

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:

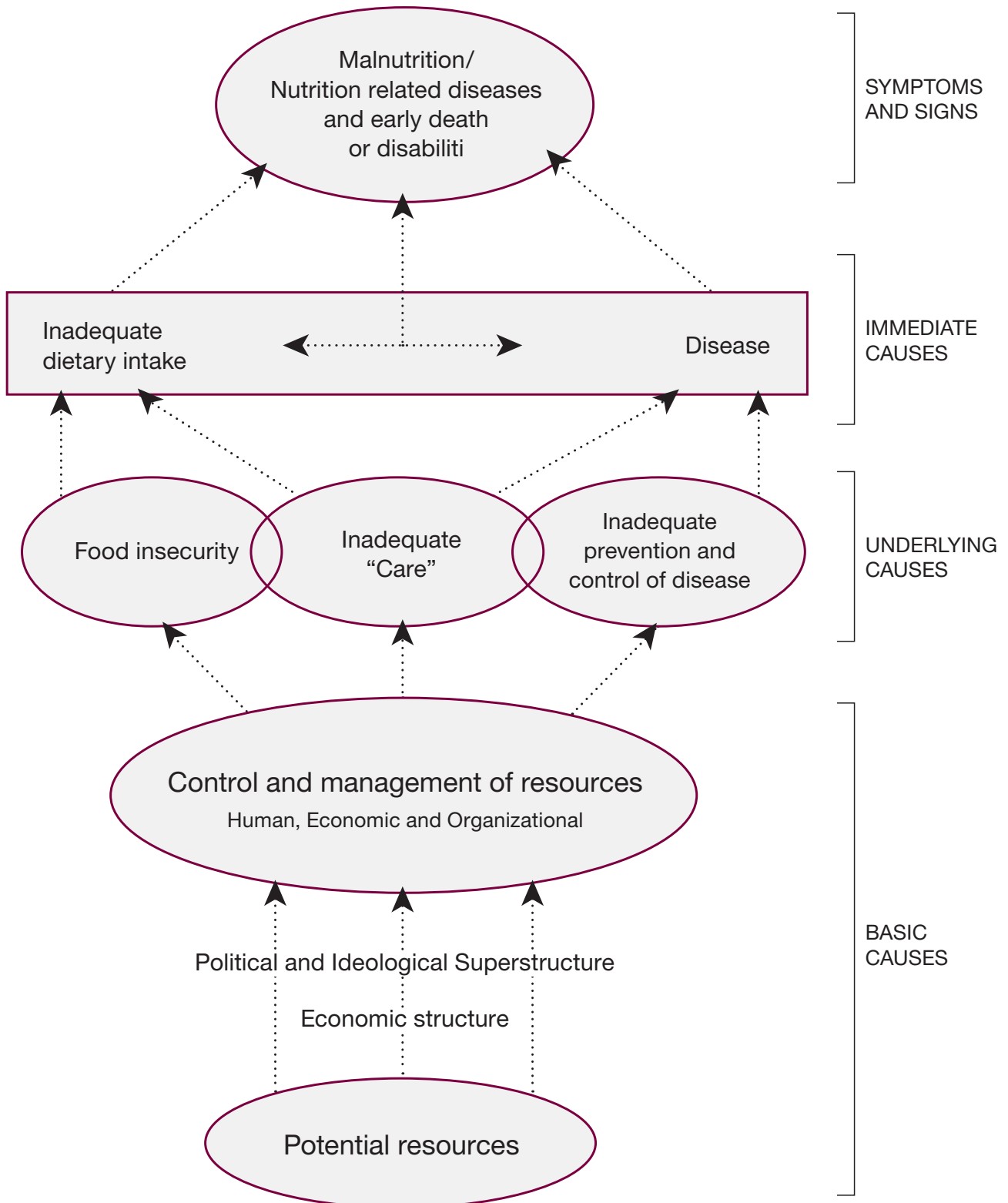
- Construct an approximate causal model using existing knowledge and documentation about food and nutrition problems in the country, based also on a common understanding of what food and nutrition security mean³¹, or adapt an existing general model (see below) to reflect the core content of the right 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.

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

FIGURE 2: Conceptual Framework for the Causes of Malnutrition³²



32 Adapted from Jonsson (1993).

The recently conducted food security and nutrition analysis in Zanzibar provides a good example³³. 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 States³⁴. 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 mean³⁵, 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.

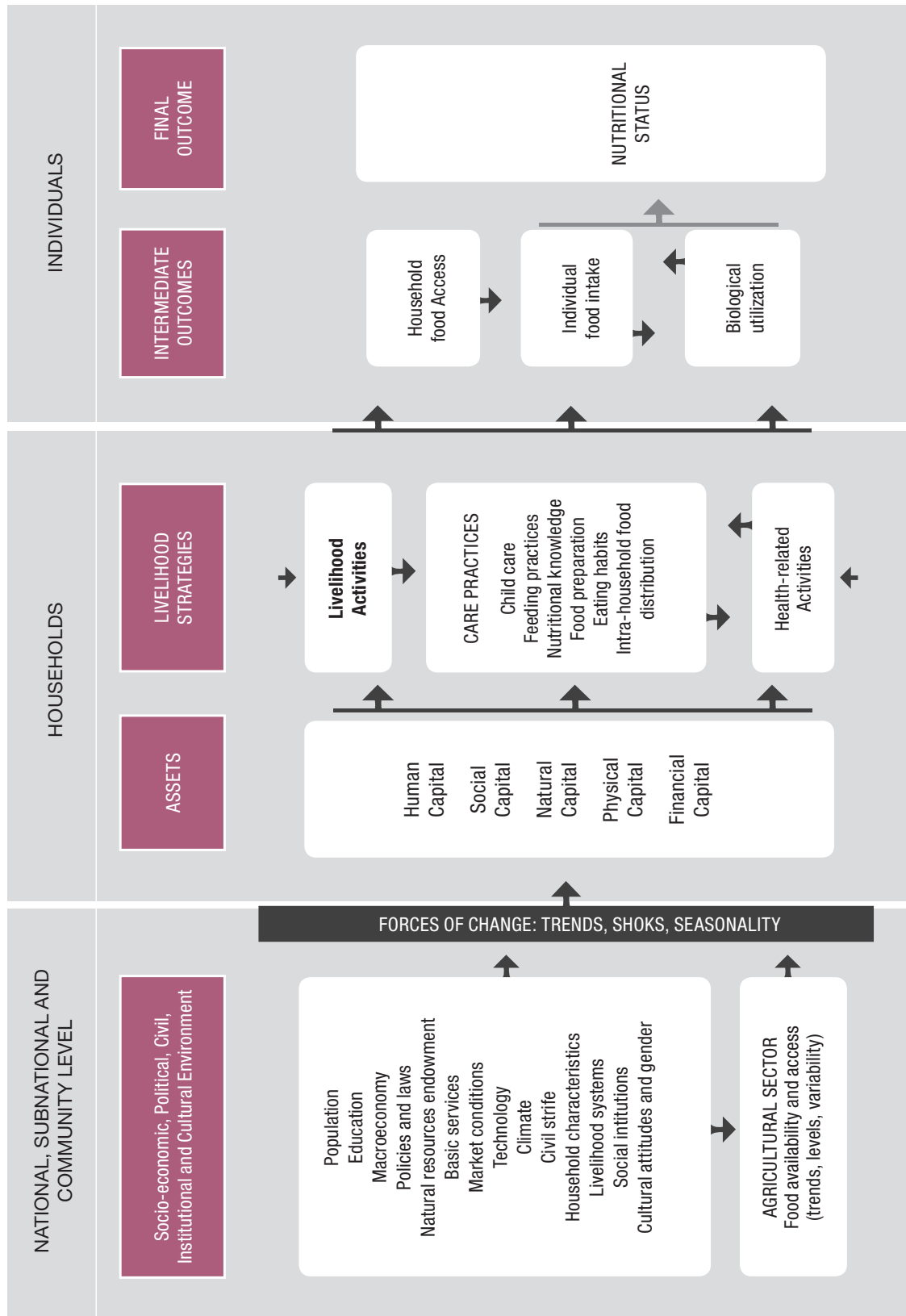
Vulnerability framework

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:

³⁵ 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 poor³⁶?

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

³⁶ 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 assets³⁷. 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

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 detail³⁸. 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

³⁸ 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 below³⁹. 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.

³⁹ 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 approach⁴⁰ 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

⁴⁰ 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

◆ 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 it is 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 BEARERS⁴¹

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

⁴¹ 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*⁴². 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 box⁴³. 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

INPUTS	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
PROCESSES	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
OUTPUTS	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
INTERMEDIATE OUTCOMES	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
FINAL OUTCOMES	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 above⁴⁴. 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.*

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

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