

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 Bank⁵².

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.

⁵² 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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