

# METHODS TO MONITOR THE HUMAN RIGHT TO ADEQUATE FOOD

VOLUME II








# **METHODS TO MONITOR THE HUMAN RIGHT TO ADEQUATE FOOD**

**VOLUME II**

An Overview of Approaches and Tools

A decorative graphic consisting of two overlapping wavy lines. The top line is light grey and the bottom line is dark red. They start on the left side and curve downwards and then upwards towards the right side of the page.

**FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS**  
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## Preface

*The right to adequate food is enshrined in the 1948 Universal Declaration of Human Rights and in a number of subsequent international and regional covenants. It has been reaffirmed by world leaders at the World Food Summits in 1996 and 2002 and concrete commitments were made to promote its progressive realization. Since then governments and international civil society organizations have come together, under FAO's leadership, to pledge their renewed commitment to the realization of the right to adequate food. In November 2004, the FAO Council adopted the "Voluntary Guidelines to Support the Progressive Realization of the Right to Adequate Food in the Context of National Food Security" (from here on called **Right to Food Guidelines**), following a two-year long negotiation process, which was marked by active and constructive participation by civil society organizations and the international donor community. The entire process represented the first time that member states have worked together to draft such a document for any one of the economic, social and cultural rights. It represents a milestone in the advancement of basic human rights.*

*The **Right to Food Guidelines** are intended to provide practical guidance and advice to states in establishing priorities and in implementing ways to promote, protect and fulfil the right to adequate food in their own countries. First and foremost, the **Right to Food Guidelines** present a broad normative framework within which this may take place. In practice, an **additional step** is required, that is, transforming their contents into practical tools for: (i) development planning, policy formulation, and programme and project design and implementation, and (ii) monitoring the implementation of all measures and actions that should contribute to the right to adequate food being realized over time for more people.*

*These two volumes of the **Methods to Monitor the Human Right to Adequate Food** contribute to this additional step. These volumes are part of a series of reference guides that the Right to Food Unit has prepared. They aim to be highly practical and to provide the most current and relevant methodological and operational information related to monitoring the right to adequate food. No recipes are presented but instead, methodological options are explained and discussed. Information regarding specific methods are summarised, and references to easily accessed sources of technical and methodological documentation are provided. In most cases, the methods included are already being applied in more general monitoring of food security, nutrition and poverty reduction.*

*Volume I presents a broad framework for monitoring the protection and realization of the right to adequate food, within the broader context of rights-based development. In "making the case" this volume attempts to contribute to a common understanding of what rights-focused monitoring and rights-based monitoring mean. Issues are introduced that will undoubtedly be involved in country-level monitoring of the right to adequate food. An analysis of likely opportunities and constraints can help to put in place*

*strategic approaches. In-country monitoring the right to adequate food also involves institutional issues that need to be considered and addressed, as well as analytical and methodological issues involved in rights-based monitoring. Finally, some hints are provided as to how to go about organizing at country level to implement monitoring the right to adequate food, building on existing monitoring systems.*

*Volume II provides a detailed overview of various methods and approaches relevant to monitoring the right to adequate food. The primary target users of Volume II are expected to be technical staff in public sector institutions and civil society organizations that are responsible for planning and monitoring food security, nutrition, and poverty reduction policy development and programming, and of progress towards the achievement of food security, nutrition and poverty related goals and targets. Volume II is meant to help make their work easier, more efficient and effective.*

*We consider both volumes to be “living” documents, in the sense that it is through in-country application and use that it will be possible to gauge needs to introduce changes and modifications in order to increase their usefulness. We expect these documents to be adapted to specific situations and refined as they are being implemented. We therefore kindly invite users to share with us their experiences with the use of these documents, as well as any comments and suggestions that will allow us to improve the contents, organization and/or presentation of these volumes.*

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*The development and preparation of these two volumes on Methods to Monitor the Human Right to Adequate Food consisted of a participatory process that involved a number of collaborators as well as potential in-country users of these volumes. The process started off as a collaborative effort between the Right to Food Unit at FAO and the International Project on the Right to Food in Development (IPRFD) at the University of Oslo and Akershus University College in Lillestom, Norway. The lead author was Maarten Immink and co-authors were Wenche Barth Eide and Arne Oshaug. Other members of the IPRFD who made important contributions were: Asbjorn Eide, Bard A. Andreassen and Kaia Engesveen.*

*Members of the Right to Food Unit at FAO have made comments and provided important inputs on drafts: Margret Vidar, Frank Mischler, Barbara Ekwall, Mauricio Rosales, Isabella Rae, Dubravka Bojic Bultrini and Lidija Knuth. Gabriele Zanolli undertook the lay-out work. Other colleagues at FAO also reviewed various drafts, and made suggestions for improvements: Mark Smulders, Cristina Lopriore, Ricardo Sibrián, and Julian Thomas.*

*A number of drafts were submitted for comments to experts in food security, nutrition and human rights. The Office of the High Commissioner for Human Rights (OHCHR) in Geneva, and FIAN International in Heidelberg joined the collaboration and provided valuable inputs. Special mention is due of the contributions made by Rajeev Malhotra (OHCHR), and Flavio Valente, Ana Maria Suarez-Franco and Sandra Ratjen (all of FIAN International).*

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## List of acronyms

<b>ABRANDH</b>	Ação Brasileira pela Nutrição e Direitos Humanos
<b>ACC</b>	Administrative Coordinating Committee of the UN
<b>ADMARC</b>	Agricultural Development and Marketing Corporation
<b>AIDS</b>	Acquired Immune Deficiency Syndrome
<b>ANDI</b>	African Nutrition Database Initiative
<b>BF</b>	Breast Feeding
<b>BFHI</b>	Baby Friendly Hospital Initiative
<b>BMI</b>	Body Mass Index
<b>CBO</b>	Community Based Organisation
<b>CESCR</b>	Committee on Economic, Social and Cultural Rights
<b>CEDAW</b>	Convention on the Elimination of All Forms of Discrimination Against Women
<b>CFS</b>	Committee on World Food Security
<b>CFSP</b>	Community Food Security Profile
<b>CONSEA</b>	Conselho Nacional de Segurança Alimentar e Nutricional
<b>CPI</b>	Consumer Price Index
<b>CSO</b>	Civil Society Organisation
<b>CSPD</b>	Child Survival, Protection and Development
<b>DES</b>	Daily Energy Supply
<b>DFID</b>	Department for International Development
<b>ESCR</b>	Economic, Social and Cultural Rights
<b>FAO</b>	Food and Agriculture Organization of the United Nations
<b>FIAN</b>	FoodFirst Information and Action Network
<b>FIV</b>	Food Insecurity and Vulnerability
<b>FIVIMS</b>	Food Insecurity and Vulnerability Information and Mapping Systems
<b>FSL</b>	Food Security-Livelihood
<b>GDP</b>	Gross Domestic Product
<b>GIS</b>	Geo-Referenced Information System
<b>GTZ</b>	Gesellschaft für Zusammenarbeit
<b>HFIAS</b>	Household Food Insecurity Access Scale
<b>HIV</b>	Human Immunodeficiency Virus
<b>HMIS</b>	Health Management Information System
<b>HR</b>	Human Rights
<b>IAT</b>	Inter-Institutional Assessment Team
<b>IBASE</b>	Instituto Brasileiro de Análises Sociais e Econômicas
<b>IBP</b>	International Budget Project
<b>IBSA</b>	Indicators, Benchmarks, Scoping, Assessment
<b>ICESCR</b>	International Covenant on Economic, Social and Cultural Rights
<b>IDASA</b>	Institute for Democracy in South Africa

<b>IDS</b>	Institute for Development Studies
<b>IGA</b>	Information Gap Analysis
<b>IGWG</b>	Inter-Governmental Working Group
<b>INESC</b>	Instituto de Estudos Socioeconômicos
<b>IPEA</b>	Instituto de Pesquisa Econômica Aplicada
<b>IPRFD</b>	International Project on the Right to Food in Development
<b>KIDS</b>	Key Indicator Data System
<b>LSP</b>	Livelihood Support Programme
<b>NGO</b>	Non Governmental Organisation
<b>NORAD</b>	Norwegian Agency for Development Cooperation
<b>OECD</b>	Organisation of Economic Cooperation and Development
<b>OHCHR</b>	Office of the UN High Commissioner for Human Rights
<b>PAT</b>	Programme Assessment Team
<b>PBA</b>	Public Budget Analysis
<b>PPA</b>	Plano Pluri-Anual
<b>PRA</b>	Participatory Rural Assessment
<b>PRSP</b>	Poverty Reduction Strategy Paper
<b>PSDA</b>	Participatory Service Delivery Assessment
<b>PSIA</b>	Poverty and Social Impact Analysis
<b>RCA</b>	Role and Capacity Analysis
<b>RDA</b>	Recommended Daily Allowances
<b>RTFB</b>	Right to Food Budget
<b>SCN</b>	Standing Committee on Nutrition
<b>SFP</b>	School Feeding Programme
<b>SOFI</b>	State of the Food Insecurity in the World
<b>SPFS</b>	Special Programme for Food Security
<b>SWOC</b>	Strengths, Weaknesses, Opportunities and Constraints
<b>UDN</b>	Uganda Debt Network
<b>UN</b>	United Nations
<b>UNDAF</b>	United Nations Development Assistance Framework
<b>UNDP</b>	United Nations Development Programme
<b>UNESCO</b>	United Nations Educational, Scientific and Cultural Organisation
<b>UNHCR</b>	United Nations Office of the High Commissioner for Refugees
<b>UNICEF</b>	United Nations Children's Fund
<b>USAID</b>	US Agency for International Development
<b>VA</b>	Vulnerability Analysis
<b>VDMC</b>	Village Development Monitoring Committee
<b>WB</b>	World Bank
<b>WFP</b>	World Food Programme
<b>WFS</b>	World Food Summit
<b>WHO</b>	World Health Organization
<b>ZSGRP</b>	Zanzibar Strategy for Growth and Reduction of Poverty



# 1. INTRODUCTION

The *Voluntary Guidelines to Support the Progressive Realization of the Right to Adequate Food in the Context of National Food Security* (2005), now known as the Right to Food Guidelines, gave rise to these two volumes on monitoring the right to adequate food at country level. Guideline 17 on Monitoring, Indicators and Benchmarks points to the need to identify and implement monitoring methods that incorporate human rights principles and approaches, while building on existing and ongoing monitoring information systems and activities related to food security and nutrition. Guidelines that relate to institutional aspects of rights-focused monitoring (Guideline 5.2), to stakeholder participation in rights-based monitoring (Guidelines 10.3 and 18.1), and to disaggregated vulnerability analysis for different population groups (Guideline 13.2) are particularly relevant here.

*Volume I*, which you are advised to read, places the right to adequate food within a framework of rights-based development and clarifies a number of concepts. It outlines strategies to monitor the right to adequate food at country level that take account of both opportunities and challenges that may exist. It signals what specific monitoring methods may be applied, and outlines an analytical and methodological agenda as part of implementing monitoring of the right to adequate food, an agenda that is also largely covered in the *Right to Food Guidelines*.

Rights-focused monitoring in general is also discussed in *Volume I*, referring to monitoring *implementation processes* and *outcomes*. A distinction is made between **rights-focused** and **rights-based** monitoring. Rights-focused monitoring means that monitoring focuses on the impacts and implementation of measures related to a right or rights. Monitoring does then apply methods and approaches that allow conclusions regarding progress in realising a right for all, and the protection of that right. Monitoring the realization of the right to adequate food, and the

implementation of measures towards the realization of this right, may itself not be conducted in ways that are consistent with human rights principles. Rights-based monitoring refers then to the monitoring process itself being conducted in ways that are consistent with human rights principles.

#### **BOX 1.1 - Rights-Focused Monitoring of Outcomes and Processes means monitoring...**

- *to determine whether the impacts of policy measures and state actions are consistent with the progressive realization of human rights,*
- *to assess over time whether or not human rights have increasingly been respected and protected, and are progressively being fulfilled in practice, and*
- *the decisions, actions, and conduct of political, economic, social and institutional systems and actors that are expected to contribute to the realization of rights.*

#### **BOX 1.2 - Rights-Based Monitoring means monitoring...**

*continuously the monitoring process itself to see if it is **rights compliant**, i.e. is conducted in ways that are consistent with human rights principles and approaches.*

In setting the stage for the following discussion of various monitoring methods, the guidance on monitoring that is included in the *Right to Food Guidelines* bears repeating<sup>1</sup>. Monitoring the right to adequate food should:

- Build on ongoing in-country monitoring activities related to food security, nutrition, poverty and socio-economic development, making maximum use of available information and filling information gaps to adequately monitor the right to adequate food.
- Incorporate human rights principles and approaches through appropriate analysis and dissemination methods.
- Implement and conduct a monitoring process that is itself, whenever feasible, rights-based, i.e. participatory and empowering, and is designed to provide valid and transparent information that allows drawing clear conclusions about progress with respect to the realization of the right to adequate food.
- Meet the information needs of the primary duty bearers and non-state actors with responsibilities for implementing measures for the realization of the right to adequate food, and for the protection of that right and other human rights.

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<sup>1</sup> See Annex 1 of both volumes for conceptual definitions of key human rights principles.

- Make the monitoring information directly accessible to rights holders and to their representatives, so that they understand their rights, and can effectively monitor progress with the realization of the right to adequate food holding, if necessary, duty bearers accountable for poor performance, unlawful conduct and/or inefficient use of public resources.

The overriding questions that are addressed here are: What to monitor, and how to do it? A coherent framework is laid out in the next chapter that brings together all the relevant aspects related to monitoring the right to adequate food. This framework serves to identify a set of monitoring questions and helps to define needed monitoring information and possible monitoring indicators, as well as which analytical methods are the most relevant for monitoring the right to adequate food in finding answers to the monitoring questions. Thus, the methods and approaches described in this volume are selected because they are considered to be the most relevant for in-country monitoring practitioners who are tasked to generate, analyse and interpret, and disseminate monitoring information related to one or more aspects of the right to adequate food. Moreover, these methods are quite widely used, are generally well documented, and the results they generate can be interpreted from a human rights perspective. An exhaustive description of each method is beyond the scope and intent of this volume. Rather, an effort has been made to provide a synthesis of what the method consists of, and demonstrate the application of the method within a human rights framework, focused on monitoring the right to adequate food. Some of the methods can easily be adapted to monitor other economic, social or cultural rights, such as the right to health, the right to education, etc. Where possible, the actual application of the method is demonstrated by presenting country examples. General constraints that may be encountered in applying the method and the types of monitoring information that each method typically generates are also discussed. Relevant reference sources for each method are listed that the user of this volume may consult for more detailed technical and methodological guidance. Efforts have been made to include reference sources that are easily accessible, although this was not always possible since some of the topics covered in this volume are rather new. In order to avoid duplication, different techniques of gathering information are discussed in a separate chapter, and then linked to the various analytical methods. Dissemination of information is an essential component of the monitoring process, and various dissemination tools and uses of monitoring information of the right to adequate food are discussed in the last chapter, with additional details provided in two separate annexes.

#### **REFERENCE SOURCE:**

- ❖ FAO (2005). *Voluntary Guidelines to Support the Progressive Realization of the Right to Adequate Food in the Context of National Food Security*, Rome.

## 2. A MONITORING FRAMEWORK FOR THE RIGHT TO ADEQUATE FOOD

A monitoring framework for the right to adequate food can be built up from three components that distinguish this monitoring framework from more conventional frameworks. These three components are<sup>2</sup>:

- core content of the right to adequate food;
- state obligations; and
- human rights principles.

We shall briefly describe each component separately, and show how they fit into a more comprehensive framework that may provide guidance on how to monitor the right to adequate food, and what to focus on from a human rights' perspective.

### CORE CONTENT OF THE RIGHT TO ADEQUATE FOOD

#### From food security to the right to adequate food

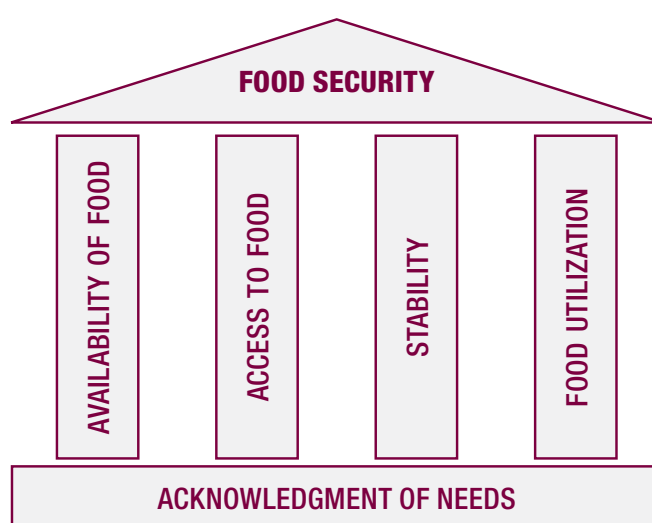
The right to adequate food builds on the concept of food security and expands on it. This can best be seen by considering what is called: the *core content of the right to adequate food*. The right to adequate food places greater emphasis

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<sup>2</sup> Readers are urged to read volume I and to consult Annex 1 of both volumes for further elaborations of these concepts. The three components of this framework are laid out in General Comment 12 of the UN Committee on Economic, Social and Cultural Rights.



on individual human beings rather than on the general term of “all people”<sup>3</sup>. The substantive attributes of the right to adequate food are basically the same as those of food security, which is defined by FAO as having four pillars: food availability, food access, stability in food availability and access, and the biological utilization of food. Food security is a technical concept and is needs-based. As we will elaborate further below, the rights-based approach broadens the scope of the food security concept, making the acknowledgement of human rights and the realization of the right to adequate food its prime objective.



The implications for monitoring the right to adequate food are based on operational definitions of the components of the right to adequate food. The core content is the main construct involved in rights-focused monitoring. It provides content to the questions related to whether or not the right to adequate food is increasingly being respected and protected, and is progressively being fulfilled in practice.

The main components of the core content of the right to adequate food are:

- The availability of food in quantities and quality sufficient to satisfy the dietary needs of individuals, free from adverse substances, and acceptable within a given culture.

*Dietary needs* implies that the diet as a whole contains a mix of sufficient nutrients for physical and mental growth, development and maintenance of the body, and physical activity that are in compliance with human physiological needs at all stages throughout the life cycle and according to gender and

<sup>3</sup> It thus transforms the food security elements into a definition of an individual right: “The right to adequate food is realized when every man, woman and child, alone or in community with others, has physical and economic access at all times to adequate food or means for its procurement” (General Comment 12, CESCR). See also Barth Eide (2005).

occupation. *Free from adverse substances* sets requirements for food safety<sup>4</sup> and for a range of protective measures by both public and private means to prevent contamination of foodstuffs through adulteration, poor environmental hygiene, and/or inappropriate handling at different stages of the food chain. *Cultural or consumer acceptability* implies the need also to take into account perceived non-nutrient based values attached to food and food consumption, and to informed consumer concerns about available foods.

A further word on *adequacy*. Adequacy introduces fundamentally a conceptual and practical difference for monitoring the *right* to adequate food, as compared to more conventional monitoring frameworks of food security. The latter often involves measurements of average energy supply or *calorie equivalents*, which measure little about people's right to eat in terms of dietary patterns and meals that form part of their food culture. Food safety issues constitute an intrinsic part of rights-focused food security assessments and monitoring.

The concept of adequacy as an inherent dimension of the right moves the right to adequate food into the domain of 'nutrition'<sup>5</sup>. This refers thus to the fourth pillar in the usual definition of food security. Adequate nutrition is at times used as the ultimate *end point* of the processes of acquiring and consuming food, i.e. the nutritional status of the human being. It is also used as the overarching concept to describe the conditions that converge to determine the nutrition situation in a country, region or community. Nutrition encompasses more than food intake, food behaviour and the effects of food policies, as the nutritional status of the human being is also influenced by her or his health status and by general health conditions conditions, as well as by the degree of care provided to those who are unable to feed themselves due to age or physical condition.

*Availability* of food also includes "the possibilities either for feeding oneself directly from productive land or other natural resources, or for well functioning distribution, processing and market systems" that can "move food from the site of production to where it is needed in accordance with demand". Monitoring must therefore explicitly measure the various forms of food procurement and of 'feeding oneself' and the results must be analysed within the context of adequacy.

- Access to adequate, safe and culturally acceptable foods in ways that are sustainable and that do not interfere with the enjoyment of other human rights.

*Economic accessibility* implies that food costs for an adequate diet should not threaten or compromise other basic needs. Economic accessibility applies to any acquisition pattern or entitlement through which people obtain food and is a measure of the extent to which it is satisfactory for the enjoyment of the right to adequate food. *Physical accessibility* implies that adequate food

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4 Food safety is addressed in *Right to Food Guideline 9*.

5 There is no direct provision in the ICESCR for 'the right to nutrition'.

must be accessible to everyone, including physically vulnerable individuals, such as infants and young children, elderly people, the physically disabled, for persons with persistent medical problems, including the mentally ill. Victims of natural disasters, people living in disaster-prone areas and other specially disadvantaged groups may need special attention and sometimes priority consideration with respect to access to food.

- Long-term stability in food availability and access implies ecologically sustainable food availability, and economically and socially sustainable food access.

Sustainability refers to long-term and stable food availability and access, and implies that adequate food is available and accessible for present as well as future generations<sup>6</sup>. A direct link is established between ecological, economic and social conditions that represent a threat in the long-run to food supplies and food access. This brings into focus the need for sector policies that adequately address such vulnerability risk factors in the both the short- and long run.

The core content thus provides the normative attributes of the right to adequate food, i.e. what must be true in order for the right to adequate food to be realized. In reality actual conditions are likely to fall short of meeting all elements of the core content. A comprehensive analysis will be required of the reasons why actual conditions fall short. Practitioners should have at their disposal a reasonable set of methods that allows them to generate monitoring information that covers all attributes of the core content. Appropriate indicators for each attribute need to be identified or developed. For example, at the immediate level of this framework, information about actual food intake by different groups is obtained by means of one or more dietary assessment methods (see Annex 3 of this volume).

## STATE OBLIGATIONS

### The right to food matrix: a systematic normative approach

The “right to food matrix” was first used as a frame of thinking about how to operationalise state obligations for various economic, social and cultural rights<sup>7</sup>. The matrix links the categories of state obligations of *respect*, *protect* and *fulfil* (*facilitate* and *provide*) to the normative core content of the right to adequate food. Thus, the matrix permits a systematic operationalisation of the core content, in the form of a set of attributes of the right to adequate food (as derived from the composite concept of food security), as well as the actual state obligations at the different levels by identifying – in the cells of the matrix – specific policy and programme measures and other actions to help realize the right to adequate food.

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<sup>6</sup> Recognised in General Comment 12.

<sup>7</sup> Eide et al., 1991 ; Oshaug et al, 1994.

The matrix can be used as a framework to guide collective thinking of on the kind of policies and measures that will help realise the right to adequate food, and what structural, process and outcome indicators should be constructed for rights-focused monitoring. It can also serve to identify existing policies and activities and make this the point of departure for selecting and prioritising indicators, and conducting rights-focused analysis and monitoring of policies and programmes and of their impacts on the realization of the right to adequate food. We return to this point below.

**FIGURE 1: The Right to Food Matrix<sup>8</sup>**

Normative Principles (FS Attributes)		FOOD SECURITY				
		ADEQUATE FOOD			SUSTAINABLE SUPPLY OF ADEQUATE FOOD	STABLE ACCESS TO ADEQUATE FOOD
		Dietary adequacy (Quantity, Nutritional Quality)	Safe for human beings to eat	Culturally acceptable	Environmentally and economically sustainable food systems	Physical and economic access to food within the household's livelihood
Categories of State Obligations						
<b>RESPECT</b>						
<b>PROTECT</b>						
<b>FULFIL</b>	<b>Facilitate</b>					
	<b>Provide</b>					

## HUMAN RIGHTS PRINCIPLES

Human rights principles are discussed in some detail in volume I and in Annex 1 of that volume. The reader is advised to review these principles again, in case

<sup>8</sup> Adapted from Oshaug et al (1994).

necessary. We shall here briefly indicate how these principles relate to the above framework and to its contents, that is, the policies, programmes and other state actions that fall under the different levels of state obligations and relate to the various components of the core content of the right to adequate food. The principles are involved in both the outcomes and implementation processes of policies, programmes and state actions, and provide a normative basis on which to assess and monitor their outcomes and ways of implementing them.

Briefly, **equity** demands that the outcomes/benefits are equitably distributed, i.e. in accordance with relative needs of different people or groups. Those who have greater needs should receive a greater share of the total benefits. **Equality** means that all who are eligible participate on an equal basis and that no one is excluded on any ground or otherwise is discriminated against. State actions should not discriminate and should afford everyone equal treatment.

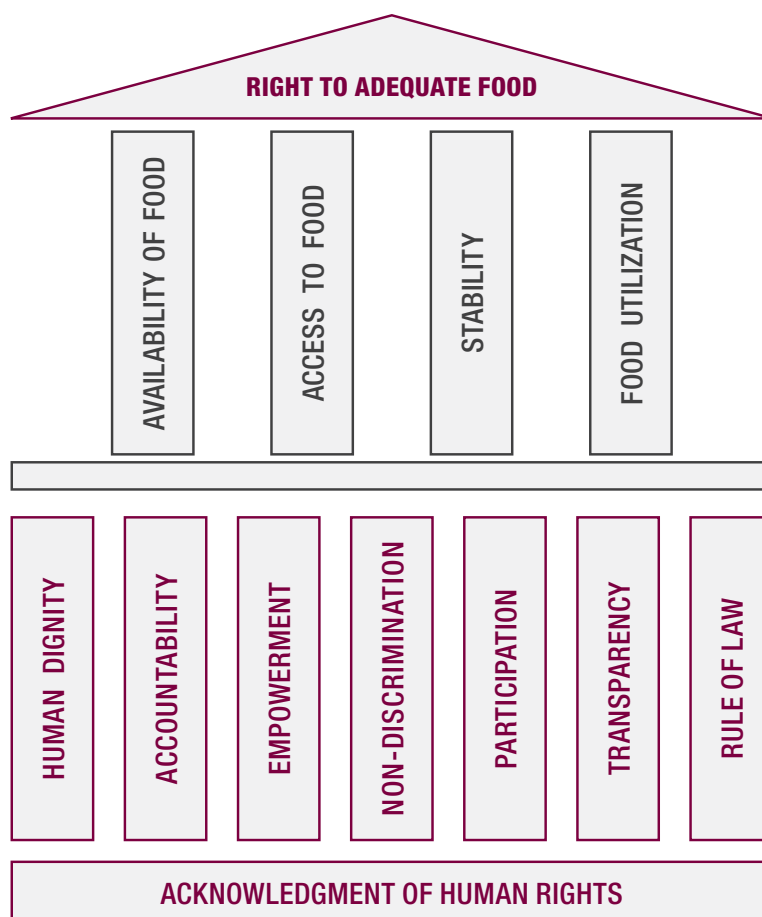
### Checklist of Human Rights Principles

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- EQUITY
- EQUALITY AND NON-DISCRIMINATION
- TRANSPARENCY
- ACCOUNTABILITY
- RULE OF LAW
- HUMAN DIGNITY
- PARTICIPATION AND INCLUSION
- EMPOWERMENT
- RECOURSE MECHANISMS

Decision-making should be a **transparent** process, with decisions open to anyone to examine, and management of resources should be in accordance with rules and regulations known and understood by all. Those who have specific public responsibilities should be held **accountable** if their performance is not in line with those responsibilities in such areas as delivery of public services, administration of public resources, or protection of human rights. All policies, programmes and other state actions should be in full compliance with the **rules of law**, which apply to everyone irrespective of position or status. Total respect for **human dignity** should be afforded to any action that is implemented, and in effect should be promoted. All implementation processes should be **participatory** and **inclusive**, meaning that rights holders or their representatives participate in well-informed ways in formulation, implementation and monitoring of policies and programmes, and are fully consulted in formulating other state actions. Participatory and

consultative processes should be **empowering**, by contributing to rights holders' understanding of relevant issues, and to their capacity for self-determination. They should enable them to effectively participate as equal partners in decision-making.



Lastly, rights holders, individually or as a group, who feel that a right has been violated as a result of State action, should have access to the means of seeking **recourse** and, if justified, the violation should be undone.

Recourse means can consist of judicial, quasi-judicial or administrative claim mechanisms, or some other way of claiming a right (depending on what right is involved – the right to adequate food in many countries can often not be claimed by judicial means).

## APPLYING THE RIGHT TO FOOD MONITORING FRAMEWORK

To recapitulate, using the framework as a guide, the following should be the object of rights-focused monitoring of the right to adequate food:

- The core content of the right to adequate food, and its various components.
- Policies, programmes, and other government actions.
- Legal and institutional factors that condition the impacts of policies, programmes and government actions, the way these are formulated and implemented, as well as the way state obligations are fulfilled (or not).
- Public resources allocated to implement policies, programmes and other government actions, including how budget allocations impact on the legal and institutional environment of the right to adequate food.

#### EXAMPLE 1:

*A high level government delegation has just returned from an international conference on the right to adequate food. Members of the executive and legislative branches of government publicly re-affirm the government's commitment to the progressive realization of the right to adequate food, and to the state's international obligations to the right to adequate food as a signatory party to the ICESCR and other international agreements.*

A few hypothetical examples may help to demonstrate and clarify. In **Example 1** monitoring should focus, in the first place, on the overall achievement over time in improving the various components of the core content of the right to adequate food, particularly among food insecure and vulnerable population groups. However, measurable changes may not be apparent in the short-run.

What may be more apparent is whether the government puts into place measures that are in line with the various categories of state obligations towards the right to adequate food, or introduces changes in existing measures. For example, new norms and standards may be introduced to protect consumers from harmful foods, thus improving access to safe foods (protection obligation).

New programmes are formulated and implemented to improve crop productivity among subsistence farmers in isolated areas (facilitation obligation). The nutrient content of food rations supplied to internally displaced populations in camps is improved and measures are put in place for the timely delivery of food rations (provision obligation). The ways by which these measures are implemented by government should not encroach on any human right (respect obligation).

**EXAMPLE 2:**

*A newly formulated food security policy has as one of its objectives to increase access to food by resource-poor urban and rural households by means of increased household purchasing power. A number of high priority policy measures are identified in the policy to achieve this objective. These policy measures include: small scale enterprise development, micro-finance programmes, vocational training, and special employment programmes for people who are physically challenged, women and for persons living with HIV/AIDS.*

Monitoring in **Example 2** is more narrowly focused on a food security policy and its impact over time. The impact of the policy is measured against its objectives, in this case, increased food access among poor urban and rural households. If the underlying logic of the policy is correct, then: (a) low household purchasing power is a main constraint for food access in this population, and (b) the policy measures to be implemented should result in greater household purchasing power. The policy primarily corresponds to the state's obligation to facilitate. What to monitor in this case? Rights-focused monitoring should focus on monitoring:

- The formulation and implementation processes of programmes or policies, to examine whether these comply with human rights principles, and if not, to propose remedial actions.
- The impact of policy measures on the household purchasing power in the target groups of poor urban and rural households.
- Food access by these households, as one component of the core content of the right to adequate food.

The monitoring information could be expanded, of course, to measure changes in other components of the core content, such as, improved intake of safe and more nutritious foods, even if this was not an explicit objective of the policy<sup>9</sup>.

**EXAMPLE 3:**

*The population of a large rural area is to be re-settled to make room for a new airport facility. The people have not been consulted about this, and just have been informed of these impending plans. Most people are subsistence farmers who depend for a large share of household food supplies on their own-grown crops. Child malnutrition is highly prevalent in this population. Plans are to establish small industries close to the re-settlement villages to create employment, as crop production in the re-settlement areas is not possible.*

<sup>9</sup> One measurement problem that relates to policy impact analysis is the attribution problem that is discussed in chapter 5.



**Example 3** represents a case in which rights-focused monitoring can potentially make a significant contribution to turning this into a positive human rights experience, by safeguarding people's enjoyment of their right to adequate food. The re-settlement plans, if implemented, may represent a threat to people's livelihood, may make people more vulnerable to food insecurity, and children more vulnerable to malnutrition, among other things. So far it represents a failure on the part of the State (or the authority that decided on the re-settlement plans) to respect people's right to self-determination and participation, and to protect people's right to adequate food (and possibly other ESCR).

The process should start off with an assessment of the current situation *before* the re-settlement plans are put into effect. The assessment or situation analysis should focus on: (a) livelihood conditions of the to-be-resettled population, (b) the various components of the core content of the right to adequate food, (c) factors that introduce vulnerability in livelihoods and food security, (d) institutional aspects and the process by which decisions were made by relevant institutions as well as their capacity to implement the plan, and (e) the details of the re-settlement plan.

Rights-based assessment and monitoring means participation by the people or their representatives, and full access to the assessment information, which should allow the people to make their own assessment and make counter-proposals to the re-settlement plan. The pre-settlement assessments serve as information against which to monitor what happens to the population and the institutions involved, if and when the re-settlement plan is implemented and beyond.

Assuming that the re-settlement plan is implemented, as originally designed or is modified as a result of people's counter-proposals, monitoring should be undertaken in participatory, empowering and transparent ways and focus on, among other things:

- implementation processes of the employment creation programmes: to examine if these processes are rights-based; re-settled people's participation in these programmes, and the benefits that they provide; are the modifications in the re-settlement plan that were agreed upon between the people and the government institutions really implemented?
- re-settled households' access to safe and nutritious food, including by young children, and food intake patterns evaluated against cultural food preferences.
- the capacity of the institutions that implement the re-settlement plan and of the employment creation programmes.
- the conduct of government officials: implementation of actions designed to better respect and protect people's rights.

The three examples together indicate what is to be monitored, what analytical methods need to be applied in rights-focused monitoring of the right to adequate food, and what indicators need to be defined. Chapters 4 through 6 provide an overview of these methods, while chapter 3 deals with the issue of indicators.

## THE RIGHT TO FOOD GUIDELINES AS A MONITORING FRAMEWORK

A new monitoring tool has recently been developed, specifically for use by non-governmental organizations<sup>10</sup>. The tool is structured around the *Right to Food Guidelines*. For each guideline in the VG, a checklist of questions is provided in the tool. Depending on the contents of the guideline, guidance on possible indicators with which to record responses is also provided. The tool was designed as a means for non-governmental organizations to monitor the implementation and outcomes of the measures and state actions promoted in the various guidelines. Thus, many of the questions relate to fullfilment or non-fullfilment of state actions, and responses can easily be converted into yes/no indicators.

The contents of the guidelines cover structures, processes and outcomes. Thus, responses can appropriately be converted into structural, process or outcomes indicators (see next chapter). By way of examples, small parts of the tool are excerpted below (Box). The tool was validated with groups of end users in a number of countries before being finalised.

Once the tool has been applied, the information it generates can be used for the following purposes by non-governmental organizations:

- Establish dialogue with state officials for the purpose of promoting changes in public policies and/or in government structures, and getting new actions implemented to address problems that involve the right to adequate food.
- Call general attention to state performance and actions in promoting the right to adequate food, and in relation to respecting, protecting and facilitating the right to adequate food.
- Prepare reports with respect to specific violations of the right to adequate food and to demand from government redress for those violations.
- Prepare periodic reports (“shadow reports”) for presentation to international human rights bodies, such as the UN Committee on Economic, Social and Cultural Rights (see Chapter 9 and Annex 6).

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<sup>10</sup> FIAN International (2007).

**BOX 2.1 - Selected Excerpts from the FIAN Monitoring Tool****Guideline 5: Institutions**

- *Does the state have competent and efficient institutions specifically designed to implement the right to food?*
  - i. *Do these institutions have a mandate to promote, mainstream or monitor the implementation of the right to adequate food within the administrative and governmental framework and within society as a whole?*
- *How do the institutions carry out their responsibilities with regard to the right to food?*
  - i. *Are there complaint mechanisms in place in order to challenge administrative decisions that have a bearing on the right to food? Are these effective and accessible?*

**Guideline 9: Food safety and consumer protection**

- *Are there legal regulations available on consumer protection?*
  - i. *Are there constitutional, legal regulations or administrative acts on consumer protection?*
  - ii. *Are these in accordance with the human rights principles of adequacy, availability and accessibility?*
- *Are there institutions in charge of supervising the quality of food (in the processes of production, storage, distribution and marketing, and consumer protection)?*
  - i. *Do these institutions have competence to control food quality, in order to confirm food safety, and to control prices and marketing conditions in order to protect and enable access to food?*
  - ii. *Do these institutions control the food distributed among the most vulnerable groups through food networks and do they guarantee transparency?*

**Guideline 14: Safety nets**

- *Are there food security networks enshrined in the legal system or in public policies?*
  - i. *What provisions or programmes regulate these networks?*
  - ii. *Are there human, administrative and financial resources in place to ensure the effective functioning?*
  - iii. *Are they really addressing the most needy population groups?*
- *What percent of the population threatened by hunger and malnutrition is in fact covered by adequate safety nets (social assistance, social transfers)?*
- *What share of GNP is allocated to social transfers that secure a minimum food consumption for all?*



**BOX 2.1 - Selected Excerpts from the FIAN Monitoring Tool - Cont.****Guideline 15: International food aid**

- *Are there national regulations establishing criteria for the use of food aid?*
  - i. *Are there competent institutions to specifically evaluate international food aid?*
  - ii. *Does the state have a policy which foresees measures to prevent food aid from destroying national production or creating dependency on the domestic markets?*
  - iii. *Are there mechanisms to ensure that food aid reaches those needing it and does not get lost in the domestic market?*
- *Are there national programmes for food control and distribution of food aid resources control according to human rights principles?*
  - i. *Are international food aid programmes transparent and do they use an accountability system?*
  - ii. *Are programmes non-discriminatory for the target population?*
  - iii. *Do programmes take into consideration the vulnerable conditions of the groups receiving aid, meet their nutritional needs and comply with the food habits of the groups?*

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### 3.

## INDICATORS TO MEASURE THE PROGRESSIVE REALIZATION OF THE RIGHT TO ADEQUATE FOOD

The selection of indicators depends first of all on what is being monitored, as indicated by the different reasons why rights-focused monitoring is conducted, as mentioned in volume I and chapter 1 of this volume. Each method of assessment, analysis and monitoring assumes that the answer to what to assess, analyse and monitor is known, and thus indicators to be used will vary accordingly.

Three classes of indicators are currently identified in relation to what to monitor: *structural (or contextual) indicators*, *process indicators* and *outcome indicators*. In the following discussion of methodological approaches and tools, it will become clear how these classes of indicators relate to what is to be measured.

*Structural indicators* are used in right-to-adequate-food assessments and in programme assessment and monitoring. These indicators measure different dimensions of legal, regulatory, institutional frameworks and socio-economic development priorities, and poverty reduction strategies and policies that bear on the implementation of policy measures, and condition the outcomes of those measures. Prime examples with relevance to the right to adequate food are:

- Legal access to land by women.
- Food safety laws.
- Existence and effectiveness of consumer protection agencies.

- Mandate of human rights institutions.
- Employment.
- Domestic trade and taxation policies.
- Priorities afforded to the most needy in development strategies.

Structural indicators may not be specific to any one human right and may equally be relevant to the realization of all economic, social and cultural rights.

*Process indicators* capture different dimensions of the design and implementation processes of policy measures and programmes. Examples of measures relevant to the right to adequate food may include: land reform, micro-credit programmes, provision of safe water, transfer of agricultural technology to small farmers, income generation programmes for the urban poor, food-for-work for displaced populations, community-based health care, targeted food price subsidies, etc.

In programme assessment and monitoring, process indicators should provide information that identifies the need for corrective policy, legal, administrative and/or operational measures to improve the programme implementation process, and bring it in line with human rights principles and approaches. These indicators are also sometimes referred to as *indicators of conduct*, in that they are indicative of the behaviour and performance of duty bearers in meeting their respective responsibilities. Process indicators can be constructed that measure answers to such questions as:

- How well are specific population groups among the food insecure and vulnerable targeted by government measures?
- Are there mechanisms that can effectively hold officials with specific responsibilities accountable for non-delivery or inadequate delivery of public services, or for inefficient or illegal use of public resources?
- Are eligibility criteria for programme benefits discriminatory, or are they applied in practice in discriminatory ways?
- How do rights holders participate in decision-making regarding programme design and implementation? Are rights holders seriously listened to, and are programmes being designed or altered in practice as a result of genuine consultations with the right holders or their representatives?
- How are public resources allocated to social programmes that are to benefit the poor? Are those resources spent efficiently? Are social services provided as welfare assistance or as programmes that aim to fulfil human rights?

- Do the institutions with direct responsibilities for the implementation of policy measures or programmes have adequate capacity to fulfil those responsibilities?
- Are certain programmes effective in protecting the right to adequate food?

*Outcome indicators* monitor, in conjunction with targets and benchmarks, progress with respect to the realization of the right to adequate food, and help to provide alerts when progress is not reaching targets. This class of indicator is also referred to as *indicators of results*. But if monitoring is limited to outcome indicators without linking these to process and structural indicators, there will be no information about what remedial actions are needed to speed up progress. In line with different levels of rights-focused monitoring, outcome indicators should measure the results of policy measures designed to contribute to the realization of the right to adequate food, in line with their stated objectives.

The above classification of indicators is not precise. It is important to note that a process indicator in one type of monitoring exercise may also be an outcome indicator in another monitoring effort. For example, the outcome of an agricultural extension programme may be ‘enhanced productivity among small-holder farmers in food crop production’. The same programme outcome becomes a process indicator with respect to the realisation of the right to adequate food, i.e. it measures how well the agricultural extension service is performing *towards* the realization of the right to adequate food.

## INDICATOR SELECTION

There are two ways of selecting indicators. One is to make an inventory of ‘candidate indicators’ that are already being produced as part of ongoing monitoring activities. Then to assess the relevance of these indicators in relation to the rights-based monitoring framework and determine the need to construct new indicators in accordance with human rights principles and approaches. This forms part of an assessment of existing information systems and current indicator gap analyses which should help identify what additional indicators are needed (see chapter 7).

Another approach is to start from the basis of a theoretical/normative framework for what ought to be monitored that is relevant to the right to adequate food.

This section presents and briefly discusses the first approach, starting with a set of guiding human rights principles and methodological and statistical considerations that helps in the selection of indicators among the many available in current inventories. An overview of inventories is given in the subsequent section.



The final section describes the second approach, based on a logically constructed framework combining the relevant rights attributes with the nature and categories of obligations to implement policy or programmatic measures in the context of food security.

It should be possible to combine both approaches. However, here is little practical experience available with applying either of the two or their combination in right to food monitoring, and field trials and testing is urgently needed.

## GUIDING CRITERIA FOR INDICATOR SELECTION

There are two types of criteria to guide the development of indicators: (i) practical criteria that reflect human rights principles and approaches, and (ii) technical or statistical criteria.

### Criteria reflecting human rights principles

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- ACTION FOLLOW-UP:**  
 The information provided by the indicator should contribute to the formulation of action and to better informed decision-making by either duty-bearers or rights-holders.
- USER FRIENDLY:**  
 The indicator should provide clear and transparent information that the intended users can understand and that allows the users to draw their own conclusions.
- STATE OBLIGATIONS AND CORE CONTENT:**  
 The monitoring framework should include process and outcome indicators that capture the State obligations of respect, protect, facilitate and provide, as well as the core content of the right to adequate food.
- CAPABLE OF BEING DECOMPOSED:**  
 Both process and outcome indicators should be capable of being decomposed across specific population groups and/or by geographic areas. This is essential as it will help to detect discriminatory practices in the implementation process of right-to-food and other measures, examine how the outcomes of policy or programme measures impact on the realization of the right to adequate food in different population groups, or whether intended beneficiaries are indeed receiving the benefits of specific food security and nutrition programmes.
- GENERAL APPLICATION:**  
 The indicator should be generally relevant but “sensitive” to different social and cultural interpretations.

## Statistical considerations

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- ✓ **MEASUREMENT OF CHANGE:**  
Monitoring is about measuring change over time. The indicator should be capable of measuring inter-temporal differences with a minimum of random measurement errors, and if possible, a minimum of systematic measurement errors.
- ✓ **DISAGGREGATION:**  
The indicator has to be equally valid for all categories or classes involved in a disaggregated analysis. This is important to make valid comparisons across different population groups or different locations.
- ✓ **EASE OF CONSTRUCTION:**  
The data needed to construct the indicator should be generated, when possible, by simple measurement techniques and require a minimum of transformations. Simple measurement techniques open up more opportunities for participation in monitoring activities, while lowering costs.
- ✓ **SPECIFICITY AND VALIDITY:**  
The indicator should be specific to a given phenomenon, thus avoiding different interpretations. The indicator should also be a valid or a true representation of a given phenomenon.

*What defines an indicator as a human rights indicator?*

It has been suggested that a human rights indicator<sup>11</sup>:

- provides information that is presented in quantitative form and that is directly linked to human rights norms and standards;
- reflects human rights concerns and principles, and
- assesses and monitors promotion and protection of human rights.

This means that certain indicators can explicitly be constructed as ‘human rights indicators’. Other existing or to-be-developed indicators (such as food security, socio-economic and human development indicators) should meet all or some of the requirements of a human rights indicator as defined above. However, it can be debated whether human rights indicators should only be presented in quantitative form. Simple indicators, for example of the yes/no type, can still meet the other criteria of a human rights indicator. The process of indicator selection and application should be rights-based, i.e. the process should be highly consultative, continuously involving different stakeholders, particularly those who are expected to have the responsibility to act upon the monitoring results and conclusions<sup>12</sup>. This enhances transparency and stakeholder ownership. A particular suite of

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<sup>11</sup> Malhotra and Fasel (2005).

<sup>12</sup> For example, see Andreassen and Sano (2004).

indicators that has been agreed upon should periodically be reviewed, and updated if needed, in direct consultation with rights holders or their representatives.

## INDICATOR INVENTORIES RELEVANT TO THE RIGHT TO ADEQUATE FOOD

This section describes some existing and proposed indicator inventories. Indicator inventories need to be linked up with database inventories. A number of relevant database inventories are presented in Annex 2. There is considerable discussion and on-going research on defining lists of rights-based indicators and providing a rationale for the inclusion of certain indicators. Consultating these lists may provide guidance to monitoring teams in selecting indicators for in-country monitoring. Adoption of indicators should be based on careful analysis of purpose, information availability, technical capacity, etc. as also discussed in volume I. It is beyond the scope of this chapter to deal extensively with indicator selection to monitor policy and programme impacts and implementation. Examples of indicators have been included in the following chapters that may be adopted as they relate to different aspects of rights-focused monitoring. Lastly, only a few of the indicator inventories that are currently being developed are designed to monitor the realization of the right to adequate food, most being geared towards monitoring food insecurity and malnutrition.

### FAO Committee on World Food Security

The list of proposed core indicators was developed to monitor outcomes at country level related to the 1996 World Food Summit goals. Some of these indicators are routinely used in the annual publication of FAO - *The State of Food Insecurity in the World*, which, depending on the theme or topic, also relies on country level data from other sources and makes it possible to undertake inter-country comparisons. The process by which the proposed list was assembled included compiling lists of indicators used by other international initiatives (FIVIMS, ANDI, OECD and UNDAF) and the examination of which indicators two or more had in common, to point to an inter-agency consensus. These were organized into two broad domains, each divided into a number of sub-domains, as follows:

- Food security and nutrition outcomes:
  - i. Food consumption status;
  - ii. Health status;
  - iii. Nutritional status.
- Outcome indicators for vulnerability:
  - i. Demographic conditions;

- ii. Environmental conditions;
- iii. Economic conditions;
- iv. Political conditions;
- v. Socio-Cultural conditions;
- vi. Risks, hazards, shocks;
- vii. Food availability;
- viii. Food access;
- ix. Stability of food supplies and access;
- x. Household characteristics;
- xi. Health and sanitation;
- xii. Care and feeding practices.

The above sub-domains generated a long list of indicators. To come to a proposal of core indicators to monitor the WFS goals, the following seven indicators were finally proposed:

- Food consumption status:
  - i. Average per person daily energy supply (DES);
  - ii. Energy from cereals, roots and tubers as percent of DES;
  - iii. Percent of population who are undernourished.
- Health status:
  - i. Life expectancy at birth;
  - ii. Under-five mortality rate.
- Nutritional status:
  - i. Proportion of under-five children who are underweight;
  - ii. Percent of adults with body mass index (BMI) < 18.5 kg/height in metres squared.

In-country indicator working groups may want to consult this list to examine whether any of the indicators may be appropriate to include in a national list of indicators to be applied in monitoring the realization of the right to adequate food.

## Office of the UN High Commissioner for Human Rights (OHCHR)

Guidelines were drafted by the OHCHR to strengthen the human rights underpinnings of poverty reduction strategies and to assist countries with the implementation of PRSPs applying human rights principles and approaches (OHCHR, 2002). Relying on General Comment 12, adopted by the Committee on Economic, Social and Cultural Rights (CESCR) in 1999, the core content of the right to adequate food is translated into five key targets.

### BOX 3.1 - Indicators for Core Content of the Right to Adequate Food

#### Target 1: All people to be free from chronic hunger

*Indicators:*

- *Proportion of people with inadequate intake of dietary energy.*
- *Proportion of adults and adolescents with low body mass.*
- *Proportion of underweight among under-five children.*

#### Target 2: Eliminate gender inequality in access to food

*Indicators:*

- *Proportion of males and females with inadequate intake of dietary energy.*
- *Proportion of male and female adults and adolescents with low body mass.*
- *Proportion of underweight boys and girls.*

#### Target 3: All people to be free from food insecurity

*Indicators:*

- *Proportion of households not able to have two square meals regularly.*
- *Proportion of household expenditures on food (out of total income).*
- *Variability of prices of staple foods.*

#### Target 4: All people to have access to food of adequate nutritional value

*Indicators:*

- *Proportion of poor people with inadequate intake of protein.*
- *Proportion of poor people with inadequate intake of micronutrients.*

#### Target 5: All people to have access to safe food

*Indicators:*

- *Proportion of poor people vulnerable to consumption of unsafe food.*
- *Proportion of people exposed to public information and education campaigns (including school instruction) regarding nutrition and food safety.*

Source: OHCHR (2002)

Achievement of these targets is to be monitored using a total of 13 indicators. The proposed indicators by key target are presented above (Box). The indicators proposed for Targets 1 and 2 are the same, except broken down by gender in the case of Target 2 indicators. There is considerable overlap between this list of indicators and those proposed elsewhere. Indicators that measure variability in market prices, need to be operationalised further, such as the current deviation from the seasonally adjusted time trend in prices. The indicators can also be further disaggregated by region, urban-rural, etc.

In response to a recent request from the inter-committee of human rights treaty bodies<sup>13</sup>, OHCHR has undertaken work on identifying indicators for use in human rights assessments. In initiating this work the Office reviewed the 'state of the art' on the use of indicators in human rights assessments and surveyed some of the major initiatives that have applied quantitative indicators for monitoring the implementation of human rights.<sup>14</sup>

In June 2006, OHCHR presented the results of this ongoing work in a report entitled *Indicators for Monitoring Compliance with International Human Rights Instruments* to the inter-committee meeting of human rights treaty bodies.<sup>15</sup> The report outlines the main elements of the conceptual and methodological framework for identifying indicators for use in human rights assessments, and provides illustrative lists of indicators. Currently for a first set of twelve civil, political, economic, social human rights have been formulated, including the rights to adequate food, health, housing, education, work and social security. Further validation at country level of these identified indicators will take place soon. This process is expected to yield additional tools to monitor the implementation of the principles expressed in the Right to Food Guidelines.

### Indicator Proposals of the IBSA Project

The *Indicators, Benchmarks, Scoping, Assessment (IBSA) Project* is a collaborative project, started in 2004, between the University of Mannheim, FIAN International and the German Ministry of Consumer Protection, Food and Agriculture. It aims to develop a set of indicators to improve the monitoring and operationalisation of the right to adequate food. The effort should result in a monitoring tool that can be used in States Parties' reporting to the Committee on Economic, Social and

<sup>13</sup> The human rights treaty bodies are committees of independent experts that monitor implementation of the core international human rights treaties. They are created in accordance with the provisions of the treaty that they monitor.

<sup>14</sup> See "Quantitative Human Rights Indicators - A survey of major initiatives (background paper 1)", Rajeev Malhotra and Nicolas Fasel, paper presented at the Nordic Network Seminar in Human Rights Research, 10 - 13 March 2005 at Åbo, Finland. The paper is available at: <http://www.abo.fi/instut/imr/research/seminars/indicators>

<sup>15</sup> UN document HRI/MC/2006/7. The report is available in three languages (English, Spanish and French), and can be accessed at: <http://www.ohchr.org/english/bodies/icm-mc/documents.htm>

Cultural Rights (CESCR) to reflect the situation in their countries as monitored by national governments and civil society organisations (see chapter 9).

The first phase of the project centred on the the identification of human rights indicators for the right to adequate food. During the current second project phase<sup>16</sup>, a set of 28 indicators (many with a number of sub-indicators) that include structural, process and outcome indicators, is being validated in three countries (Colombia, Ghana and Spain).

Using certain indicators, countries can then establish their own benchmarks against which to measure progress with the realization of the right to adequate food. The benchmarks can be reassessed over time to see whether these are set too low or too high given the specific country situation and experience. The indicators that are applied, and the adjustments made over time in the established benchmarks, are to be continuously checked to see whether they remain valid.

Current proposals of indicators essentially apply the above indicator framework, linking levels of state obligations to the core content of the right to adequate food. Turning the framework into a monitoring tool a third dimension is added by measuring *change over time* in:

- status or outcomes in the various dimensions of the right to adequate food core content; and
- government structural and procedural response, i.e. government conduct with respect to human rights.

### Indicator Proposals from Brazil

Discussions that are currently ongoing in Brazil<sup>17</sup> regarding the selection of indicators take the above indicator framework as the starting point. Candidate indicators were identified, applying a set of criteria, but human rights and right to adequate food principles and approaches were not explicitly included among the selection criteria (Box)<sup>18</sup>. It is interesting to note that the process of indicator selection took place during a period when there was an intense debate within the public sector about the scope of a national food and nutrition security policy.

One camp advocated a narrow focus on food and nutrition programmes and social safety nets, while another camp put forth proposals that look at food and nutrition security from a broad, inter-sectoral perspective, including trade, agrarian reform, and social investment issues related to food insecurity and malnutrition.

16 “Practical Application of Indicators and Benchmarks for National and International Human Rights Monitoring with Particular Reference to the Right to Food”.

17 CONSEA Indicators Working Group and ABRANDH are spearheading this effort.

18 ABRANDH (2005).

**BOX 3.2 - Indicator Selection in Brazil**

*The following criteria were identified to select candidate indicators to monitoring food and nutrition security in Brazil. Indicators should:*

- *Already be used in an existing monitoring system with a reliable information source.*
- *Be constructed through the use of frequently and systematically collected information.*
- *Be based on information that allows desegregation by gender, ethnic group, and geographic areas.*
- *Be easily understood by the general public.*
- *Be able to verify the efficacy of public policies.*
- *Permit monitoring of one of the following dimensions of food and nutrition security:*

*(i) food production, (ii) food availability, (iii) food access, (iv) food quality, (v) eating patterns, (vi) nutritional status, and (vii) access to education, health and sanitation.*

The outcome of this debate will have direct implications of what is to be monitored and thus the selection of indicators.

It can be argued that some of the criteria already point to a human rights approach, particularly in that the indicator should be disaggregated to detect inequities and discrimination, and that the indicator should be easily understood by non-technical persons. Proposed indicators should also be examined to establish the extent to which they are capable of capturing right to adequate food dimensions; whether it is a structural, process or outcome indicator; and to which level of state obligation(s) the indicator relates. Each proposed indicator can then be more easily fitted into the indicator framework.



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## 4. MONITORING IMPLEMENTATION PROCESSES THROUGH RIGHTS- FOCUSED ASSESSMENTS

Assessing and monitoring the legal, policy and institutional environment in a country is an essential part of monitoring the realization of the right to adequate food and the impacts of right to food measures. The latter are conditioned by the legal, policy and institutional environment. Understanding this environment assists in interpreting monitoring results and reach valid conclusions. It also identifies areas where actions are needed to make this environment more conducive to the realization of the right to adequate food. Right to Food Guideline 7 invites states to consider, in accordance with their domestic legal and policy frameworks and through possible constitutional or legislative review, to include provisions in their domestic law that facilitates the progressive realization of the right to adequate food. Legal, policy and institutional changes will occur over longer periods of time than changes in other more dynamic factors that also impact on the right to adequate food. An assessment of this environment is a good starting point as it also contributes to identifying aspects in that environment that are detrimental to realizing this right for all.

The implementation of right to food measures is conditioned by the availability of human and financial resources. Assessing and monitoring human resources is part of the institutional assessments. Financial resources are provided through public budgets and extra-budgetary funding, usually from donor sources. National public budgets, and allocation and expenditure trends therein, are a gauge of the existence of political will and commitment to achieve certain goals and targets, and the willingness of the public sector to act on that commitment. Monitoring public budgets provides information whether government is allocating public

resources over time in such ways that increasing support is given to realize the right to food within a reasonable time period.

## **LEGAL, POLICY AND INSTITUTIONAL SETTING OF THE RIGHT TO ADEQUATE FOOD MEASURES**

The assessment of the national legal framework should cover two sources of legal obligations: (i) international obligations as a result of the country having ratified international covenants, treaties, and other international agreements, and (ii) national laws and legal jurisprudence. Of particular interest is whether the international obligations have been validated in national laws.

### **International obligations and their validation in national laws**

The assessment may consist of a two-step process:

#### **Step 1:**

*An overview of relevant global and regional human rights treaties (binding conventions) that the state has ratified.*

The overview should cover: (i) any reservations made with respect to articles in these treaties that explicitly or implicitly protect the right to adequate food; (ii) the ratification of protocols enabling individuals to bring alleged violations to the attention of international mechanisms<sup>19</sup>; and (iii) protocols which protect the right to adequate food of specific groups<sup>20</sup>. Expertise in relevant international treaty obligations will be needed in this part of the assessment.

#### **Step 2:**

*An assessment of the extent to which international obligations are validated in national law and legislation.*

Legal expertise will be needed for this part of the assessment to know where to look in national law. This part of the assessment may be guided by relevant questions, such as:

- Are international treaties directly part of the national law (i.e. as international law)?
- Are the international treaty provisions incorporated in national law?
- Has national law been amended in order to meet international obligations?

<sup>19</sup> For example, the Optional Protocol to CEDAW regarding the rights of women, which is accessible at: <http://www.ohchr.org/english/law/cedaw-one.htm>

<sup>20</sup> For example, the Protocol on the Rights of Women in Africa, which is a Protocol to the African Charter on Human and Peoples' Right ( [http://www.achpr.org/english/\\_info/women\\_en.html](http://www.achpr.org/english/_info/women_en.html) )

- When international treaty obligations have been incorporated in national law in a different language, what are the differences in scope between the international obligation and the national law?
- Is the right to adequate food, as contained in Article 11 of the ICESCR accepted as an individual right or does the country (and its courts) take the position that the right to adequate food is an obligation of *programmatic* character that does not bestow on an individual a justiciable right?

### **The national legal framework**

The national legal framework is made up of:

- The national Constitution.
- Statutory laws.
- Case law.
- Customary law.

#### *The national Constitution*

With respect to the national Constitution, the assessment should identify whether:

- The right to adequate food is explicitly protected as a constitutional right.
- Aspects of the right to adequate food are protected by other constitutional rights (health, nutrition, social assistance, life in dignity, work ...etc.).
- The right to adequate food is protected only for certain groups, for example, nutrition rights of children.
- The constitution contains principles or state directives relevant to the right to adequate food.
- The right to adequate food is recognised as an individual right, and as such whether it is a justiciable right.
- State directives or principles play the role of guiding policy making, and/or serve to interpret the scope of other rights (right to life, for example).

Examples of the right to adequate food recognised as a constitutional right, or as a constitutional directive of state policy, are provided in the boxes below.

**BOX 4.1 - Examples of Constitutional Provisions: Right to Adequate Food****Constitution (1998) – Brazil:**

*Provision 227: It is the duty of the family, society and State, as an absolute priority, to guarantee the child and adolescent the right to life, health, food, education....*

**Constitution (1996) – South Africa:**

*Section 27.1(b) "...Everyone has the right to have access to ...sufficient food and water..."*

*Section 28.1(c) "...the right of every child to basic nutrition..."*

**BOX 4.2 - Examples of Constitutional Provisions: Directives of State Policy****Constitution (1950) – India:**

*Directive Principles of the State Policy:*

*...the state shall in particular direct its policy towards securing...an adequate means of livelihood*

**Constitution (1995) – Uganda:**

*National Objectives and Directive Principles of State Policy*

*Principle XIV: The State shall endeavour to fulfill fundamental rights of all Ugandans... and shall in particular ensure that...all Ugandans enjoy rights and opportunities and access to education and health services, clean and safe water, work, decent shelter, adequate clothing, food security...*

*Principle XXII: The State shall (a) take appropriate steps to encourage people to grow and store adequate food...encourage and promote proper nutrition through mass education and other appropriate means....*

**Statutory laws**

A wide array of statutory laws relevant to the right to adequate food exist in many countries. These cover topics such as food safety, access to natural resources (land, water, forests, fisheries, etc.) or private law areas such as inheritance law, labour legislation, social security and welfare legislation. Many of these laws have specific purposes and are not necessarily intended to ensure the enjoyment of the right to adequate food for all. As part of the assessment it is useful to make an overview of what is in place and then focus on the most relevant areas. Included should be laws that may have a negative impact on the enjoyment of the right to food, particularly for vulnerable groups.

The steps in the assessment may consist of the following:

**Step 1:**

Establish criteria for inclusion of laws in the assessment.

**Step 2:**

Draw up an inventory of legal instruments most relevant to the right to adequate food.

**Step 3:**

Undertake an analysis of the provisions in the laws and their (possible) impact on the enjoyment of the right to adequate food.

**Step 4:**

Assess the administrative capacity of the institutions responsible for implementing the laws in the inventory of legal instruments.

If a national *food security and nutrition situation analysis* has been undertaken, such an analysis can help determine the relevance of certain laws, i.e. those laws that most directly relate to identified underlying causes of food insecurity and vulnerability in certain population groups. *A role and capacity analysis* can also be applied in this part of the assessment, as institutional capacity is directly linked to the implementation of laws.

Examples of questions to be addressed in the assessment include the following. To what extent do laws governing social assistance, access to land or water etc. include the most vulnerable and needy among their beneficiaries? To what extent are such laws implemented, particularly in favour of such groups? Where and under which conditions are they implemented? Do administrative processes foreseen in legislation *de facto* exclude certain groups from access to benefits (although they may not do so on the basis of the text of the law)?

*Customary law*

In many countries, customary law relates to the realization of the right to adequate food because it regulates access to resources, such as land and water. The extent to which customary law plays a role should be analysed as well as the manner in which it interfaces with statutory law.

Conflicts between customary law and statutory law, and between customary law and human rights principles should be identified. For example, discrimination can often be an issue in customary law. As often much of customary law is unwritten, the assessment may only be able to cover this area of law roughly. Key informants familiar with customary law should be consulted.

### *Case law*

Case law gives meaning to the abstract provisions of a constitution or statutes. It shows how well people's rights are protected in practice. In many countries no right to adequate food case law exists. It is important to determine the overall attitude of the judiciary with respect to social and economic rights, and whether social and economic rights are regarded as justiciable individual rights. This may indicate how well future right to food cases will fare. If relevant case law exists, what kinds of remedies were granted in cases of violations of economic and social rights should be stated (damages, compensation, restitution; constitutional remedies such as declaring a law invalid, etc.).

Finally, questions need to be asked about recourse mechanisms for violations of the right to adequate food. The assessment should cover administrative, quasi-judicial and/or judicial recourse mechanisms that exist for violations of statutory and constitutional rights. Who can access them (individuals, groups, NGOs, etc.) and how they can be used? Is access to courts available to all layers of society and is it facilitated for the poor through a system of legal aid? Are there mechanisms such as public interest litigation or class actions in place through which the interests of the poor can often be better represented than through individual cases?

### **The policy framework**

The assessment of the policy framework may address two related dimensions: (a) the policy framework as a whole; and (b) the most relevant individual policies. The result of a causal analysis as part of the food security and nutrition situation analysis (see below) should show to what extent, and in which instances, political factors (for instance, resource distribution, political priorities or ideology) and the policy-making processes hamper or neglect the realization of the right to adequate food. The policy framework can either avoid developing adequate right to food policies (creating a policy gap) or existing policies are not consistent with right to adequate food principles and approaches. Criteria for the assessment of existing right to food policies may include both general and specific human rights principles.

#### *General criteria*

- Policies should include “objectives, targets, benchmarks and time frames” (see *Right to Food Guideline 3.3*).
- Policy objectives should not be conflicting or contradictory.
- Activities, outputs and objectives of individual policies should be coherent and financial resources should be adequate.
- Policies should regularly be monitored and evaluated.

*Human rights principles*

- Policies should address the underlying causes of food insecurity in certain population groups, as identified through causal analysis.
- Policies should comply with the principles of equity, non-discrimination, transparency and widespread participation in their implementation.
- Duty bearers and their responsibilities with respect to the policy's implementation should be clearly identified for accountability mechanisms to be useful.
- Accountability mechanisms should be established, accessible and known by duty bearers and rights holders.
- Obligations to achieve universal human rights for all should be enshrined in all policies. (i.e. compliance with Article 11 of the ICESCR).

Public policies to be included should comprise of specific food and nutrition policies and broader policies that indirectly impact on the food security and vulnerability situation of specific population groups. Specific food and nutrition policies often focus on the “availability”, “accessability” and “utilization” dimensions of food and nutrition security. In content they may include policies such as related to food production; food processing and fortification, nutrition; food and micronutrient supplementation; and education for dietary change. The criteria for the selection of food and nutrition policies and of broader policies to be analysed should clearly be set out.

The inclusion of specific public policies and strategies in the assessment should be guided by the findings and conclusions of the causal analysis of the food security and nutrition situation analysis (see below). Main development strategies where they have been formulated and are in effect, such as a poverty reduction strategy (PRSP), rural development strategy or a food and nutrition security strategy, should be the subject of the assessment. The extent to which human rights dimensions have been included is of special interest. An example is provided by the guiding principles of the Uganda Food and Nutrition Policy (2003).

A similar example is provided by the Zanzibar Strategy for Growth and Reduction of Poverty (ZSGRP - 2007) which has strong human rights underpinnings. The Zanzibar Food Security and Nutrition Policy (2008), formulated to establish policy in the areas of food security and nutrition in line with ZSGRP priorities and policy goals, has explicit human rights based implementation principles and makes specific mention of the right to adequate food.



**BOX 4.3 - Uganda Food and Nutrition Policy (2003): Selected Guiding Principles**

*2.3.1. Adequate food and nutrition is a human right.*

*2.3.4. The policy emphasises the cross-cutting nature of food and nutrition as they affect men, women and children.*

*2.3.7. Gender considerations and the needs of all vulnerable groups are integral to all components of the policy.*

*2.3.8. Uganda meets its national and international obligations as set out in national laws and international conventions, treaties and resolutions on the right to food.*

*2.3.9. In the planning, budgeting and implementation of the policy, a Rights-Based Approach, will be adopted to promote and protect the right to adequate food and nutrition and ensure participation of the rights' holders and accountability of duty bearers.*

**The institutional framework**

The expected output of this part of the assessment is to highlight to what extent the institutional performance contributes to non-enjoyment of the right to adequate food by certain population groups. The assessment should identify gaps in the institutional framework and weaknesses in the existing institutions. Implementation of right to adequate food policies and programmes and of the legal framework requires effective institutions at all levels. The cross-sectoral nature of these measures calls for coordination among government institutions at national, sub-national and local levels, and government-civil society partnerships. Identifying roles and responsibilities of the different sectors and levels of government should contribute to enhanced accountability. At the same time, institutional capacities need to be assessed (see below).

Firstly, carry out a rapid inventory of institutions and organisations at national, sub-national and local levels through a consensus-building exercise with key informants. Then the assessment may start, guided by several broad questions, such as:

- What are the main strengths of institutions for right to food implementation (e.g. right to food provides common vision that motivates staff, high level of coordination improves institution's performance)?
- What are the main constraints of institutions for right to food implementation (e.g. lack of capacity of public servants, lack of willingness of lower levels

to cooperate with the government, lack of information to adequately target interventions)?

- Which administrative regulations are conducive to the realization of the right to food (e.g. simple accountability mechanisms in place, transparent mapping of duty bearer responsibility)?
- Which administrative regulations are obstructive to the realization of the right to adequate food (e.g. complicated regulations, an inaccessible administrative system)?

Human rights institutions play an important role in supporting the realization of human rights. It is therefore particularly important to find out what kind of human rights institutions exist (human rights commission, ombudsman, etc.), whether their mandate encompasses the right to adequate food, and which tasks and powers they have. If a human rights institution exists and has a mandate that covers the right to adequate food, the question is whether it has acted upon that mandate and undertaken any right to adequate food activities. If a human rights commission exists, does it meet the requirements of the Paris Principles<sup>21</sup>? More details about the institutional mandates of human rights institutions (or other institutions that might monitor the realization of the right to adequate food) are discussed in volume I.

A relevant and complementary method is *role and capacity analysis* which is described in the following section. The *role analysis* is useful to establish the inventory of institutions and organisations that most directly have responsibilities for the realisation of the right to adequate food and to understand those responsibilities. The *capacity analysis* assesses the capacities of those institutions and organizations to meet those responsibilities or duties.

## INSTITUTIONAL ROLE AND CAPACITY ANALYSIS

The concept of capacity takes on a broad connotation when applying a human rights approach to practical development tasks. Capacity is then understood in a broader framework connecting the theoretical and practical knowledge and skills needed to undertake a task, with questions such as ‘who is supposed to decide that the task should be done’ (who is responsible for it being done) and ‘are resources available to undertake the task’ and other questions dealt with below.

The concept of ‘capacity’ is equally relevant to consider for rights holders and those with responsibilities related to the realization of human rights. Rights holders must know about their rights and have the necessary capacity for claiming them, while also take action to improve their own situation as far as possible with the

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<sup>21</sup> Principles relating to the status and functioning of national institutions for protection and promotion of human rights, adopted by UN General Assembly resolution 48/134 of 20 December 1993.

means and assets available to them. Amartya Sen and others talk about this as having *capabilities* to act on their own situation, looking at ‘capability’ as *freedom to act*. Another entry point is that of *empowerment* as a gradual process towards the capacity that enables individuals, groups, and institutions to promote and protect human rights, including the right to adequate food<sup>22</sup>.

*Role and capacity analysis* (RCA) originates in organizational theory and leadership building<sup>23</sup>. RCA can be applied to the delivery of many different programmes and services, such as, for example, food security and health programmes. Equally it can be applied to food security and vulnerability monitoring systems, and thus be part of an assessment of monitoring information systems (see chapter 7 below). At the same time, role and capacity analysis offers a solid framework which can incorporate a range of other approaches and methods. While the methodology was developed by and for programme staff in development organizations, it is equally valid for government departments and institutions, civil society organizations and research communities.

### The analytical framework

The RCA provides an overarching *framework* for analysing processes involved in the realization of a human right (rather than being one specific method). The framework permits a systematic identification and organization of the roles and capacities of actors with responsibilities in relation to the right to adequate food (or any other human right). A number of other frameworks and methods can be applied in the analysis for which a variety of information (primary and secondary) will be relevant. The basic idea is that a range of duty bearers in society all play different roles for the fulfillment of a specific human right. These duty bearers can be found at household, community, regional and national levels. A *role analysis* seeks to identify the relevant duty bearers, understand their duties and assess the degree to which duty bearers meet their responsibilities. In the case of complete or partial failure to meet duties, this may not necessarily be due to unwillingness

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22 *Measuring empowerment is quite a challenge at this stage. In a recent World Bank Research Paper, Alsop and Heinsohn (2005) present a rather complex analytical framework that can be used to measure and monitor empowerment processes and outcomes. The measuring empowerment framework illustrates how to gather data on empowerment and structure its analysis. The framework can be used to measure empowerment at both the intervention level and the country level, as a part of poverty or governance monitoring. Since empowerment is also one of the established human rights principles that will ensure participation and help counteract discrimination, the framework should be particularly valid in monitoring the realization of human rights including the right to food.*

23 *In the right to food movement and the nutrition and human rights discourse role and capacity analysis entered on the scene in the beginning of this decade when the UN System Standing Committee on Nutrition (SCN) proposed this analysis as a tool for developing process indicators to monitor the realization of the rights to food, health and care (SCN, 2001). Initially developed by the UNICEF Regional Office of East and South Africa (UNICEF, 2000) to give practical guidance for programme staff to implement human rights based development programming, it has since been developed further by others (Gillespie 2001; Jonsson, 2003; Sabatini, 2005, and Engesveen, 2005). As a monitoring framework, it is unique in that it incorporates and starts from human rights principles.*

on the part of the duty bearers, but to a lack of *capacity* to do so. The concept of capacity as applied here is multi-dimensional and ‘decomposed’ into five dimensions as listed below. A capacity analysis seeks to investigate why duty bearers do not meet their duties, which could be explained by one or more of those dimensions of capacity. Specifically, the *gaps* in each of the dimensions that prevent duty bearers from meeting their obligations should be identified and assessed so that remedial actions can be proposed.

#### BOX 4.4 - Dimensions of Capacity of Duty Bearers

- Being **motivated** to implement measures for the enjoyment of rights, and accepting responsibilities to implement such measures.
- Having the **authority** to implement such measures.
- Having **access** to, and **controlling** economic, human and organizational **resources**.
- Being capable to **communicate** well with other duty bearers and rights holders.
- Being capable of making **rational decisions** and **learning from experience**.

A checklist approach can be adopted to guide the analysis under the two parts of RCA. A brief elaboration accompanies each analytical question on the checklist.

#### Role analysis

- **Who** are the duty bearers in relation to the realization of a certain human right in a specific setting? The identification of duty bearers must consider actors at all levels, from the individual right holder and his/her family all the way up to the highest national level, the State authority which is the ultimate duty bearer in human rights law, and even for actors at the supranational level. There is no preset answer to how many sets of duty bearers to be included; the selection will vary from situation to situation.
- **What** are their specific corresponding obligations and responsibilities (*duties*)? This part of the analysis should generate a list of obligations and responsibilities for different groups of duty bearers. While the State carries legal obligations under international human rights law, non-State actors also have responsibilities vis-à-vis the realization of human rights – which may or may not have been formalised in national legislation and regulations. The level of State obligations is traditionally categorised into the levels of respect, protect and fulfill through facilitation, provision or promotion. Some would argue that this categorisation should be equally applied to all duty bearers,

while others have suggested that it may be more valuable to use existing norms for best practices, such as may be found in international strategies and plans. Relevant sources to consult for preparing the list of obligations include those from the international human rights field: international and regional human rights conventions, General Comments and recommendations issued by the UN convention committees or other authoritative interpretations and elaborations from specific disciplines such as for example, from the field of nutrition by WHO, UNICEF and FAO.

- *How is their **performance** in meeting their duties?* Bearing the above list of duties in mind, it is necessary to investigate whether or not the various obligations are being met. The performance analysis may particularly draw on secondary data, but may also be complemented by relevant primary data if available. The need for primary data may be important where there is little previous information to draw on, or where it is anticipated that secondary data are not reliable or do not reflect the situation of vulnerable groups. However, as new data may need to be collected for the next part (the capacity analysis) one might consider whether or not to collect additional data reflecting the performance in meeting duties.

### Capacity analysis

- ***Why** are the identified duty bearers not meeting their duties?* The reason(s) may lie in one or more of the five elements of capacity. For each capacity element for each duty bearer a set of indicators may be created. While some of these indicators are universal,<sup>24</sup> many are highly context-specific and would need to be developed based on a good understanding of the local situation.
- ***What** are the gaps in their capacity hindering them from meeting their obligations and responsibilities?* Using the above framework, gaps in capacity will be found where observed (actual) capacity deviates from normative (desired) capacity. The primary aim of the analysis is to reveal such capacity gaps in order to plan interventions for change, targeted at specific duty bearers.

### A practical example of a role and capacity analysis

A comprehensive field test of the role and capacity analysis was undertaken in the Republic of the Maldives in the context of efforts to promote sound practices for breastfeeding in baby-friendly hospitals. The rights holders were mothers who had delivered in the hospitals and have a *right to be able to breastfeed* as part of their responsibility to provide the most adequate food for their newborn child. Other actors identified were duty bearers at the state authority level, as well as those executing

<sup>24</sup> For example, the right to information and right to participation are crucial components of the capacity to communicate; elements of 'good governance' form important norms for state capacity.

State policies regarding breastfeeding and Baby Friendly Hospital Initiatives (BFHI), i.e., the leadership and staff of the hospitals as public institutions.

The example shows how a role and capacity analysis can, in principle, be applied to any development issue that one would like to address with a rights-based approach. The question is how to extract the important elements while not making the task too time-consuming and costly.

### **Advantages and constraints of RCA**

RCA has several advantages as an assessment and analytical tool. These can be summarised as follows.

- RCA provides a comprehensive, human rights based framework to assess and monitor programmes and services for the enjoyment of the right to adequate food.
- RCA identifies areas for remedial follow-up actions to strengthen the capacity of duty bearers to meet their responsibilities, and thus improve potentially the programme/service effectiveness in producing outputs that contribute to the enjoyment of the right to adequate food. The effectiveness of follow-up capacity-strengthening actions can be monitored as part of process monitoring.
- RCA provides a basis for constructive dialogue between duty bearers and rights holders (or their representatives) because the constraints that the former face in meeting their responsibilities are identified and understood by rights holders.

It is important to be aware of potential constraints faced during the application of a RCA. The major constraint is that the analysis can become very extensive and complex, particularly when a large web of right holders and duty bearers are involved. It is tempting to include all relevant actors in a given situation, particularly where serious capacity gaps are found at more distant levels. However, it is necessary to balance complexity with focus in each specific situation. An initial qualitative assessment may reveal at which levels and among which duty bearers the capacity gaps appear to be the most serious, and then to focus the in-depth analysis at those levels and those duty bearers where remedial actions are the most urgently needed.

#### **BOX 4.5 - Role and Capacity Analysis – Example of Breastfeeding and BFHI in the Maldives**

A case study in the Maldives undertook a role and capacity analysis of breastfeeding (BF) practices. The study focused on three groups of duty bearers: mothers, hospital staff and state authorities. The **roles** or **responsibilities** of each group were identified as follows. **Mothers:** ensure children's good nutrition through optimal BF. **Hospitals:** comply with the Ten Steps (to Successful Breastfeeding) of the Baby-Friendly Hospital Initiative (BFHI) and protect mothers from marketing of breast milk substitutes. **State authorities:** protect BF mothers from interference with BF, such as aggressive marketing of breast milk substitutes, respect good BF practices, and facilitate optimal BF conditions through appropriate policies and programmes. The capacity of each duty bearer group was assessed in its five dimensions as follows.

##### **Mothers:**

- be motivated to breastfeed having adequate knowledge about the benefits of BF;
- have the authority to make her own decisions about BF;
- have adequate resources for optimal BF, such as time, adequate BF skills, and a supportive environment;
- be capable of communicating BF problems and seek help; and
- be in a position to learn from the BF experience and make decisions based on correct information.

##### **Hospitals:**

- management and staff be motivated to implement the BFHI Ten Steps and understand their duty to do so;
- management and staff have the authority to plan and implement measures in accordance with BFHI Ten Steps, and to provide BF advice against traditional beliefs;
- have adequate human, financial and organizational resources to implement the BFHI Ten Steps;
- hospital staff capable to communicate with public officials, colleagues and BF mothers; and
- staff be capable to learn from experience and make rational decisions. Similarly, public authorities must be motivated and accept their duties with respect to the right to breastfeed, have adequate mandates to make decisions regarding BF measures, have adequate resources to implement those measures, communicate well with colleagues and BF mothers regarding those measures, and be capable of learning through monitoring of BF measures, and make new decisions based on the learning process.

The role and capacity analysis showed that: (a) about half of newborns were exclusively breastfed, (b) mothers had generally little knowledge of the benefits of exclusive breastfeeding, (c) home and hospital environments were not conducive to optimal BF practices, (d) a low percent of hospital staff had received appropriate training about exclusive BF practices, (e) hospital BF policies varied among hospitals, and less than 50 percent of hospital staffs received orientation about those policies, i.e. intra-hospital communication was poor, and staffs were not motivated to implement optimal BF conditions, (f) the BF policies of the Department of Public Health, though more extensive than the BFHI Ten Steps, were not implemented at BFHI hospitals, perhaps reducing national ownership of those normative measures, and (g) training in optimal BF practices provided by the State was infrequent due to a number of logistical, human resources and financial constraints.

Source: Engesveen (2005)

## MONITORING POLITICAL COMMITMENTS THROUGH PUBLIC BUDGET ANALYSIS

*Right to Food Guideline 12:* (i) encourages regional and local authorities to allocate resources for anti-hunger and food security purposes in their respective budgets, (ii) gives emphasis on the need for transparency and accountability in the use of public resources, particularly in the area of food security, (iii) encourages States to promote basic social programmes and expenditures, in particular those affecting the poor and the vulnerable segments of society, and to protect them from budget reductions, while increasing the quality and effectiveness of social services and access to adequate food

As a means of addressing these issues from a human rights perspective, Public Budget Analysis (PBA) is an important tool of rights-focused monitoring as it focuses on implementation processes. In general, PBA:

- Addresses government's commitment to specific policy areas.
- Determines trends in programme spending with respect to whether human rights commitments receive a growing budget share over time in line with the progressive realisation of economic and social rights.
- Reviews public spending on policy and programme proposals, in order to monitor whether such proposals are reasonable and realistic, and the costs in line with government priorities.
- Helps to analyse impacts of budgetary choices on the food insecure and vulnerable population groups.
- Can assist with the assessment of the adequacy of public budgets relative to both international and national conventions and commitments.
- Can help to identify sources of new funding for proposed policies, strategies and programmes.

Public budget analyses can contribute to transparency in government planning and policy formulation, potentially enhance rights holders' effective participation in public budget discussions and provide rights holders and their representatives with information with which to hold government accountable.

Public budget analyses use existing information and data, and can generate process indicators that may contribute to detecting discriminatory practices and thus suggest remedial actions to eliminate discrimination. They can also generate process indicators that reflect implementation of specific policy instruments and thus analyse whether public budget allocations and expenditures are consistent with the progressive realization of ESCR. Finally, they may generate analytical



results that can contribute to maintain policy focus on the most vulnerable groups.

PBA results can thus contribute to the realization of economic and social rights because these results:

- Provide solid and often quantitative documentation, making use of the government's own budget figures and thus make human rights advocacy efforts more effective.
- Provide information with which communities can approach local government to demand that budgeted allocations for community-based services and infrastructures are actually expended.
- Strengthen the capacity of non-governmental agencies to assess progress and thereby report more effectively to international human rights monitoring bodies.
- Allow solid conclusions to be made that can be used to advocate policy changes that will further the realization of ESCR when working with legislatures and parliamentary committees on budget matters.
- Provide part of the evidence for presentation to courts in cases of rights violations.

### **What is public budget analysis?**

Budget analysis is basically an assessment of what government has allocated and has actually spent on various programmes and projects and on running government itself (including public debt servicing and repayment). Since the budgeting process takes place annually, PBA can be applied annually to monitor trends in allocations and expenditures. Actual allocations and expenditures need to be assessed against an objective, target or some other standard. Of particular interest is to monitor actual allocations and expenditures over time against policy and programme objectives and targets related to the reduction in food insecurity and vulnerability, especially among food insecure and vulnerable groups.

In planning a budget analysis, take into account that the full budget cycle consists of four consecutive stages. The purpose of the analysis will differ in relation to the four stages of the budget cycle as follows:

1. *Budget formulation and drafting*: Analyse the budget proposals, make alternative budget proposals, and influence policy decisions.
2. *Enactment of the budget*: Analysis of the budget in relation to policy commitments, analysis of the budget's impact on major policy objectives and

priorities, analysis of the budgetary process (transparency, participation), preparation of educational materials about the budget for different audiences.

3. *Budget implementation*: Monitor actual expenditures against budget allocations, and point to large discrepancies.
4. *Budget auditing*: Ex-post analysis of auditing reports to improve future budget analysis.

Budgets are usually divided into operating and capital budgets. Operating budgets include recurrent expenditures on programmes and public services, while capital budgets include infrastructure investments, the social and economic benefits of which are expected to extend well beyond the current budget year. Often budget analysis concentrates on operating expenditures, which is not a serious distortion if capital budgets are relatively small. On the other hand, the progressive realisation of ESCR may sometimes critically depend on long-term investments in infrastructure and should be taken into account in the budget analysis. An example may be school facilities for the realization of the right to education.

The first question to ask in undertaking PBA as a monitoring tool is therefore:

- What programmes, areas of the budget or types of allocations and expenditures ought to be included in the budget analysis?

For monitoring purposes it is important that the same reference frame be applied over time, in terms of what types of programmes, areas of the budget or types of allocations and expenditures are to be included in the analysis, to make a valid trend analysis of allocations and expenditures.

### **Different PBA approaches**

There is no blueprint for a PBA - the approach to be applied has to be tailored to the situation in order to find answers to different questions in each country. A good way to demonstrate this and the corresponding different approaches is to examine examples from other countries. So far most be learned from work with budget analysis related to children's rights. Specifically regarding food and nutrition security budget analysis, efforts are currently underway in Brazil to apply PBA methods. However, the work has not progressed sufficiently to draw lessons from it yet.

In designing a PBA three issues need to be decided:

- What to monitor in the budget; for example, how to define a pro-food security budget or a pro-right to food budget?

- Which specific programmes and expenditures in which institutions to monitor?
- What indicators need to be constructed to analyse and draw conclusions about whether government's commitments and policy priorities are reflected in the way public funds are allocated and expended over time?

Once these questions have been answered and adequate capacity is in place to decipher budget data (assuming that reasonable access to those data has been acquired), the PBA approach can be quite simple. It is important that *all budget allocation and expenditure figures be adjusted for inflation when comparing multiple years*. This is a simple procedure that applies the consumer price index (CPI) to the nominal allocations and expenditures for those years that are compared. The CPI has a fixed base year and prices in other years are expressed in terms of base year prices, thereby eliminating price effects. The result is what are called *real* allocations and expenditures or allocations and expenditures in *constant prices*.

In response to the question what to monitor in the budget, two general approaches emerge from available in-country experiences:

- *Institutional approach*: the budgets are totaled of all government institutions that have major responsibilities for achieving food security goals, or for the realization of the right to adequate food.
- *Programme approach*: the budgets are totaled of all programmes (and other governmental actions) that are identified to have specific food security objectives, irrespective of which institutions(s) has/ve responsibilities for those programmes.

A combination of the two approaches can also be applied in a PBA. The institutional approach is perhaps less solid, in that an institution will have multiple roles and responsibilities not all related to food security. This requires a more detailed analysis of institutional budgets to weed out allocations that relate to food security and for multiple institutions (see example from Mexico below).

Programmes on the other hand have more focused objectives and thus are more easily identified and the whole programme budget can be included to form the right to adequate food budget (see example from South Africa below)<sup>25</sup>.

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<sup>25</sup> When assessing and monitoring solely a particular programme, most of the PBA methods are applicable as well (see chapter 5). Here we are concerned with monitoring aggregate budget allocations and expenditures.

**BOX 4.6 - Monitoring Health Budgets in Mexico**

*To derive an overall health budget, the budgets of the Ministry of Health and of a decentralised health fund were added to the health budgets of two social security institutions. The total budgets of the latter two institutions covered also retirement benefits, which had to be separated from the health-related expenditures. Between 1998 and 2002, the health budget increased during the first three years, but fell in 2002. The decrease in 2002 was due to a decrease in health expenditures of one institution, which accounted for close to half of the total health expenditures, while the health budgets of the remaining three institutions remained stable or increased slightly.*

*Source: Fundar-IBP.Dignity Counts (2004)*

**BOX 4.7 - Monitoring Child Socio-Economic Rights in South Africa**

*The Children's Budget Unit of IDASA (NGO) in Pretoria defined the Government's commitment of the realization of children's rights by monitoring the actual (2002/3, 2003/4) and projected (2004/5, 2005/6, 2006/7) expenditures of three programmes which are targeted at children: (i) Foster Care Grant Programme, (ii) Care Dependency Grant Programme, and (iii) Child Support Grant Programme. Expenditures and allocations were obtained for each province and the country as a whole. The results indicated that the combined expenditure of the three programmes increased over time, including as a percent of the total public budget. Expenditures of the Child Support Grant Programme increase the greatest each year. There was a marked difference among the provinces in the annual increase in spending on these three programmes.*

*Source: IDASA (2004)*

A national food and nutrition strategy or policy may also detail the programmes through which it is to be implemented. With both approaches, pro-right to food budgets can be developed at different levels of government, i.e. national, provincial or district level. When programmes are co-funded at national and sub-national levels, the respective budget allocations should be analysed separately for national, state or provincial, municipal or district levels.

Important information to have will be how policy priorities may change over time and how priorities may differ at various levels of government, as reflected in programme allocations (and expenditures) in national, state and district level budgets. In order to illustrate an application of PBA a specific example is given from Brazil.

### *The Brazil experience*<sup>26</sup>

Monitoring of the food and nutrition security budget allocation and expenditure is still largely in a development stage in Brazil. The few civil society organizations (IBASE and INESC) and semi-autonomous government institutions (IPEA and CONSEA) that are applying, or intend to apply a PBA of food and nutrition use the programme approach. The two CSOs define the food and nutrition security budget slightly differently:

- IBASE selects public actions and programmes it considers to be directly or indirectly related to food and nutrition security.
- INESC monitors budget allocations and expenditures in different areas of public policy, one of which is the agricultural sector, with food and nutrition security being considered as a sub-sector.

#### **BOX 4.8 - Food and Nutrition Security Budget – National Food Security Council, Brazil**

*The food and nutrition security budget defined by the National Food Security Council (2005), and used to make budget proposals to the executive branch of government, consists of 16 food and nutrition related areas, which in turn cover a total of 59 programmes. Each programme is divided into specific public actions, ranging from 1 to 13 actions per programme, for a total of 186 public actions or activities. The food and nutrition areas are: (1) biodiversity and traditional populations, (2) fisheries and aquaculture, (3) agrarian reform, credit and conservation, (4) smallholder agriculture, (5) healthy foods, (6) surveillance and health care, (7) sanitation, (8) structural interventions (employment, small scale production in poor communities, small businesses), (9) school feeding, (10) food access, (11) collection and processing of recyclable waste in rural and urban areas, (12) income transfers, (13) food and nutrition security in indigenous populations, (14) food and nutrition security in Afro-Brazilian populations, (15) food and nutrition security in semi-arid regions, and (16) food marketing and storage. As is clear, the target groups for the programmes and public actions are in some cases defined. The inclusion of non-food sectors points to a holistic and multi-sector approach to food and nutrition security.*

IPEA on the other hand analyses the federal budget focusing on social expenditures broken down in twelve areas - food and nutrition being one area. Only government actions which directly influence food and nutrition are included, while actions that influence food and nutrition indirectly are considered part of other social areas, such as health, education, land tenure, employment, etc. Thus, for example, the inter-relatedness and interdependence of ESCR are not considered in these approaches. After due consultations among CONSEA members and with relevant ministries, a technical working group of CONSEA recently identified sixteen policy priority areas in food and nutrition security, encompassing a total of 59 programmes which make up the food and nutrition security budget. Allocations and expenditures were to be monitored

<sup>26</sup> ABRANDH (2005).

by CONSEA and its CSO partners from 2006. This has also enabled CONSEA to make concrete budget proposals for food and nutrition security to the Federal Presidency and to examine the 2006 budget bill against its food and nutrition security budget proposals. However, additional experience from Brazil shows that the political space for civil society to participate in the budget formulation process may well be limited.

#### **BOX 4.9 - Civil Society Participation in Public Budget Formulation in Brazil**

*The Federal Presidency invited two large NGO networks, ABONG and Inter-Redes, to organise at national and state levels, civil society consultations and debates on the 2004 - 7 Pluriannual Plan (PPA). The PPA links economic planning to the budgeting process, i.e. the PPA establishes policy priorities that should be reflected in the public budget. After the consultations were completed, ABONG and Inter-Redes produced a report that synthesised, among other things, the policy priorities proposed by civil society, which were concentrated on social sector policies. However, the 2004 - 7 PPA mostly reflects the macro-economic goals of the Government and the emphasis it places on the development of several economic sectors, such as agro-business. Nevertheless, it was an opportunity for civil society to learn more about the economic planning and budgeting processes.*

### **PBA indicators and their interpretation**

Once the food and nutrition security/right to adequate food budget monitoring framework has been established, PBA indicators have to be defined and interpreted from a human rights perspective. These indicators will need to be constructed in each country, depending on the purposes for which public budget monitoring is undertaken and on budget data availability and access. A review of budget monitoring reports from several countries identify a number of indicators that are normally included in the PBA. A list of typical indicators is presented below.

#### **A List of Indicators Generated by Public Budget Analysis**

- ✓ INDICATOR A: TOTAL ALLOCATIONS TO THE RIGHT TO FOOD BUDGET (RTFB), BY BUDGET YEAR
- ✓ INDICATOR B: TOTAL ACTUAL EXPENDITURES ON THE RTAF BUDGET, BY BUDGET YEAR
- ✓ INDICATOR C:  $B/A*100\%$
- ✓ INDICATOR D:  $A/TOTAL\ BUDGET\ ALLOCATIONS*100\%$
- ✓ INDICATOR E:  $[(A - B) RTFB/(A - B)TOTAL\ BUDGET]*100\%$
- ✓ INDICATOR F:  $A\ AND\ B/GROSS\ DOMESTIC\ PRODUCT*100\%$
- ✓ INDICATOR G:  $A\ AND\ B/TOTAL\ NUMBER\ OF\ PERSONS$

Within the context of rights-focused monitoring, the interpretation of these indicators is as follows:

**Indicator A:**

Budget allocations to a right to food budget in each year. Comparing successive years tells what the changes in budget allocations are over time. Are these changes consistent with political commitments and policy priorities with respect to the progressive realisation of the right to adequate food? Increasing values in subsequent years would indicate that increasingly public resources are allocated for the realisation of the right to adequate food.

**Indicator B:**

Actual budgetary expenditures under a right to adequate food budget in each year. Comparing successive years tells what the changes in budget expenditures are over time. Are these changes consistent with political commitments and policy priorities with respect to the progressive realization of the right to adequate food? Increasing values in subsequent years would indicate that public resources are increasingly being spent for the realisation of the right to adequate food.

**Indicator C:**

The percent of allocations of the right to adequate food budget that have actually been spent. A value close to 100 indicates that all allocated funds have been spent (by the end of the budget year). A value substantially below 100 indicates poor performance by the budget implementers. This may be a basis to ask responsible officials to account for the discrepancy and to find ways to improve budget implementation performance.

**Indicator D:**

The right to food budget allocations as a percent of the total budget allocations in each year. This indicator is similar to A, except that it adjusts for fluctuations in the overall budget allocations. If this percentage shows little change over time, it means that the right to food budget allocations fluctuate by the same amount as the overall budget allocations. A higher percent in a year that the overall budget allocations were reduced means that right to food budget allocations are “protected”, i.e. did not suffer the same decline as the overall budget.

**Indicator E:**

The ratio of implementation of the right to food budget to the implementation of the overall budget. Implementation refers to the difference between allocations and actual expenditures. This is particularly critical at the end of the budget year. An increasing ratio over time indicates that the implementation of the right to food budget is increasingly worse than the implementation of the overall budget. This may be good grounds to hold responsible officials accountable for this poor performance, specifically with respect to the right to food budget.

**Indicator F:**

Right to food budget allocations and expenditures in relation to the gross domestic product. Within a monitoring framework, this indicator tells whether changes in the right to adequate budget follow the same trend as changes in the gross domestic product. It may be a partial answer to the question whether government is making full use of available resources.

**Indicator G:**

Right to food budget allocations and expenditures on a per capita basis. Comparisons over time are adjusted for changes in population or changes in the number of people to be targeted as food insecure and vulnerable. If per capita right to food budget allocations and expenditures are increasing over time, it may mean that progress is made with the progressive realization of the right to adequate food.

A few additional points are worth mentioning here. These are:

- In order to establish *trends* in real budget allocations and expenditures, a minimum number of yearly observations is required - at least five years.
- With either the institutional or programme approach, it may be useful to break down indicators (assuming sufficient data) by institution or programme to make more concrete proposals for remedial action.
- From a human rights perspective a breakdown by sub-national administrative units (province, district or municipality) tells an interesting story about the geographical distribution of right to food budget allocations and expenditures.
- Breakdowns by specific population groups (demographic or livelihood characteristics) are important from a human rights perspective and help answer the question: are the food insecure or vulnerable households or individuals benefitting more than others? This may be less difficult to do under the programme approach when programmes have defined target groups, for example, the case of Brazil.

**Constraints in applying PBA methods**

Country level experience shows that several constraints may be expected in applying PBA methods to monitor government's commitment to the right to adequate food. These include:

- Non-government budget analysts may not have access to detailed budget information<sup>27</sup>. Budget figures that are released by government are often partial and are highly condensed. The detailed budget data needed to undertake a comprehensive analysis may not be available.
- Public budgets are complex and a certain expertise is required to interpret public budgets. This expertise is often very much confined to budget technicians in government institutions. Published budget data are not often accompanied by useful and detailed documentation to aid in the interpretation. Rights holder groups find it difficult to understand public budgets because of their complexity.
- Those who have PBA expertise have often not been exposed to human rights principles; limiting the human rights interpretation given to PBA results.

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<sup>27</sup> In Brazil the only budget database available to civil society organisations is the database of the Chamber of Deputies. This database is normally updated every 2 to 4 weeks.



- An element of discontinuity may be introduced in budget monitoring over time when the budget make-up changes and certain budget allocations are included in others, or changes title, and are not easily detected in the make-up of the new budget.

Additional constraints may exist that limit the interpretation of PBA results and that public budget monitors should be aware of and take into account:

- Budget analysis results can reflect what is allocated and what has been spent, but not *what ought to be spent*. Policy and programme objectives and priorities should guide budgetary allocations and expenditures, including commitment to the progressive realization of the right to adequate food; analysis of budget allocations and expenditures without direct reference to policy and programme objectives and priorities tells little about implementation of government's commitments.
- Actual budget expenditures may differ from enacted budgets, and actual expenditure data become usually not available until long after the budget year has finished. Few governments publish changes to the budget during the implementation stage. When the differences between actual expenditures and approved allocations are small, this is not a serious limitation, but if the differences are large and no information is available about how the budget is actually being implemented, the budget analysis results may be misleading.
- Budget analysis does not provide direct insights into the *effectiveness* and *efficiency* of actual expenditures, and how well the poor are actually being targeted. There is a need to complement budget analysis results with on-the-ground assessments, review and analysis of programme and project documentation and with direct reference to policy objectives and priorities.
- Government may keep certain expenditures outside of the normal budgeting process, such as social security programmes or revenues obtained from natural resources contracts, meaning that the normal budget may provide in some cases an incomplete picture about actual expenditures. Where those extra-budgetary programmes or revenues are large they should also be monitored and analysed, assuming that access to the necessary information can be obtained.

These constraints can be overcome<sup>28</sup>. Human rights institutions can adopt PBA as a monitoring tool and interpret the results from a human rights' perspective. This will probably require providing them with specific skills to undertake PBA. Efforts to establish closer partnerships between government and civil society in

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<sup>28</sup> Organisations that are starting to apply PBA as a rights-focused monitoring tool in relation to the right to adequate food (or to any ESCR), are encouraged to contact budget analysis groups in other countries for an exchange of experience. The address of a website through which such groups can be identified and contacted is provided among the reference sources of this chapter.

establishing policy priorities may result in better access to detailed budget data<sup>29</sup> and a greater willingness on the part of the government to educate and inform the general public about the public budget. See, for example, efforts by the Government in Uganda to inform the general public each year about the national budget in simplified forms (see chapter 6 in volume I).

### Monitoring the budgeting process

PBA can be used as a tool of rights-focused monitoring of the right to adequate food. The budgeting process itself should also be monitored, so that efforts can be made to make this process rights-based. Questions to be asked include whether the process is transparent, participatory and empowering. A role and capacity analysis may be a useful tool to monitor the budgeting process. The roles and responsibilities of different institutions during the various stages of the budget cycle need to be understood and monitored, as well as their respective capacities to undertake monitoring tasks for which they are responsible. Monitoring the budgeting process should lead to proposals for follow-up action to make the process more rights-compliant.

An interesting assessment of the budgeting process in Uganda was undertaken that applied roughly a role and capacity analysis (UDN, 2004). Fourteen institutions in Uganda were identified as having a role and responsibilities in the budgeting process.<sup>30</sup> Each of the four stages of the budget cycle were assessed with a six-point checklist (see box below). Similar assessments were carried out in nine other African countries. Such a checklist may be a handy tool for budget process monitoring from a human rights perspective.

#### Checklist to Assess the Budgeting Process from a Human Rights Perspective

- CLARITY OF ROLES AND RESPONSIBILITIES IN THE BUDGETING PROCESS
- PUBLIC AVAILABILITY OF BUDGET INFORMATION
- CAPACITY TO PREPARE AND IMPLEMENT A BUDGET AND TO DISCLOSE BUDGET INFORMATION
- ACCESS BY EXTERNAL STAKEHOLDERS TO BUDGET INFORMATION
- MANAGEMENT OF EXTRA-BUDGETARY ACTIVITIES
- PARTICIPATION IN THE BUDGETING PROCESS (ACCESS AND CAPACITY TO PARTICIPATE)

<sup>29</sup> International experience shows that in selected countries factors that are facilitating an increasing role for civil society in budget analysis work include: (i) democratisation processes, (ii) decentralisation bringing budgeting to local levels, (iii) new public expenditure management systems and outcome-based budgeting, and (iv) increasing consensus of the complementary roles of government and civil society.

<sup>30</sup> Parliament, Prime Minister's Office, Ministry of Finance, Planning and Economic Development, Ministry of Public Service, Ministry of Local Government, Bank of Uganda, the Auditor-General, Uganda Revenue Authority, Uganda Bureau of Statistics, Uganda Computer Services, local governments, development partners, and the general public.

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<http://www.internationalbudget.org/groups/index.htm>

## 5. MONITORING IMPACTS ON THE REALIZATION OF THE RIGHT TO ADEQUATE FOOD

In this chapter we bring together four related topics relevant for monitoring impacts. Food and nutrition security situation and vulnerability analyses are important for the formulation of food and nutrition policies and strategies. They provide information for ex ante policy assessment and formulation as well as a basis from which to monitor impacts. This is also true for national targeted programmes that aim to address underlying causes for food insecurity and malnutrition and thus for violations of the right to adequate food. We shall discuss food and nutrition situation and vulnerability analyses, then the assessment and monitoring of policy measures and of specific programmes.

### FOOD AND NUTRITION SECURITY SITUATION ANALYSIS

A food and nutrition security situation analysis should form part of a right to adequate food assessment. Assessment and monitoring of food consumption patterns, including dietary diversity, healthy eating habits and food preparation, and child feeding patterns, including breastfeeding, are promoted in *Right to Food Guideline 10*. The right to food assessment should provide process and impact indicators to monitor the realisation of the right to adequate food and the impacts and implementation processes of policy and programme measures. However, the right to food assessment has certain limits. It is unlikely that the results can be used as a baseline against which to monitor the outcomes of all future right to adequate food activities. But the assessment can indicate what a more in-depth analysis should focus on.

**A food and nutrition security situation analysis serves to identify those whose right to adequate food is not realized and to understand why**

Understanding the immediate, basic and root causes of food insecurity and vulnerability is an important pre-condition to implement measures towards the

enjoyment of the right to adequate food by all. The findings and conclusions of the situation analysis should guide the formulation of policies, laws and programmes. As we shall see below, the understanding of structural food insecurity causes will be an important input in deciding, delineating and making inventories of laws, policies, and institutions and organizations that are to be assessed in each specific country setting. The assessment can contribute to fostering understanding and agreement among government and all relevant stakeholders on the current food and nutrition security situation; the major causes of food and nutrition insecurity and violations of the right to adequate food; and what actions are required to address different causes of food and nutrition insecurity among different vulnerable groups.

One example of a situation analysis is the *community food security profile* (CFSP). Such profiles analyse populations that are food insecure or chronically vulnerable to food insecurity. Contextual problems at national level are included, such as policy, socio-economic or environmental issues, which impact at community level. A CFSP can serve several purposes:

- Help to draw up a list of the most appropriate interventions for a given area, including community-based projects.
- Identify criteria for targeting of programme beneficiaries.
- Establish patterns of seasonal variations in local food availability and access.
- Provide baseline information against which to monitor a population's overall food security situation over long periods. This can be used in turn for project evaluation (focusing on the ultimate outcome indicator) or to detect long term trends that may point to some underlying or structural issues that undermine communities' food security.

Document reviews, secondary data analysis (dis-aggregation of national survey data), key informant consultations and focus group discussions are usually relied upon to construct the CFSP. For example, community members usually have no problem in identifying which social groups in the community are food insecure and why.

A complete food and nutrition security situation analysis involves various analytical tools, principally:

- Causality analysis.
- Vulnerability analysis.

Vulnerability analysis is described in greater detail in the next section. It focuses on identifying the food-insecure and vulnerable population groups, to describe the food and nutrition problems that they face and to geographically locate these groups.

### *Causality analysis*

Causality analysis is also applied to identify the underlying causes for the vulnerability of food insecure and vulnerable groups as a basis for designing effective interventions targeted at these groups. The steps involved in undertaking a causality analysis are the following:

- Construct an approximate causal model using existing knowledge and documentation about food and nutrition problems in the country, based also on a common understanding of what food and nutrition security mean<sup>31</sup>, or adapt an existing general model (see below) to reflect the core content of the right to adequate food.
- Identify information needs to measure the causal linkages and outcomes of the model; decide on what information gathering techniques to apply.
- Obtain the needed information to the extent available and complemented by additional information gathering efforts.
- Conduct an analysis of the information guided by the causal model.
- Synthesise findings and conclusions with respect to the core content of the right to adequate food, the causes of why parts or all of the core content are not met and what needs to be done about the discrepancy by way of follow-up actions.

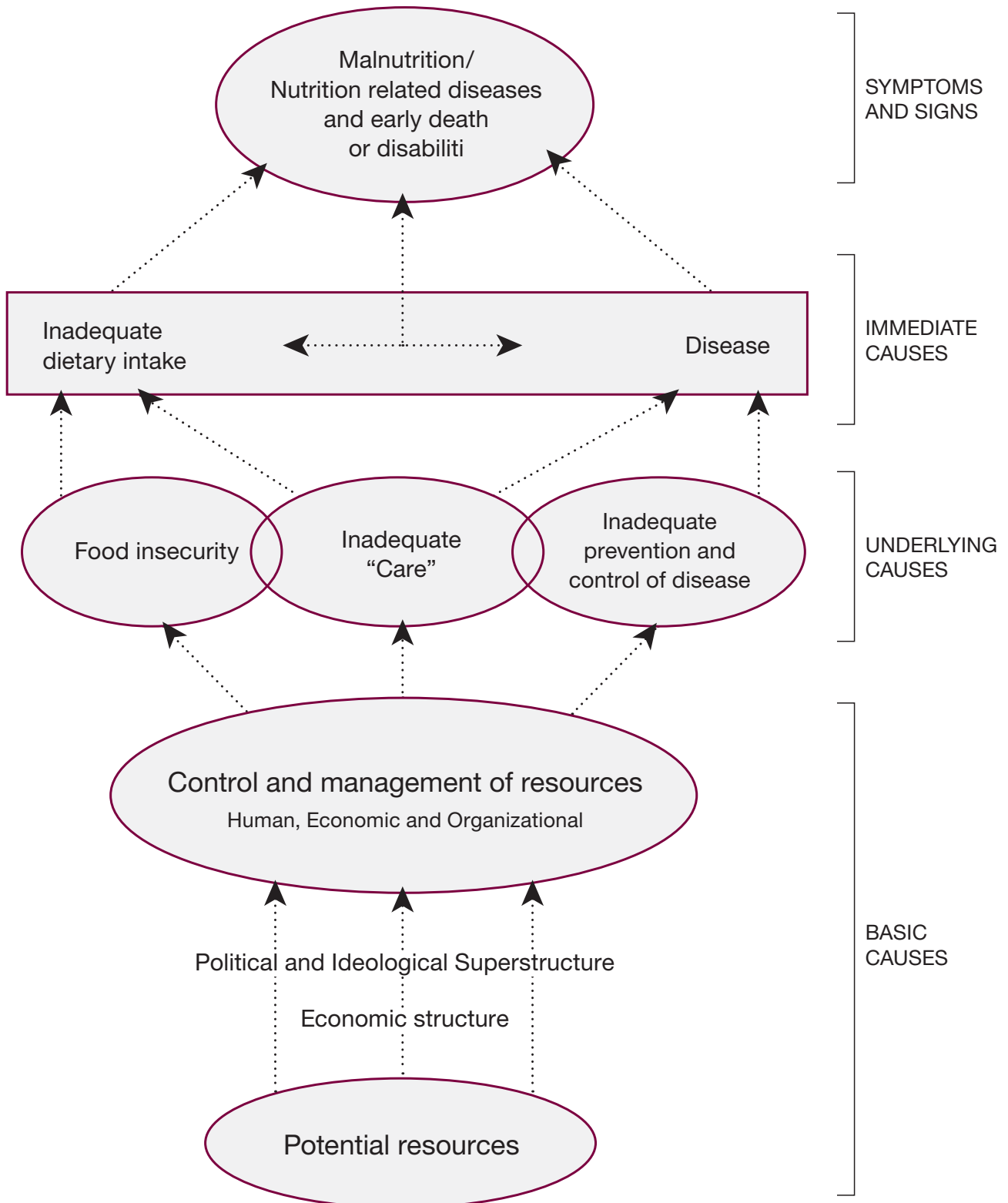
A causal model can be established at the national level, as the example below demonstrates, or can be established for specific food insecure and vulnerable groups if sufficient information is already available about these groups. Causality analysis focuses on three levels of causes: *immediate*, *underlying* and *basic causes*. This distinction is important because strategies at different levels are necessary to address each group of causes. Among the basic causes are policy, legal and institutional and other structural dimensions.

This involves the corresponding assessments as described in the previous chapter. Specific food and nutrition policies (that may attempt to address more immediate causes of food insecurity) and other sector policies (commerce, education, rural development, industrial development, etc.), and fiscal and monetary policies affect the food and nutrition security situation of specific population groups.

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31 See Annex 1 of volume I for some relevant descriptions.

**FIGURE 2: Conceptual Framework for the Causes of Malnutrition<sup>32</sup>**



32 Adapted from Jonsson (1993).



The recently conducted food security and nutrition analysis in Zanzibar provides a good example<sup>33</sup>. The analysis was conducted using secondary data sources (survey data) complemented by information provided by key informants. The analysis was nevertheless quite comprehensive, conducted in relatively little time, and the findings and conclusions served as a basic input into the formulation of the Zanzibar Strategy for Growth and Reduction of Poverty, and the Zanzibar Food Security and Nutrition Policy and Programme.

#### **BOX 5.1 - Zanzibar Food Security and Nutrition Situational Analysis (2006)**

*The analysis was structured and covered four principal components: (a) national food availability, (b) food access, (c) food utilization, and (d) policy and institutional environment for food security. The first three were broken down by main components and for each component risk factors were identified. For example, the components of national food availability are: domestic food production (cf national food requirements), and food imports. Structural and others factors that resulted in a high reliance on imported foods and produce instability in domestic food production are: (i) environmental degradation; (ii) population pressures leading to farming on marginal lands; (iii) reduced soil fertility; (iv) climatic conditions (unreliable short rains); (v) dependence on rain-fed production systems; (vi) post harvest losses; and (vii) poor transportation infrastructure and inadequately developed marketing systems. Fluctuating conditions in international food markets on which Zanzibar relies for food imports further introduces instability in national food availability. The assessment of the policy environment reviewed the main focus of a number of sector policies (agriculture, water, land, fisheries, health) and development strategies as these relate to food security. The institutional assessment focused on the main government institutions and their roles related to food security and nutrition.*

In a human rights approach the primary concern is with ‘what ought to be’. An analysis that only aims to find out ‘what is’ and ‘why’ is by itself not sufficient. The above framework to guide the analytical work can be converted into a “what ought to be” framework by focusing on the ultimate aim on the top (rather than the problem) and subsequently the *conditions* that need to be present at different levels of analysis to achieve good nutrition. Thus, in the causal model above, the main outcome should be an optimal nutritional status as a result of adequate food intake and optimal health, both as permanent conditions. Equitable access to resources, transparent leadership, participatory policy formulation, discrimination-free control of resources should be included among the permanent basic conditions, in line with the rights-focused monitoring framework discussed in chapter 2.

A new and simple tool to measure household food insecurity from the perspective of household members has been developed and is currently undergoing testing and validation in a number of countries. This tool is attractive for rights-based monitoring

33 *Revolutionary Government of Zanzibar (2006).*

because it relies on people's perception of their food security status, rather than on statistical indicators. It focuses on households' access to food. The Household Food Insecurity Access Scale (HFIAS) was first developed in the United States<sup>34</sup>. The scale is derived from a total of nine questions, organised in three domains that cover the household experience with household food access (see box below). These domains have been found to have cross-country and cross-cultural validity. The instrument is adaptable to local languages and settings, and can be used in focus group discussions or interviews of household respondents. It is estimated to take no more than ten minutes to administer. The responses are categorised as to frequency and the reference period is usually four weeks. The sum of scores per question gives the total score ranging from 0 to 27, a mean and the distribution by classification (food secure, mildly, moderately or severely food insecure) can be obtained. The lower the score, the less food insecure the household tends to be. When repeatedly applying the tool in the same community or population, to monitor the impact on household food security status of a community-based action or programme, it is important to adjust for seasonality, i.e. always apply the tool during the same season(s). The seasonality effect on household food security can also be measured with this tool.

### **BOX 5.2 - Household Food Insecurity Access Scale**

#### **Domain A: Anxiety and Uncertainty about Household Food Access**

1. *In the past [4 weeks], did you worry that your household would not have enough food?*

#### **Domain B: Insufficient Quality (Includes variety, preferences and social acceptability)**

2. *In the past [4 weeks], did it happen that you or any household member were not able to eat the kinds of food you would have preferred because of lack of resources?*

3. *In the past [4 weeks], did it happen that you or any household member had to eat a limited variety of foods because of lack of resources?*

4. *In the past [4 weeks], did it happen that you or any household member had to eat some foods that you really did not want to eat because of lack of resources?*

#### **Domain C: Insufficient Food Intake and Its Physical Consequences**

5. *In the past [4 weeks], did it happen that you or any household member had to eat a smaller meal than you felt you needed because there was not enough food?*

6. *In the past [4 weeks], did it happen that you or any household member had to eat fewer meals in a day because there was not enough food?*

7. *In the past [4 weeks], did it happen that there was no food to eat of any kind in your house, because of lack of resources?*

8. *In the past [4 weeks], did it happen that you or any household member went to sleep at night hungry because there was not enough food?*

9. *In the past [4 weeks], did it happen that you or any household member went a whole day and night without eating anything at all because there was not enough food?*

*(Responses: never=0; rarely (1-2 times)=1; sometimes (3-10 times)=2; often (>10 times)=3)*

34 Swindale and Bilinsky (2006).

When the tool was applied in two provinces of Mozambique it was found that about 50 percent of the best-off households, 60 percent of the middle households and about 80 percent of the worst-off households were severely food insecure.

### **IDENTIFYING THE MOST NEEDY: VULNERABILITY ANALYSIS**

Vulnerability analysis (VA) is particularly relevant for rights-focused assessment and monitoring. Referring to the *Right to Food Guidelines*, and with specific reference to support for vulnerable groups (Guideline 13) the need is emphasised to “develop and identify corrective measures to be implemented both immediately and progressively to provide access to adequate food”. States are invited to “systematically undertake disaggregated analysis on the food insecurity, vulnerability and nutritional status of different groups in society, with particular attention to assessing any form of discrimination that may manifest itself in greater vulnerability to food insecurity, or in a higher prevalence of malnutrition among specific population groups...”.

The concept of vulnerability is discussed in some detail in Annex 1 of this volume. In brief, *vulnerability to food insecurity* refers to the presence of factors that place people at risk of becoming food insecure or malnourished, including factors that affect people’s capacity to deal with, or resist, the negative impact of risk factors on their access to adequate food and/or on nutrition conditions. Vulnerability thus combines exposure to one or more risk factors and the capacity to withstand the effects of a specific risk or risks (sometimes referred to as *resilience*). People or households that are exposed to certain risks but have adequate capacity to deal with those risks and maintain or quickly recover an adequate access to food, are not considered vulnerable. People or households that have little or no capacity to safeguard their access to food, even when confronted with the effects of a minimal risk factor, are considered vulnerable or even highly vulnerable. Risk factors can also aggravate the food insecurity condition of people or households who are already food insecure. Seen in this way, vulnerability is a continuum: at one extreme, food secure households that are capable of withstanding negative effects of being exposed to risks, and at the other extreme, food insecure households whose food insecurity deepens when exposed to new risks.

Targeting of groups that are vulnerable to food insecurity is essential in rights-focused approaches to the realization of the right to adequate food. These approaches involve establishing transparent and non-discriminatory eligibility criteria. Thus, rights-focused monitoring requires that the food insecure and vulnerable groups are clearly defined and identified to ensure that all those in need are included in actions to reduce food insecurity and vulnerability. VA can be an important tool in undertaking more comprehensive right to adequate food assessments, identifying target groups for policies and programmes, and monitoring their impacts.

## What is vulnerability analysis?

Vulnerability analysis (VA) can be used to identify, characterise, and monitor the realization of the right to adequate food in food-insecure and vulnerable groups. VA essentially attempts to find answers to the following questions:

- Who are the population groups vulnerable to food insecurity and/or malnutrition?
- Where are these groups located in the country?
- How many people belong to each group?
- What are the causes of food insecurity and malnutrition of these groups? And why are they vulnerable?
- What should be done to address those causes and reduce food insecurity and vulnerability in these groups?

### **BOX 5.3 - Vulnerability Analysis in Zanzibar, United Republic of Tanzania**

*In a 2003 vulnerability analysis conducted in Zanzibar a number of livelihood areas were identified: (i) fishing and tourism, (ii) semi-coral fishing, (iii) clove-dependent areas, and (iv) peri-urban zones. In the semi-coral fishing areas (with a total population of about 33,000 people), expansion and improvement in farming are limited by access to land as a significant portion of the land is made up of coral-based soil which is unproductive. Households either depend for income on firewood collection and charcoal production, or on fishing.*

*In the lowest wealth group 60 to 80 percent of household income comes from firewood collection and charcoal production. These households depend on food purchases and on average spent 70 percent of income on food. The major risk factors these households face are: (a) price increases of basic food commodities, and (b) enforcement of or changes in laws with respect to firewood collection and charcoal production.*

*Fishing households are less vulnerable and are generally better off, and supplement incomes with seaweed production. These households also face risk factors that include: changes in the market price of fish and in fish catches. Alternative livelihood options have to be found for the first group of households, while the productive capacity of the poorer fishing households need to be improved through better equipment and technical know-how.*

Specifically, VA as a rights-focused monitoring tool can ascertain whether:

- Food, nutrition and other programmes, projects and interventions are efficiently targeting food insecure and vulnerable groups, in line with the established eligibility criteria.

- The positive impacts of food, nutrition and other policies, programmes, and norms capture the food insecure or vulnerable groups, and protect these groups from any negative impacts.
- The impacts of policy measures, programmes and norms and standards increase or decrease the food insecurity and/or vulnerability of these groups.
- The design and content of policy measures, programmes and other interventions effectively and sustainably address causes of food insecurity and vulnerability of these groups.

As a methodological tool, VA builds on all existing data and information, and on local knowledge. As a rights-based monitoring tool, VA tries to involve many different stakeholders and rights holders or their representatives, and uses relatively simple methods, with quantitative methods complementing qualitative ones. It is an action-oriented tool that generates, analyses and interprets information that helps identifying follow-up actions, from grass roots to national levels. The VA process, when rights holders participate, can contribute to their empowerment, and to a constructive dialogue between people and authorities.

The VA method identifies and then classifies vulnerable groups based on a set of common characteristics that help explain why they are food insecure or vulnerable to food insecurity. The characteristics of the livelihood system is important since inherent factors in that system may cause the vulnerability. Understanding the livelihood system also points to the capacity of a certain group to handle external factors that tend to impact negatively on food security conditions.

Vulnerability analysis consists of *vulnerability situation analysis* complemented by *causal analysis*. The repeated application of vulnerability situation analysis monitors primarily changes in vulnerability outcomes. It can be used for monitoring programme targeting of population groups based on the relative severity and likelihood of food insecurity outcomes, often relying on indicators constructed from secondary data. A causal analysis usually involves primary information/data collection, and often also entails a contextual analysis, particularly at subnational including community levels. Causal analysis is explained in greater detail below.

Vulnerability situation analysis monitors and analyses household livelihood conditions, household food access and consumption, and nutrition outcomes during longer or shorter periods of changing climatic, demographic, socio-economic and environmental conditions. It is a dynamic process that can be linked to action. From a vulnerability perspective, the concern of food security policy and programmes broadens from efforts to address the current constraints to food access and improved levels of well-being, to addressing likely threats to current and future levels of food access, livelihoods and general well-being. Food insecurity vulnerability explicitly takes account of the positive and negative aspects of indigenous patterns of behaviour by food insecure and vulnerable

households, and of how households cope with and consolidate livelihood activities during stressful times, and then recover during normal times. The final aim is to identify effective long-term strategies to support livelihood activities and curtail household behaviour that increases food insecurity.

The steps to undertake a vulnerability analysis are similar as those described for a causal analysis as part of a food and nutrition security situation analysis:

- Construct an approximate causal model using existing knowledge and documentation about food and nutrition problems in the country, based also on a common understanding of what food and nutrition security mean<sup>35</sup>, or adapt an existing general model (see below) to reflect the core content of the right to adequate food.
- Identify information needs to measure the causal linkages and outcomes of the model; decide on what information gathering techniques to apply.
- Obtain the needed information to the extent available and complemented by additional information gathering efforts.
- Conduct an analysis of the information guided by the causal model.
- Synthesise findings and conclusions with respect to the core content of the right to adequate food, the causes of why parts or all of the core content are not met, and what needs to be done about the discrepancy by way of follow-up actions.

We shall focus here on two of these steps: construct an approximate causal model and decide which information gathering methods to apply.

### **Vulnerability framework**

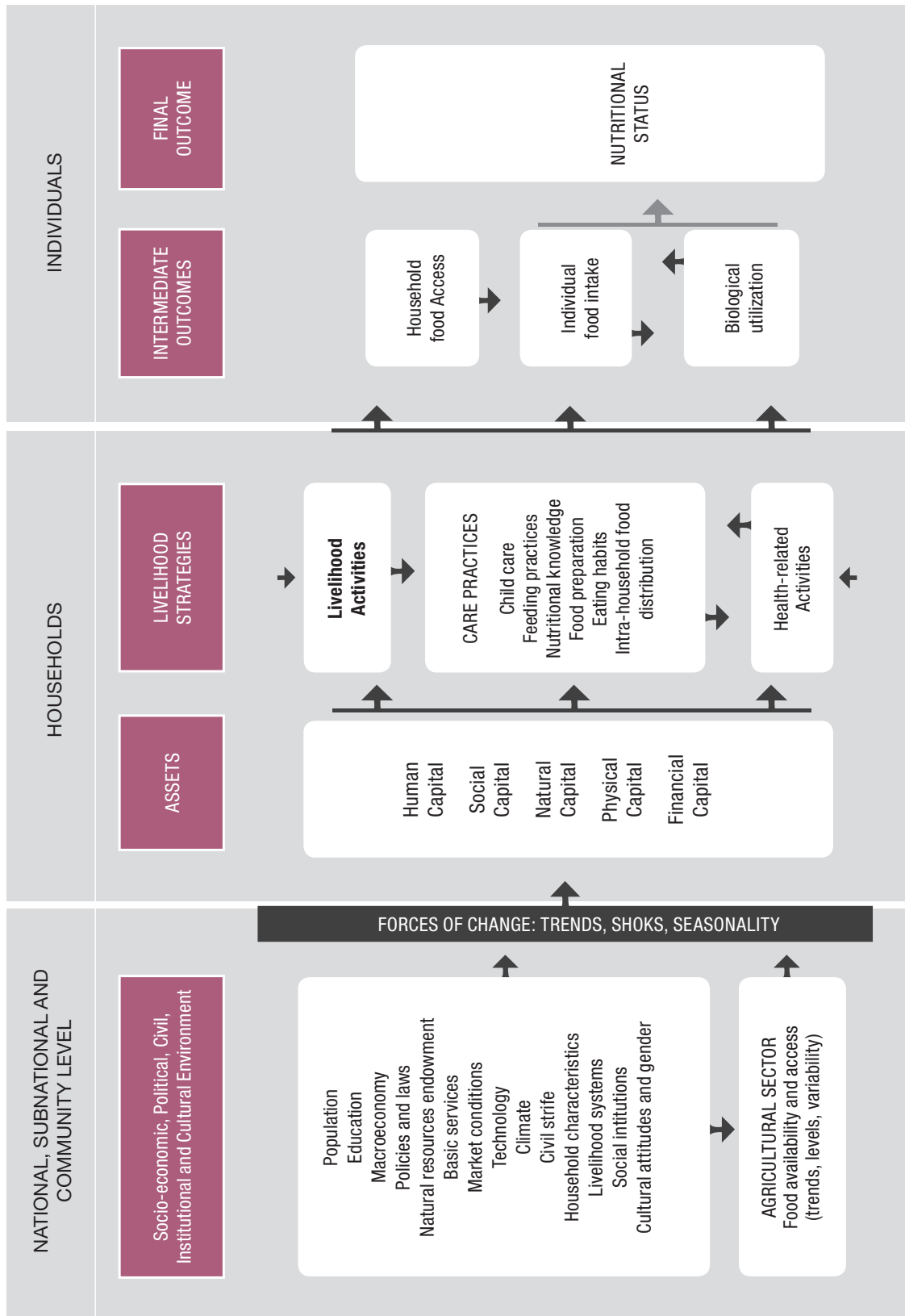
To start off a causality analysis, it is helpful to have a comprehensive framework. A food security-livelihood framework (FSL) can guide the analysis by identifying causes that explain why a given vulnerable group is food insecure or vulnerable to food insecurity. An example of such a framework is presented below. This may be a helpful starting point for in-country VA assessment and monitoring teams to develop a framework that reflects best food insecurity and vulnerability conditions in a particular setting. Food insecurity and vulnerability causes are divided into immediate, basic and root causes, similarly to the framework presented in chapter 2 above. In general, immediate causes are those that are close to the household or individual and more amenable to technical solutions, while basic and root causes are more removed, and are more of a structural nature. A FSL framework:

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<sup>35</sup> See Annex 1 of volume I for some relevant descriptions.

- Postulates that livelihood strategies and activities are direct determinants of food security outcomes, which is why the capacity to withstand food security risks is explicitly addressed in this framework by analysing household strategies and practice to preserve assets and livelihood.
- Addresses explicitly how ‘external shocks’ and structural factors of political, demographic, socio-economic, institutional and environmental nature influence food insecurity.
- Provides a people-focus that takes the household and household strategies as part of the analytical framework, identifies vulnerable population groups, and generates information that helps target actions which take full account of people’s capacity to withstand risks, and specifies risks faced by different vulnerable groups.
- Uses the household as the unit of analysis, and analyses the household in a macro-context that takes into account exogenous ‘forces of change’ (causing trends and negative impact (‘shocks’) and ‘mediating factors’ that may help resolve situations of food insecurity. The level of household assets endowment, and thus wealth distributions among households, needs to be described and analysed taking account of the analytical links between household and macro-contextual factors. This provides a conceptual basis for causal analysis with respect to basic causes of food insecurity and poverty.
- Recognises that within-household activities, including intra-household food distribution practices, also constitute potential risk factors for individual food intake, health and nutritional status.
- Includes policies, programmes, socio-cultural factors and laws and regulations as part of the macro-context of the household, as these may be sources of structural and/or acute risks.
- Recognises the structural and political factors in the micro-environment of the household, i.e. the community setting, in terms of risks and opportunities for household livelihood strategies and activities.
- Addresses the food availability component of food security, in terms of its macro- and micro determinants of risk factors and structural constraints of the social, political and cultural environment.

**FIGURE 3: Vulnerability Framework: Food Security and Livelihoods**





Ideally a food security-livelihood framework such as the one above should be developed for each identified vulnerable group, introducing specific modifications as appropriate. Group-specific frameworks will often have most elements of the macro-environment in common, so that modifications are more at the household level of the framework.

#### *Gathering information for vulnerability analysis*

Information for the identification and characterisation of food insecure and vulnerable groups can be obtained by both formal and informal methods. The formal method relies on quantification statistical analysis and survey techniques to generate data. These data are not easily accessible and intelligible for the vulnerable groups themselves and thus offer little opportunity for rights-based monitoring.

Informal methods may include brainstorming sessions with vulnerable groups, in-depth document review, interviews with key informants and on-site rapid appraisal surveys. These methods may be less rigorous but should as far as possible follow standard methodological rules of data verification and reliability of data that are being collected. They have the advantage of allowing direct communication with members of the vulnerable groups themselves and can capitalise on the local knowledge and experience of different stakeholders. They may be less costly and time-consuming than quantitative methods, they will help shorten the time between analysis and decisions about actions due to the physical proxy to the problems analysed and assessed.

‘What to do’ questions may be easier to interpret and respond to with more actors gathered together. A combination of formal and informal methods is often recommended as indicated below. Each of these methods is described in greater detail in chapter 8.

#### **BOX 5.4 - Information Gathering Methods for Vulnerability Analysis**

##### **Informal Methods**

- *Brainstorming sessions.*
- *In-depth document review.*
- *Interviews with key informants.*
- *On-site rapid appraisal surveys.*

##### **Formal Methods**

- *Surveys and statistical analysis of survey data.*

## MONITORING POLICY IMPACTS FROM A HUMAN RIGHTS PERSPECTIVE

Throughout the *Right to Food Guidelines* policies towards food and nutrition security are called for that are consistent with human rights principles and that will enhance the realization of the right to adequate food. For example, “...states should pursue inclusive, non-discriminatory and sound economic, agriculture, fisheries, forestry, land use and land reform policies...” (Guideline 2.5); “states should provide information to individuals to strengthen their ability to participate in food related policy decisions that may affect them, and to challenge decisions that threaten their rights” (Guideline 11.5); “...process indicators could be so identified or designed that they explicitly relate and reflect the use of specific policy instruments and interventions with outcomes consistent with the progressive realization of the right to adequate food...” (Guideline 17.4).

This section presents a framework for policy impact analysis that specifically concentrates on the *distributional effects* of policy impacts. Equity in policy impact, particularly how policies affect the food insecurity and vulnerability conditions, and impact on vulnerable groups, are prime human rights concerns. Some key questions are:

- To what extent do specific policy measures contribute to the realization of the right to food, especially among the food insecure and vulnerable population groups?
- To what extent do specific policy measures adversely affect the realization of the right to food?
- Are policy outcomes in line with state obligations to respect, protect and fulfil the right to food?
- Are specific policies designed and implemented so that they are inclusive, non-discriminatory, and allow for broad-based participation?

One analytical approach that seems particularly well suited for policy impact analysis from a human rights’ perspective and for rights-focused monitoring is *Poverty and Social Impact Analysis* (PSIA). PSIA is an overarching analytical framework to study impacts of policy measures on the wellbeing of different population groups, particularly the poor and vulnerable.

A number of methodological tools can be applied under this analytical framework, some of which are discussed elsewhere in this volume. PSIA can be an important tool for monitoring the realization of the right to adequate food, and the impacts of food security policy measures, because it emphasises the distributional effects of policies.

In particular the following the question can be asked: how is the food security and vulnerability of specific groups (gender, age, livelihood) affected by specific policy

measures and what policy options or alternatives exist to reduce food insecurity and vulnerability among the poor<sup>36</sup>?

### Policy impact analysis

PSIA can be undertaken before, during, or after a particular policy measure has been implemented. Prior to implementation, PSIA can provide important information for policy formulation. For monitoring purposes the analysis would be applied during and after policy implementation. Monitoring of existing policies can also contribute to an *ex ante* policy analysis for a newly proposed policy, and so warn of potentially *adverse* impacts on the food insecure and vulnerable, for example. A policy impact analysis can also contribute important information for the assessment of policy framework of the right to adequate food (chapter 4 above). The process of conducting a PSIA is meant to be participatory, to include relevant stakeholders, and provide for broad dissemination of the analytical results and conclusions, and so contribute to public policy debates. Participatory methods of gathering information can be applied, as discussed below. Country level experience with the application of PSIA demonstrates that the analysis can often be undertaken with existing information and with both quantitative and qualitative analytical methods.

#### *Step-wise application of PSIA*

As a methodological framework, PSIA points to a number of steps to be implemented in the analytical process. These steps are not all necessarily sequential in the order in which they are presented below. The results of one step may necessitate revisiting a previously implemented step. These steps can be summarised as follows:

#### **Step 1:**

Identify the policy or policy package to be analysed, or the proposed policy changes in an *ex ante* analysis.

#### **Step 2:**

Build a consensus among stakeholders about the analytical questions that the analysis is to address, and articulate these questions clearly and in such a way that the analysis can provide clear conclusions. As the analysis progresses, the questions may have to be re-visited again.

#### **Step 3:**

Identify the stakeholder groups, i.e. the rights holders who are likely affected by the policy (they may or may not be the explicit target group(s) of the policy), and those with

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<sup>36</sup> PSIA was not specifically developed to analyse food and nutrition policies. We are introducing this adaptation here. This seems justified as poverty and social effects of policies are closely linked to the realization of the right to adequate food, and other economic and social rights. In consulting some of the reference sources, it is necessary to keep in mind for what purpose the PSIA was developed and how it has been applied at country level to support that purpose.

specific responsibilities related to the implementation of the policy, as well as groups and organizations that relate to the policy without specific responsibilities (such as policy advocacy groups, public education organisations, etc).

**Step 4:**

Build or adapt an analytical model that hypothesises how the policy will affect or has affected the food security and vulnerability conditions of specific rights holder groups, and what the behavioural responses by each group will be or are to the policy. The model should define the so-called ‘transmission channels’, i.e. through which intermediary factors the policy is likely to affect the final food security and vulnerability outcomes in different groups. Particularly relevant transmission channels may be livelihood strategies and activities, and households’ behaviour vis-à-vis their assets<sup>37</sup>. As the analysis progresses, this analytical model may have to be re-visited again and adjusted.

**Step 5:**

Conduct an assessment of the institutional and political environments of the policy to understand how these affect policy implementation, and the risks implied as well as other economic risks that may adversely affect policy impacts over time in contrast to intended impacts. The institutional environment can include public sector organizations, civil society and/or commercial sector institutions. The likelihood of risks occurring, and their magnitude, must be assessed. The capacity of the government institution(s) that are implementing the policy should also be assessed and monitored.

**Step 6:**

With these analytical elements defined, an inventory of existing sources of data and information can be made and assessed, information gaps identified, and information gathering and analytical methods (see below) can be decided upon.

**Step 7:**

Once a first round of analysis has been completed, some of the previous steps may have to be re-visited and the analysis continued.

**Step 8:**

When monitoring the policy’s impact over time, the analysis is to be repeated at certain intervals, including the assessment of risks which may change over time. Depending on the conclusions of the analysis, recommendations are raised with respect to policy re-formulation or compensatory measures to offset the policy’s negative impacts on the food insecure and vulnerable.

With this vision of the PSIA process, it is easy to see where some of the methodological tools presented in this volume fit in. Vulnerability analysis can be

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*37 More details may be found in the section on vulnerability assessment above. The more ‘economist orientation’ of the analysis originally emphasised the following transmission channels: employment and wages, market prices, access to goods and services, ownership of household assets, and transfers and taxes. These may of course still be valid to the extent that they reflect livelihood strategies and activities. For example, the first two are relevant to the urban food insecure and the rural landless.*

applied to identify the food insecure and vulnerable, and can contribute to the analytical framework because it can help identify some of the transmission channels through which the policy may impact on the food security status of the vulnerable groups. The vulnerability analytical model also identifies the risks to food security faced by different vulnerable groups. The relevant transmission channels of policy impacts will vary from group to group. Role and capacity analysis can usefully be applied to define and monitor the institutional environment of the policy, while public budget analysis can help monitor the political environment of the policy as reflected in relevant budget allocations and expenditures. Finally, information gap analysis can be applied to identify relevant sources of existing information and information gaps to monitor policy impacts (chapter 7).

### *Additional considerations*

In deciding how to focus the analysis of the impacts of a particular policy or set of policies, it is important to bear in mind the following:

- Policies have generally both direct and indirect impacts.
- Policies can have impacts in the short-term as well as in the long-term.
- There are two dimensions to policy impacts: magnitude and distribution.

Narrowly focused policies where the policy impacts pass through few transmission channels, are likely to have few indirect impacts. Social safety net policies, or a food and nutrition policy, fall into this category particularly when well targeted. Broader policy initiatives such as agricultural reform policies, and general trade, or fiscal and monetary policy reforms, will typically have significant indirect impacts. Short-term impacts assume no behavioural responses by those affected by the policy. In the longer term, however, affected households may respond by adjusting their livelihood strategies and activities in response to the immediate policy impacts, with the behavioural responses producing further impacts or modifying the initial ones. Thus in monitoring a given policy, it is important to know how long the policy has been in effect, and to include in the impact analysis longer-term impacts for policies that have been in effect for some time. The same is true when strong behavioural responses to initial policy impacts in affected groups are evident, or suspected. When undertaking an ex ante policy impact analysis, the focus is probably more on short-term impacts, as behavioural responses are hard to predict in advance.

Rights-focused monitoring should capture both the magnitude and the distribution of the policy impacts among different groups. Simply monitoring the average impact over time is not sufficient, and the analysis should allow measurement of differentiated magnitudes of policy impact among different groups. These groups can be defined by gender, income levels, livelihood characteristics, location, food insecurity vulnerability ranking, etc. For example, the impacts of educational policy reforms in Mozambique were assessed by location and gender (World Bank,

2006). The question of indicators to monitor policy impacts is critical. The policy impact monitoring framework should include indicators that cover the following:

- Transmission channels of the policy.
- Specific assumptions that underpin the conceptual-analytical framework about underlying causes, and how the policy impacts on these.
- Intermediate impacts that can be monitored frequently so that policy adjustment; proposals can quickly be made, even if the final policy impacts take longer to monitor or assess.
- Major risks to policy implementation and impacts, i.e. risks that are specific to policy implementation, and risks that may affect policy impacts.
- Indicators related to gender.
- Other indicators that help identify vulnerable groups, in order to understand the policy impact on each group.

The human rights and statistical criteria presented in chapter 3 also apply here in selecting indicators for the policy impact analysis. The choice of indicators should be guided by what indicators already exist or are being applied.

### **Analytical tools**

Special analytical tools that have been applied in PSIA and that are particularly relevant for rights-based monitoring include:

- Gender analysis.
- Social impact analysis.
- Participatory poverty assessment.
- Incidence analysis.
- Public expenditure tracking and quantitative service delivery surveys.
- Poverty mapping (see chapter 9).

It is beyond the scope of this volume to describe each of these analytical tools in detail<sup>38</sup>. These methods produce results that are consistent with human rights approaches. For example, incidence analysis is usually applied to estimate the distributional incidence on household income or expenditures of a policy change

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<sup>38</sup> For further details, consult the reference sources listed at the end of this chapter, and reference sources quoted therein.

across various groups. Thus, it produces results that tell a story related to the equity question of policy impacts. Examples of in-country applications include the impacts of fiscal policy changes, policies to increase access to public utility services, and educational expenditure policies. As an illustration, certain parts of an ex ante PSIA conducted in Malawi are briefly described below<sup>39</sup>. It concerns proposed policy and institutional changes related to marketing of agricultural products and inputs. A particular concern was the impact on food security among food insecure households through changes in maize marketing, maize being a basic staple food. Although the analysis looked at different aspects, we highlight here the part of the PSIA that assessed the potential impacts on subsistence farmers in remote areas of implementing these policy and institutional changes.

### **BOX 5.5 - Changes in Agricultural Marketing Policies in Malawi**

*The Agricultural Development and Marketing Corporation (ADMARC) besides its mandate of marketing agricultural products and inputs, also has a food security role through its interventions in maize markets and its network of maize distribution centres, including in remote rural areas without access to major roads. This role involved buying maize at reasonable prices, specifically from subsistence farmers, and selling maize during periods of scarcity. The proposed policy changes meant that ADMARC would withdraw from buying and selling of maize, and let private sector traders fully assume this role. The PSIA findings indicated that:*

- *ADMARC marketing facilities provide rural households, particularly in remote areas, with important access to marketing channels to sell products, buy inputs and purchase maize for household consumption, thus having a beneficial effect on household welfare.*
- *If ADMARC would withdraw from these marketing functions, reliance on private traders would have a negative impact on smallholder farmers as these traders seek high profit margins offering substantially lower prices while prices also fluctuate substantially over time and between locations; returns to small-scale farmers would significantly be reduced.*
- *Private traders only purchase maize, but do not sell maize or agricultural inputs, thus if ADMARC withdrew from buying and selling maize, household access to maize during lean seasons would be severely reduced.*

*As a result of these findings and conclusions, several alternative policy options were proposed that would (i) maintain the food security role by ADMARC but improving its operating efficiency and limiting its intervention to remote rural areas, or (ii) solicit tenders by private enterprises to establish social marketing programmes for maize. This part of the PSIA employed qualitative information gathering techniques: participatory rural appraisals, focus group discussions, and key informant interviews. Participatory learning techniques were applied to establish household wellbeing categories, poverty dynamics and how households related to the ADMARC marketing services.*

<sup>39</sup> Kutengule, M, Nucifora, A. and Zaman, H. Malawi. Agricultural Development and Marketing Corporation Reform, in World Bank (2006).

## Relevant information gathering tools

Different information gathering tools can be relied upon for PSIA. A list is provided below (Box). It is clear from this list that there are normally opportunities to make the monitoring process rights-based by incorporating participatory methods. National surveys as mentioned above are most likely not conducted for the express purpose of conducting policy impact analysis. They nevertheless provided useful and relevant data that can be used for this purpose. In the case of Malawi above, an integrated household survey was used for quantitative analysis. Statistical analysis can normally be applied to survey data, which facilitates generalisation of findings and provides a quantitative estimate of the magnitude and distribution of the policy impacts, but may be costly and time-consuming. Participatory methods are better adapted to different socio-cultural settings and can capture behavioural responses and perceptions that people have about, for example, food insecurity and vulnerability; complementing quantitative measurement. Information collection methods are further discussed in chapter 8.

### BOX 5.6 - Information Gathering Methods for Vulnerability Analysis

#### Open-ended surveys and instruments

- *Open-ended or semi-structured interviews of key informants.*
- *Focus group discussions.*
- *Participatory appraisals.*
- *Direct beneficiary interviews.*
- *Participatory ethnographic observation.*
- *Community mini-surveys.*
- *Document reviews.*

#### Close-ended surveys with structured, predesigned questionnaires

- *Living standards measurement surveys.*
- *Demographic and Health Surveys.*
- *Multiple Indicator Cluster Surveys.*
- *Health and nutrition surveys.*
- *Social impact assessment surveys.*
- *Household income and expenditure surveys.*
- *Client satisfaction surveys/ Citizen report cards.*

## RIGHTS-FOCUSED PROGRAMME ASSESSMENT AND MONITORING

Programmes and policies are linked. Programmes put into effect a set of activities that aim at achieving certain policy goals and objectives. Programme assessments and monitoring usually examine the impacts programmes have or have had in relation to their stated objectives. Such assessments may also look at



operational aspects of the programme in order to detect operational issues that result in the programme not performing as anticipated. For example, unanticipated programme costs may trigger an operations assessment. Operations assessments may also have been included in the programme design, and may be undertaken more frequently than programme impact assessment or monitoring. A simple assessment and monitoring approach is presented here. Its application for the assessment and monitoring of a specific programme is illustrated in Annex 4. In this case, school-based feeding and nutrition programmes are taken as the example. How this approach can fit into a more conventional programme assessment and monitoring framework is also demonstrated.

The approach<sup>40</sup> can be characterised in that it:

- Focuses both on implementation processes and outcomes of the programme, following a rights-focused monitoring approaches.
- Distinguishes between elements in the programme's external environment and in the internal or within programme environment.
- Divides the total programme assessment and monitoring domain into specific thematic modules that stress human rights concerns and issues.
- Allows for participatory information gathering methods, thus making the assessment and monitoring process rights-based.

#### *A modular approach*

There are a number of good reasons for taking a modular approach:

- Depending on the assessment/monitoring questions for which answers are sought, it facilitates deciding what information to include. For example, a quick reconnaissance of what problems need to be addressed may guide the selection of the modules to include.
- The initial programme assessment may identify implementation problems and/or programme impacts that do not conform to human rights principles and will thus lead to proposals for remedial actions. In monitoring the implementation of remedial actions and their effects it may not be necessary to repeat the whole assessment and analysis, and thus monitoring can be done involving only the relevant modules.
- The macro-environment of the programme may be less subject to change over time than within programme factors (unless specific actions are implemented

<sup>40</sup> The approach here builds and expands on a similar approach contained in an assessment tool developed for community-based food and nutrition programmes, which contained four major modules: (i) programme design, (ii) programme macro-environment, (iii) programme micro-environment, and (iv) programme sustainability (FAO, 2005).

to change the macro-environment as a result of the initial assessment). This means that the macro-environment and certain dimensions of the programme's internal environment that do not frequently change need not be monitored as frequently as programme dimensions that are subject to more frequent changes.

The contents of each module will be described below. It should be emphasised that this generic outline should be tailored to specific assessment and monitoring questions that are involved in each case. For example, programme managers may place greater emphasis in monitoring programme implementation and operations, and the programme's external environment for changes that impact on the programme's operations.

Policy planners and legislators may have a greater interest in monitoring programme impacts. Groups that represent programme beneficiaries as rights holders may place greater emphasis on monitoring programme implementation, including the application of the programme's normative basis, and programme impacts, in addition to social control mechanisms and recourse instruments. The specific content of each module will also vary with the type of programme to be assessed and monitored (see Annex 4) and with the specific external environment faced by the programme.

### **Programme Assessment and Monitoring Approach Organised by Modules**

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#### **◆ Programme External Environment**

- MODULE 1: FOOD AND NUTRITION SECURITY SITUATION
- MODULE 2: POLICY, LEGISLATIVE AND BUDGETARY FRAMEWORK OF THE PROGRAMME
- MODULE 3: INSTITUTIONAL FRAMEWORK OF THE PROGRAMME
- MODULE 4: NORMS AND STANDARDS OF THE PROGRAMME
- MODULE 5: SOCIAL CONTROL MECHANISMS
- MODULE 6: RECOURSE INSTRUMENTS AND INSTITUTIONS

#### **◆ Programme Internal Environment**

- MODULE 7: PROGRAMME DESIGN
- MODULE 8: PROGRAMME DUTY BEARERS
- MODULE 9: PROGRAMME IMPLEMENTATION AND OPERATIONS
- MODULE 10: PROGRAMME INTERNAL AND EXTERNAL IMPACTS

## ◆ Programme External Environment

The programme's external environment refers to the environment within which the programme is implemented, and with which the programme interacts. The programme's design and implementation processes, as well as its impacts, are conditioned by political, socio-economic, legal, regulatory, institutional and other factors. These may be influenced in the long run by the way the programme is managed and operated, and by the impacts it has. But more likely, their relationship with the programme is uni-directional in the short and intermediate term, i.e. they must be understood and be taken as given.

### MODULE 1: FOOD AND NUTRITION SECURITY SITUATION

This module captures what the main food security and nutrition problems are. It finds answers to who, where and why questions. Thus, the results of a *vulnerability analysis* will provide needed answers. In the case of clearly targeted programmes more emphasis in the analysis should be placed on groups at whom the programme is targeted. For example, if the programme is a school feeding programme, the food and nutrition problems of children between 6 and 14 years of age are the most relevant. For an integrated rural health and nutrition services programme, the food and nutrition problems of resource-poor rural households are the most relevant. Crucial is the *causality analysis* in identifying underlying causes for food insecurity and vulnerability in specific groups. This provides a yardstick with which to assess whether the programme design and implementation processes effectively attempt to address one or more underlying causes in the targeted population group, and consequently can be expected to impact on reducing food insecurity and vulnerability, and contribute to more people enjoying the right to adequate food.

### MODULE 2: POLICY, LEGISLATIVE AND BUDGETARY FRAMEWORK OF THE PROGRAMME

This module identifies the policy basis for the programme, what legislative mandate exists for the programme, and how the programme is funded. This information helps to understand the programme design (for example, programme objectives reflect objectives of a national food and nutrition policy), and helps with monitoring programme impacts against policy objectives. *Public budget analysis* can be applied to monitor programme allocations and actual disbursements, which may impact on programme implementation. Understanding and monitoring the programme's policy, legislative and budgetary framework is part of monitoring the programme's sustainability.

### MODULE 3: INSTITUTIONAL FRAMEWORK OF THE PROGRAMME

This module aims to provide an understanding of which institutions at which levels are involved in the programme, what their roles and responsibilities are and monitors their capacity to support externally the programme. *Role and capacity*

*analysis* methods should be useful here, particularly in identifying external duty bearers who have responsibilities that indirectly impact on programme design and implementation. Examples are normative staff at line ministries, members of inter-institutional committees that deal with food security and nutrition issues, planners and public budgeting staffs. Inter-institutional linkages should be understood and monitored, particularly when the programme offers services that cover several sectors, like an integrated food and nutrition programme.

#### **MODULE 4: NORMS AND STANDARDS OF THE PROGRAMME**

Most programmes have a normative basis that should be reflected in its design as well as in its implementation processes. These norms and standards, which are externally defined, need to be known and understood, so that they can be assessed from a human rights point of view, and are taken into account when monitoring programme implementation. Norms and standards can cover any or all of the following: programme beneficiaries (providing a basis for programme targeting), programme administration, accounting procedures, levels and quality of goods and services the programme offers, programme operating procedures, design of facilities in which programme services are offered, staffing levels and composition, per beneficiary funding levels, etc. The human rights principles that most apply to this module are *transparency*, *accountability* and *non-discrimination*. Do applicable norms and standards reflect transparency in programme procedures and operations? Are they inherently discriminatory, that is, when interpreted and applied correctly can they lead to discriminatory practices? Do they provide the basis for holding programme managers and staff, as well as persons external to the programme, accountable for not implementing the norms and standards?

#### **MODULE 5: SOCIAL CONTROL MECHANISMS**

What institutions, organizations or bodies exist outside of the programme that can, or that have the obligation to, monitor the programme's operations and impacts? What mandate do these have, and who has provided this mandate? Can these recommend or impose remedial actions when shortcomings are detected? For example, in Latin America is it common to find school feeding committees at school level, made up of school staff, parents and community members that provide some level of supervision. In Peru school feeding committees (normally with membership of: school director, one teacher, two parents, optional: 6th grade student and community representative) provide supervision of the canteen, stocks, menus and student participation.

#### **MODULE 6: RECOURSE INSTRUMENTS AND INSTITUTIONS**

In some cases it may be possible for programme beneficiaries to bring a legal or quasi-legal claim against the responsible institutions when they are not receiving their entitlements. Such claims may then be presented to a human rights institution, ombudsperson or, in some countries, the law courts. Whether

a legal claim can be presented depends on whether the right to adequate is formally recognised as a justiciable right. To date this is the case in few countries. Claims may allege discrimination, non-performance by programme staff, or/and non-adherence to established programme norms and standards. Critical is for programme beneficiaries and their representatives to have adequate access to information about the programme to formulate claims. For example, in Brazil each person has the right to denounce irregularities in the school feeding programme to the Fundação Nacional de Desenvolvimento Escolar, Conselho de Alimentação Escolar, Tribunal de Contas da União, Secretaria Federal de Controle Interno, or Ministerio Publico.

#### ◆ Programme Internal Environment

The programme's internal environment refers to all processes that occur as part of the programme's implementation, starting with designing the programme and deciding on what it will offer and to whom. The human rights principles that are applicable in assessing and monitoring the programme's internal processes are *equality, non-discrimination, transparency, accountability, empowerment and participation*.

### MODULE 7: PROGRAMME DESIGN

The programme design needs to be assessed as to whether the programme addresses one or more of the underlying causes of food insecurity and vulnerability in a specific population group, as identified by causality analysis. A programme may be ineffective because it attempts to address irrelevant causes. Thus, the programme design should be linked to the findings of the vulnerability analysis of Module 1. Components of programme design that should be assessed include: intended programme impacts, programme objectives and strategies, defined target groups, targeting scheme and criteria, operational procedures, participation by rights holders (or their representatives), human and financial resources, and funding mechanisms. Programme monitoring should cover the actual introduction of those changes if changes are proposed as a consequence of monitoring.

### MODULE 8: PROGRAMME DUTY BEARERS<sup>41</sup>

Programme duty bearers refer to all those who have direct responsibilities for programme implementation and operation. Included here would be programme supervisors and managers, and technical and professional programme staff. When the programme is implemented at community level and/or in partnership with local government, local authorities, community leaders also become duty bearers with respect to the programme. The role and capacity analytical approach

<sup>41</sup> Modules 3 and 8 can also be combined, as the distinction between external and internal duty bearers may be somewhat artificial in certain cases. In the application in Annex 4 the two modules are effectively integrated.

can again be applied here. An important issue is what the role and responsibilities are of parents, family or caregivers, when the programme targets children, the elderly, or those suffering from health problems. The responsibilities are different from those of programme staff or local authorities, and capacity to assume those responsibilities may often be low. From a human rights' perspective, it is easily argued that the programme should in partnership with families define the latter's role, and agree how the programme can contribute to strengthening the families' capacity to assume those responsibilities.

## MODULE 9: PROGRAMME IMPLEMENTATION AND OPERATIONS

This module outlines the basis on which the internal implementation processes and programme operation can be assessed and monitored. Some key elements may include:

- Degree of conformity of programme operations with norms and standards the programme is to adhere to (Module 4).
- Geographic diversity in programme implementation methods and operations.
- Targeting efficiency – who is included, who is left out, from the target group?
- Programme monitoring, impact on decision making and programme operations.
- Participation in programme decision-making and/or operations by rights holders (of the target group or not) or their representatives.
- Recourse mechanisms: how well the recourse mechanisms (Module 6) are functioning, what is the effective access to these mechanisms, and do they actually provide remedies in case of violations or when claims are brought.

## MODULE 10: PROGRAMME INTERNAL AND EXTERNAL IMPACTS

Programme impacts may be confined to intended target groups, but may also extend to unintended groups (external impacts). The programme may also impact on aspects of its external environment, intended or not intended. For example, the programme once implemented may contribute to a change in certain norms and standards that are also applicable to other programmes. The findings and conclusions regarding the programme's impacts should be linked back to the findings with respect to the programme's internal and external environment. When the programme's impacts are actually ineffective in reducing food insecurity and vulnerability among specific population groups, for example, and/or the actual distribution of programme benefits are not equitable, this may be due to such internal factors as: (i) inadequate programme design, (ii) discriminatory eligibility criteria, (iii) poor programme targeting, (iv) inadequate levels and poor quality of good and services, (v) poor capacity of programme duty bearers, (vi) non-participation by rights holders, (vii) ineffective application of norms and standards, and/or (viii) funds

disbursement not consistent with the programme's budget. Changes in the external environment of the programme can also be responsible. Intended or unintended non-food impacts should also be assessed and monitored, such as both positive and negative impacts on rights holders' empowerment, for example. One word of caution. It is problematic to extend the programme monitoring to include final outcomes. This is due to the so-called *attribution* problem, or sometimes referred to as the *attribution gap*<sup>42</sup>. Final outcomes, such as a change in the number of measured right to food violations, or an improvement in people's well being, are likely to be due to a number of factors and changes, some or most over and beyond the programme's impact. Consequently, it is not valid to attribute any such changes just to the programme. This would require a complex analysis in which factors external to the programme be identified that also impacted positively or negatively on the programme's intended outcomes, and separate their effects from those of the programme. An example from the Philippines is presented in the box<sup>43</sup>. The assessment of the LAKASS Programme was not conducted from a human rights' perspective. However, there are findings that touch on human rights principles and these are highlighted in the Box below.

#### **BOX 5.7 - LAKASS (Lalakas ang Katawang Sapat Sa Sustansiya) Programme, Philippines**

*The LAKASS Programme, coordinated by the National Nutrition Council of the Philippines, aims to improve nutrition in municipalities with a high prevalence of undernutrition in under-five children, through the provision of effective and sustainable services to the community. The National Nutrition Council is the main policy making body for nutrition, and formulates the National Plan of Action for Nutrition which mandates systematic collaboration between national and local government, NGOs and the business sector. The LAKASS Programme is a component of the National Plan of Action for Nutrition. The 1991 Local Government Code is conducive to promoting popular participation in community development. Specific neighbourhoods in 175 of the poorest municipalities were targeted. Community involvement in project identification, implementation and management was an integral part of programme design, which was also based on an in-depth analysis of the causes of child malnutrition at community and household levels. Community participation was initially motivated by material gains, but in time communities began to mobilise themselves as a result of awareness raising, training, recognition of good performance, and technical backstopping. People's empowerment lead to their assuming greater responsibility for actions to improve the nutrition situation. Child undernutrition was reduced significantly in most municipalities. Where local authorities and programme workers exerted good and committed leadership, and roles and responsibilities of local programme staff were well defined and communicated, the programme was more effective.*

42 GTZ (2004).

43 FAO (2003).

## Steps of the assessment and monitoring process

Monitoring a programme amounts to applying certain assessments at various points in time, focusing on change. We suggest here some steps in the assessment/monitoring process to help structure such a process. No particular sequence is implied here, just activities that should be considered when planning the assessment/monitoring process.

### Step:

Form a programme assessment team (PAT) with membership from institutions and organisations that know as much as possible about the programme and that can provide all needed assessment skills in the technical areas involved as well as in programme management and administration. At least one member of the PAT should have knowledge and insights into human rights principles and approaches within a programme assessment framework.

### Step:

The programme assessment/monitoring should clearly be mandated and the assessment/monitoring mandate should be widely known and understood, particularly by programme authorities and staff, to ensure that the findings and conclusions will have a maximum impact on programme reformulation or implementation procedures, if necessary.

### Step:

Define the assessment/monitoring domain: what questions are to be answered related to programme implementation and impacts, in effect establishing a checklist, such as presented in Annex 4. This should be a broad-based consultative process with maximum participation by a range of stakeholders.

### Step:

With the assessment/monitoring checklist defined, establish a “human rights gold standard” for the programme, i.e. from a human rights perspective, what would one need to see related to the programme process and/or impacts for the programme to be fully human rights compliant in all its dimensions. An example is presented of a human rights gold standard in Annex 4 related to modules 2 and 6 of the checklist. This is specific for school feeding programmes, and needs to be defined for each type of pbe consulted in drawing up the “human rights gold standard”. Such a “gold standard” should aid in the analytical work, in that it provides clarity in examining in what aspects the programme’s implementation and/or impacts do not conform to human rights principles. It should facilitate making specific recommendations for remedial actions to strengthen the human underpinnings of the programme.

### Step:

Decide on an assessment or monitoring plan that details the activities to be undertaken, sources of data to be relied upon, what methods of information gathering will be used, what outputs are to be produced within a specified time frame, and institutional or individual responsibilities. It will be good if the plan explicitly indicates how the assessment/monitoring process will be made to be rights-based.



**TABLE 1: A Framework for Assessing and Monitoring Programmes**

<b>INPUTS</b>	Availability and allocation of human, financial and other resources. Conditions under which programme resources are made available to implementing institutions. MODULES 1, 2, 3 and 4
<b>PROCESSES</b>	Procedures and operational mechanisms being applied in programmes, including resource management procedures, institutional linkages, stakeholder participation in decision-making, mechanisms for accountability, capacity to implement programmes. MODULES 4, 5, 6, 7, 8 and 9
<b>OUTPUTS</b>	Immediate programme results, e.g. higher skill levels, increased food production, greater access to markets, improved child feeding, more awareness of economic, social and cultural rights (ESCRs). MODULE 9
<b>INTERMEDIATE OUTCOMES</b>	Changes in income levels, better social and governance conditions, better access to quality public services, higher levels of educational attainment, improved health and nutritional status, and other outcomes that directly impact on the right to adequate food. MODULE 10
<b>FINAL OUTCOMES</b>	Improvements in peoples' well being. Fewer right to adequate food violations, or change in the number of people whose right to adequate food has been realized.

**Step:**

A clear vision is needed of who the target audiences are for the assessment/monitoring results, how to disseminate the results to each audience, and attempt to ensure that the findings and conclusions translate into follow-up remedial actions by different stakeholder groups.

**Integrating rights-focused concerns in programme assessment and monitoring**

We have indicated above how the rights-focused approach can be integrated in a more conventional programme assessment and monitoring framework. It is useful to think about how to relate and integrate the information from each of the modules into a coherent analysis. We want to be able to understand, as a basis for follow-

up action, how programme implementation processes and factors external to the programme interact, and together how they help explain programme outcomes and impacts that are observed over time. An example of such a generic framework is presented above<sup>44</sup>. We have attempted to indicate which of the above modules provide rights-focused information for the different components of the framework. It is clear that a particular module may generate information for more than one component.

### Relevant information gathering tools

In the remainder of this section we have indicated which information gathering tools may be the most suitable to obtain information for each of the modules. Each of these is discussed in greater detail in chapter 8.

#### BOX 5.8 - Information Gathering Tools to be Used for Different Modules

	<u>Information Tools</u>
Module 1: Food Security and Nutrition Situation	A, B, C, D
Module 2: Policy, Legislative and Budgetary Framework	A
Module 3: Institutional Framework	A, C
Module 4: Norms and Standards	A, C
Module 5: Social Control Mechanisms	A, C
Module 6: Recourse	A, C
Module 7: Programme Design	A, C, E
Module 8: Programme Duty Bearers	A, C, E
Module 9: Implementation and Operation	A, C, D, E
Module 10: Programme Impacts	B, C, D, E, F

A: *Document review.*

B: *Data from national or local surveys, tabulated or not.*

C: *Key informant interviews.*

D: *Focus group discussions.*

E: *Programme documentation.*

F: *Primary data collection through surveys.*

<sup>44</sup> This simple framework is adapted from a similar framework applied in programme assessment and monitoring in Uganda.

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## 6.

# COMMUNITY LEVEL MONITORING OF THE RIGHT TO ADEQUATE FOOD

Monitoring at community level can be undertaken by extra-community actors and monitors, or by community residents themselves. Joint monitoring efforts are possible as well. The methods that are likely to be applied in the two instances will be different but can also be combined<sup>45</sup>. Extra-community monitors include staff from government institutions such as national planning and line ministries, local government (municipalities, districts, sub-districts), or from non-governmental agencies, academia or other civil society organizations. In some countries staff from human rights institutions may also be involved. Community-based government workers, such as health workers, extension agents, or social mobilisers, are often relied upon to generate community monitoring data. Non-governmental organisations are also likely to involve their community-based staff where they are present in a community.

Community-level monitoring potentially offers a good opportunity for rights-based monitoring, depending on who participates in the monitoring and for what purpose monitoring is undertaken. Rights-based monitoring can be thought of as a continuum, ranging from not rights-based to truly rights-based. The greater the direct involvement of community residents in monitoring (“community monitors” or “grassroots monitors”) the more likely that the monitoring process conforms to human rights principles, as explained in volume I and chapter 1 here. On the other

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*45 When monitoring is undertaken by extra-community monitors, the underlying process is basically an inductive one, meaning that these monitors define the monitoring agenda, i.e. the monitoring questions to be answered are usually based on a pre-established conceptual framework. Monitoring undertaken by community residents involves more a deductive process, i.e. starting from the community's reality as residents understand it to decide what needs to be monitored. In practice community level monitoring usually involves a mixture of inductive and deductive processes.*

hand, the fact that a community group engages in monitoring for the community's purposes does not necessarily mean that it is participatory, inclusive, transparent or/and empowering. So when is community level monitoring truly rights-based? Here are some ideas. For the community level monitoring process to be truly rights-based, it should conform to these norms:

- The monitoring agenda is set by the community and the community may choose to share the information with extra-community monitors and institutions.
- Community residents have equal opportunity to participate in the monitoring process.
- Participation in the monitoring process should empower and strengthen capacity, i.e. provide opportunities to understand realities in the community, learn more about community issues, and acquire new skills.
- Community monitors keep all members of the community fully informed about results.
- Community monitors are accountable to the whole community for the on-time completion and quality of the monitoring work.
- Extra-community monitors may be invited by the community to participate in order to provide technical inputs or skill-building services to community monitors, or in general, assume a facilitating role. By their participation in community monitoring they are accountable to the community for their performance and the quality of the services they provide.

Methods used in generating community-level monitoring information are discussed in more detail in chapter 8. Monitoring *by* the community *for* the community will be looked at here, and then on monitoring outputs that can be used for targeting communities for policy measures or community level decision-making and planning.

## **MONITORING BY THE COMMUNITY FOR THE COMMUNITY**

Why should the community engage in monitoring? The reasons may include the following:

- The community (or a representative group from the community) has decided on specific actions ("*community project*") to be implemented in the community according to a work plan and time schedule with defined inputs.
- The community has decided that it is important to follow how living conditions are changing in the community and how changing living conditions involve the more vulnerable households in the community, perhaps as a basis of

formulating a proposal for assistance to the government or to another extra-community agency.

- Changes are taking place in the region where the community is located, and the community is aware of these changes and wants to understand how these external changes affect the community and particularly the more vulnerable members in order to formulate proposals for community actions to offset any negative impacts.
- The community wants to understand and monitor how public resources are used by local government as a basis of participating in the formulation of annual budgets ("*participatory budgeting*") and in decisions related to budget allocations and the use of public resources.

Monitoring by the community for the community requires organisation. For example, the community may decide to form a monitoring committee from among community members, and may request an extra-community organization to provide training and/or technical guidance to this group. Monitoring tasks can also be assigned to a group that is developing and implementing a community project. The community monitoring group has to decide, and seek inputs from the whole community, with respect to the questions listed in the box below.

#### **BOX 6.1 - Organisation of Monitoring by a Community Group**

- *What are the monitoring questions? These questions can cover implementation as well as outcomes and impacts.*
- *What types of information (and perhaps what indicators) should be generated, and what may be the best way to go about obtaining the information? The group may be guided here by an extra-community monitor.*
- *How best to organize monitoring activities, who has responsibility for what (information gathering, information analysis and interpretation, and sharing the monitoring results with the whole community)?*
- *How best to go about making good use of the monitoring information;*
- *What resources are to be used in monitoring?*
- *Which organization or government institution should be approached to strengthen the group's monitoring capacity, if necessary?*

It is clear that there are no recipes for monitoring by the community for the community. The information gathering methods that may be applied will vary greatly and will tend to be simple, low cost and probably not time-consuming. They are likely depend heavily on inter-person communication, and may include: direct observation,

simple drawings and maps, a simple survey to obtain household or individual level information (mini-survey), community registers, discussions with community leaders and community-based workers, interviews with extra-community key informants etc. Sharing monitoring information often presents a challenge; particularly in dispersed rural communities. One approach has been the so-called “community situation room” where monitoring information is displayed along the walls of a room in a centrally located facility (like a community centre) that can be accessed by all at all times. The information is updated by a monitoring committee, and may be presented in graphical ways, or in short narratives and/or by drawings, that all depict changes in certain conditions. The community situation room has been particularly used in communities that were experiencing emergency conditions, such as droughts in Brazil. Periodic community assemblies are another way of sharing and discussing monitoring information. Communities that want to engage in monitoring can probably learn a great deal from other communities that are engaged in monitoring activities. This community-to-community learning should be encouraged and facilitated, which may go a long way towards capacity strengthening of community monitoring groups. Documentation on specific experiences with community monitoring is not easily available, perhaps such experiences are not documented. By way of illustration, we present three cases of community monitoring for the community. These three cases cover: (i) monitoring of public service delivery (India), (ii) monitoring for community level planning (Tanzania), and (iii) monitoring the procurement of public services (Uganda). None of these cases directly involves the right to adequate food, but nevertheless represent generalisable models for rights-focused monitoring by the community of the right to food. The first case points to an inclusive process involving all households, and the first and second case illustrate the importance of community monitoring directly being linked to action. In all three cases the monitoring information gathering is through simple systems.

### **BOX 6.2 - Community Monitoring of Public Service Delivery in India**

*An innovative community monitoring activity was implemented in India in 2002 as part of the UNICEF-supported Community Monitoring Project covering 201 villages. A village participatory rapid assessment was conducted to establish baselines with respect to water and sanitation, fuel sources, family conditions and characteristics. Communities were organised in groups of 20 households, and the representative of each group formed the village development monitoring committee (VDMC). Communities were asked to monitor local departments of health, education and women and children’s welfare. The community monitoring system consists of a system of 15 red alerts related to health, primary schools and child development centres. Convenors of the VDMC meet monthly with local health, education and child development officers and report on the status on each alert. The respective department sets a specific date when it will respond to the red alert with action. Evidence showed that villagers gained in awareness and confidence and started to demand these services as rights. There were marked improvements over time in the delivery of health and child development services.*



**BOX 6.3 - Village Registers in Tanzania**

*UNICEF assisted villages in a number of designated Child Survival, Protection and Development (CSPD) districts with the systematic recording of village information. The village registers, printed in Kiswahili, were maintained by the village executive officer. Training was provided to the village executive officer and two village health workers in each village, by district officers who had previously been trained. The village registers contain demographic data (population count, age and gender breakdown, number of school-age children, number of able-bodied persons), acreage cultivated and crops, areas destroyed, and nutritional anthropometry data for under-five children (weight for age), which are obtained during quarterly held health days. The information is compiled from hamlet registers, which are maintained by hamlet leaders, who collect information, often in collaboration with ten-cell leaders (who represent the political party), teachers and village extension workers. Each hamlet can consist of between about fifty to several hundred households. Information in the village registers was partially relied upon for the preparation of the village annual development plan.*

**BOX 6.4 - Community Monitoring of Procurement of Public Goods and Services in Uganda**

*Training is provided by the Uganda Debt Network (a NGO) to grassroots monitors on how to monitor the procurement of public goods and services by local authorities. Among other things, it is explained what to monitor during the different phases of the procurement process. For example, monitoring during the process of receiving and closing bids should be guided by questions such as: Was the invitation to bid properly advertised in local newspapers and on public notice boards? Does the bid notice clearly state what is to be procured? Does the bid notice clearly show where bids are to be delivered, and what the closing date and time are? Are bids that are received kept safely and unopened until the official bid opening day and time? Or with respect to the bid opening day: was the bid opening day properly advertised in local newspapers and on public notice boards? Is the actual opening of the bids done in a place where any interested bidder and members of the community can observe? Do the bids contain all the necessary information as stipulated in the statement of requirements? Are all bids treated fairly and equally without discrimination or favouritism? Are only bids submitted by qualified bidders considered? This type of monitoring should contribute to transparency in awarding government contracts for public goods or service provision.*

The hypothetical example 3 in chapter 2 represents a case where the community may decide to monitor advances with the re-settlement plans in order to analyse how these will affect members of the community including the most vulnerable, and make counter proposals to the re-settlement agency. The community may also want to monitor if the government is living up to all the commitments that were

made to the communities in terms of re-settlement assistance. Lastly, when re-settlement actually takes place, conditions including household access to food, in the re-settlement villages may be monitored in order to decide what community actions are needed to offset any negative impact of re-settlement on household food access, especially among the most vulnerable households.

## EXTRA-COMMUNITY MONITORING OF COMMUNITY CONDITIONS

### Secondary data analysis

Secondary data analysis may be able to identify where the most chronically vulnerable people are, as well as provide some characterisation of the reasons why these people suffer from chronic food insecurity. Rarely are secondary data sources sufficient to characterise the food security conditions in specific communities. This means that secondary data analysis needs to be complemented by other methods to reach at community level. At the same time, secondary data are usually not available with the frequency needed for monitoring. A useful tool for community level monitoring that combines different methods in flexible ways is the community food security profile.

### Community food security profile

A *community food security profile* (CFSP) serves to analyse communities that are chronically vulnerable to food insecurity. A CFSP links community food security conditions to national and regional level political, social, economic, institutional and environmental issues that impact at community level and that may interact with community-based actions. (See the vulnerability framework presented in chapter 5). The following information gathering methods should be used in constructing a CFSP. The process should start off with a document review, followed by secondary data analysis and by key informant consultations at national, local and community levels.

Why a CFSP? The CFSP can normally provide more refined geographic targeting information than can usually be obtained from secondary data analysis alone, by identifying areas of vulnerability within the priority areas identified through secondary data analysis. Criteria for beneficiary targeting can be identified through CFSP, which also provide a better understanding of seasonal dynamics in specific areas. By establishing a baseline the CFSP can be used to monitor community-based projects or the impact of national programmes at community level. Three critical steps in designing and implementing CFSP work involve: (a) develop a conceptual framework; (b) decide on a sampling framework; and (c) design the information methodology and prepare the information gathering instruments. A conceptual framework provides structure for developing the CFSP methodology, instruments, and analysis. Existing frameworks may be adapted and modified, or a different framework can be devised. Document reviews and consultations with key informants should be helpful here. Since not every community can be

included, a CFSP is typically only conducted in certain regions of a country, with emphasis on those that are chronically food insecure. Secondary data analysis and key informant consultations should provide necessary information to establish a first level sampling frame.

Next it should be decided how many communities and which ones to include in each food insecure area. Sampling at this level can take many forms ranging from subjective decisions to quantitative spatial analysis. Livelihood zones, which are relatively homogenous areas with respect to the food economy, vulnerability factors, livelihood and strategies and activities, can provide for a second level sampling, usually requiring inclusion of a few communities per livelihood zone. Local level key informants, such as district planning officers, may be helpful in establishing different livelihood zones.

In-community information gathering can consist of a combination of methods that allow for both qualitative and quantitative information collection, ranging from mini surveys, focus group discussions, key informant interviews and direct observations.

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## 7.

# ASSESSING EXISTING INFORMATION SYSTEMS AND INFORMATION NEEDS: INFORMATION GAP ANALYSIS

Monitoring the right to adequate food and the information outputs it produces should adequately meet the information needs of those who are to act upon the information. This involves both rights-holders and those with responsibilities for the protection and fulfilment of the right to adequate food. As also advocated in the Right to Food Guidelines, available information should be used as much as possible, and monitoring should be action-oriented. Existing information systems related to monitoring food security, nutrition, poverty reduction, socio-economic development etc. should be relied upon.

At the same time, the available information may not be sufficient to match the information needs to monitor various dimensions of the right to adequate food. For example, information may not exist from which to construct rights-focused process indicators. In this case, the required information must be compared to existing information available from different sources to detect differences. This is called *information gap analysis*.

In addition, access to existing information from different sources may be constrained by institutional factors, while the sustainability of information systems becomes a crucial issue involving not only technical, but also institutional, financial and political factors. Information availability may vary over time, yet monitoring of the right to food should be an ongoing activity strongly linked at all times to in-country decision-making by national stakeholders.

An assessment of existing information systems usually covers the following:

- Analysis of the degree of completeness in terms of efficiency, effectivity and sustainability of existing and relevant information systems in producing needed information for the monitoring framework in question<sup>46</sup>.
- The identification of external and internal factors that impact on the performance of the information system(s).
- The development of an action plan to strengthen existing information systems and develop and implement activities to fill in over time information gaps.

## ESTABLISHING INFORMATION NEEDS

What is often not included in an information system assessment is the identification of information needs by intermediate and end users. This approach is similar to a *stakeholders analysis*. Essentially, broad areas of responsibilities of different right-to-food duty bearers need to be identified and these in turn linked to different types of information that duty bearers may need to act in accordance with their responsibilities and to perform well. A *role and capacity analysis* should be helpful here (see Chapter 4). Access to timely, relevant and valid information should contribute to duty bearers' capacity to perform and communicate better, and to make rational decisions while learning from experience.

In most of the remainder of this chapter some ideas for a framework to guide a process to undertake an information gap analysis are presented. A useful starting point is presented in the table below. Twelve broad areas of responsibilities have been distinguished that relate to the realisation of the right to adequate food. Individuals, groups and organizations that operate at national, local and community levels have been listed in relation to various areas of responsibility. Planners and other technical staff employed by government or non-government institutions are intermediary information users, in the sense of being responsible for the preparation of technical documentation based on which policy, programme and project decisions are made. Individuals with responsibilities for the right to adequate food are found in all three branches of government. An additional area of responsibility is the generation, analysis and dissemination of monitoring information with respect to the right to adequate food. User institutions or organisations themselves also generate monitoring information, such as statistical departments in line ministries or when NGO networks conduct their own surveys.

The various areas of responsibility in the table below can also be related to the various levels of rights-focused monitoring as discussed in volume I and in chapter 1 above.

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<sup>46</sup> Please refer to Annex 1 for the meanings of information system, efficiency, effectiveness and sustainability of information systems.

**BOX 7.1 - Areas of Responsibilities by Levels of Rights-Focused Monitoring****THE PROGRESSIVE REALIZATION OF THE RIGHT TO ADEQUATE FOOD****Areas of responsibility:**

- *International reporting on progress with rights-based development and on the realisation of economic, social and cultural rights.*
- *Establishing and monitoring access to judicial remedies.*

**IMPACTS OF RIGHT TO ADEQUATE FOOD MEASURES****Areas of responsibility:**

- *Public policy formulation and monitoring.*
- *Programme development, implementation and monitoring.*
- *Project development, implementation and monitoring.*

**IMPLEMENTATION OF RIGHT TO ADEQUATE FOOD MEASURES****Areas of responsibility:**

- *Legislative bills/laws.*
- *Establishing norms, standards and regulations.*
- *Programme and project development, implementation and monitoring.*
- *Budgeting and public resource allocation and utilisation.*
- *Public service delivery.*
- *Providing public information.*
- *Political and social mobilisation/human rights advocacy.*
- *Generation of knowledge and capacity strengthening.*

**TABLE 2: Institutions with Various Responsibilities Related to the Right to Adequate Food at National, Local and Community Levels**

Levels of Action Types of Responsibilities	National	Local	Community
Public Policy Formulation and Monitoring	<ul style="list-style-type: none"> <li>• Ministers – Line ministries</li> <li>• Planners</li> <li>• Technical staff</li> </ul>	District/municipal executives and councils Technical staff	
Legislative Bills/ Laws	<ul style="list-style-type: none"> <li>• Legislators</li> <li>• Technical staff</li> </ul>	<ul style="list-style-type: none"> <li>• District/municipal councils</li> <li>• Technical staff</li> </ul>	
Establishing & Monitoring Access to Judicial Remedies	<ul style="list-style-type: none"> <li>• Human rights institutions/ commissions</li> <li>• Right-to-food NGO networks</li> <li>• Courts</li> </ul>	<ul style="list-style-type: none"> <li>• NGOs</li> <li>• Courts</li> </ul>	
Establishing Norms, Standards & Regulations	<ul style="list-style-type: none"> <li>• Legislators</li> <li>• Regulatory agencies</li> <li>• Consumer protection agencies</li> </ul>	<ul style="list-style-type: none"> <li>• District/ municipal councils</li> </ul>	
Programme Development, Implementation and Monitoring	<ul style="list-style-type: none"> <li>• Planners</li> <li>• Programme managers</li> <li>• International donors</li> </ul>	<ul style="list-style-type: none"> <li>• Planners</li> <li>• Programme managers</li> </ul>	
Project Formulation, Implementation and Monitoring	<ul style="list-style-type: none"> <li>• Line ministries</li> <li>• International donors</li> <li>• NGOs</li> </ul>	<ul style="list-style-type: none"> <li>• Planners</li> <li>• Project managers</li> </ul>	<ul style="list-style-type: none"> <li>• Village councils</li> <li>• Community-based organizations</li> </ul>
Budgeting and Allocation of Public Resources	<ul style="list-style-type: none"> <li>• Legislators</li> <li>• NGOs and networks</li> <li>• International donors</li> </ul>	<ul style="list-style-type: none"> <li>• District/ municipal councils</li> <li>• NGOs</li> </ul>	<ul style="list-style-type: none"> <li>• Village councils</li> </ul>



**TABLE 2: Institutions with Various Responsibilities Related to the Right to Adequate Food at National, Local and Community Levels - CONT.**

Levels of Action Types of Responsibilities	National	Local	Community
Public Service Delivery	<ul style="list-style-type: none"> <li>• Planners-line ministries</li> <li>• Service delivery departments in line ministries, public service agencies</li> </ul>	<ul style="list-style-type: none"> <li>• District/ municipal planners</li> </ul>	<ul style="list-style-type: none"> <li>• Village councils</li> <li>• Community-based organizations</li> </ul>
Providing Public Information	<ul style="list-style-type: none"> <li>• Mass media (newspaper, radio, TV)</li> <li>• NGOs and networks</li> </ul>	<ul style="list-style-type: none"> <li>• Mass media (newspaper, radio, TV)</li> <li>• NGOs</li> </ul>	
Political and Social Mobilisation/ Human Rights Advocacy	<ul style="list-style-type: none"> <li>• Human rights institutions/ commissions</li> <li>• NGOs and networks</li> </ul>	<ul style="list-style-type: none"> <li>• NGOs</li> </ul>	<ul style="list-style-type: none"> <li>• Community-based organizations</li> </ul>
Generation of Knowledge/ Capacity Strengthening related to Right to Adequate Food	<ul style="list-style-type: none"> <li>• Academic institutions</li> <li>• Professional organizations</li> <li>• Training institutions</li> </ul>	<ul style="list-style-type: none"> <li>• Professional organizations</li> <li>• Training institutions</li> </ul>	
International Reporting on Rights-Based Development and Economic, Social and Cultural Rights	<ul style="list-style-type: none"> <li>• Human rights institutions/ commissions</li> <li>• Ministries</li> <li>• NGOs and networks</li> </ul>		

By linking various duty-bearer groups to areas of responsibility it is possible to identify likely monitoring information needs by these user groups and which monitoring method(s) should be relied upon to generate that information. Once monitoring information has been generated and analysed, it is easier to target monitoring information outputs to specific groups to better execute their respective responsibilities. The key is to understand the roles of different individuals, agencies or organizations that have responsibilities with respect to the right to adequate food.

Table 2 expands further on this framework. One example is given here, which can be used to work through specific settings.

Development and implementation at national level of right-to-food measures involves decision makers and planners in line ministries and other parts of the administration, legislators, and NGO right-to-food networks. These three groups need to know:

- What the principal food security and nutrition problems are, which population groups are food insecure or are vulnerable to food insecurity, and what are the reasons.
- What the likely policy or programme impacts are, particularly on the food insecure and vulnerable.
- What budgetary allocations are possible to implement right to food measures and whether these are in line with national priorities.

The role of each of the three groups in this process is different. The *decision makers and planners in line ministries* need information to ensure that the design of the policy/programme measure addresses a cause or causes of food insecurity or vulnerability in the most in need population groups, and is likely to impact positively on improving food security in order to make a case for appropriate budgetary allocations.

Once implemented, they should monitor the impacts of these measures. *Legislators* (budget committees of Parliament or Congress), who must approve the national budget, need to know and understand the food insecurity problems and their broader context. They must assess whether the proposed policy/programme measure is in line with national targets and priorities, and will have to approve the budgetary resources for the implementation of the measure.

The efforts of the *NGO right-to-food networks* in this case may consist of lobbying for or against the measure, depending on their analysis of the food insecurity and vulnerability problems and how the proposed policy/programme measure is likely to impact on the food insecure and vulnerable. Their budget analysis and monitoring will lead them to conclude, for example, that the budgetary allocations (and expenditures) for this particular measure are: (a) *too large* because the measure does not support a national priority, or may adversely affect the right to adequate food of food-insecure or vulnerable groups, or (b) *too low* because, although the measure is in line with national priorities, it does not maximise the positive effect on the food security of the most needy.

In this particular example, appropriate information generated through analysis and monitoring of food insecurity and vulnerability, policy or programme impacts, and public budget allocations and expenditures should be of interest to, and support decision making by, these three user groups.

**TABLE 3: Monitoring Information Generated by Different Methods for Use by Different Groups with Responsibilities with Respect to the Right to Adequate Food**

Monitoring Information  User Groups	MONITORING METHODS				
	Assessment/ & Analysis of Food Insecurity and Vulnerability	Institutional Role and Capacity Analysis	Policy and Programme Impact Analysis	Public Budget Analysis	Community Level Monitoring
<b>National</b>					
1. Line ministries	XXX	XXX	XXX	XXX	
2. Legislators	XXX		XXX	XXX	
3. NGO networks	XXX	XXX	XXX	XXX	
4. Mass media	XXX	XXX	XXX	XXX	
5. International donors	XXX		XXX	XXX	
6. HR institutions	XXX	XXX	XXX	XXX	
7. Courts	XXX		XXX	XXX	
8. Professional associations	XXX	XXX			
9. Academic/ Training institutions	XXX	XXX			
<b>Local</b>					
1. District/ Municipal Executives	XXX		XXX	XXX	
2. District/ Municipal Councils	XXX		XXX	XXX	
3. NGO networks	XXX		XXX	XXX	XXX
4. Planners	XXX		XXX		
5. Project managers	XXX		XXX		XXX
6. Mass media	XXX		XXX	XXX	
7. Professional associations	XXX	XXX			
8. Training institutions	XXX	XXX			
9. Courts	XXX		XXX	XXX	
<b>Community</b>					
1. Village Councils	XXX				XXX
2. Community-Based Organizations	XXX			XXX	XXX

To determine information needs of different user groups is not an easy task. A cursory questioning of information users as to what information they think they need has been shown to be ineffective. Important is to establish a continuous dialogue between information users and information providers. To initiate this dialogue it is often effective to produce relatively simple information outputs demonstrating dimensions of a situation or problem that is relevant to users' responsibilities and spheres of decision making, thus the user can more easily see the relevance of the information.

For example, simple maps have been shown to be quite effective, as they tell a message in simple ways, and are easily understood by different users (see chapter 9). Short briefs on specific and current problems, that succinctly describe the problem and interpret some key information related to that problem, is often also effective. Specific information needs change over time, and need to be continuously monitored by information providers.

## **INFORMATION GAP ANALYSIS**

Information gap analysis (IGA) involves matching the available information to assessed information needs, and identifies gaps in available information. Available information refers to existing types of information, and the quality of the information. The information systems assessment also focuses on factors that may explain poor information quality, i.e. information that is not timely, not valid or reliable, uninterpretable, poorly managed, or not easily accessed. This is important in order to design a programme of remedial actions to improve the information systems.

We may talk of "information demand" when actual information needs are formulated and articulated. The total information demand is likely to consist of both a more institutionalised part and an ad-hoc part. In the first case, it may involve an agreed-upon monitoring framework, such as discussed in chapter 2. This may consist of an established monitoring framework for a specific policy, strategy or programme (see the box below for an example), or perhaps by the outline of the monitoring report to be presented to a national or international monitoring body (see chapter 9). Ad-hoc demands for monitoring information refers to periodic requests for information regarding an acute problem generated by an emergency situation or a policy issue that is being debated. For example, monitoring of crop production and food availability among food insecure and vulnerable households is needed in a drought situation.

Once the information demand has been established, the available information is to be assessed in light of that demand, and the gaps identified. By first establishing the information demand, it becomes easier to decide on which information systems and data sources are to be included in the assessment. In practice, however, assessment of information systems often takes place without much reference to determined information demand by users.

**BOX 7.2 - Information Gap Analysis in Uganda**

*An information gap analysis conducted in Uganda with respect to monitoring the implementation of the National Food and Nutrition Strategy concluded that:*

- *Aggregate crop production is annually estimated, using the 1991 agricultural census as a baseline, district level crop production data are available for some districts only.*
- *Per capita food intake data are only available from food balance sheets, which are not regularly analysed.*
- *Nutrition data for under-five children are only available for districts facing emergency conditions.*
- *Nutritional status data for school children, the elderly and people living with HIV/AIDS are not available (though the Strategy identifies these as vulnerable groups).*

**DESIGNING THE INFORMATION SYSTEMS ASSESSMENT**

For illustration, this section reviews the experience of the FIVIMS initiative in designing an information systems assessment. It suggested that as part of an information systems assessment, two inventories should be made:

- An inventory of existing food insecurity and vulnerability (FIV) information systems.
- An inventory of existing sources of information and data.

It should be noted that for the purpose here, and as discussed in volume I, the monitoring framework should be well defined up-front and thus guide the raising of the two inventories, to make this a well-focused and manageable task.

The inventory of existing information systems should contain the following information for each information system:

- The name and brief description of the system.
- The information outputs that the system produces (name, typical contents, frequency of distribution).
- The (governmental or non-governmental) agency/ies responsible for managing the information system, and for the information outputs.

**BOX 7.3 - Health Management Information System (HMIS), Uganda**

A data management tool in the Ministry of Health is the HMIS. This system collects data on health and nutritional status from all its health facilities on a monthly basis. The reports generated include information on outpatient attendance, outpatient diagnoses of diseases, maternity, immunisation and child health. Data from districts is compiled at the national level and disseminated through monthly reports. Of particular relevance for monitoring the implementation of the National Food and Nutrition Strategy are the following nutrition-related indicators:

- *Vitamin A deficiency: 1st and 2nd supplementation rounds.*
- *Weight of child when receiving measles immunisation (at 9 months).*
- *Anaemia in mothers and children.*

The second inventory should contain:

- Type of information and data, classified.
- Source(s) of information and data.
- Governmental or non-governmental agency/ies responsible for producing the information/data.

**BOX 7.4 - Example of a Data Information Inventory**Food Availability and Consumption

- |  |   |
|--|---|
| <ul style="list-style-type: none"> <li>• <i>Per capita food availability</i></li> </ul>                  | <p><b>Source:</b><br/><i>National food balance sheets</i></p> <p><b>Institution:</b><br/><i>Office of Agricultural Economics,<br/>Ministry of Agriculture</i></p>   |
| <ul style="list-style-type: none"> <li>• <i>Calorie consumption based on expenditure data</i></li> </ul> | <p><b>Source:</b><br/><i>National household surveys on living Conditions</i></p> <p><b>Institution:</b><br/><i>International Food Policy Research Institute</i></p> |

Source: FAO-FIVIMS (2002)

A **S**trengths, **W**eaknesses, **O**pportunities and **C**onstraints (SWOC) analysis may provide an useful framework to assess relevant information systems, in combination with a role and capacity analysis (chapter 4). It can be argued that to undertake an adequate assessment of information systems, both internal and external factors need to be considered. The strengths and weaknesses need to be assessed of such technical and operational internal factors as:

- Underlying conceptual and analytical frameworks.
- Selection of indicators.
- Data collection methods, techniques and processes.
- Database development and management, including information sharing.
- Analytical methods.
- Presentational tools.

Crosscutting issues include: (a) institutional roles and capacity; (b) linking information to action by different stakeholder groups; (c) the extent to which information processes are participatory and empowering, i.e. are rights compliant; and (d) the extent to which the system adapts to changing information needs. The application of a role and capacity analysis to information systems adds an additional dimension to the assessment. It recognises that there are individuals with responsibilities with respect to producing timely and valid information, and their capacity to fulfill those duties needs to be assessed and monitored.

External opportunities and constraints to the information systems may be present in the broader environment in which the information system operates. This broader environment includes:

- Political economy of food security decision making.
  - i. Macro level policies related to food security: information needs for monitoring relevant national policies, programmes and targets.
  - ii. Information policies in place.
  - iii. Processes of information based policy formulation, planning and programme development.
  - iv. Local and community level decision making, planning and monitoring by government sector and civil society (NGOs, CBOs, consumer groups): role of information, and information needs.

- Socio-cultural environment for information activities.
  - i. Perceptions and definitions of food insecurity and vulnerability among stakeholders, including rights holders.
  - ii. Information culture and information-based decision making, planning, policy formulation and programme development.
- Institutional environment of in-country information networks.
  - i. Institutional mandates for FIV information generation, management, analysis and dissemination.
  - ii. Inter-institutional linkages reflecting a multi-sectoral approach to reducing food insecurity.
  - iii. Mechanisms for inter-institutional information sharing.
  - iv. Mechanisms for integrated analysis of food insecurity and vulnerability.

## PLANNING AND ORGANIZING THE ASSESSMENT PROCESS

Careful planning and organizing of the assessment process is important to ensure that the assessment findings and conclusions translate into follow-up actions to strengthen existing information systems. The assessment process itself should conform as closely as possible to human rights principles and should contribute to strengthening the sustainability of the information systems. Thus, the assessment process should:

- Contribute to creating a greater sense of ownership among in-country institutions by making the process participatory involving both technical staff (“information providers”) and users of the information outputs.
- Be seen as an opportunity to learn (rather than an evaluation), drawing out lessons from real experiences, empowering stakeholders.
- Contribute to mobilising political and institutional support for information systems by demonstrating the use of information in planning, policy formulation, programme development and monitoring, and the potential of producing information outputs in line with information needs of different user groups.
- Take full account of information needs at sub-national as well national levels and thus extend the assessment to all levels of decision making, planning, implementation and monitoring.



- Be transparent, i.e. the assessment purpose, agenda and methods should be clearly articulated and be shared with all involved in the assessment process.

An (ad-hoc) inter-institutional working group or assessment team (IAT) may be formed to undertake the assessment, coordinated by an institution with major responsibility for food security in the country. If the assessment process becomes a permanent process, the IAT may be coordinated by the institution with major responsibility for monitoring the realization of the right to adequate food. Important is that both technical staff of the information-providing institutions (including civil society organisations) as well as institutions, or organisational units that make use of relevant information, participate in the IAT. The IAT should have a clear mandate from high levels to undertake the assessment and develop early on an assessment work plan with defined outputs, assigned resources and methods to be implemented. This work plan should be endorsed by senior managers of participating institutions. It should be clear to whom the IAT is accountable for its work and the results, like a high level inter-institutional committee, such as a food security and nutrition council. The IAT is likely to apply the following methods to obtain the assessment information, structured along the lines of the SWOC analysis outlined above:

- Review of documents related to relevant information systems, including information outputs, data generation and management methods used, organisational structures, resources and budgets, etc.
- Semi-structured interviews with key informants in information-providing institutions, organizations and units, and with users of FIV information products.
- Focus groups discussions.
- Validation workshops.

See the following chapter for an elaboration of these information gathering methods. Document review should be the first method to be applied. It should contribute to providing the IAT with a common understanding of the focus and scope of the assessment, of the methods that are applied in the different FIV information systems, including a first assessment of the coherence of the methods with human rights principles, and the likely gaps in information availability relative to the established information needs of the monitoring framework. Document review can also assist with the formulation of discussion questions for different key informants, and with the identification of key informants to be interviewed. Focus groups can be formed around specific types of information or themes (food production and marketing, health and nutrition, food security and poverty) or around different components of information systems (data collection, information management, indicator construction and analysis, FIV information dissemination). Focus groups are often also useful to validate preliminary conclusions reached by the IAT. Validation workshops with key informants and others serve to provide feedback to participants in the assessment

process about findings, results and conclusions, and to validate the latter. Validation workshops should be structured to contribute to the learning process for stakeholders and to contribute to the formulation of follow-up action plans.

## ASSESSMENT REPORT

A report may be one of the outputs of the assessment. Drafting of the assessment report should be initiated while the assessment information is still being collected, after a structure for the assessment report has been agreed upon by the IAT. The initial drafting of the assessment report often leads to the identification of still missing information, or points for further elaboration through additional assessment information. An advanced draft of the assessment report should be presented and discussed in a validation workshop with key stakeholders. There is no set structure for the assessment report. Generally, the report should provide clear answers to the questions initially posed as a basis for the assessment. There may be many different reasons for undertaking a FIV information systems assessment. For our purposes here, the key questions revolve around how existing information systems can be used to cover information needs for the right to adequate food, what information is still missing and how and within what time frame the missing information can be generated. We provide a suggested outline for an assessment report below.

### BOX 7.5 - Suggested Outline of an Assessment Report

- *Background to the assessment: motivation, reasons, mandate, previous assessments.*
- *Key issues addressed in the assessment: rationale, monitoring framework.*
- *Key findings with respect to each of the issues: provide range of perspectives from different stakeholders.*
- *Operational conclusions: translating the key findings into proposals for action.*
- *Strategic approaches to:*
  - i. improve the quality of available information for rights-focused monitoring;*
  - ii. cover information needs for the monitoring framework;*
  - iii. implement human rights approaches in rights-based monitoring and in routine FIV information systems.*

*Annexes: 1. Organization of the assessment, methods applied and work plan;*

*2. Participants in the assessment process;*

*3. Detailed work plan for follow-up actions.*

**REFERENCE SOURCES:**

- ❖ FAO (2001) *Handbook for Defining and Setting up a Food Security Information and Early Warning System (FSIEWS)*. Agricultural Policy and Economic Development Series No. 6. Rome, FAO.
- ❖ FAO-FIVIMS (2002) *Tools and Tips: Building on Existing Information Systems*. Rome, FAO (FIVIMS).
- ❖ Government of Uganda (2005) *The National Food and Nutrition Strategy of Uganda*, Kampala.
- ❖ McEwan, M. (2003) *Assessing National Information Systems: Analysis for Action*. FAO-FIVIMS Secretariat. (mimeo), Rome.

## 8. INFORMATION GATHERING METHODS TO MONITOR THE RIGHT TO ADEQUATE FOOD

In this chapter we summarise the information gathering methods that have been referred to in previous chapters. The method does not change depending on what analysis the information is generated for, so it does not need to be described separately in each chapter.

Most of these methods are widely used and have extensively been described elsewhere and an extensive description is beyond the scope of this volume. The intent here is to make right to food monitoring practitioners aware of the inventory of information gathering methods available and to indicate what type of information the method can generate.

Method selection depends in each case on a number of things. As a general rule, when two methods are being considered in order to generate specific information, the one that allows for greater compliance with human rights principles should be chosen. As we have seen in previous chapters, a number of information gathering methods are usually applied and the information is integrated when making an assessment or undertaking an analysis. Several methods can be combined in an information gathering package, as demonstrated below.

## Information Gathering Methods to Monitor to the Right to Adequate Food

### ✓ DESK REVIEW

- Document reviews (official reports, scientific publications and ‘grey literature’)
- Inventories of laws, policies, regulations and directives

### ✓ INTERACTIVE METHODS

- Brainstorming sessions
- Key informant interviews
- Focus group discussions
- Structured observations
- Participant observations
- Rapid appraisals
- Client surveys

### ✓ SECONDARY DATA ANALYSIS AND INTERPRETATION

- Analysis of census and national survey data
- Analysis and synthesis of data contained in data inventories
- Analysis of data generated through research activities

### ✓ PRIMARY INFORMATION GATHERING THROUGH SURVEYS

The various methods mentioned in this volume have been classified into four categories: (a) desk reviews, (b) interactive methods, (c) secondary data analysis and (d) primary surveys. To avoid ambiguity, no method has been designated as “participatory”, as in most cases the method involves consultation and contributing knowledge, perceptions and opinions on the part of stakeholders and grass roots groups. Chapter 6 briefly deals with this issue.

## DESK REVIEWS

- Document reviews (official reports, scientific publications, and ‘grey literature’).
- Inventories of laws, policies, regulations and directives.

It is useful to start the assessment or monitoring process with an initial document review, relying on published or non-published documents. Documents that may be particularly helpful, if available, include: analytical reports based on relevant national surveys, censuses or data inventories, reports generated through research studies, programme evaluation and policy analysis reports, legal and regulatory documentation, documents that provide information regarding current jurisprudence as relevant to the right to adequate food. The desk review provides a first orientation to the broad food insecurity and vulnerability issues in the

country or in a particular sub-national location. It also provides a basis to frame questions for further analytical work with respect to government actions related to the right to adequate food and their impacts. It contributes to defining the legal and institutional framework of the right to adequate food. Finally it also identifies information gaps with respect to important analytical questions. Desk reviews are part of the information gathering methodology for situation and vulnerability analysis, assessment of the legal, policy and institutional frameworks, and for policy impact and programme monitoring.

## INTERACTIVE METHODS

- Brainstorming sessions.
- Key informant interviews.
- Focus group discussions.
- Structured observations.
- Participant observations.
- Rapid appraisal surveys.
- Client surveys.

*Brainstorming sessions* bring together stakeholders and others who are knowledgeable about, and/or have first hand experience with, specific issues involved in monitoring the right to adequate food. This may include, for example, food insecurity and vulnerability conditions, identification of groups of food insecure and vulnerable people, and with underlying causes and their livelihood characteristics. These sessions can include planners at national level to obtain information for the country as a whole, others may include food and nutrition researchers, technical staff from relevant sectors (agriculture, health, commerce, social welfare, etc.) at national and sub-national levels, staff that monitors the incidence of poverty, staff from NGOs and CBOs that implement food security and nutrition programmes and projects, and possibly human rights institutions. If the brainstorming session is held at a sub-national location, local and community level officers and staff may be invited to participate in the session (see box below)<sup>47</sup>. Brainstorming sessions need to be facilitated well and have a clear agenda which is shared with all present at the beginning of the session. This agenda may have been developed after a desk review has taken place about certain issues, or after a policy impact or programme assessment has been completed, and the session is conducted to validate the findings and conclusions. The presentation of a discussion framework at the start of the session may help to focus discussions.

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47 FAO (2001).

**BOX 8.1 - Stakeholder Meeting for Food Insecurity Vulnerability Analysis, Tanzania**

*In March 2001, a one-day stakeholder meeting was held in Morogoro, Tanzania, to identify and characterise food insecure and vulnerable groups in Morogoro, Dodoma and Iringa Regions. The participants included: village leaders/village executive officers, and district and regional planning officers. First a discussion framework was presented and discussed. Then the participants were divided by region to consider and discuss the following questions: (i) who are the food insecure and vulnerable groups in the region, and how can these groups be described? and (ii) where in the region are these groups located? Maps of the regions were made available. After the groups reported, the participants were divided by type of actor into three groups: village leaders/executive officers, district officers and regional officers. Each group was asked to consider and discuss the following questions: (iii) what actions will be needed to address the identified causes of food insecurity and vulnerability in each livelihood group? and (iv) what information will be required to plan and monitor the identified actions?*

*Open-ended or semi-structured interviews of key informants* is a method that is either applied to obtain new or complementary information or to validate information that the monitor or analyst already has. Open-ended interviews are exploratory in the sense that the intent is to tap into the person's knowledge and/or experience without having defined precise and detailed questions about a general issue. For example, the general issue may be how the HIV/AIDS pandemic in certain areas impacts on household food insecurity. Little documented evidence is available about the household food insecurity and HIV/AIDS linkages so formulate more specific questions related to these linkages in these areas. Staff of programmes that provide assistance to households in areas with HIV/AIDS would be good informants, as well as heads of households. Where documentation does exist, the questions asked could have been more structured and specific. If the interviews are conducted to validate survey findings and conclusions the interviews should be more structured. Nevertheless, they are usually more conversational in style and try to encourage the informant to provide any unsolicited information that is relevant. Depending on the issue at hand, anyone who has some relevant knowledge and/or experience related to the issue, can be an informant. For instance, community leaders and representatives of community groups, local authorities, technical and legal staff, high level decision makers and planners, representatives of CSOs and the private commercial sector, and international technical cooperation agencies, etc. However, to make the task manageable, key informants need to be identified, i.e. those persons who are the most knowledgeable and/or have the most experience. It is also important to include people with different experiences or points of view, to increase both the breath and depth of the information provided.

So-called “*life histories*” (which were mentioned in chapter 6) are a type of open-ended interview with key informants. The key informants are usually community members who are asked to tell about a past event or changes in the community and to tell the story in their own words. The challenge for an outside interviewer is to understand the real messages contained in the “story”.

*Focus group discussions* are often also used to complement other information. These sessions can be either highly structured, semi-structured or open-ended. Normally the person conducting or facilitating the session has a discussion agenda, i.e. the issues about which information is sought. It is a method that can be applied at all levels, i.e. at national, sub-national or community level. Focus groups usually consist of persons with similar characteristics - similar responsibilities, experiences and/or knowledge. For example, when focus group discussions are employed as part of institutional role and capacity analysis, different focus groups may be formed consisting of managers, technical staff and support staff. As part of vulnerability analysis that focuses on environmental risks to the livelihoods of small scale farmers, different focus groups may be formed consisting of technical staff of the environmental management agency, extension agents, local leaders and subsistence farmers. When analysing or monitoring household food access in vulnerable communities, focus groups would include groups of household heads (women and men) and community leaders. Participation in a focus group discussion is usually by invitation and therefore requires prior consultation to identify people to be invited. Once the session is underway, members of a focus group may express different opinions, indicating that additional information on those points needs to be acquired.

*Observational methods* can range from very simple observations on community infrastructure or housing conditions, to complex ethnographic observations on inter-personal behaviours. In the latter case, a highly trained ethnographer is required to interpret observed behaviours or events that involve people. To provide an ethnographer with the in-depth understanding of local personal behaviours, s/he may actually participate in some activities with community people and learn the skills that these activities require. This is referred to as *participant observation*. Direct observation of community infrastructure may be conducted by a so-called *village walk-through* with community members who provide additional information about what is observed. Such walk-throughs usually are done to construct a community map. Direct observational techniques can also be used to obtain information about community level delivery of public services: how certain services are delivered, the quality of delivery, attitudes and performance of service delivery personnel, attitudes of community members receiving the services. Local level information, particularly as a solid basis for local level action planning, may be obtained through *rapid appraisal surveys*. Much has been written about these surveys and some references are provided<sup>48</sup>. Sometimes these surveys are *participatory (participatory rural appraisals)*, meaning that they include some of the interactive or consultative techniques described above, such as focus group

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<sup>48</sup> See the references provided at the end of this chapter. The website references also contain links to other relevant websites.



discussions, key informant interviews and observational techniques. Mini-surveys may also be applied. The survey results are meant to provide a basis for local level planning by focusing on constraints and facilitating factors in relation to specific actions. Rapid appraisal methods are particularly suited to examine how national policies or programmes are implemented at local level. Participatory rural appraisal methods are often used in relation to poverty, food security, agriculture and natural resource management issues. When applied periodically over time, the survey results can also serve as a monitoring tool. As rapid appraisals are applied to specific locations, the results are location-specific and usually cannot be generalised to other locations.

*Client satisfaction surveys and participatory service delivery assessment (PSDA) surveys* are similar, and are designed to provide information for concrete follow-up action related to public services. These surveys are also referred to as *direct beneficiary surveys*. Client satisfaction surveys were adapted from surveys designed to gauge how well clients like commercial products or services. PSDA surveys are a type of client satisfaction survey that are designed to monitor access to, and delivery of, public services. These assessments normally cover the following aspects: (i) key constraints faced by people in accessing public services, (ii) quality and adequacy of services, and (iii) capacity and effectiveness of staff in providing the services. These assessments are particularly targeted at poor and underserved population groups. The central instrument in these assessments is the so-called "*citizen's report card*". The findings of the survey serve to generate recommendations and a plan of action to address the constraints the poor face in accessing public services, and to improve the management and quality of public service delivery. These assessment surveys provide information to assist public officials to better implement their responsibilities, to improve institutional capacities, and for people to hold public officials accountable for the management and quality of public services. These assessments using the citizen's report card have been applied to different public services.

### **BOX 8.2 - Participatory Service Delivery Assessment (PSDA)**

*The citizen's report card concept was first introduced in 1993 in Bangalore, India. These scorecards have been applied in the Philippines to obtain feedback from citizens on an array of public services, and in Bangladesh to assess public services provided by local government. To assess corrupt practices in urban areas, the scorecard was used as part of the Kenya Urban Bribery Survey. A PSDA survey was piloted in two representative districts in Zanzibar in 2004 covering the provision of primary education and of drinking water. In follow-up to the survey, both the Ministry of Education and the Department of Water Services took concrete actions to improve the quality and access to these services. PSDA surveys are now part of the monitoring system of the poverty reduction strategy in Zanzibar.*

## SECONDARY DATA ANALYSIS AND INTERPRETATION

- Analysis of census and national survey data.
- Analysis and synthesis of data contained in data inventories (Annex 2).
- Analysis and interpretation of data in institutional databases.
- Analysis of data generated through research activities.

Data from large national surveys are available in many countries. Population and agricultural census data are by nature quite complete, but such censuses are conducted infrequently, perhaps every ten years. Data generated by means of sample surveys are often also available, and may or may not be up-to-date. Close-ended surveys such as listed below employ pre-designed survey forms, and some of these, such as the Demographic and Health Survey that is applied in a number of countries, are standardised. A second source of secondary data may be international data inventories, such as the ones listed in Annex 2. Their use may be limited though, as they do not usually present ways to disaggregate the data by geographic areas or population groups. Institutions such as sector ministries may also have databases. For example, a ministry of health may have a database that contains certain health and nutrition data obtained from medical facility records. A ministry of commerce may have a database that contains weekly market prices for basic commodities, and a ministry of agriculture a database with monthly market prices of agricultural inputs. The HMIS in Uganda is an example (chapter 7). Lastly, academic social research may also generate survey data that enter the public domain and that can be re-analysed for monitoring purposes. The data are likely to be specific to areas or population-groups, and not be nationally representative. The actual use of secondary data from these various sources to monitor progress with achieving the right to adequate food thus depends on whether it is possible to: (a) disaggregate the data by vulnerable groups or vulnerable areas, (b) construct outcome indicators from the data to monitor progress against established benchmarks and targets, and (c) provide national or regional estimates based on a representative sampling frame. To disaggregate the data from a nationally representative sample survey for vulnerable groups or areas requires that the sampling frame explicitly includes sampling criteria of group or area vulnerability.

### BOX 8.3 - Close-ended Surveys with Structured, Predesigned Survey Forms

- *Population Census.*
- *Agricultural Census.*
- *Living Standards Measurement Surveys.*
- *Demographic and Health Surveys.*
- *Multiple Indicator Cluster Surveys.*
- *Agricultural Sample Surveys.*
- *Health and Nutrition Surveys.*
- *Social Impact Assessment Surveys.*
- *Household Income and Expenditure Surveys.*
- *Labour Force Surveys.*

## PRIMARY INFORMATION GATHERING THROUGH SURVEYS

Primary surveys can range from *community mini-surveys to national sample surveys*. New surveys should always be used as a last resort when critical information for monitoring or analysis can not be obtained by any of the methods discussed above.

Particularly national sample surveys are costly, require a sound sampling frame, take long to develop and test, and require a well trained survey staff, good survey organization, an efficient data management system, and a skilful analytical staff. The challenge is to produce results and conclusions in a timely way. To be useful for monitoring purposes, all or parts of the survey would need to be repeated periodically, which is usually not feasible. What is sometimes applied as a strategy, is to modularise the survey content, and have certain modules eventually included in another survey which is normally undertaken with certain frequency, such as a labour force survey. This “piggy-backing” onto another survey may address some of the concerns about costs and time.

National sample surveys can be helpful to establish certain baseline information when this is not possible from other sources. This provides inputs in defining national, sub-national or even population group specific benchmarks and targets, depending on the sampling frame applied in the survey. Monitoring the right to adequate food means monitoring progress towards achievement of those benchmarks and targets, and calling the government to task when progress falls short as apart of holding government officials accountable.

Brainstorming sessions, document reviews and key informant interviews may be useful to establish an appropriate sampling frame for a large area survey, and to provide inputs for the formulation of survey questions and to plan survey procedures. The sampling frame can be based on categorisation of areas, such as food economy zones, i.e. areas that are homogeneous in several aspects of the food economy (food production and marketing, food consumption patterns). These areas are clustered and are usually mapped and described. Another area categorisation may be based on homogenous agro-ecological zones. In each zone, food insecure and vulnerable groups are located through document review and interviews with key informants. This information is then used to refine the sampling design. At this point, brainstorming sessions may be useful in validating the information obtained and organised so far.

Once the survey is completed, and the data are processed and analysed, area-based and/or group-based profiles can be drawn, and complemented as necessary by more in-depth assessment reports based on statistical analysis of the survey data. An example of group-based profile generated as part of a vulnerability analysis, referred to as a *vulnerability profile*, is that of artisanal fisherfolk in Benin, presented in the FAO *The State of Food Insecurity in the World, 2000*. An example of an area-based vulnerability profile was presented in chapter 5 (Zanzibar).

## Rights-based information gathering through surveys

When undertaking surveys, it is important to bear in mind the following points from a human rights perspective:

- In designing the survey, identify the most simple method(s) of information gathering, making sure that all the information to be obtained is really needed so that all information will effectively be used in the analysis.
- Respondents should have adequate information to provide informed consent or to decline participation in the survey.
- The findings of the survey should only be used for the purpose(s) that were initially announced.
- The information provided by individuals should be held strictly confidential and no individual should be identifiable in the final survey results.
- Respondents should have access to the information that they have provided about themselves, but not to information provided by others.
- The survey team should at all times provide detailed information about the survey process to respondents at their request, both during the survey and afterwards.
- The survey team should share the survey results with groups of respondents in ways that respondents can understand those results and draw their own conclusions.

The survey should be designed to collect only what is necessary and sufficient to meet information needs. Careful thought should be given when designing the methodology and data collection instruments about how the data will be analysed. The data should come back in a form that facilitates the desired analysis. Think about language issues, and when needed and possible, hire field workers who can speak and understand local languages or dialects. One concern sometimes is that the respondents may not adequately have been provided with all the information necessary to give informed consent for their participation in the survey, or that the information is provided to them in language or forms that do not facilitate their complete comprehension. “Informed” consent forms are now routinely included in formal surveys, stipulating confidentiality of the information that respondents provide, that the information provider will not be identifiable when survey results are disseminated, and will be used only for the purpose(s) for which the survey is conducted. This means that completed survey forms are stored in places with access only to personnel directly involved in the survey. It also means that the survey team, information processors and data analysts have been made fully aware of the above points before the survey is initiated. Sharing the survey results with groups of respondents not only provides them with information for their own interpretation and use in decision-making, but also can serve to validate these results and to learn from different interpretations of the same information.

**REFERENCE SOURCES:**

- ❖ [www.foodsec.org/News/tools\\_nut.htm](http://www.foodsec.org/News/tools_nut.htm) (for the HFIAS)
- ❖ [www.eldis.org/Participation Manuals](http://www.eldis.org/Participation Manuals)
- ❖ [www.eldis.org/Manuals and toolkits](http://www.eldis.org/Manuals and toolkits)
- ❖ [www.fao.org/gi/gil/waicent\\_en.asp](http://www.fao.org/gi/gil/waicent_en.asp)
- ❖ [www.rapidassessment.net](http://www.rapidassessment.net)
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- ❖ Messer, N. & Townsley, P. (2003) *Institutions and Livelihoods: Guidelines for Analysis*. Rome, FAO (Rural Development Division), 2003.
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## 9. SHARING MONITORING INFORMATION ON THE RIGHT TO ADEQUATE FOOD

Sharing information is an important step in the monitoring process. Monitoring requires resources and is seen as an investment. The return depends on what use is made of the monitoring information; does it lead to better decisions and to actions that produce real and positive change? This is why it is important to know the monitoring information needs of decision makers, planners and others, and to provide them with timely and valid information. These were some of the issues dealt with in chapter 7. Rights-based monitoring requires that the monitoring information is accessible to all, including to rights holders. This means that the ways of sharing information may have to be very different depending on for whose use the information is produced. For example, policy decision makers can usually read and understand technical reports that provide an analysis of monitoring information and draw conclusions from that analysis, with some of the statistical results presented in the form of graphs and data tables. Many of the reports produced by international agencies are usually in this form. FAO's SOFI reports are an example. On the other hand, village leaders and community members may have to rely on verbal communications and perhaps even drawings in the sand to understand what changes have taken place. The way that results from monitoring are presented may be as important as the results themselves. Important is to ensure that those results can easily be accessed, interpreted, understood and made use of by the intended users.

In the remainder of this chapter we highlight one tool which can effectively tell a story about monitoring results from a human rights' perspective. Sharing monitoring information related to the right to adequate food with the world is an obligation of each country that is a signatory party to the ICESCR. One mechanism are periodic reports to the CESCR. How the different assessment and monitoring

methods discussed here can be applied to prepare specific parts of these reports to the ICESCR is shown.

## **MAPS AS PRESENTATIONAL TOOLS IN MONITORING THE RIGHT TO ADEQUATE FOOD**

Much has been written about the various dimensions of the communication of information. This section focuses on the potential of some aspects of modern electronic information technology, and how these can contribute both to effective monitoring itself and to meeting the need to present the monitoring results. This section and Annex 5 deal with the production of maps as an information dissemination tool. Annex 5 provides more detailed technical information, shows some relevant examples of maps and describes some available software to produce maps.

Maps have a special relevance to rights-based monitoring. They can tell an important and dynamic story in few words and have been shown to provide inputs in policy and programme decision making. The *Right to Food Guidelines* make specific mention of mapping as a technique to be applied in monitoring and reporting on progress with the realization of the right to adequate food. It is a tool that can present the locations of food insecure and vulnerable groups, and so aid in better geographic targeting of food security and poverty reduction interventions and social investments. Maps demonstrate the spatial distribution of wealth, poverty incidence, natural resources, access to infra-structure and basic services, and thus focus attention on spatial inequality. They can be constructed at national and sub-national levels, depending on data availability for disaggregated levels.

### **Advantages of maps as a monitoring tool**

Maps have a number of advantages:

- Different stakeholders in general easily understand the messages contained in maps and have little difficulty interpreting maps.
- Time and space can be combined in a map by expressing location-specific changes over time, such as changes in the incidence of poverty in different locations (see Annex 5: map of Ecuador). This means that monitoring information can be expressed in a map within a spatial dimension, pointing to spatial equity (or lack thereof) in changes over time.
- Specific right to adequate food issues can be highlighted in maps, such as inequality in access to public services among different population groups in various locations (see Annex 5: map of Cambodia).

- Importantly, there is evidence from many countries that maps actually impact on policy making and in-country priority setting, geographic (re-) targeting of national programmes, public budgeting decisions, etc. For example, see Henninger and Snel (2002) in the list of reference sources below.
- Map layering (super-imposing different two-dimensional maps for the same geographic area) contributes to identifying and better understanding location-specific causes associated with food insecurity and vulnerability. This is referred to as spatial correlation analysis. An example of map layering can be seen in Annex 5 (see map of Mexico).

Maps can indicate where the food insecure and vulnerable are located, identify livelihood and location-specific characteristics that are spatially associated with vulnerable group characteristics. An example from Kenya is provided in the box below<sup>49</sup>.

This example shows that:

- Generating a map involves a number of steps and some analysis.
- Gathering of part of the information needed at local level can involve a participatory process.
- Maps can assist with making local level decisions in planning social interventions and targeting investment projects.

The actual use of maps in policy formulation in a number of countries has been documented (see Henninger and Snel, 2002). FAO periodically releases “hunger maps”. The latest version maps for each country with both the prevalence of stunting among under-five children (using the height for age indicator), as well as the number of stunted children can be seen<sup>50</sup>. Vulnerability maps at country levels are also generated to identify the locations of especially vulnerable population groups because of exposure to acute or structural risks as a tool in geographic targeting of food aid or other types of assistance.

The main constraints to the production of maps lie in the need for geo-referenced data bases. Mapping techniques allow the integration of datasets that cover different types of data (income levels, health and nutrition status, environmental conditions, community-based infrastructure, etc.) from different sources. This requires the geo-reference system of identifying locations to be identical in the different databases, otherwise a conversion procedure needs to be devised and applied. A second constraint may be the analytical and statistical capacity needed to apply GIS techniques, but adequate GIS capacity is becoming available in a number of countries.

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49 *Kristjanson, et.al (2005).*

50 Use the link: [www.povertymap.net](http://www.povertymap.net) to access these maps.



**BOX 9.1 - Mapping of Livelihood Assets in Kajiado District, Kenya**

*Five classes of livelihood assets were defined and mapped: natural, social, human, physical, and financial capital. The analytical approach involved four steps: (1) data collection to translate assets into map-able variables within a GIS environment, (2) GIS analysis to convert GIS layers into household variables, (3) statistical analysis using spatial regression models, and (4) livelihood mapping. Steps 1, 2 and 4 heavily relied on the participation of multiple stakeholders. The analysis started out with 40 asset variables, which were eventually reduced to eight that most significantly explained the poverty incidence across sub-locations of the district. Local stakeholders provided feedback and specific examples that demonstrated the actual use of the maps and of the analytical results. The uses ranged from exploring marketing opportunities in areas where small-scale horticulture production takes place to geographic targeting of new water projects and of projects to rehabilitate non-functioning boreholes.*

**REPORTING TO THE INTERNATIONAL COMMUNITY ON PROGRESS WITH THE RIGHT TO ADEQUATE FOOD**

An important feature of the international system for the promotion and protection of human rights is institutionalised monitoring of states' compliance with international conventions under international human rights law. The degree of such compliance by states that have ratified the respective human rights conventions is being monitored by special committees composed by independent experts appointed by the UN. For the right to adequate food, the relevant human rights convention is the International Covenant on Economic, Social and Cultural Rights (ICESCR). States that have ratified this Covenant are obligated, in compliance with Article 16, to submit reports on the measures which they have adopted and the progress made in achieving the observance of the rights recognised in the Covenant. For the right to adequate food, the special committee is the Committee on Economic, Social and Cultural Rights (CESCR)<sup>51</sup>. States must initially report to the CESCR within two years of ratifying the Covenant and thereafter every five years on progress with the implementation of the Covenant. The Committee meets twice a year in Geneva to examine, discuss and comment on reports submitted (usually five-six reports per session). The role of civil society is critical, and non-governmental organisations that are actively working in fields related to economic, social and cultural rights, are invited to participate in the reporting process by submitting oral and/or written reports.

To assist the countries with the preparation of reports to the CESCR, a set of general guidelines were drawn up in 1991, and subsequently revised and re-issued in 2004. There are no differences between the 1991 and 2004 versions with

<sup>51</sup> The CESCR is a body of independent experts established in 1985 to carry out the monitoring functions assigned to the United Nations Economic and Social Council in Part IV of the Covenant.

respect to the general part of country characteristics, or with respect to Article 11 and the right to adequate food. The CESCR reporting guidelines have been reproduced in Annex 6, where we have indicated how monitoring results generated by the various methods in this volume can contribute to the preparation of the monitoring reports.

Reference to the CESCR reporting guidelines should contribute to defining the monitoring information to be gathered when applying some of the assessment and analysis methods described here, and also how to improve this information on a continuing basis, so that answers can be provided to critical questions related to the realization of the right to adequate food.

Important sources of information for the general section of a country report will be the various assessments and analyses suggested for a relevant and effective monitoring process, some of which may already exist, but may need to be updated. The food and nutrition situation analysis, undertaken prior to or as part of food security and nutrition programme monitoring, can also contain a great deal of relevant information. The vulnerability analysis and risk analysis can contribute information about trends in demographic and socio-economic factors. An effective way to demonstrate locational differences in these may be the production of maps. Graphs are useful to demonstrate trends, provided a sufficient number of data points are available. The module requested on recourse and remedies may be drawn from an overall assessment of the legal framework for human rights protection. Additional information may be generated through a role analysis of duty bearers with respect to human rights protection. Whether efforts are under way to mainstream human rights, educate duty bearers and rights holders, and how relevant information is disseminated, may be known through an analysis of uses of monitoring information.

Preparation of the periodic reports will result in making use of existing information or generating new information in the process, hence the value of the international reporting requirements for the monitoring process in the country itself. Countries and civil society groups may in the process identify important information needs with reference to the Right to Food Guidelines that could be added to the information requested by the CESCR reporting guidelines.

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## ANNEX 1.

# CLARIFICATION OF RELEVANT AND COMMONLY USED TERMS

*Note: A number of terms found in Annex 1 of volume I have been included here again for ease of access and reading. Additional terms have been added. Please also consult Annex 1 of volume I.*

### BODY MASS INDEX

The body mass index (BMI) is constructed from body weight (W) and height (H) measurements. The two measurements are combined by dividing body weight in kilograms by the square of height in meters, thus  $W \text{ (kg)}/H \text{ (meters squared)}$ . The result is thus kilograms of body weight per squared meter of height. For example, someone who weighs 80.5 kg and is 180 centimetres tall, would have a BMI value of  $80.5/(1.8 \times 1.8) = 24.8 \text{ (kg/m sq.)}$ . The index is constructed to make the body weight measurement independent of height, as taller people would tend to weigh more, for the purpose of making inter-person comparisons. The indicator is applied to classify adults as to degree of weight deficiency or of being overweight, as indicated below. The same index can thus be used to detect people who are weight deficient and people who are overweight. Similar BMI classifications have been developed for young and adolescent children.

#### ADULTS

Range of BMI	Classification
< 16	Severe weight deficiency
16 – 17	Moderate weight deficiency
17 – 18.5	Slight weight deficiency
18.5 – 25	Normal range
25 – 30	Overweight/slightly obese
30 – 40	Moderate obesity
> 40	Severe obesity

## DIETARY BEHAVIOUR

Dietary behaviour refers to all the activities undertaken by people that are centred on the intake of food, including food acquisition, preparation and preservation practices. These activities are economically, socially and culturally determined, and thus differ from place to place, and among people in the same place. Where seasonal food availability occurs, dietary behaviour may also differ during various periods of the year among the same people.

## FOOD INSECURITY VULNERABILITY

Vulnerability is a probability or likelihood concept, because it can be seen as the result of: (a) the probability that a particular risk (or “hazardous event”) occurs, (b) the probability that a specific hazardous event or shock affects particular individuals, households, or groups of people, and (c) the probability that the affected household cannot withstand, or can only partially withstand, a particular risk impact. As such, the vulnerability concept can be applied to any human condition, from general wellbeing to specific disease. Here it is specifically applied to food security. The cumulative probabilities of (a) and (b) are usually termed: “exposure to risk”. Exposure to risk and capacity to withstand effectively a risk or shock are the two vulnerability dimensions that determine food insecurity outcomes.

$$\text{Vulnerability} = f [\text{Risk exposure, Capacity to cope}]$$

Individuals, households, or groups of people, who are permanently food-insecure, are also highly vulnerable (to greater food insecurity). While those who are food secure, have very low levels of risk exposure, and have a high capacity to withstand, or to recover quickly from, any adverse risk effect will remain food secure. Thus, one can talk of a vulnerability continuum, with positions at different points of this continuum representing different degrees of vulnerability to food insecurity. Vulnerability is a relative concept, i.e. some people or households are more or less vulnerable to food insecurity than others.

## ECONOMIC, SOCIAL AND CULTURAL RIGHTS

All human rights are historically divided into civil and political rights on the one hand and economic, social and cultural rights on the other, and are protected under the 1966 International Covenant on Political and Civil Rights and the 1966 International Covenant on Economic, Social and Cultural Rights, respectively.

Civil and political rights include the right to self-determination, the right to freedom of opinion and expression, the freedom of association and assembly, the right to name and nationality, the right to life, and the right to freedom from arbitrary interference with privacy, family and home. Economic, social and cultural rights include the right to adequate standard of living, right to adequate food, the right to housing, the right to education, the right to health, the right to work, the right to decent conditions of work, the right to form and belong to trade unions, the right to social security, the right to participate in cultural life, and the right to benefit from science and intellectual property. General Comments issued by UN committees for the two treaties further define many of these rights.

### **PROGRESSIVE REALIZATION OF THE RIGHT TO ADEQUATE FOOD**

Unfortunately, in most countries there are hungry people – worldwide well over 800 million. Their rights to adequate food are violated. Yet it is highly unrealistic to think that measures can be put into place immediately so that hungry people can start enjoying their right to adequate food. So the concept of “progressive realization” means that over time the number of hungry people continuously diminishes. It is incumbent on states to take actions, and put in place measures, so that the number of hungry people diminishes over time at a rate that is commensurate with maximum efficiency in the allocation of available resources. When States periodically report to the CESCR on progress with the realization of ESCR, they need to show that the progress is in line with the best and maximum use of national resources.

### **HUMAN RIGHTS PRINCIPLES AS DEFINED IN THE STATEMENT OF COMMON UNDERSTANDING (MAY 2003)**

Human rights principles are: (i) universality and inalienability; (ii) indivisibility; (iii) inter-dependence and inter-relatedness; (iv) non-discrimination and equality; (v) participation and inclusion; (vi) accountability and the rule of law.

- **Universality and inalienability:** Human rights are universal and inalienable. All people everywhere in the world are entitled to them. The human person in whom they inhere cannot voluntarily give them up. Nor can others take them away from him or her. As stated in Article 1 of the Universal Declaration of Human Rights, “All human beings are born free and equal in dignity and rights”.
- **Indivisibility:** Human rights are indivisible. Whether of a civil, cultural, economic, political or social nature, they are all inherent to the dignity of every human person. Consequently, they all have equal status as rights, and cannot be ranked, *a priori*, in a hierarchical order.

- **Inter-dependence and Inter-relatedness.** The realization of one right often depends, wholly or in part, upon the realization of others. For instance, realization of the right to health may depend, in certain circumstances, on the realization of the right to education or of the right to information.
- **Equality and Non-discrimination:** All individuals are equal as human beings and by virtue of the inherent dignity of each human person. All human beings are entitled to their human rights without discrimination of any kind, such as race, colour, sex, ethnicity, age, language, religion, political or other opinion, national or social origin, disability, property, birth or other status as explained by the human rights treaty bodies.
- **Participation and Inclusion:** Every person and all peoples are entitled to active, free and meaningful participation in, contribution to, and enjoyment of civil, economic, social, cultural and political development in which human rights and fundamental freedoms can be realised.
- **Accountability and Rule of Law:** States and other duty-bearers are answerable for the observance of human rights. In this regard, they have to comply with the legal norms and standards enshrined in human rights instruments. Where they fail to do so, aggrieved rights-holders are entitled to institute proceedings for appropriate redress before a competent court or other adjudicator in accordance with the rules and procedures provided by law.

## **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. Policies, programmes and institutions need carefully to be examined to detect discriminatory outcomes and effects 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.

## **PARTICIPATION**

Participation is a fundamental principle for human rights and should be applied when the rights are being interpreted and developed as well as when states develop

their programmes aimed at realising rights. When stakeholder groups participate in policy formulation, programmes and in decisions related to human rights, it is more likely that people's needs and demands are appropriately met. The right to participation can take many forms: political participation (political rights), social participation (civil rights) and economic participation (economic, social and cultural rights).

## **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 has the capacity 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, recognising 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 effectively been empowered?

## **RECOURSE MECHANISMS**

Recourse here refers to seeking redress for a human rights violation. At the national level, there are normally either judicial or quasi-judicial means of seeking redress. Judicial means refers to bringing a case in a competent legal court, on the grounds that one or more provisions of an international human rights treaty to which the State is a signatory party, and/or of the national constitution, has/have been violated. If the court agrees with the rights claimant, it will decide on the remedy that the State has to provide. Quasi-judicial means refers to human rights violation claims being registered with a human rights institution, usually either a human rights commission or the office of the ombudsperson, or with a national institution set up to protect the rights of specific population groups, such as women, children, or ethnic minorities. Depending on the mandate of these institutions, they may assume a mediating function, bring a court case on behalf of a person, or find another way to have the rights of the person protected.

## **STATE OBLIGATIONS**

According to international human rights law, the State has legal and moral duties or obligations towards the country's inhabitants. These duties and obligations are usually spelt out in international agreements and covenants to which the State is a party, and these may or may not be incorporated in domestic law. Three levels of State obligations with respect to the realisation of the right to adequate food are distinguished:



- Obligation to respect.
- Obligation to protect.
- Obligation to fulfil.

The State obligation with respect to the right to adequate food is often erroneously interpreted to mean that the State must provide everyone with food at all times. The obligation to respect the existing access to adequate food requires States not to take any measures that result in preventing anyone from adequate access to food. The obligation to protect requires measures by states to ensure that enterprises or individuals do not deprive individuals of their access to adequate (including safe) food. The obligation to fulfil contains two dimensions: to facilitate, and to provide. The obligation to facilitate means that the state must pro-actively engage in activities intended to strengthen people's access to and utilization of resources and means to ensure their livelihoods and food and nutrition security. The obligation to provide adequate food is seen as a last resort, usually in emergency situations, when the right to life is in jeopardy. International food aid, and drawing down of national grain reserves, are means by which States provide food to population groups at risk of suffering from hunger and malnutrition, either due to natural (droughts, floods), or man-made causes such as complex emergencies.

## **OBLIGATIONS AND RESPONSIBILITIES OF STATE AND NON-STATE ACTORS**

State obligations are couched in very general terms in international human rights law. Details had to be developed over time, increasingly through a normative process which involves State practice, facilitated and strengthened by the dialogue of the state parties with the treaty monitoring bodies. It has also been influenced by normative developments within intergovernmental bodies, in particular the United Nations, the specialised agencies and a few others. To fulfil their evolving human rights obligations, States should adopt national laws and administrative regulations reflecting international normative developments, and update these as the international normative development proceeds. Can non-State actors be considered duty bearers under international human rights law? Since that law is addressed to States, it binds only States. However, part of the obligations undertaken by States is to impose duties on private persons under national law. Two examples will demonstrate this. Example 1: The right to adequate food involves the right to safe food. This implies a State obligation to adopt legislation imposing duties on private food producers to ensure that only safe food is marketed. Example 2: The Convention on the Rights of the Child imposes obligations on States to adopt legislation to ensure that parents respect and fulfil the rights of the child. Legal responsibility of non-State actors only arises as a consequence of domestic law. But non-State actors will be considered responsible for human rights compliance, even when domestic law has failed to establish the corresponding legal duties. It can be said that they are morally responsible even when not legally responsible.

## **OBLIGATIONS OF CONDUCT**

These obligations refer to States complying with their obligations to respect, protect and fulfil rights.

## **OBLIGATIONS OF RESULTS**

The obligation on the part of the State to work towards the right to adequate food (and other ESCR) progressively being enjoyed by increasing numbers of people constitutes an obligation of result.

## **DUTY BEARERS**

The State has the primary responsibility with respect to the realization of human rights. State agents at all levels and in all capacities are primary duty bearers with respect to the realization of the right to adequate food. These range from the head of state, to civil servants in public institutions, to public service providers (teachers in public schools, medical personnel in public hospitals, health centres and posts, extension agents, public safety personnel), and anyone else who is an employee of a public institution. These individuals have a delegated duty, and the State can be held accountable for any act or omission that these individuals undertake in their official capacity. Non-State actors (civil society, private sector) may acquire duties when the State imposes such duties by means of national legislation and regulations. For example, to protect consumers, the State may put into force certain food safety standards and impose duties on the private food industry to adhere to those food standards in producing and marketing certain foods.

## **RIGHTS HOLDERS**

All members of society hold rights upon birth, and for the remainder of their lives. Through empowerment and participation, rights holders can become rights claimants, i.e. understand their rights and have access to the means to claim those rights. Rights may also legitimately be claimed on behalf of rights holders by their representatives, when the former do not have adequate access to the means to claim rights. Claiming rights when rights are violated or are not enjoyed also requires that institutions (such as courts, a human rights commission, and/or a national office of the ombudsperson) are in place and effectively functioning. Such claims mechanisms have real meaning when their decisions can effectively be enforced.

## **INFORMATION SYSTEMS**

By information system is meant a systematic set of organised activities to produce, process, manage, store, analyse, interpret, and disseminate data and other types of information.

Efficiency in information systems refers to the total resource costs involved in producing the system's quantitative and qualitative information outputs. Assessing the system's efficiency involves comparing alternative approaches and activities that would produce those information outputs, by defining different ways of combining certain inputs, and finding the least costly combination.

The effectiveness of the information system refers to the system's impact on producing knowledge for absorption, assimilation and understanding by specific stakeholder groups which may then act upon this new knowledge.

The sustainability of the system indicates the extent to which the system will continue to produce information outputs that are needed, particularly when factors external or internal to the information system negatively impact on its performance over time.

## MONITORING

Monitoring is a broad and extensive topic. Many definitions of monitoring can be found in the development literature. Monitoring can take place at national, local and community levels, and of policies, programmes, projects and community actions. We highlight here some main elements of conventional monitoring, as identified by the World Bank<sup>52</sup>.

### Monitoring...

- *Is a continuous activity that systematically uses information.*
- *Measures achievement of defined targets and objectives within a specified timeframe.*
- *Provides feedback on implementation processes, and implementation problems.*
- *Tracks resource acquisition, allocation and expenditures, and the production and delivery of services.*

Monitoring and evaluation are often mentioned together, and are sometimes used interchangeably because they are seen as closely integrated functions or sets of activities. Others may argue that monitoring and evaluation are separate functions, in part because the information is generated for different uses and different users. One way may be to see these sets of activities as complementary parts of an integrated information-producing and –disseminating system.

<sup>52</sup> Valadez, Joseph and Bamberger, Michael (Eds.). *Monitoring and Evaluating Social Programs in Developing Countries. A Handbook for Policymakers, Managers and Researchers. EDI Development Studies. The World Bank. Washington, D.C., 1994.*

## STRUCTURAL INDICATORS

Structural indicators measure whether or not appropriate legal, regulatory and institutional structures are in place, considered necessary or useful for the realization of a human right. This refers to national law, constitutions, regulations and legal, policy frameworks and institutional organisation and mandates. Examples include: the legal status of the right to food, and of related rights such as to health and to education, mandates of institutions with responsibilities for the core content of the right to adequate food, food security and nutrition policies and strategies, etc. Most structural indicators are qualitative in nature, and a number of structural indicators may be evaluated by a simple „yes“ or „no“ answer, e.g. if a particular law or policy is in place or not. However, sometimes these yes/no answers need follow-up questions and additional clarification, to capture qualitative dimensions of the law or policy. For example, whether the food security and nutrition policy specifically targets food insecure and vulnerable groups, and are policy measures adequate to address the underlying causes of food insecurity and vulnerability in those groups. Structural indicators monitor the State obligations of conduct, i.e. the effort the government has put forth towards the realisation of a human right.

## PROCESS INDICATORS

Process indicators provide information on the processes by which human rights are implemented, specifically through laws, policies, programmes, regulatory measures, etc. These indicators are designed to assess how, and to what degree, activities necessary to attain objectives specific to certain rights are put into practice, and the progress of these activities over time. Process indicators capture: (i) the quality of a process in terms of its adherence to the key human rights principles (is the process non-discriminatory, accountable, participatory and empowering, and can duty bearers be held accountable?), and (ii) the type of policy instruments, and public resource allocations and expenditures invested to further the progressive realization of a specific right. As with structural indicators, process indicators measure aspects of the State obligations of conduct. Examples within the context of the right to adequate food include: land and environmental laws conducive to efficient food production by smallholder farmers, food safety and consumer protection laws and regulations, food and nutrition programmes targeted at vulnerable population groups, rural infrastructure programmes, targeted food prices subsidies, and improving access to food among the resource-poor by means of income generation programmes.

## OUTCOME INDICATORS

Outcome indicators provide summary information on the extent of realization of a human right. These indicators assess the status of the population's enjoyment of a right, and thus measure the results achieved by means of policies, programmes,

projects, community actions, and others. Outcome indicators relate more directly to the realization of a right, i.e. a “substantive right” with a clearly defined content. Indicators that measure the various components of the core content of the right to adequate food are outcome indicators. As there may be a series of processes contributing to a single outcome, it becomes useful to make a distinction between process and outcome indicators. Example: if adequacy of dietary intake is used as an outcome indicator, it might be useful to look at process indicators on food safety, income generation, nutrition education, that are linked to producing this particular outcome. Outcome indicators measure the State’s obligations of result.

## **BENCHMARKS**

States can set benchmarks as mid-term goals against which to monitor over time achievements and progress. In applying human rights principles, benchmarks are important as part of mechanisms with which rights holders can hold duty bearers accountable for poor progress and lack of achievement. Benchmarks can be formulated in relation to outcome, structural and process indicators, and are usually expressed as a quantitative and verifiable goal to be achieved at a specific point in time. Benchmarks should periodically be assessed to examine whether States’ capacities and use of available resources are adequately taken into consideration, i.e. whether the set benchmarks are realistic, or require adjustments (either up or down).

## **BUDGET ALLOCATIONS**

Budget allocations are the amounts that have been approved in public budgets for expenditure during a given period of time, normally one year. Allocations are made within the budget to institutions, programmes, projects, etc. They represent the authorisation to spend up to the amount allocated for the purpose as stated. If during the course of the year more funds are needed for a specific purpose, an additional authorisation or allocation is normally required.

## **BUDGET EXPENDITURES**

Budget expenditures are the actual spending of funds against allocations during the budget period. At the end of the budget period the actual expenditures should not exceed the allocations, but can be less and often are, due to implementation delays or because of other reasons.

## **CONSUMER PRICE INDEX**

The Consumer Price Index (CPI) is a weighted composite index of consumer prices at a given point in time. An average “bundle” of goods and services

that consumers buy are priced in the market, and an average weighted price is calculated by multiplying pre-defined weights of each good and service included in the index by the corresponding current prices of these goods and services. The relative weights assigned to each good or service depends on their importance in a typical consumption basket of a specific group of people or the population as a whole. The index normally has a so-called base period, i.e. the weighted average price of a specific month or a year. The weighted average price in subsequent periods is expressed as a percent of the weighted average of the base period. By applying the price index to a series of monetary values in a subsequent period, we are eliminating the effect that changes over time in prices have on those monetary values. By applying the CPI as a deflator, we can examine the extent to which the changing monetary values are due to price changes, and/or to increases in the real purchasing power of those monetary values. We shall demonstrate with an example that relates to public budget analysis as explained in chapter 4 above.

*Question: Has the government increased in real terms the yearly allocations to the food security budget during the period 1996 - 2004?*

	1996	1997	1998	1999	2000	2001	2002	2003	2004
Budget allocations (in millions)	26.1	28.4	29.3	34.2	35.7	35.8	39.2	40.9	44.3
CPI (1996 = 100)	100	102	103	109	111	113	116	121	125

The total food security budget allocations increased steadily between 1996 and 2004 by 70 percent (from 26.1 to 44.3 mill.), even though the increases from year to year varied. However, domestic prices also increased, and by 25 percent between 1996 and 2004, even though again the increases varied between years. About half of the increase in budget allocations reflects the increase in domestic prices, so that in real or in constant 1996 prices, the budget allocations only increased by about 36 percent (from 26.1 to 35.6 mill.). Between 2000 and 2001 the budget allocations at constant prices actually fell, and remained the same between 2002 and 2003 (33.8 mill.). Thus, overall the government did increase the food security budget allocations during this period, but not by as much as would appear from the nominal values, as half of the increase is “eaten up” by the increase in domestic prices.

## GROSS DOMESTIC PRODUCT

The gross domestic product (GDP) is the total value of all goods and services produced during one year in a country. It is thus an accounting measure that allows tabulation of the real quantities of goods and services produced valued at their current prices in the country. It is thus also a measure of the level of economic activity in the country. When comparisons are made between countries, GDP is

usually adjusted for differences in population size, thus per capita GDP. Countries with higher per capita GDP have higher levels of economic activity than countries with lower per capita GDP. If comparisons are made over time, for example to examine if countries have experienced real economic growth during a certain period, per capita GDP is deflated by the same process as explained above, i.e. to separate the effects of changing prices from changes in real quantities of goods and services produced in the country.

## **LIVELIHOOD**

A livelihood has been defined as a set of capabilities, assets and activities that together make a means of living (DFID, 2004). Five classes of livelihood assets are usually distinguished: physical, financial, human, social and natural assets. Livelihood strategies entail combining capabilities and different assets and undertaking a set of activities to produce livelihood outcomes = a level of living or of wellbeing. Livelihoods may be vulnerable when external shocks, trends, seasonal factors or other changes impact negatively on one or more assets, and people have no way to offset those impacts. For example, during the hunger season just before harvesting, subsistence farmers have to go into debt or make money some way to acquire food because their food stores and financial resources are exhausted.

A persistent and sharp drop in coffee prices on world markets will eventually drive many small-scale coffee growers out of business. Policies and institutions impact on livelihoods, usually on one or more of the assets, and can also act to open up new opportunities for livelihoods. A new micro-credit programme targeted at subsistence farmers increases their financial assets, while an agricultural research and extension programme that develops and disseminates crop growing methods that improve productivity and quality of subsistence crops, all contribute to strengthening the livelihood of small scale farmers.

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## ANNEX 2.

# DATABASE INVENTORIES

### RELEVANT UN DATABASES

A number of UN agencies produce and maintain databases with country level data related to the right to adequate food, and other human rights. It is well beyond the scope here to provide detailed information on each database. Statistics from those databases are used in the preparation of annual reports that agencies produce, as indicated below. The most relevant socio-economic databases are listed with a brief description. In-country teams may want to consult some of these international databases to get guidance on suitable indicators for monitoring that can be (or are) produced at country level. A good overview of available databases related to human rights, and key publications in which indicators and data are presented, are provided by Malhotra and Fasel (2005).

### FOOD AND AGRICULTURE ORGANIZATION

**FAOSTAT:** An on-line multilingual database with time series records for over 210 countries and territories. The database contains statistics on: agriculture, nutrition, fisheries, forestry, food aid, land use and population.

*<http://www.faostat.fao.org>*

**Nutrition Country Profiles:** Contain reviews of the food and nutrition situation in individual countries, and food-related statistics on agricultural production, health, demographic and economic indicators.

*[http://www.fao.org/es/ESN/nutrition/profiles\\_en.stm](http://www.fao.org/es/ESN/nutrition/profiles_en.stm)*

## WORLD HEALTH ORGANIZATION

Global Database on Child Growth and Malnutrition: A standardised compilation of child growth and malnutrition data from anthropometric surveys worldwide since 1960, regularly updated. Anthropometric measurements in under-five children cover: underweight, stunting, wasting and overweight.

*<http://www.who.int/entity/nutgrowthdb/>*

## UN EDUCATIONAL, SCIENTIFIC AND CULTURAL ORGANIZATION (UNESCO)

UNESCO Institute of Statistics: Databases contain statistics on education, literacy, culture, communications, science and technology.

*<http://www.uis.unesco.org>*

## INTERNATIONAL LABOUR OFFICE

Bureau of Statistics: Database contains data on employment, working conditions and labour markets (wages, hours of work, child labour, social security, trade union membership)

*<http://www.ilo.org/public/english/bureau/stat/index.htm>*

## UN STATISTICS DIVISION/DESA

Women's Indicators and Statistics Database (WISTAT): Statistics on gender, population and social development (WISTAT)

*<http://www.unstats.un.org/unsd/demographic/ww2000/index.htm>*

## WORLD BANK DATABASES

World Development Indicators (poverty, inequality, public finance, policies); EdStats (education), GenderStats (gender), HNPStats (health, nutrition and population), and Millennium Development Goals Indicators

*<http://www.worldbank.org/data>*

*<http://www.developmentgoals.org/Data.htm>*

## UN HIGH COMMISSIONER FOR REFUGEES (UNHCR)

UNHCR Population Data

<http://www.unhcr.org/statistics>

## UN PUBLICATIONS WITH COUNTRY LEVEL STATISTICAL INFORMATION

FAO: The State of Food Insecurity in the World (SOFI)

WHO: World Health Reports

UNESCO: EFA Global Monitoring Reports

UNDP: Human Development Reports

UN Division of Statistics: UN Handbook on Social Indicators

UNICEF: The State of the World's Children

World Bank: World Development Reports

UNHRC: Statistical Yearbook; Camp Indicator Reports

## OTHER RELEVANT SOURCES

Social Watch  
(annual publication)

Indicators on poverty, food and health security, women's reproductive health, water and sanitation, education, information science and technology, gender equity, public expenditures, development aid .  
(50 countries)

<http://www.socwatch.org/en/portada.htm>

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## **ANNEX 3.**

# **DIETARY ASSESSMENT METHODS<sup>53</sup>**

Dietary intake data may be collected at the national, household or the individual level. Food supply data, which are normally collected at national level, are useful for purposes, such as tracking trends in the food supply. Food supply data are not useful for identifying individuals or subgroups of the population at risk of inadequate nutrient intakes. The following gives a brief overview of methods to assess dietary intake at household and individual level. Data at these levels allow disaggregated analyses to identify vulnerable groups, in line with a human rights focused approach. There is a wide array of methods of dietary assessment. This is attested to by the long list of references of this Annex. We shall briefly describe these methods. The choice of method in each case should be guided by the purpose of the monitoring, the need for data accuracy and the availability of resources. Dietary assessment methods should also be adapted to the target population and be culturally sensitive.

### **HOUSEHOLD SURVEYS**

The principle methods of assessment at the household level are: food accounts, inventories and household recall. Data generated by these methods are useful for comparing food availability among different communities, geographic areas and socioeconomic groups, and for tracking dietary changes in the total population and within population subgroups. However, these data do not provide information on the distribution of foods among individual members of the household.

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<sup>53</sup> This Annex synthesises a short document on dietary assessment methods that was provided by the IPRFD, and was largely prepared by Dr. Arne Oshaug, Akershus University College, Oslo.

### **Food account method**

Household members keep a detailed record of the quantities of food entering the household, including purchases, home produced food, gifts, and from other sources. No account of stock of foods is taken before or after the study period. It is a widely used method in household budget surveys. As with all dietary assessment methods, the method has both strengths and weaknesses. One main weakness is that data are confined to food brought into the home and does not include food consumed outside home.

### **Inventory method**

This method is similar to the food account method. The additional element is that an inventory of stored food is made at the beginning and end of the survey period.

### **Household record**

In the household record method, the foods presented for consumption to household members are weighed or estimated in household measures. Preparation waste and waste after eating are deducted, as should be food consumed by visitors. This method may be well suited to populations in which a substantial proportion of the diet is home produced rather than purchased.

## **INDIVIDUAL SURVEYS**

Dietary surveys among individuals provide information that can be used to describe differences in intake of food and nutrients between subgroups. These methods depend on the ability of the subject to provide accurate information. Main methods for assessing present or recent diet include records, 24-hours (or 48-hours) recall, and food frequency questionnaires. In order to quantify the intake of foods, some estimate of the weight of consumed food is required. To convert food intake into nutrient intake, the availability of a food composition database/food table is essential.<sup>54</sup> By combining the information of dietary intake and food composition databases/tables one can determine whether the diet is nutritionally adequate or not.

### **Food records**

Food intake is measured at the time of eating. Food intake is quantified by weighing and using household measures. Household members themselves usually record their food intake, although a fieldworker might keep the record. Prospective methods are associated with the fewest number of errors and are generally thought to be the

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<sup>54</sup> For general information on food databases see: [http://www.fao.org/infoods/index\\_en.stm](http://www.fao.org/infoods/index_en.stm)

most accurate methods available. However, the data collection and processing are time consuming and expensive. These methods require a high degree of cooperation from the subjects, which can lead to poor response rates. Also, the need to weigh and record food, or the act of being observed, may alter the intake.

### **24-hour recall**

This widely used method involves asking subjects to recall and describe all intakes of foods and drinks in the previous 24 hours. This method usually requires a trained fieldworker/dietician/nutritionist to interview subjects, to assess portion weights and make appropriate enquires about types of food and drinks consumed and possible omissions of, for example, snacks. It is a much used dietary assessment method because it is simple, quick and inexpensive, but it is prone to reporting errors, including biased or inaccurate recalls of food intake and portion sizes. It requires a good methodological knowledge in order to transform the interview data of the dietary intake to nutrients. Applied once, it yields no information on day-to-day variation on food or nutrient intake.

### **Food frequency questionnaires (FFQ)**

These questionnaires provide information about how often certain foods or foods from given food groups, were eaten during a time interval in the past, usually day, by either the household or an individual. The questionnaire can be self-administered or be administered through a short personal interview. The food list may range from a few questions to capture intake of selected foods and nutrients, to a comprehensive list to assess the total diet. The frequency responses can be open-ended or multiple choice, ranging from several times per day to number of times per year, depending on the type of food.

FFQ can be qualitative with no information on portion size, semi-qualitative with standardised portion size estimates (as predetermined by the interview team), or quantitative where the respondents estimate portion size. When portion sizes are described by the respondents themselves, different measurement aids have been used, such as photographs, drawings or household measures. Portion size information is necessary to quantitatively assess the intake of foods and nutrients. Standard portion sizes greatly simplify the administration and processing of the FFQ.

The advantages include simpler and quicker administration and processing, and subsequently lower costs as well as less burden for the respondents than alternative methods. The method is generally accepted as being suitable for measuring typical diets and with the purpose of ranking individuals according to intake. Inaccuracies may result from an inadequate listing of possible foods, errors in estimating portion size and the usual frequency of food consumption.

Dietary diversity has been used as a simple measure of diet quality, for which there is no standard definition. More comprehensive diet quality indexes have been developed for monitoring the population's adherence to national dietary guidelines. Considerable diversity in the daily diet is thought to be necessary for adequate nutrient intakes, to lessen the chances of deficient or excessive intake of a single nutrient, and to diminish exposure to food contaminants. Past studies have shown that nutrient intakes and children's nutritional status are positively related to the number of different foods consumed.

FFQ have been widely used in large epidemiological studies or to calculate a dietary diversity score which is simply the sum of the number of food groups consumed during the reference period. The larger this number, the more diversified the food intake is. Either the total score or the frequency of intake of foods by standardised food groups can be reported, or both. There is some evidence that the household dietary diversity score is positively correlated with household dietary energy availability, and that the individual dietary diversity score is positively correlated with the adequacy of micronutrient intake of the individual.

## **VALIDITY OF DIETARY ASSESSMENT METHODS**

Each dietary assessment method has its advantages and limitations, and none of them measure food intake without errors. Independent tests of validity are therefore necessary to understand the relationship between what the method actually assesses and what it intends to measure. This is important for the interpretation of the assessment results. The general model of validation for dietary assessment methods is to compare one method (test method) with another, which is considered more accurate (reference method).

The purpose of validation studies is to identify errors in collected dietary data and to assess their potential impact on assessment findings. A questionnaire's instruction, contents and wording, the skill of the interviewer, and the research setting may all introduce response errors, including inaccurate recalls by the respondent (intentional or unintentional) of foods eaten, of frequency of consumption, and of portion size. Errors can also arise from coding errors and errors in food composition tables. Errors and day-to-day variability in dietary assessments will affect the validity and reproducibility of the measurements.

Validity measures the degree to which a method measures what it purports to measure. Validity is associated with systematic (i.e. non-random) measurement errors, or the tendency of a measurement to produce an average over- or underestimation of what the method is intended to measure, due to systematic response bias. Reproducibility is associated with random error. Random error can be due to random bias in reporting by the same individual on different days. Random errors may cancel each other out, but will increase the variance of estimated mean intake and reduce statistical power. High reproducibility of a method does not imply high validity, but a method with low reproducibility will also have low validity.

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## **ANNEX 4.**

# **AN EXAMPLE: RIGHTS-FOCUSED ASSESSMENT AND MONITORING OF SCHOOL FEEDING PROGRAMMES**

School feeding programmes (SFP) include any organized programme through which children of different ages receive, while at school, meals, or a food product or/and a drink. This includes school lunches, breakfast, mid-morning/mid-afternoon snacks, glass of milk, etc.

### **Module 1: Food and Nutrition Security Situation**

General food and nutrition problems – geographic and demographic dimensions

(What are the main food and nutrition problems? Which population groups are most affected? Where are these located? What are the principal causes of these problems?)

Food and nutrition problems of school-age children from food insecure and vulnerable households

(Which food and nutrition problems affect school-age children, by age and gender? Where are these problems most severe? What livelihood characteristics do the households have to which food insecure and vulnerable children belong?)

### **Module 2: Policy, Legislative and Budgetary Framework of the Programme**

What is the policy basis for the SFP? Is school-based feeding seen as a nutrition programme or a social relief programme? How does the SFP relate to policy priorities? What legislative mandate exists for the Programme? What budgetary

appropriations are made, and are these included in the regular budget or a special budget. What is the funding history in terms of budgetary allocations and expenditures? Which are the budgetary contributions, obligations or commitments of the different levels of government to the programme?

### **Module 3: Institutional Framework of the Programme**

Which institutions at national and local levels are responsible for designing, implementing, managing and monitoring the SFP?

What is the capacity of these institutions in their respective roles? Are their roles clearly mandated? How strong are inter-institutional linkages and coordination?

Are their mechanisms in place that effectively allow rights holders' representatives and other duty bearers to hold these institutions accountable for non or poor performance?

### **Module 4: Normative Basis of the Programme**

What are the programme norms and standards with respect to:

Intended beneficiaries?

National nutrition guidelines (RDAs for energy and nutrients), approved national menu options, food diversity, conformity with local eating habits

Provision of nutritional benefits?

Food delivery and handling (food types, school-based infra-structure (kitchen, food storage, eating space), trained kitchen staff, food preparation hygiene)?

Associated school-based infrastructure: access to clean drinking water, basic sanitation?

Food quality and safety?

Food acquisition: sources of food acquisition; use of commercial foods; protection from marketing of processed foods in school?

Associated curricular and non-curricular activities?

Per child allocation of funds?

Handling of funds and accounting of expenditures?

### **Module 5: Social Control Mechanisms**

Is there a social control instrument to monitor the implementation and quality of the Programme? In case there is, what is the mandate of this council or committee? What is its composition? How are the members selected or appointed? Is there direct representation of parents, local producers and of the different duty bearers? What are the instruments available to the council/committee to promote remedial actions in programme implementation, or to promote compensation for a violation, in case it is needed?

### **Module 6: Recourse Instruments and Institutions**

Are there any claim or recourse instruments available to students and parents in case the public sector does not meet its obligations under the Programme? Which institution(s) is (are) in charge of receiving, analysing and providing an official response to claims that are received?

### **Module 7: Programme Design**

What food and nutrition problem(s) is/are to be addressed

(Is the programme designed to address one or more major food/nutrition problem that affects a majority of children?)

Intended programme impacts

(What are the intended food-based and non-food based impacts of the programme? Do these intended impacts reflect a holistic approach, recognising linkages among the fulfilment of several rights over and above the right to adequate food, like the rights to education, health, enjoyment of leisure, etc.?)

Objectives

(How does the programme propose to contribute to decreasing the food and nutrition problems among school-age children? Does the programme have other, non-food objectives, for example, increased school enrolment, enhancement of active learning capacity, improved school attendance, increase children's access to non-curricular learning activities, reduce school drop-out rates, or greater understanding of broader social problems?)

Targeted rights holders

(Is the programme designed to target children who suffer most from food and nutrition problems and food related diseases – celiac disease, diabetes, etc.?)

### Targeting scheme and criteria, eligibility, entry and exit criteria

(What criteria and indicators are used for targeting (individual, geographic, nutritional status, etc.)? Are targeting criteria well described and do these reflect equality of access to the SFP? How well are duty bearers at different levels, and rights holders' representatives aware of and understand these criteria? Did rights holders' representatives participate in establishing these criteria? If entry and exit criteria are involved, how well are these understood by duty bearers and rights holders?)

### Community participation

(Does the programme design anticipate community participation in programme decision making and/or implementation, and if so, in what ways? What mechanisms for joint decision making and monitoring of school feeding guidelines are in place, and are these effective? What will be done to maintain constant communication between duty bearers and the community?)

### Funding mechanisms

(How are programme costs at school level covered? Is the community required to contribute, and if so, in what form(s) and did the community participate in deciding what its contribution should be? Are there fluctuations in funding availability, and if so, how does this impact on delivery?)

## Module 8: Programme Duty Bearers

National authorities.

Local/community authorities.

School authorities and staff.

Parents.<sup>55</sup>

(Do different duty bearers understand their respective responsibilities with respect to the programme, and is there evidence that they act accordingly? Is there evidence that duty bearers have actually been asked to account for their performance? If so, with what results? Do rights holders' representatives understand the responsibilities of different duty bearers? Do duty-bearers and rights holders' representatives know of, and understand, the norms and standards that are to be applied in the programme? Does the programme routinely assess duty bearers' capacity to assume their responsibilities, and makes efforts to strengthen capacities? If so, whose capacities are strengthened, and is there evidence that it leads to better performance? In case clear patterns of violations

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<sup>55</sup> *The duties of parents towards the school feeding programme are of a different nature than those of public authorities. Parents have responsibilities with respect to the adequate feeding of children within their means. See Annex 1 regarding responsibilities of non-State actors.*

are identified, are there provisions to adopt remedial procedures or, at least, review these patterns?)

### **Module 9: Programme Implementation**

Conformity to defined norms and standards

(To what extent does programme implementation conform to norms and standards – see Module 4 above? Where are there divergences, and what explain this? Is there evidence that efforts were made in the past to bring programme implementation closer in line with norms and standards?)

Geographic diversity in programme implementation

(Are there differences in implementation processes and procedures among geographic areas, and if so, what explains these differences? Is there evidence that efforts were made to correct this?)

Targeting efficiency

(How well is the targeting scheme applied, and how effective is it in ensuring programme coverage of the intended target groups? Are undercoverage and leakage rates high or low? Are there geographic differences in programme coverage rates, and if so, what explains this? Is there evidence that efforts have been made to improve effective coverage rates of the target groups, and if so, with what results?)

Programme monitoring

(Does programme monitoring take place, and if so, at what level(s) and who participates in programme monitoring? What purpose(s) does programme monitoring serve? Is there evidence that monitoring results have had an impact on changing programme design and/or implementation, or external to the programme on policy formulation, institutional changes and/or legislative priorities? Is the acquisition of food items for the programme made from local agricultural producers? In case it is not, what are the implications of these “food imports” for local eating habits and production? What is the impact of these purchases on local food and nutritional security?)

### **Module 10: Programme Impacts**

What are the food and non-food related programme impacts

(What are the programme impacts, and how do these compare with programme objectives? Are there unforeseen programme impacts, and who do these affect?)

Are there negative programme effects, and if so, who do these affect? Is there evidence that participation in the programme has led to empowerment of non-programme persons, and if so, who has benefited and in what ways?)

Geographic diversity in programme impacts

(Do programme impacts differ among various geographic areas, and if so, what may explain this? Were efforts made, for example by changing the programme design, to correct this?)

Demographic and socio-economic diversity in programme impacts

(Do programme impacts differ by gender, age group, or socio-economic levels? If so, what may explain this, and is there evidence that efforts were made to correct this?)

Programme impacts in relation to prioritised needs

(Is there evidence that the programme impacts are in line with the priorities of the community?)

Sustainability of programme impacts

(Are the programme design and the implementation process flexible enough so that the programme can adjust to future needs and changing priorities? Is it likely that the availability of programme resources will outlast a given political mandate? Will part of the programme be institutionalised in sector activities, or be incorporated in sector plans? Are human and other resources likely to be sufficient to sustain the programme and its desirable impacts?)

## **HUMAN RIGHTS “GOLD STANDARD” NATIONAL SCHOOL FEEDING PROGRAMMES**

### **Module 2: Policy, Legislative and Budgetary Frameworks of the SFP**

- The goals and objectives of the SFP are directly linked to national priorities as expressed in national development and poverty reduction strategies, food security and nutrition policies, and in relevant sector policies.
- The goals, objectives and implementation procedures of the SFP are in accordance with norms and principles found in right to adequate food framework law, the national constitution as well as in legislation related to the realisation of other economic, social and cultural rights.
- The goals, objectives and implementation procedures of the SFP are in accordance with any and all existing jurisprudence that is relevant to the SFP.

- SFP managers, administrators and other decision makers are fully aware of the policy context and the legislative basis of the SFP, and have the capacity and authority to make decisions, and formulate and implement actions that are in accordance with policy priorities, relevant legislation and existing jurisprudence.
- Mechanisms of inter-sectoral coordination are in place to guide sector policy harmonisation with respect to SFP, and to coordinate implementation of sector based actions so as to optimise the use of resources from different sources in support of the SFP.
- Civil society organizations or networks have access to sufficient information about relevant policy priorities, legislative and legal basis, and SFP budgetary allocations and actual expenditures, to allow them to monitor the implementation of the SFP and compare the results to policy priorities, established implementation norms and standards and established budgetary allocations.
- A specific law is in place that authorises budgetary allocations for SFP and clearly defines what the funding contributions are for each level of government (national, state or provincial, municipal or district), what the budgetary allocation is per participating student or per meal, the criteria that are to be applied in case of differential budget allocations for specific groups of students or school locations (based on health conditions, ethnic or cultural considerations, area-specific incidences of child malnutrition), cost shares for food and non-food expenditures, and institutional responsibilities and procedures for auditing of actual expenditures.
- Actual budget allocations from different sources are sufficient to cover all costs of providing to all eligible students food that fully meets all established norms and standards with respect to food quantity, nutritional content, food safety and hygiene and at school conditions for food preparation and delivery, as legislated. There are no gaps between budgetary allocations and actual expenditures in any given year.
- Budget planners and decision makers are fully aware of SFP impacts and results, and of the need for changes in budgetary allocations that are directly linked to modifications in the design and implementation of the SFP.
- Students and the general public are at all times well informed about the goals and objectives of the SFP and its funding, and mechanisms are in place for the general public to dialogue about the programme with SFP coordinators and managers, and to offer suggestions and share experiences.



## Module 6: Recourse Mechanisms

- Students, parents and community members are fully informed and understand the norms, standards and implementation rules and regulations that cover the SFP at the schools in their community and the schools that the students attend.
- Students, parents and community members have access to all the necessary information that allows them to compare and monitor the actual implementation practices and procedures against the established SFP norms, standards and implementation rules and procedures, to detect differences (“implementation gaps”) and monitor the implementation of actions to eliminate those gaps.
- There are clearly defined procedures by which students, parents and community members can present cases (“complaints”) in which they have detected implementation gaps at school level. These procedures are fully known to students, parents and community members and include such things as: (i) forms in which a case has to be presented, (ii) which individual and/or institution is responsible for receiving a case, (iii) institutional hierarchies for presenting cases, ranging from informal ways to presentation to judicial institutions, (iv) responsible institution for verification of the complaint, and (v) individual and/or institution responsible for defining and implementing remedial actions.
- There are clearly defined procedures by which the complaint-receiving individual or institution has to respond to complaints received, and these procedures are fully known to students, parents and community members. Such procedures cover, among other things: time period within which an action-oriented response has to be provided; to whom the institutional response is to be provided, and in what form (written, oral).
- Cases that involve complaints that transcend implementation gaps at school level, but instead involve implementation gaps at higher administrative levels, such as municipality, state or nation, are brought by representatives of students, parents and/or communities. The rules and procedures to present such cases are known to those organizations and cover the same areas as indicated above for school level.
- Representative organizations fully participate in defining and implementing remedial actions at appropriate administrative level and have the capacity to monitor the actual implementation of remedial actions and their effects at municipal, state or national levels.

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## **ANNEX 5.**

# **MAPS AS PRESENTATIONAL TOOLS IN MONITORING THE HUMAN RIGHT TO ADEQUATE FOOD**

### **A SHORT BRIEF ON MAPPING TECHNIQUES**

Examples of maps that have relevance to the realization of the right to adequate food are presented and briefly discussed below. It is not intended to attempt to make the reader an expert on geographic information systems (GIS). Readers who would like to know more of the technical details of geo-referenced databases and mapping techniques may want to consult a website provided by FAO.

The link to the website is included below in the list of reference sources. It is intended here that the reader becomes aware of this presentational tool, and can enlist the collaboration of GIS experts in divulging important messages that result from spatial analysis and that are represented in these maps. User-friendly computer software is readily available to construct digital maps. A few selected mapping software systems, together with a brief technical description, is provided at the end of this annex.

Briefly, a GIS map database is a digital database that consists of two components: (a) a spatial component with precise geographic coordinates (linked to pixels, grid cells, points, lines or polygons), and (b) tabular data on specific attributes, expressed numerically or textually, i.e. indicators, and linked to the spatial component. For example, food insecurity and vulnerability information generated through vulnerability analysis (chapter 5) can be used to construct a digital database. The GIS map image is generated by categorising the attribute data in a small number of classes, and projecting the spatial component onto a two-dimensional space that can be displayed on a computer screen or printed on hard paper, i.e. included in reports or other documents.

Maps that present different indicators for the same geographic area, can be super-imposed on each other, so-called map layering, to assess spatial correlations. Tables and/or charts can be generated from the GIS map database, as needed, to provide more detailed and complementary information.

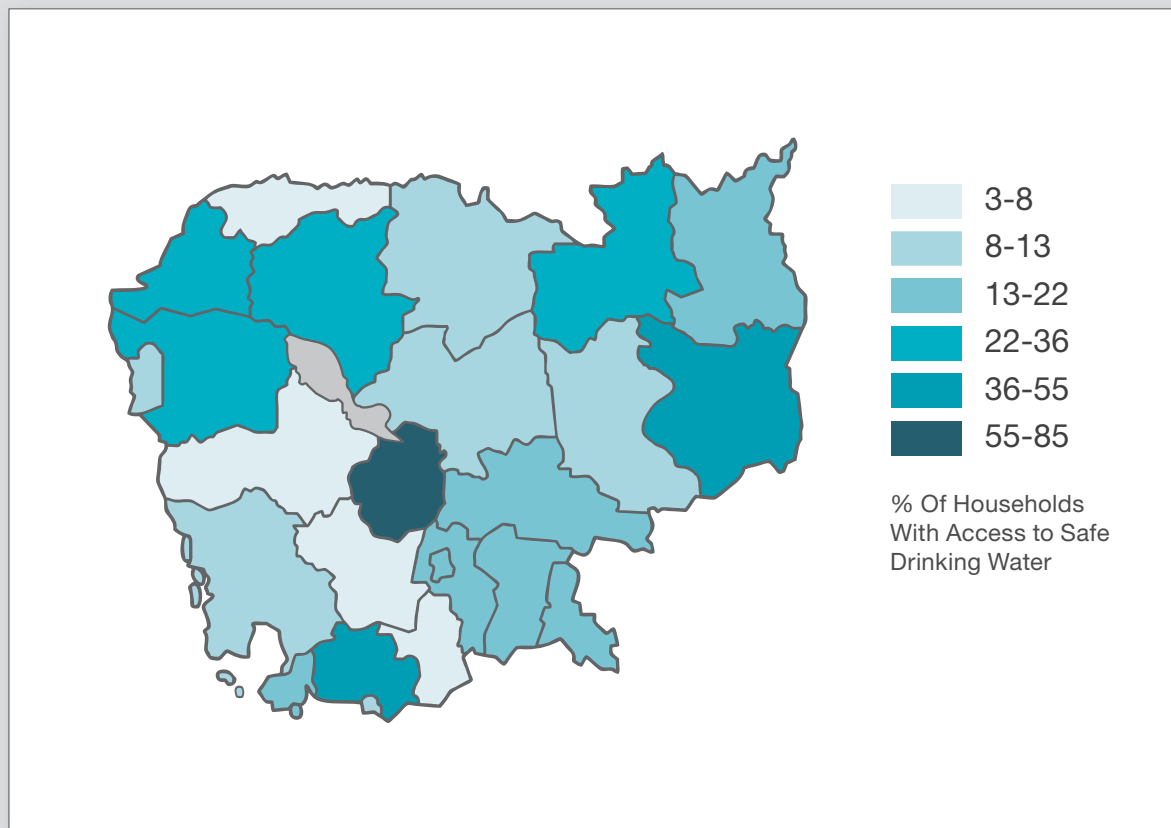
The main constraints to the production of maps lie in the need for geo-referenced data bases from which maps are constructed. On the one hand, poverty mapping techniques allow the integration of datasets that cover different types of data (income levels, health and nutrition status, environmental conditions, community-based infrastructure, etc.) from different sources. However, even if certain data exists in such databases, and access can be obtained, the geo-reference system of identifying locations may be identical in different databases, thus requiring the application of a conversion procedure.

A second constraint may be the analytical and statistical capacity needed to apply poverty mapping techniques. As explained in Davis (2003), a number of statistical techniques can be and are applied that require a certain level of statistical and GIS capacity. Increasingly, adequate GIS capacity is becoming available in a number of countries. This capacity should be mobilised and GIS specialists should be invited to participate in rights-based monitoring of the right to adequate food.

## **A FEW MAP ILLUSTRATIONS**

Below a few maps are presented with a brief description to demonstrate how maps can express different dimensions with respect to inequalities of access to services or sources of income, or to how well programmes that are meant to reach the poor are targeted among vulnerable groups.

Maps can also be structured to depict changes over time in a specific indicator, making it particularly useful as a monitoring tool.

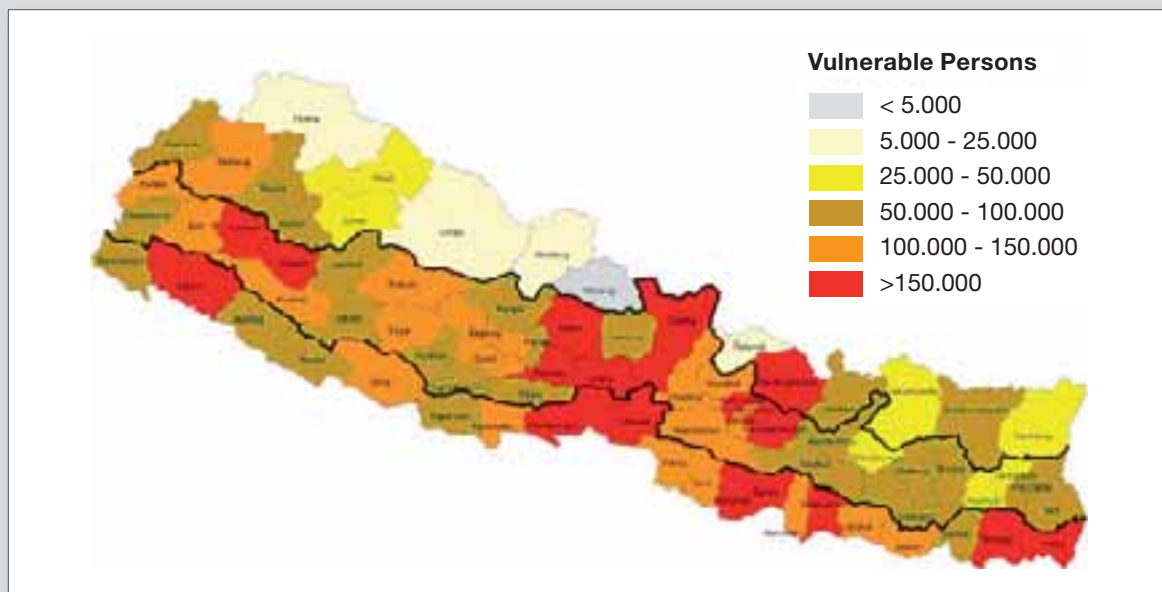
**Map 1: Cambodia: % of Households with Access to Safe Drinking Water**

Source: GISTDA/FAO/ESCAP. *Development and Applications of a Multi-purpose Environmental and Natural Resources Information Base for Food Security and Sustainable Development -ASIACOVER*

**Map 1. CAMBODIA: Access to Safe Drinking Water**

This map demonstrates that the percent of households that have access to safe drinking water varies considerably among different parts of Cambodia, from 3-8% to over 85%. Not only is the right to safe water violated for many households, but in certain areas it is more likely to be violated than in others. A human rights approach advocates concentration of public investment in safe water systems in areas with the lowest percent of households currently served. These areas are easily identified in the map.

## Map 2: Nepal: Number of Vulnerable People by District (2002)

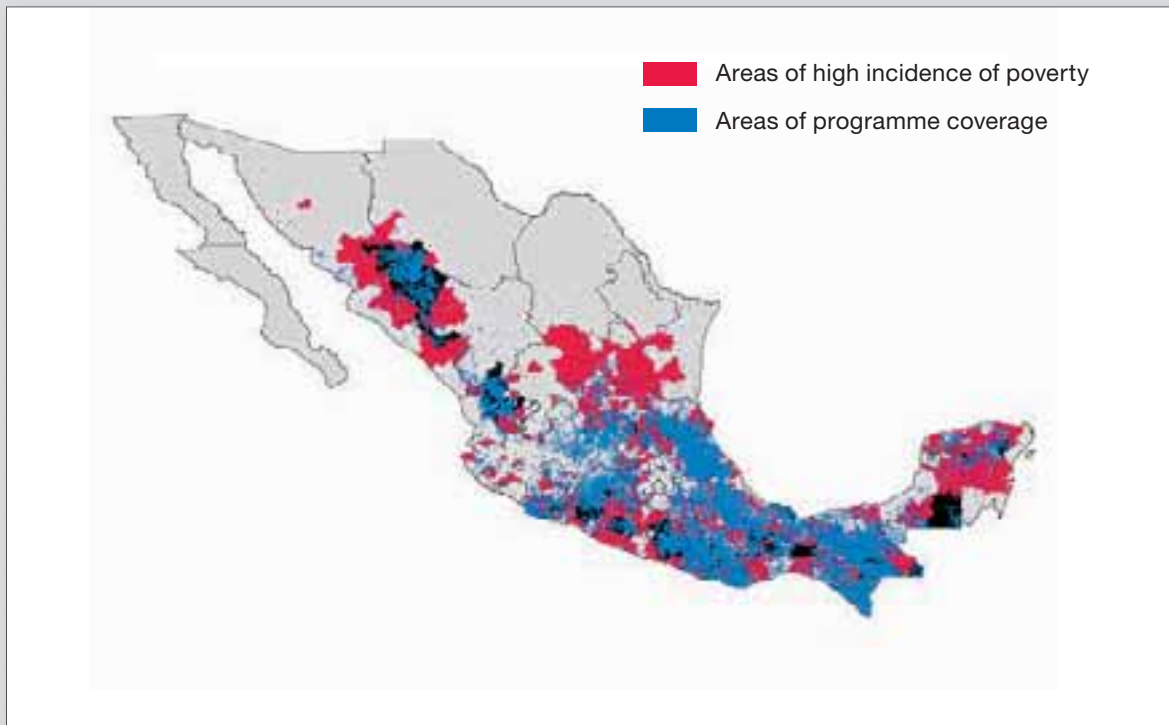


Source: FAO. Asia FIVIMS Project, 2004

## Map 2. NEPAL: Vulnerable Groups by District

The number of vulnerable people is indicated by district, and of course there are substantial differences in numbers. To be useful for district-level targeting of measures to reduce vulnerability, the number of vulnerable people should be expressed as a percent of total population by district, to provide an indication of relative vulnerability. An additional dimension that could be incorporated, is the depth of vulnerability, for example, those who are permanently vulnerable and those who are seasonably vulnerable. This will give additional guidance of what measures are required on a permanent versus a seasonal basis to address vulnerability problems.

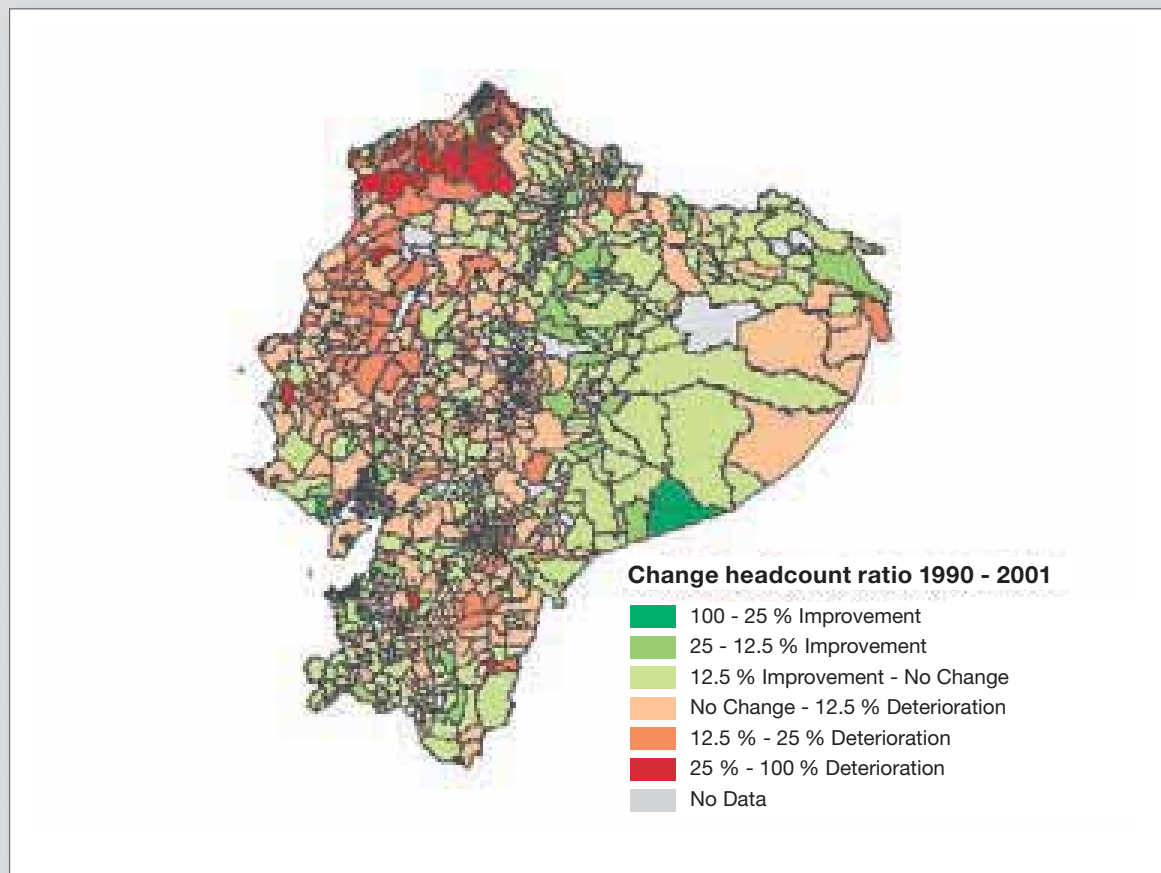
### Map 3: Mexico: Geographical Incidence of Poverty and INDESOL Priority Regions



Source: FAO/UNEP/GRID-Arendal. Poverty Mapping Project, 2004

#### Map 3. MEXICO: Targeting on the Poor of a Social Safety Net Programme

This is a two-layered map. The first layer identifies rural areas with a high incidence of poverty (red areas). These are the priority areas for an integrated services programme called INDESOL. The second layer identifies the rural localities where the programme actually provides services (blue areas). If targeting by this programme were perfect, the two layers should fully cover the same localities: a 100 percent match. The map shows that, although a high percent (83%) of priority localities are serviced by the INDESOL Programme, there are high priority localities that are not covered by the programme (usually referred to as exclusion error or undercoverage) while there are also localities that receive programme services that are not high priority localities (inclusion error or leakage). There is therefore room for targeting by the programme to be improved, because there are localities that are entitled to receive services that are excluded.

**Map 4: Ecuador: Change in Poverty Incidence-1990 & 2001**

Source: FAO/UNEP/GRID-Arendal. Poverty Mapping Project, 2004

#### **Map 4. ECUADOR: Changes in the Incidence of Poverty**

This map shows in which municipalities the incidence of poverty increased and decreased, respectively, between 2001 and 1990, and by how much percentage-wise. The map thus integrates a time and space dimension. The indicator used is the poverty headcount. According to the map, the municipalities where the incidence of poverty increased substantially are largely located in the North-west of the country. Few areas show substantial poverty reduction, but in many the incidence of poverty remained more or less unchanged. A revision of the country's poverty reduction strategies and policies is called for, to re-allocate poverty reduction resources, and to examine whether government strategies and interventions are adapted to effectively deal with local diversity in the reasons why people are poor.



## SELECTED MAPPING SOFTWARE

### Dynamic Atlas

This is an information management and publishing set of tools that enable the integration of spatial (map), tabular (spreadsheet), and unstructured (document) data and metadata. The software permits the organisation and publishing of information in a way that makes it easy for anyone to access and use. Dynamic Atlas consists of three components:

- Dynamic Maps: viewer for display and query of data.
- Dynamic Knowledgebase: tool to organise datasets.
- Dynamic Web Maps Server: to publish dynamic maps on the Internet.

Dynamic Maps creates and publishes thematic and indicator maps. Dynamic Maps integrates with Microsoft's PowerPoint for easy publishing of the maps, and with Excel for more advanced data analysis and the creation of charts and graphs. Dynamic Atlas is being developed by Spatial Knowledge Engineering Inc.<sup>56</sup> in partnership with FAO.

### KIDS (Key Indicator Data System)

KIDS is an interactive, data collection and visualisation information system initially designed to identify the needy and vulnerable and the causes of their vulnerability, enhance policy design, improve targeting of programmes and other measures, and to monitor progress in achieving food security and poverty reduction goals.

KIDS allows users to collect, store and display and visualise data, maps, raster images, meta-data, reports and links to other data sources. It provides basic spatial and temporal analytical capabilities. Its clipboard function lets users generate maps, tables and graphs and transfer them to their reports and/or presentations. KIDS supports almost all map and data import/export functions and can be linked directly with external data sources as well as providing basic import/export functions. KIDS is fully Internet-enabled but may also operate stand-alone or in a local area network. It is Java based and portable across operating, database and web servers platforms. KIDS source code is available in Open-Source for further development and customisation.

KIDS runs on many different computer platforms (including: Windows, MacOS and Linux) and web server environments (including: IIS, Apache, Tomcat). It may also operate in other database and web server environments. Accessed through a web

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<sup>56</sup> Web address: [www.skeinc.com](http://www.skeinc.com), Contact information: Dr. John Latham (SDRN/ FAO) [John.Latham@fao.org](mailto:John.Latham@fao.org).

browser. No plug-in is required. The system can run on a remote server computer (accessed through Internet or local area network) or directly on the users computer.

The following sites are all based on the KIDS system<sup>57</sup>:

<http://www.asiafivims.net/default.html> <http://www.fao.org/ag/aga/glipha/index.jsp>

<http://www.fao.org/landandwater/agll/agromaps/interactive/index.jsp>

<http://www.fao.org/gtos/tems/>

<http://www.fao.org/ag/agl/agll/nrdb/index.jsp>

<http://www.fao.org/fi/figis/index.jsp>

<http://apps3.fao.org/wiews/>

## REFERENCE SOURCES:

- ❖ Davis, B. (2003) *Choosing a Method for Poverty Mapping.*, FAO, Rome
- ❖ FAO (continuing) Website intended to promote networking and information exchange on poverty mapping and related issues : <http://www.povertymap.net>
- ❖ GIS (continuing) may be found by accessing the following link:  
<http://www.fao.org/sd/eidirect/gis/Elgis000.htm>
- ❖ Henninger, N. and Snel, M. (2002) *Where are the Poor? Experiences with the Development and Use of Poverty Maps.* Washington DC, World Resources Institute. (<http://population.wri.org>).

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<sup>57</sup> Contact Information: [kids@fao.org](mailto:kids@fao.org) (Information Systems Service, AFIS, FAO)

## ANNEX 6.

# PREPARING MONITORING REPORTS FOR INTERNATIONAL HUMAN RIGHTS BODIES

### REPORTING GUIDELINES FOR THE GENERAL SECTION OF THE STATES PARTIES REPORTS

This general section of the CESCR reporting guidelines covers four themes as reproduced below.

#### **CESCR Reporting Guidelines for Article 11 of the ICESCR, General Section<sup>58</sup>**

##### **Land and people**

*1. This section should contain information about the main ethnic and demographic characteristics of the country and its population, as well as such socio-economic and cultural indicators as per capita income, gross national product, rate of inflation, external debt, rate of unemployment, literacy rate and religion.*

*It should also include information on the population by mother tongue, life expectancy, infant mortality, maternal mortality, fertility rate, percentage of population under 15 and over 65 years of age, percentage of population in rural areas and in urban areas and percentage of households headed by women. As far as possible, States should make efforts to provide all data disaggregated by sex.*



<sup>58</sup> Initial parts of State Party reports (“core documents”) under the various international human rights instruments. Source: UN 2004.

## **CESCR Reporting Guidelines for Article 11 of the ICESCR, General Section - CONT.**

### **General political structure**

*2. This section should describe briefly the political history and framework, the type of government and the organization of the executive, legislative and judicial organs.*

### **General legal framework within which human rights are protected**

*3. This section should contain information on:*

- a. which judicial, administrative or other competent authorities have jurisdiction affecting human rights;*
- b. what remedies are available to an individual who claims that any of his rights have been violated; and what systems of compensation and rehabilitation exist for victims;*
- c. whether any of the rights referred to in the various human rights instruments are protected either in the constitution or by a separate bill of rights and, if so, what provisions are made in the constitution or bill of rights for derogations and in what circumstances;*
- d. how human rights instruments are made part of the national legal system;*
- e. whether the provisions of the various human rights instruments can be invoked before, or directly enforced by, the courts, other tribunals or administrative authorities or whether they must be transformed into internal laws or administrative regulations in order to be enforced by the authorities concerned;*
- f. whether there exist any institutions or national machinery with responsibility for overseeing the implementation of human rights.*

### **Information and publicity**

*4. This section should indicate whether any special efforts have been made to promote awareness among the public and the relevant authorities of the rights contained in the various human rights instruments.*

*The topics to be addressed should include the manner and extent to which the texts of the various human rights instruments have been disseminated, whether such texts have been translated into the local language or languages, what government agencies have responsibility for preparing reports and whether they normally receive information or other inputs from external sources, and whether the contents of the reports are the subject of public debate.*

Each of the four parts of the initial general section have been juxtaposed with references to chapters and sections in this volume which readers involved in the reporting process may consult. Experience with their relevance can feed back into the revision or further refinement of the various approaches and methods.

### Guidelines for initial general reporting and relevant sections in this Volume

ITEMS IN THE CESCR GUIDELINES FOR GENERAL REPORTING	APPROACHES AND METHODS IN THIS VOLUME (by Chapter)
Land and people Demographic and socio-economic information about the country, when relevant and feasible broken down by gender.	<b>Ch. 5</b> (F&N security situation analysis) <b>Ch. 4</b> (including risk analysis) <b>Annex 5</b> (Maps to show locational differences)
General political structure Political history, and the organization of the three branches of government.	<b>Ch. 4</b> ( <i>Policy and institutional framework</i> )
Legal framework for HR protection Authorities with jurisdiction over human rights, justiciability of human rights, recourse and remedy mechanisms, incorporation of international human rights commitments in national legislation and regulations, etc.	<b>Ch. 4</b> ( <i>Legal framework</i> ) <b>Ch. 4</b> ( <i>Recourse and remedies</i> ) <b>Ch. 4</b> ( <i>Role and capacity analysis</i> )
HR information and publicity Authorities responsible for preparing reports on human rights, dissemination of human rights reports, efforts at awareness raising and public education of human rights.	<b>Ch. 7</b> ( <i>Assesment of existing information systems and information gap analysis</i> )

Information requested under (a) of the CESCR guidelines for this section may be easy to find if a relevant information gap analysis has been conducted, and/or an updated inventory of existing information systems exists. Such an inventory may also tell whether and what measures are in place to monitor agrarian reforms and the agricultural sector (guideline (g)).

With respect to guideline (b), a vulnerability analysis in a particular country may result in the identification and characterisation of vulnerable groups that differ from those listed in the CESCR guidelines. For example, countries plagued by natural disasters or armed conflict may have large segment of the population who are internally displaced, and thus quite vulnerable. Therefore, the list in the guidelines should be taken as indicative, and each country-specific vulnerability analysis should generate a list for that country.

## REPORTING GUIDELINES FOR THE SPECIAL SECTION ON THE RIGHT TO ADEQUATE FOOD

A similar approach follows with respect to specifically reporting on the right to adequate food. The entire section of the original reporting guidelines are presented in the box below. In the following table each item in this part of the reporting guidelines is listed, juxtaposed with relevant chapters and sections in this volume to which the reader is referred.

### Reporting Guidelines for Article 11 of the ICESCR , Section on the Right to Adequate Food

- *Please provide a general overview of the extent to which the right to adequate food has been realized in your country. Describe the sources of information that exist in this regard, including nutritional surveys and other monitoring arrangements.*
- *Please provide detailed information (including statistical data broken down in terms of different geographical areas) on the extent to which hunger and/or malnutrition exists in your country. This information should deal in particular with the following issues:*
  - i. *The situation of especially vulnerable or disadvantaged groups, including:*
    - Landless peasants*
    - Marginalized peasants*
    - Rural workers*
    - Rural unemployed*
    - Urban unemployed*
    - Urban poor*
    - Migrant workers*
    - Indigenous peoples*
    - Children*
    - Elderly people*
    - Other especially affected groups;*
  - ii. *Any significant differences in the situation of men and women within each of the above groups;*
  - iii. *The changes that have taken place over the past five years with respect to the situation of each of the above groups.*
- *During the reporting period, have there been any changes in national policies, laws and practices negatively affecting the access to adequate food by these groups or sectors or within the worse off regions? If so, please describe these changes and evaluate their impact.*



### **Reporting Guidelines for Article 11 of the ICESCR , Section on the Right to Adequate Food - CONT.**

- *Please indicate what measures are considered necessary by your Government to guarantee access to adequate food for each of the vulnerable or disadvantaged groups mentioned above and for the worse off areas, and for the full implementation of the right to food for both men and women. Indicate the measures taken and specify time related goals and nutritional benchmarks for measuring achievements in this regard.*
- *Please indicate in what ways measures taken to improve methods of production, conservation and distribution of food by making full use of technical and scientific knowledge have contributed towards, or have impeded the realization of the right to adequate food. Please describe the impact of these measures in terms of ecological sustainability and the protection and conservation of food producing resources.*
- *Please indicate what measures are taken to disseminate knowledge of the principles of nutrition and specify whether any significant groups or sectors within society seem to lack such knowledge.*
- *Please describe any measures of agrarian reform taken by your Government to ensure that the agrarian system is efficiently utilized in order to promote food security at household level without negatively affecting human dignity both in the rural and urban settings taking into account Articles 6 to 8 of the Covenant. Describe the measures taken:*
  - i. To legislate to this effect;*
  - ii. To enforce existing law to this effect;*
  - iii. To facilitate monitoring through governmental and non governmental organizations.*
- *Please describe and evaluate the measures taken by your Government in order to ensure an equitable distribution, in terms of both production and trade, of world food supplies in relation to need, taking into account the problems of both food importing and food exporting countries.*

## Guidelines for initial general reporting and relevant sections in this Volume

ITEMS IN THE CESCR GUIDELINES ON THE RIGHT TO ADEQUATE FOOD	APPROACHES AND METHODS IN THIS VOLUME (by Chapter)
A. Sources of information.	<b>Ch. 7</b> (Assessing existing information systems and information gap analysis)
B. Prevalence of hunger and malnutrition: i. vulnerable groups; ii. gender differences; iii. changes over time in the hunger and malnutrition prevalence of vulnerable groups.	<b>Ch. 5</b> ( <i>Identifying the most needy – vulnerability analysis</i> ) “ “ “
C. Policy and legal changes affecting access to adequate food by vulnerable groups.	<b>Ch. 4</b> ( <i>Policy and institutional framework</i> ) <b>Ch. 5</b> ( <i>Monitoring policy impacts</i> )
D. Measures to guarantee access to adequate food by vulnerable groups.	<b>Ch. 4</b> ( <i>Policy and institutional framework</i> ) <b>Ch. 5</b> ( <i>Monitoring policy impacts</i> ) <b>Ch. 4</b> ( <i>Monitoring implementation of political commitments through public budget analysis</i> )
E. Impact of measures on the realization of the right to adequate food.	<b>Ch. 3</b> ( <i>Indicators to measure the progressive realization of the right to adequate food</i> ) <b>Ch. 5</b> ( <i>Food and nutrition security situation analysis</i> ) <b>Ch. 5</b> ( <i>Monitoring policy impacts</i> ) <b>Ch. 5</b> ( <i>Programme assessment &amp; monitoring</i> )
F. Knowledge gaps in nutrition; dissemination of nutrition knowledge.	<b>Ch. 3</b> ( <i>Indicators to measure the progressive realization of the right to adequate food</i> ) <b>Ch. 5</b> ( <i>Vulnerability analysis</i> ) <b>Ch. 4</b> ( <i>Institutional role and capacity analysis</i> )



**Guidelines for initial general reporting and relevant sections in this Volume - CONT.**

ITEMS IN THE CESCR GUIDELINES ON THE RIGHT TO ADEQUATE FOOD	APPROACHES AND METHODS IN THIS VOLUME (by <b>Chapter</b> )
<p>G. Agrarian reform measures taken in conformity with Articles 6 and 8 of the ICESCR:</p> <ul style="list-style-type: none"> <li>i. Legislation;</li> <li>ii. Law enforcement;</li> <li>iii. Monitoring.</li> </ul>	<p><b>Ch. 4</b> (<i>Assessing the legal framework</i>)  <b>Ch. 4</b> (<i>Assessing the legal framework</i>)  <b>Ch. 7</b> (<i>Assessing existing information systems and information gap analysis</i>)</p>
<p>H. Equitable distribution of world food supplies.</p>	<p><b>Ch. 4</b> (<i>Policy and institutional framework</i>)  <b>Ch. 5</b> (<i>Monitoring policy impacts</i>)</p>

**REFERENCE SOURCES:**

- ❖ UN (1991) Revised General Guidelines regarding the Form and Contents of Reports to be Submitted by States Parties under Articles 16 and 17 of the International Covenant on Economic, Social and Cultural Rights (E/C.12/1991/1), 17 June 1991.
- ❖ UN (2004). Compilation of Guidelines on the Form and Content of Reports to be Submitted by States Parties to the International Human Rights Treaties. (HRI/GEN/2/Rev.2, Chapter I paras.1-4; Chapter II para 43), New York, 7 May 2004. <http://daccessdds.un.org/doc/UNDOC/GEN/G04/413/80/PDF/G0441380.pdf?OpenElement>



## **METHODOLOGICAL TOOLBOX ON THE RIGHT TO FOOD**

The purpose of the Methodological Toolbox is to provide a practical aid for the implementation of the Right to Food Guidelines.

It contains a series of analytical, educational and normative tools that offer guidance and hands-on advice on the practical aspects of the right to food. It covers a wide range of topics such as assessment, legislation, education, budgeting, and monitoring. It emphasises the operational aspects of the right to food and contributes to strengthening in-country capacity to implement this right.

## **METHODOLOGICAL TOOLBOX ON THE RIGHT TO FOOD:**

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- 1. GUIDE ON LEGISLATING FOR THE RIGHT TO FOOD**
- 2. METHODS TO MONITOR THE HUMAN RIGHT TO ADEQUATE FOOD [VOLUME I - VOLUME II]**
- 3. GUIDE ON CONDUCTING RIGHT TO FOOD ASSESSMENT**
- 4. RIGHT TO FOOD CURRICULUM**
- 5. GUIDE ON RIGHT TO FOOD BUDGET ANALYSIS**



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