for their district.

1 AREA	INTERVENTION	2 PROBLEM INDICATOR	STATUS	3 COVERAGE INDICATOR	STATUS
IMPROVE BREASTFEEDING AND COMPLEMENTARY FEEDING	Exclusive breastfeeding	% of <6 mo.-old escl. brestfed	19% 	%Mothers addressed w/ EB promo	85-95%
	Complementary feeding	% children 6-11 months receiving appropriate complementary foods	12% 	%Mothers receiving CF education	34%
INCREASE MICRONUTRIENT INTAKE	Vitamin A supplementation	Estimated % of children 6-59 months with vitamin A deficiency	n.a. 	Children 6-59 months covered w/ 2 doses of VAS in last year	70-80%
	Iron supplementation	% P&L mothers with moderate, severe anaemia	53% 	% mothers receiving iron supplement	<75
	Zinc supplementation	% < 5 w diarrhoea % < 5 w/ zinc deficiency	26% n.a. 	% of children <5 receiving zinc supplementation with diar. treatment	0%
	Iron folate & zinc fortification	% < 5 w/ moderate, severe anaemia	85% 	% children <5 consuming iron & zinc fortified foods	0%
	Iodine fortification	% < 5 w/ iodine deficiency	n.a. 	% of HHs consuming iodized salt	24%
IMPROVE DIARRHOEA AND PARASITE CONTROL	Household water treatment	% HH using HWT methods % HH with access to improved water source	22% 52% 	% HHs provided with equipment/education on HWT	0-17%
	Hand-washing with soap	% population washing hands before eating % <5w/ diarrhoea	22% 26% 	% HHs/mothers addressed with HW promotion programs	11-17%
	ITN (bed nets)	% 5s slept under ITN last night % Malaria prevalence children < 5'	2% 18% 	% of HH with at least one ITN	12% ²
	IPTp (Intermittent preventative treatment)	% pregnant women at risk of getting malaria	58% 	% F women given IPTp dose at pre-natal Cons under direct observation	<75%
	Deworming	Estimated % prevalence for children <5	30% 	% children 6-59 months receiving deworming drugs in last year	70-80%

AREA	INTERVENTION	PROBLEM INDICATOR	STATUS	COVERAGE INDICATOR	STATUS
IMPROVE HOUSEHOLD FOOD SECURITY	Therapeutic feeding	% children <5 SAM	1.8% 	% <5 w/ SAM who received therapeutic feeding	38% ³ 
	Supplementary feeding	% HH using HWT methods % HH with access to improved water source	22% 52% 	% HHs provided with equipment/education on HWT	0-17% 
	Conditional cash Transfers	% population living under national poverty line	46% 	% of households under poverty line receiving cash transfers	0% 
	Local Homestead Food Production	Household Food insecurity	30% 	% children 6-59 months receiving deworming drugs in last year	70-80% 

1. Children with unspecified fever in last 15 days (in endemic regions 26%)
 2. If consider endemic regions (comprising 70% of pop.) 15 %
 3. Pre-harvest

 Currently not serious problem
 Problem requiring action
 Serious problem requiring urgent action

 Improvement
 Deterioration over last yrs.
 Coverage (full)

Source: REACH

The REACH dashboard is an example of a one-page monitoring matrix. The idea behind this is to identify indicators for the priority FNS activities and measure them in regular intervals of two to three months. This can be carried out for coordination purposes and to underline that FNS is a multisectoral concern and that it requires inputs from different sectors. The matrix can be used by the district FNSC.

Impact indicators should be expressed not only in terms of a numerator (i.e., an absolute number), but should also include a “denominator” – which implies expressing an indicator as a rate of change, a percentage, or other ratio – whenever possible. The denominator indicates the magnitude of the food-security problem being tackled, for example, representing an estimate of the intended programme coverage or the size of the intended target group. Using a denominator adds an important perspective to the interpretation of the indicator. This indicator illustrates the extent to which a particular problem has been addressed. For example, reporting on numbers fed in an emergency-feeding programme or the number of students attending classes in a school-feeding programme does not give a sense of the extent of the accomplishment because it does not say anything about the total numbers requiring emergency assistance or the total number of school-aged children in the community. In contrast, output indicators typically include simple “count” measures, such as the absolute number of rations distributed, in addition to indicators expressed as percentages or ratios.

5.2 OUTLINE OF A DISTRICT FOOD AND NUTRITION SECURITY STRATEGY

A district FNS strategy document may accompany the district FNS action plan. The strategy document is a political statement in terms of commitments and intentions with respect to addressing the FNS problems in the district. The action plan is more of a technical and operational document that describes how the strategic priorities and objectives are to be achieved and what principles will guide the implementation of the action plan. In the case of the latter, governance principles will be most important and should be spelled out clearly in the strategy document. Information generated in the various steps of the FNS planning process will aid in the formulation of the district FNS strategy. The following sub-headings provide a useful structure for a district level FNS strategy.

1. **FNS situation in the district:** A short concise statement that highlights the main FNS problems in the district. This information comes from the situation analysis. The livelihood groups that are affected by these problems are described, and the consequences as well as the causes of the main problems are detailed. This section should provide a solid justification of why a district FNS strategy and action implementation plan are needed.
2. **Strategic priorities:** This section is usually short, affirms the district's administration commitment to give FNS issues a high priority recognizing that food insecurity and malnutrition both in the short and long term have serious consequences – and what these are. What does government intends to do about, and how this fits in with its general approach to poverty reduction and the promotion of social development. The time period for which the strategy is defined is also a strategic consideration: is it a three, five or ten-year strategy with periodic reviews?
3. **Strategy objectives:** This is where the main FNS problems identified in the situation analysis are turned into positive objective statements. The strategy objectives spell out what is to be achieved. For example, let's say that inadequate access to food by households in a specific livelihood zone of the district is a significant and permanent problem. A strategic objective then is to improve household-food access in that particular livelihood zone in sustainable ways. Or if households in a particular area are highly vulnerable to food shortages because of frequently inclement weather conditions, the objective may be to increase the resilience of those households to withstand the impacts of inclement weather conditions and minimize the effect on their access to food. It is good to make a clear distinction between short-term and medium- to long-term objectives. In the case of short-term objectives, this concerns problems of a more acute nature that can or need to be addressed immediately – such as rapidly rising market prices of basic foods. This can be dealt with, for example, by a release of foods from a national grain reserve or by temporary increases in food imports with an aim of food price stabilization. Medium- to long-

term objectives refer normally to problems that are more structural in nature, and therefore take more time to achieve, such as a substantial reduction in malnutrition rates in under-five children.

4. **Verifiable and time-bound targets:** Targets are linked to objectives directly. They provide a means by which the district can monitor over time the extent to which the objectives are being achieved. “Verifiable” means that the degree of progress can be measured in meaningful ways. This requires a quantitative expression of the objective, usually by constructing indicators. To be meaningful, targets must be time-bound, i.e. the change is to take place within a specified time period. For example, the objective may state: reduce the prevalence of iron-deficiency anaemia in pregnant and lactating women. The corresponding target may be: reduce the prevalence of iron-deficiency anaemia in pregnant and lactating women by 25 percent in three years. The specific target here may be that 25 percent fewer women have blood haemoglobin levels below a specified value (e.g. 11gm/dl), which is thus the indicator. Setting targets implies that we have good estimates of what the situation is now and sound how it should progress over time. The specified change depends on the currently magnitude of the problem, and what experience shows may be a reasonable change to expect within the specified time period. The present estimates may be obtained from well-designed surveys (“baseline estimates”) or merely from document reviews that provide an estimate of the magnitude of the problem. In the latter case, we cannot talk of a baseline in the statistical sense. Setting targets provides also a means of holding government accountable for the changes that have been specified, particularly when the targets are generally known by district inhabitants.
5. **Implementation principles:** This section covers the general principles that will guide the implementation of the strategy and action plan. These should make reference to good governance practices, such as:
 - (a) ways that government may be held accountable for the achievements of implementing the strategy (e.g. achievement of strategic targets – see above);
 - (a) transparency in decision-making and providing continuously information about progress to the population;
 - (a) promoting participation by different partners and the population in decision-making and strategy implementation;
 - (a) not discriminating on any basis when implementing FNS actions;
 - (a) implementing FNS actions in ways that respect human dignity; and
 - (a) attending to the needs of the most vulnerable households and persons with the highest priority.
6. **Opportunities, risks and constraints:** Inputs for this section come from the results of the SWOT analysis as part of the formulation of an FNS action plan, particularly

from the institutional issues. In general, what does government propose to do to confront the risks and constraints, and to capitalize on opportunities? The SWOT analysis does not necessarily cover all opportunities, risks and constraints (or threats): others may be found in the macro-environment, such as, for example, anticipated policy changes affecting sectors that impact on food security and/or nutrition, trends in foreign trade conditions that affect major exports from, and/or imports to, new technical cooperation agreements with UN or bilateral agencies, high priority afforded to food security by the national government, climate changes that produce more frequent droughts, etc.

5.3 DESCRIPTION OF HUMAN RIGHTS PRINCIPLES AND GOVERNANCE FEATURES

Participation

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

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

Accountability

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

Non-discrimination

Any discrimination in access to food, and in access to means and entitlements to acquire food, on the grounds of race, colour, sex, language, age, religion, political or other opinion, national or social origin, property, birth or other status with the purpose or effect of nullifying or impairing the equal enjoyment or exercise of economic, social and cultural rights constitutes a violation of the ICESCR, the Food and Nutrition Security Policy and the Food and Nutrition Security Bill/Law. Policies, programmes and institutions need to be examined carefully to detect discriminatory practices and outcomes that they may produce when benefiting certain groups at the expense of others.

Strategies to eliminate discrimination in access to food should include: guarantees of full and equal access to economic resources, particularly for women, including the right to inheritance and the ownership of land and other property, credit, natural resources and appropriate technology; measures to respect and protect self-employment and work which provides a remuneration, ensuring a decent living for wage earners and their families; maintaining registries on rights to land.

Transparency

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

Empowerment

Participation and empowerment are closely linked; the latter makes the former meaningful. Empowerment means that an individual has the capacity to make effective choices, and thus is able to effectively translate choices into desired actions and outcomes. The individual's capacity to make effective choices is conditioned by: (i) ability to make meaningful choices, recognizing the existence of options, and (ii) the opportunities that exist in the person's formal and informal environment. Empowerment can either refer to a process: are efforts being made to empower people, or to the outcome of a process: have people been empowered effectively?

Responsiveness

Responsiveness to the needs and established priorities of all those who are to be served by public institutions is another cornerstone of good governance. It implies that public institutions have full knowledge of and understand the needs and priorities of the public to be served, and respond to these to the best of their capacity. It also means that those who are to be provided with public services have a consistent opportunity to making their needs and priorities known to the public authorities, and can enter into dialogue with them about needed changes.

Consensus oriented

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

Inclusiveness

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

Equity

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

This reference guide is addressed to technical officers at district and sub-county level who are involved in preparing Higher and Lower Local Government Development Plans which as mandated must address food and nutrition security as a cross-cutting concern. The guide responds to the capacity needs of the officers who may lack, or be in need to refresh themselves with the necessary tools to prepare well-articulated and justified food and nutrition security plans. It also gives direction on how to meaningfully apply human rights , with specific reference to the right to food, principles at sub-national level.

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