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PARTICIP

Thematic Evaluation of  
**FOOD-AID POLICY AND FOOD-AID MANAGEMENT AND SPECIAL  
OPERATIONS IN SUPPORT OF FOOD SECURITY**

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**Desk Phase Report**

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## Table of Contents

<b>1. INTRODUCTION.....</b>	<b>1</b>
<b>2. OVERALL CONTEXT OF FOOD INSECURITY.....</b>	<b>4</b>
<b>2.1. THE FOOD SECURITY SITUATION .....</b>	<b>4</b>
<b>2.2. The three pillars of food security.....</b>	<b>7</b>
2.2.1. Improving food availability .....	7
2.2.2. Improving access to food.....	8
2.2.3. Improving food utilization .....	8
<b>2.3. Strategies for achieving food security .....</b>	<b>9</b>
<b>2.4. Food Security and Trade .....</b>	<b>9</b>
<b>3. BRIEF PRESENTATION OF FOOD SECURITY WITHIN THE EC.....</b>	<b>11</b>
<b>3.1. Community development policy .....</b>	<b>11</b>
3.1.1. Introduction .....	11
3.1.2. The Country Strategy Paper: a more consistent framework of intervention .....	13
3.1.3. PRSPs: aiming at development aid ownership and getting involved in a coherent framework .....	13
<b>3.2. EC policy on Food aid and food security.....</b>	<b>14</b>
3.2.1. The Food-aid Convention (The London Convention) .....	15
<b>3.3. The Regulation 1292/96 .....</b>	<b>15</b>
3.3.1. The objectives.....	16
3.3.2. The Titles under Regulation 1292/96.....	17
3.3.2.1. Food-aid operations (Title I).....	17
3.3.2.2. Operations in Support of Food Security (Title II).....	17
3.3.2.3. Early-warning systems, storage and support to agricultural research programs (Title III) .....	18
3.3.3. The operations under the Council Regulation 1292/96 .....	18
3.3.3.1. Food aid in kind .....	18
3.3.3.2. Foreign currency Facility.....	19
3.3.3.3. Operations in support of Food security .....	20
3.3.3.4. Others .....	20
3.3.4. The channels used by the Regulation 1292/96 .....	21
3.3.4.1. Direct aid.....	22
3.3.4.2. Indirect aid via partner organisations .....	22
3.3.4.2.1. The World Food Programme (WFP) .....	23
3.3.4.2.2. UNRWA .....	23

3.3.4.2.3. Non-governmental organizations (NGOs).....	23
3.3.4.2.4. CGIAR.....	24
3.3.4.2.5. FAO.....	25
3.3.4.2.6. Information and Monitoring System on Food Security .....	25
3.3.5. Other EC related budget lines .....	26
3.3.5.1. ECHO (Council Regulation 1257/96).....	26
3.3.5.2. The EDF - ACP countries .....	28
3.3.5.2.1. The Lomé Convention.....	28
3.3.5.2.2. The Cotonou agreement.....	28
3.3.5.3. MEDA I (Council Regulation 1488/96) and II (Council Regulation 2698/2000).....	29
3.3.5.4. TACIS (Council Regulation 99/2000 of 29 December 1999) .....	29
3.3.5.5. ALA (Council Regulation 443/92) .....	30
3.3.5.6. CARDS (Council Regulation 2666/2000).....	30
3.3.5.7. Conclusions .....	30
<b>4. THE INTERVENTION LOGIC OF EC FOOD AID AND FOOD SECURITY STRATEGY .....</b>	<b>31</b>
<b>4.1. Elaboration of the impact diagram .....</b>	<b>31</b>
<b>4.2. Presentation of the impact diagram .....</b>	<b>32</b>
<b>5. EVALUATION QUESTIONS, JUDGEMENT CRITERIA AND ASSOCIATED INDICATORS .....</b>	<b>35</b>
<b>5.1. Link between impact diagram and evaluative questions .....</b>	<b>35</b>
<b>5.2. Presentation of the evaluative questions.....</b>	<b>36</b>
<b>5.3. Presentation of the judgement criteria and associated indicators.....</b>	<b>37</b>
<b>6. QUANTITATIVE ANALYSIS OF RESOURCE COMMITMENTS AND PAYMENTS FOR FOOD AID AND OPERATIONS IN SUPPORT OF FOOD SECURITY .....</b>	<b>46</b>
<b>6.1. Objective of the statistical analysis.....</b>	<b>46</b>
<b>6.2. Methodology .....</b>	<b>46</b>
6.2.1. Data demands for quantitative analysis.....	46
6.2.2. Choosing the source for budget figures.....	46
6.2.3. Preparing the data .....	48
6.2.4. Distinguishing food aid from operations in support of food security.....	49
<b>6.3. Analysis and Findings .....</b>	<b>49</b>
6.3.1. Overall distribution of resources between operations in support of food security and food aid (including transport).....	49
6.3.2. Regional Distribution of Resources .....	52
6.3.3. Primary recipients of aid under Regulation 1292/96 .....	54

<b>7. METHODOLOGY FOR THE COMPLETION PHASE.....</b>	<b>58</b>
<b>7.1. Approach to the completion phase .....</b>	<b>58</b>
<b>7.2. Selection of countries to be visited.....</b>	<b>59</b>
7.2.1. Step 1: Proposal of criteria for the selection of countries for the field evaluation .....	59
7.2.2. Step 2: Synthesis of the SG comments .....	60
7.2.3. Step 3 : Integration of comments and finalisation of the list .....	64
<b>7.3. Country visits .....</b>	<b>66</b>
<b>7.4. Questionnaire .....</b>	<b>67</b>
<b>7.5. Timing.....</b>	<b>67</b>
7.5.1. Timing.....	68
7.5.2. Procedures and Reporting.....	70

## **Annexes**

Annex 1 : Sources of the impact diagram

Annex 2: List of documents collected during structuring phase

## **Figures**

<b>Figure 1: Number of undernourished in the developing world .....</b>	<b>4</b>
<b>Figure 2: Proportion of undernourished in developing countries, 1999-1992 and 1999-2001 ..</b>	<b>5</b>
<b>Figure 3: Recent trends in undernourishment, by country grouping .....</b>	<b>6</b>
<b>Figure 4: Overall distribution of payments (only direct aid) under Regulation 1292/96 (Budget chapter B7-20) towards food aid and food security, 1997-2002 .....</b>	<b>50</b>
<b>Figure 5: Distribution of resource commitments over programme years 1997-2001 (in Mio €).....</b>	<b>50</b>
<b>Figure 6: Payments for food aid and operations in support of food security under Regulation 1292/96 by year of commitment creation, 1997-2002 (Mio €) .....</b>	<b>51</b>
<b>Figure 7: Distribution of payments for food aid &amp; food security, Regulation 1292/96, years of commitment creation 1997-2002.....</b>	<b>52</b>
<b>Figure 8: Overall regional distribution of resource commitments, 1997 - 2002 .....</b>	<b>53</b>
<b>Figure 9: Regional distribution of resource commitments per year.....</b>	<b>54</b>
<b>Figure 10: Primary recipients of food aid &amp; food security (payments, programme years 1997 - 2002), Mio €.....</b>	<b>57</b>

## **Tables**

<b>Table 1: Budget chapters and sub-chapters considered in the quantitative analysis for the years 1997 - 2002.....</b>	<b>49</b>
<b>Table 2: List of Primary recipients of Food Aid and Food Security, commitments and payments, 1997 - 2002.....</b>	<b>56</b>

## List of Acronyms

CAP	Common Agricultural Policy
CGIAR	Consultative Group on International Agricultural Research
CIS	Commonwealth of Independent States
CoA	Court of Auditors
CTP	Country Technical Paper
CSP	Country Strategy Paper
DPP	Disaster Preparedness
ECHO	European Commission Humanitarian aid Office
EMOP	Emergency Operations
FAO	Food and Agricultural Organisation
FS	Food Security
FSU	Food Security Unit
GIEWS	Global Information and Early Warning System
ICRC	International Committee of the Red Cross
ISFS	Information System on Food Security
LDC	Least Developed Country
LRRD	Linking Relief, Rehabilitation and Development
MDG	Millenium Development Goals
NARS	National Agricultural Research Systems
NGO	Non Governmental Organisation
PRRO	Protracted Relief and Recovery Operations
PRSP	Poverty Reduction Strategy Paper
RESAL	Réseau Européen de Sécurité Alimentaire
SISA	Système d'Information de Sécurité Alimentaire
TA	Technical Assistance
ToR	Terms of Reference
UNDP	United Nations Development Programme
UNHCR	United Nations High Commission for Refugees
UNRWA	United Nations Relief and Works Agency
WFP	World Food Programme
WFS	World Food Summit

## 1. INTRODUCTION

During its meeting of 29 November 2001, the Board of the EuropeAid Co-operation Office requested the Evaluation Unit to undertake an evaluation of Food-Aid policy and management as well as special operations in support of Food-Security under Regulation No.1292/96.<sup>1</sup> This evaluation was originally scheduled to take place in 2005 for the implementation of the 1996 Regulation to have progressed significantly after the previous evaluation of 2000.<sup>2</sup> However, it was decided to bring it forward at the request of the Commission's services since, in its Communication on the evaluation and future of Regulation No.1292/96, the Commission took on board the recommendation put forward by the 2000 evaluation report<sup>3</sup> that a second overall evaluation should be carried out in 2003-2004.<sup>4</sup> This recommendation was then endorsed by the Council of Ministers in December 2001.<sup>5</sup>

Further to the 2000 evaluation report and the subsequent Communication of the Commission and Conclusions of the Council of Ministers on the future of Regulation No.1292/96, the Court of Auditors produced a special report<sup>6</sup> in 2003. Whilst both the Commission and the Council considered that, although progress still remained to be achieved, there was no need to alter the content of Regulation No.1292/96, the Court of Auditors proposed to discontinue it in its present form and to integrate all food-aid and food-security development activities in a limited number of comprehensive Regulations.

These considerations have led in September 2003 to the launching of the Evaluation of Food Aid Policy and Food Aid Management and Special Operations in Support of Food Security. The main aims of the evaluation are:

- “**(i)** to identify key lessons from the Commission’s past co-operation in Food-aid and Food-security policy, focusing on procedures and implementation issues and the way they affected the impact of specific actions against their objectives;
- **(ii)** to assess and judge the current programming of food-aid actions and operations in support of food-security at the light of the new policy framework (set out in particularly by the Communication of September 2001) and in the new administrative context (reform of RELEX services and deconcentration), in particular with regard to lessons learned from the 2000 evaluation report and the integration of food-security in the overall EC development co-operation framework.

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<sup>1</sup> See *Evaluation Strategy (2002-2006) for the Relex Family* (p.3) as in annex to Commissioner Nielson’s note of December 14, 2001, on [www.europa.eu.int/comm/europeaid/evaluation/index.htm](http://www.europa.eu.int/comm/europeaid/evaluation/index.htm).

<sup>2</sup> *Evaluation of EC Food-aid, Food- security, Food-aid management and programmes in support of Food-security (Regulation No.1292/96 of 27 June 1996)*, on [www.europa.eu.int/comm/europeaid/evaluation /reports/sector/951569\\_en.pdf](http://www.europa.eu.int/comm/europeaid/evaluation /reports/sector/951569_en.pdf)

<sup>3</sup> The 2000 evaluation on Evaluation of EC Food Aid, Food Security Policy, Food Aid Management and Programmes in support of Food Security, Regulation No 1292/96 of June 27<sup>th</sup> 1996 couldn’t assess the impact of the Regulation due to its short period of implementation.

<sup>4</sup> Communication from the Commission to the European Parliament and the Council, *Evaluation and future orientation of Council Regulation (EC) No. 1292/96 on Food Aid Policy and Food Aid Management and Special Operations in Support of Food Security*, COM(2001) 473 final/2, p.5.

<sup>5</sup> 2402<sup>nd</sup> meeting of “Agriculture” Council. Brussels, 19/12/01 – Approval of the list of “A” Items: Draft Council conclusions on the evaluation and future orientation of Council regulation (EC) No.1292/96 of 27 june 1996 on Food aid policy and food aid management and special operations in support of food security.

<sup>6</sup> Special report No 2/2003 *the implementation of the food security policy in developing countries financed by the general budget of the European Union, together with the Commission’s replies*. OJ C 93 of 17 April 2003.

- **(iii) to make recommendations.** At the time of the previous evaluation, the implementation of Regulation No.1292/96 had not progressed sufficiently for its impact to be assessed. As a result, the report should focus on the impact of those actions undertaken on the basis of the Regulation and that can now be measured. The assessment and judgement of the current EC approach should also take account of the extent to which lessons have been learned from the past (the 2000 evaluation report and diverse monitoring reports), the effect of the reform of the RELEX services and the emergence of a truly integrated approach of Food-aid and Food-security into the EC development co-operation framework.”<sup>7</sup>

Chapter 6.2 of the Terms of Reference, in turn, presents the main results of this evaluation as follows:

- “An ex-post evaluation of the impact of the EC strategy and actions over the period 1997-2002” (note: actions dealing with Regulation No.1292/96).
- An assessment of the coherence and complementarity of the EC’s strategy for Food-aid/Food-security, particularly in the light of the EC’s Communication on the *Future of the Regulation*. For instance, the report should inform on: the level of integration of food security and objectives of Regulation No.1292/96 into the Commission’s Development Co-operation Framework both at the overall policy level (EDF, ALA, MEDA, CARDS) and at the specific Country Strategy level (CSPs); the link between food-security instruments and the long-term regional development instruments; the added-value (if any) of this Regulation and associated budget line in a more food-security integrated context; the role of Regulation No.1292/96 in the on-going efforts to bridge the gap between relief, rehabilitation and development.
- An assessment of the steps being taken by the Commission to improve the efficiency and quality management with regard to programming, targeting and handling of its Food-aid actions and operations in support of Food-security (within Brussels headquarters, at country level)”

It was agreed that the present study is a thematic evaluation of EC Food Aid/Security policy and as such is broader than an evaluation of Regulation N°1292/96 *stricto sensu*. In particular, the crucial interrogation on the future of this regulation requires an analysis of the added-value of the Food Aid/Security budget line compared to other instruments and other budget lines. Such a comparative analysis must be conducted both at the level of the documentary phase as well at the level of the field phase.

Moreover, although it is understood that the period to be covered by this evaluation study will be as planned (1997-2002), the Steering group expressed the view that the consultants should concentrate their efforts on the more recent period while referring more substantially to the previous documents for the period already covered by the previous evaluation.

This report aims at presenting the main conclusions of the desk phase, especially concerning the evaluation questions and at preparing the completion phase with on focus on the selection of countries to be visited as well as on the methodology to be used.

The report is composed as follows:

Chapter 2 presents the overall context of food insecurity as well as the three pillars of food security at national, regional, household and individual levels (food availability, food access, and food utilization). A brief presentation of various strategies aiming at reducing food insecurity is made, focussing on the differences resulting from the global analysis each

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<sup>7</sup> ToR for the Evaluation of Food Aid Policy and Food Aid Management and Special Operations in Support of Food Security; Evaluation Unit August 2003.

institution has made on the roots of food insecurity. Finally, the linkages between food Security and Trade are presented.

Chapter 3 presents a brief presentation of food security within the general EC strategy. It covers overall EC policy and strategy as regard to food aid and food security as well as a presentation of the regulation 1292/96 and the other instruments dealing with food aid and food security. The analysis of the regulation presents the various components that can be financed as well as the various modalities of channelling food aid.

Chapter 4 presents the intervention logic of the EC food aid and food security strategy. We first explain the modalities of elaborating the impact diagram of the EC FA-FS strategy, then present the various elements of the impact diagram, which serves as a basis for elaborating the evaluation questions.

Chapter 5 presents the evaluation questions. After having explained the evaluation questions, a table summarises the associated judgement criteria, indicators and methods for collecting data.

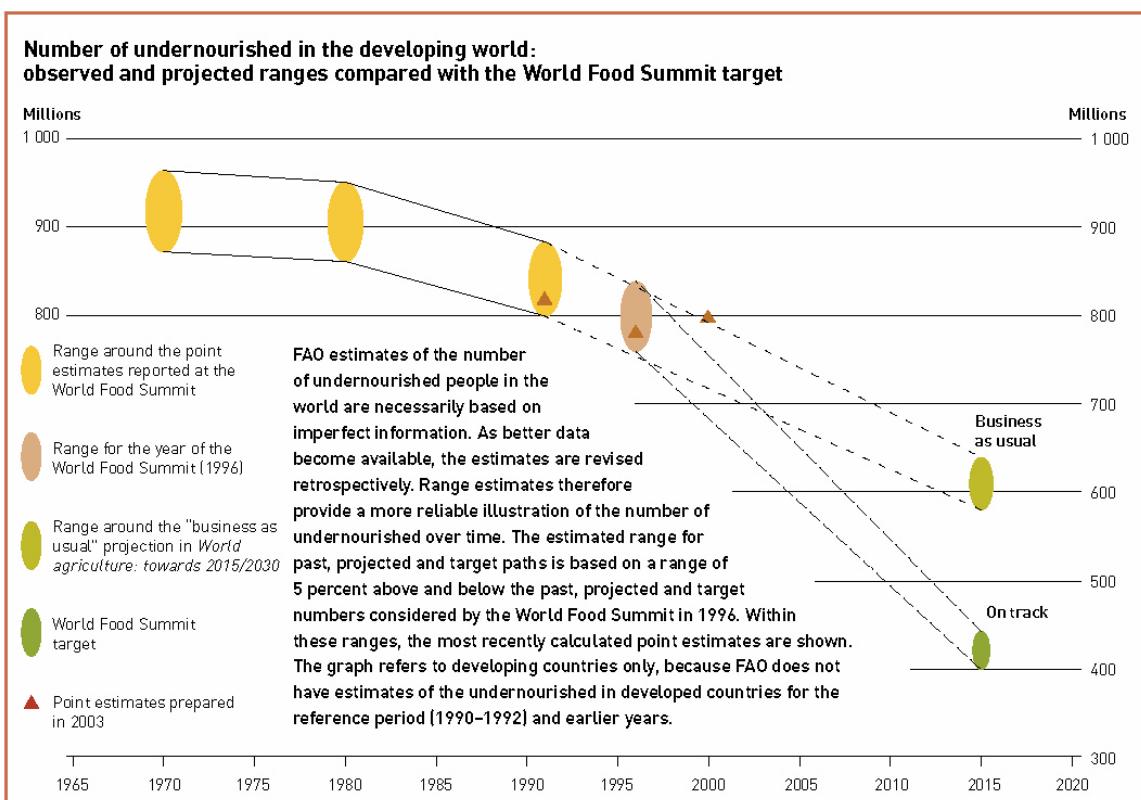
Chapter 6 presents the statistical analysis of FA-FS interventions implemented under the regulation.

Chapter 7 presents the methodology for the completion phase. It includes the approach for the completion phase, the selection of the countries to be visited, the main activities that should be done and a draft work plan.

## 2. OVERALL CONTEXT OF FOOD INSECURITY

### 2.1. THE FOOD SECURITY SITUATION

FAO's latest estimates show that a number of countries have reduced hunger steadily since the World Food Summit (WFS) baseline period of 1990–1992<sup>8</sup>. In 19 countries, the number of chronically hungry people declined by over 80 million between 1990–1992 and 1999–2001 (see Figure 1). The list of successful countries spans all developing regions, with one country in the Near East, five in Asia and the Pacific, six in Latin America and the Caribbean and seven in Sub-Saharan Africa. It includes both large and relatively prosperous countries like Brazil and China, where levels of undernourishment were moderate at the outset, and smaller countries where hunger was more widespread, such as Chad, Guinea, Namibia and Sri Lanka.



Source: SOFI report 2003, FAO

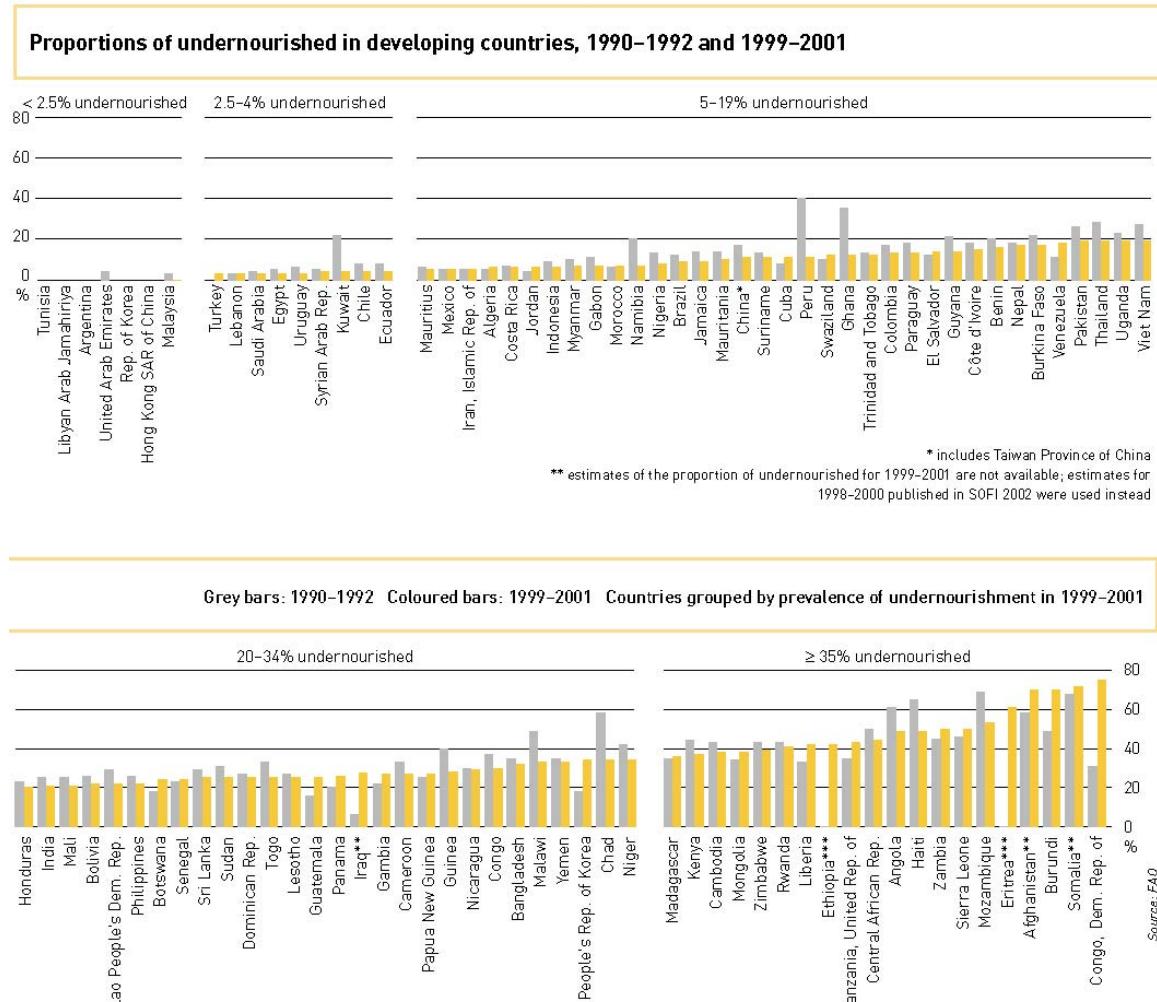
**Figure 1: Number of undernourished in the developing world**

Unfortunately, this is not the situation in most other countries, which experience a setback in the war against hunger (see Figure 2). The number of chronically hungry people in developing countries declined by only 19 million between the World Food Summit (WFS) baseline period of 1990–1992 and 1999–2001. This means that the WFS goal of reducing the number of undernourished people by half by the year 2015 can now be reached only if annual reductions can be accelerated to 26 million per year, more than 12 times the pace of 2.1 million per year achieved to date.

Analysis of more recent trends makes the prospects look even bleaker. From 1995–1997 to 1999–2001 the number of undernourished actually increased by 18 million. Worldwide, FAO estimates that 842 million people were undernourished in 1999–2001. This includes 10 million in the industrialized countries, 34 million in countries in transition and 798 million in

<sup>8</sup> This Chapter refers to the latest SOFI Report: The State of Food Insecurity in the World – 2003–monitoring progress to the World Food Summit and Millennium Development Goals, FAO 2003.

developing countries. At the regional level, the numbers of undernourished were reduced in Asia and the Pacific and in Latin America and the Caribbean. In contrast, the numbers continue to rise in Sub-Saharan Africa and in the Near East and North Africa.



\*\*\* Ethiopia and Eritrea were not separate entities in 1990–1992

Source: SOFI report 2003, FAO

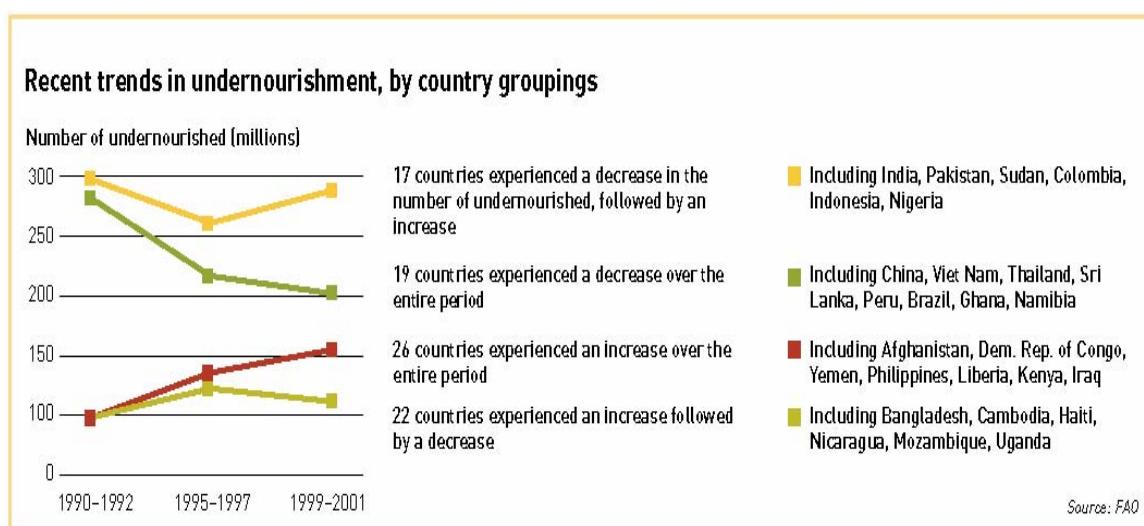
**Figure 2: Proportion of undernourished in developing countries, 1999–1992 and 1999–2001**

Ironically, almost three-quarters of poor and hungry people live in rural areas where food is grown. They include the landless, those living in poor nations, and those living in other nations in areas with low agricultural potential or with ecologically fragile environments. The remaining one-quarter of the poor and hungry are unemployed or underemployed urban dwellers who live on less than a dollar a day<sup>9</sup>. Both the absolute numbers and the proportion of poor people living in cities are expected to grow rapidly: by early in the next century, the number of urban poor will likely exceed the number of rural poor, as people continue to leave rural areas to pursue higher-paying urban and industrial jobs. These people will be at great risk of undernutrition and malnutrition unless food is abundant and affordable in their countries. But for now, poverty remains a predominantly rural issue.

The poor and hungry are distributed unequally across regions and countries of the world (see Figure 3). Most of them live in Asia and sub-Saharan Africa. Two-thirds of all undernourished people live in Asia, and the Indian subcontinent alone contains almost one-half of the world's

<sup>9</sup> Rural development, Agriculture and Food security, Mc Calla, World Bank

hungry people. Africa, however, has the greatest proportion of people who are undernourished —currently about one-third of the total population—and their absolute numbers are growing. Countries at war are especially likely to have large numbers of poor and hungry people. Countries with large numbers of undernourished people often have low agricultural productivity. For example, grain output is low in sub-Saharan Africa—standing at about 138 kilograms per person, compared with a global average output of 360 kilograms per person. The output of grains is also below average in South Asia (where rice and wheat are the main crops), averaging about 225 kilograms per person. By contrast, North America and Australia produce about 1,250 kilograms of grain per person, and Europe and the countries of the former Soviet Union produce about 625 kilograms per person. Increasing the output of grains in the world's poorest countries would make a major contribution to reducing world hunger and improving food security. This is so because, despite extensive international trade in grain, 90 percent of the world's grain is consumed in the country where it is produced<sup>10</sup>.



Source: SOFI report 2003, FAO

**Figure 3: Recent trends in undernourishment, by country grouping**

Preliminary analysis does not permit any definitive answers to the reasons for this situation (see Figure 3). Closer examination does identify several factors that differentiate the successful countries from those that suffered setbacks. In general, countries that succeeded in reducing hunger were characterized by more rapid economic growth and specifically by more rapid growth in their agricultural sectors. They also exhibited slower population growth, lower levels of HIV infection and higher ranking in the UNDP's Human Development Index.

These findings are consistent with previous analyses that helped shape the WFS Plan of Action and the anti-hunger initiative put forward by FAO at the time of the World Food Summit: five years later. They highlight the importance of a few key building blocks in the foundation for improving food security – rapid economic growth, better than average growth in the agricultural sector and effective social safety nets to ensure that those who cannot produce or buy adequate food still get enough to eat.

<sup>10</sup> Rural development, Agriculture and Food Security, Mc Calla, World Bank

## 2.2. The three pillars of food security

Food security is defined as a situation in which all households have both physical and economic access to adequate food for all members, and where households are not at risk of losing such access (FAO, World Food Summit 1996).

The concept of food security is frequently applied at three levels of aggregation: national regional, household and individual. Within food security, there are three core determinants which can function at each of the three levels identified and help to determine the food secure or insecure status of a country, region, community or household: **food availability, food access, and food utilization**. All three determinants or pillars are requisite to achieving food security.

### 2.2.1. Improving food availability

Adequate food availability is defined as sufficient food for all people through production or purchase. It is assured through policies and programs that remove impediments to an increased supply of food and requires investments in agriculture and distribution systems. Food collection, storage, and distribution systems should be evaluated and may need to be improved. Updated food processing technologies and systems may also contribute to increased food availability. Strengthened rural institutions such as agriculture extension services will support and enhance policy reforms. To increase food supply, resources must go to rural development schemes that support increased food productivity, as well as to investments in agricultural research and technology as:

- *Encouraging rapid technological change, which is* essential for agricultural and income growth. Investing in the research necessary to stimulate technological change in agriculture is a high priority. Each year, the international community lends and grants hundreds of millions euros to national agricultural research institutes, in addition to contributing to the Consultative Group on International Agricultural Research (CGIAR). Some institutions (WB, FAO, etc) are supporting research on crops and processes that are of little interest to the private sector, but which could have a large impact on rural poverty and hunger; these include subsistence crops and crops that are staples in poor regions, such as maize, cassava, sweet potato, millet, and sorghum. It is necessary to ensure that the poorest communities in developing countries will be able to benefit from the breakthroughs in technology that are increasingly being generated and patented by the private sector.
- *Increasing the efficiency of irrigation, which* accounts for 70 percent of the global consumption of fresh water. Although it has contributed greatly to the production increases seen during the twentieth century, agriculture is increasingly competing for water with urban and industrial users. There will be sufficient water for all only if agriculture, along with other sectors greatly improves the efficiency of their water use. This will require improving incentives to water users to conserve and use water efficiently by establishing water markets, clarifying water rights, and pricing water to reflect its true value. It is necessary to assist these countries to improve the efficiency of irrigation systems as part of their comprehensive water resources planning.
- *Improving natural resource management, which* is the first condition for a sustainable development.

### 2.2.2. Improving access to food

Food access depends on adequate purchasing power and well-functioning markets. In the face of inadequate access to food, efforts need to focus on reducing poverty, increasing household income, and improving market infrastructure as:

- **Strengthening markets and agribusinesses.** The support of markets and the development of agribusiness have received insufficient attention in the international community. A good functioning market may efficiently allocate resources—and reduce price margins between consumers and farmers. Where the state either has withdrawn or is withdrawing from marketing and input supply—as in Eastern Europe and Central Asia, Africa, and Latin America—it is necessary to assist governments both to develop the legal, financial, and institutional frameworks that are necessary for competitive markets to work and to establish information systems for collecting and disseminating vital data.
- **Providing education and health services to both boys and girls.** Providing education and health services to both girls and boys is one of the key ways to reduce poverty and hunger. There is substantial evidence that the level of education of individuals is closely linked to their incomes and that improved education contributes to national economic growth. Education and health services are especially important for women, who have a major role to play in growing crops and in reducing hunger. Better-educated and healthier women are more productive and earn higher incomes. Since women often use their additional income for investments in family welfare, increases in their incomes are likely to have greater immediate and long-term impacts on poverty and hunger than equal increases in men's incomes. Some studies have shown that Education for girls also lowers fertility rates and improves environmental management.
- **Investing in infrastructure.** With the help of adequate communication networks, roads, storage facilities, and supplies of electricity, farmers can obtain the information they need to grow the most profitable crops, store them, move them to market, and receive the best price for them. Today, up to 15 percent of production is lost between farm gates and consumers owing to poor roads and storage facilities, reducing farmers' incomes and raising urban consumers' food costs. As cities grow, the need for infrastructure becomes all the more important.
- **Fostering broad participation.** Experience shows that development projects are much more likely to reflect the affected community's priorities, reach their goals, and be sustainable when they are designed and executed with a high degree of influence by local stakeholders. It is necessary to assist local communities and governments to find ways to finance infrastructure and services using their own revenues and fiscal-transfer mechanisms, develop their legal authority, strengthen their administrative and technical competence, and develop participatory mechanisms for assessing projects.

### 2.2.3. Improving food utilization

Poor food utilization can result from inadequate intra-household allocation of food and other resources and increased nutritional needs due to growth, disease, or poor nutrient absorption, or unsafe water used for cooking. Adequate food in the household will not ensure good nutrition outcomes if dietary habits, resources constraints such as the time available in the household to ensure adequate nutrition, or poor health status of household members negatively impact food availability. It is important to invest in complementary resources such as nutrition education, health care, safe water provision, and sanitation to strengthen food utilization.

Increasing family income alone does not ensure that people will consume the right kind of nutrients in the right quantities at the right times to maintain their health and productivity. Today, most households could prevent child malnutrition if they used existing resources optimally, making small changes in their health and nutrition behaviour. Improving diets often requires nutrition advices, prenatal nutrition services, and public health interventions. In some places, it also requires few investments to correct micronutrient deficiencies.

### 2.3. Strategies for achieving food security<sup>11</sup>

Strategies aiming at reducing food insecurity are resulting from the global analysis each institution has made on the roots of food insecurity.

For the World Bank for example, the focus is being put on macro-economic restructuring and liberalisation. Developing countries need to implement sound and stable macroeconomic and sector policies, because heavy government interference in the productive activities of their agricultural economies has inhibited agricultural growth and distorted the allocation of resources. Through analytical work, policy dialogue, and financial support, the World Bank is assisting countries in liberalizing prices of farm commodities and inputs, reforming public enterprises, liberalizing agricultural trade, and changing foreign exchange and taxation regimes that discriminate against agriculture.

For the FAO, the focus is put on the growth of national and global food supplies as well as on the support of a prosperous smallholder private agricultural economy in particular assuring food security. Future demand for food will be driven by population growth and rising incomes; the later increase the demand for meat, vegetables, fruits, and grains (for animal feed). The population of the world is expected to exceed 8 billion by 2025, an increase of 2 billion. In the future, agricultural growth must come primarily from rising biological yields rather than from expanding cultivated areas or intensifying agriculture through irrigation, because fertile land and water are becoming increasingly scarce. Most fertile lands are already under cultivation, and most areas suitable for irrigation have already been exploited. And with population growth and urban expansion, there is rising competition for water from urban and industrial users.

The EC strategy focuses on a broader approach of food insecurity, closely linked to poverty. The most important issue facing most people is inadequate access to food, which is fundamentally an outcome of poverty. Improved food security is an outcome of sustainable development at the national and, particularly, the household level. Food insecurity at the national level is a problem of faltering development and a weak trade position. At the household level, the problem is fundamentally one of poverty, where poverty is defined broadly to include factors other than just inadequate income. Consequently, long-term food security objectives are best met by integrating them into long-term poverty eradication policies providing a coherent framework for national and regional development strategies (see Chapter 3 for more information).

### 2.4. Food Security and Trade

Food availability in developing countries comes mostly from domestic production but there is a trend of increasing reliance on imports. Imports not only fill gaps in domestic production, but also increase the choices available to consumers by bringing in foods that cannot be grown in the country's climatic conditions. In the long run, as climate change shifts food production to the temperate zones while population growth remains concentrated in the tropical regions, the reliance on trade may increase further.

Proponents of agricultural trade liberalization would argue that it will enhance food security by making available to consumers a wider variety of foods at more affordable prices. They would argue further that a country with a liberal trade regime will realize gains from specialization and the resulting productivity increases will translate into higher rates of economic growth, higher incomes and relatively more affordable food bill. Finally, they would argue, that a viable world food market will serve as a buffer against occasional gaps resulting from bad crop years or natural disasters.

The political economy of agricultural trade liberalization, however, is not as straightforward as the theoretical case for the gains from trade and specialization. Developing countries are

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<sup>11</sup> The strategies of the various important institutions dealing with food aid and food security will be more extensively elaborated in the Findings/Analytical part of the Synthesis study.

concerned that should they lower tariffs further, their markets will be inundated with cheaper imports from rich subsidizing countries, forcing small local producers out of business into poverty. A further concern is the possibility that local producers might be induced to concentrate on high value cash crops for export, thus reducing availability of traditional staples for the poorer population.

A potential solution to these problems would be dismantling the domestic supports in rich countries, something most developing countries have been insisting upon. While trade will definitely be fairer as a result and the terms of trade may shift in favour of developing countries, at least for some crops, this will result in an overall increase in food prices on the world market as well as potential volatility in prices of commodities. This is a major concern of net food importing countries, and especially those among them that are already burdened by high levels of debt.

There seems to be a consensus of research that further tariff reduction world-wide, lower domestic support in OECD countries and lower export subsidies in the EU will have a positive (albeit small) effect on reducing food gaps and food insecurity. This is a strong argument to proceed with trade liberalization<sup>12</sup>.

It is necessary, however, to avoid a situation where free trade results in increased food availability but the food is no longer affordable to some parts of the population. Ensuring equitable distribution of the welfare gains and proper compensation measures for the short-term losers (both at the household level and at the international level) is critical. Elimination of policy biases, especially those affecting the agricultural sector in developing countries may also enable them to capture the gains from trade liberalization.

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<sup>12</sup> The Institute of Agriculture and Trade Policy, London

### 3. BRIEF PRESENTATION OF FOOD SECURITY WITHIN THE EC

The following presentation is focussing on a descriptive presentation of the food security strategy of the EC. An analytical presentation will be made in the synthesis report of the completion phase.

#### 3.1. Community development policy

##### 3.1.1. Introduction

In 2000, the European Community defined new development co-operation policy guidelines based on the principle of sustainable, fair and participatory human development. The promotion of human rights, democracy, the rule of law and transparency in public affairs is an essential part.

##### ***The global objective to fight poverty***

The objective of the European Commission development policy is to reduce poverty with a view to its final eradication. Poverty is not defined merely by lack of income and financial resources. Apart from access to food, poverty is also defined in terms of vulnerability or of a lack of access to factors such as: education, health care, natural resources and drinking water, land, employment, credit, information, political participation, services and public infrastructures, etc.

The EC believes that the best way to bring about food security is to pursue a broad based policy for sustainable development and poverty reduction at the national level. The policy assumes that promoting broad based growth and poverty reduction will in fact address the root causes of the food security problem by bringing the issues of food availability, access to food, responses to food shortages and nutritional problems to the center of poverty reduction strategies. In addition, the political dimensions of food insecurity need to be tackled head on by giving greater attention to promoting good governance, preventing conflict and building peace.

Therefore the EC development policy supports the poverty reduction strategies involved in a wide range of issues. These include: consolidation of democratic processes, peace and conflict prevention, development of social policies, inclusion of social and environmental objectives in macroeconomic reform programs, gender equality, reforming or establishing a suitable institutional framework, skill enhancement among public and private players, and preparedness for natural disaster. So the EC's various means of action are to be used coherently to support poverty reduction strategies, and include the economic and commercial, political and institutional, social, cultural and environmental aspects of development.

##### ***From assistance to ownership: the EC development policy***

Ownership of the aid initiatives by the stakeholders within the recipient country (government, private sector, civil society) is undeniably a factor of success for development policies. The European Commission attributes a high importance to the quality of the dialogue with partner countries. This dialogue is intended to ensure consistency between the policies implemented by the country in question and EC interventions. It must also intended to create the pre-conditions for satisfactory co-operation, aiming in particular at the reinforcement of institutional capacities and of good governance in order to ensure a transparent and responsible management of public expenditures dedicated to development.

These parameters must be taken into account in the distribution of development aid so that it can be allocated where it has the greatest chance of reducing poverty in an effective and sustainable manner.

### ***Focus for intervention***

To increase their impact, EC activities are concentrated within a limited number of areas chosen as a function of their contribution to poverty reduction. They are all areas where the EC expects being able to offer added value. The six focal sectors are the following:

1. The link between trade and development,
2. Support for regional integration and co-operation,
3. Support for macroeconomic policies,
4. Transportation,
5. Food security and sustainable rural development,
6. Enhancement of institutional capacities.

Article 177 of the EU Treaty sets out the three (3) broad objectives for Community development co-operation. These are:

- the fostering of sustainable economic and social development;
- the smooth and gradual integration of the developing countries into the world economy and;
- the campaign against poverty.

Furthermore, Community policy should also contribute to the general objective of developing and consolidating democracy and the rule of law, and encouraging the respect of human rights and fundamental freedoms.

Beyond these overarching Treaty objectives, regulations and international agreements based on geographical regions (ACP, ALA, MED) determine the specific EU/EC cooperation objectives. Clearly, different weights are given to different elements in each geographical program depending on the specific political and economic relationships the EU has with the different countries and regions concerned. Nonetheless, strategy documents such as CSPs and / or PRSPs are important tools in focusing these regional cooperation frameworks:

- Relations between the countries of Africa, the Caribbean and the Pacific (ACP) and the EC are set out in the comprehensive trade and development framework of the Lomé convention. Since 2002, the Cotonou agreement provides the framework for the development of Country Support Strategies by the EC and each ACP State, on the basis of the country's own medium term development strategy.
- In Asia and Latin America (ALA) countries, the emphasis is on strengthening the co-operation framework and on making an effective contribution, through institutional dialogue, economic and financial co-operation, to sustainable development, security, stability and democracy. The ALA regulation (443/92) stipulates that indicative multi-annual guidelines should apply to the main partner countries and accordingly the EC introduced CSPs for the ALA recipient countries after 1992.
- With the Mediterranean (MED) countries, emphasis is on the establishment of a zone of peace, stability and prosperity, on supporting reform and transition with the aim of creating an EU-MED free trade zone, and on contributing to the Middle East Peace process. The MEDA regulation (1488/96) stipulates the preparation of "Indicative programs for three year periods." The Commission services use CSPs to form the basis for the preparation of these indicative programs.

### **3.1.2. The Country Strategy Paper: a more consistent framework of intervention**

Defining a program for each country is a crucial management tool for increasing the effectiveness of the Community's aid, fostering its strategic orientation vis-à-vis the recipient country, defining a coherent approach between its various components and increasing cooperation and complementarity with the member States and the other donors. This programming is based on the Country Strategy Paper (CSP) drawn up jointly by the European Community, the Member-States, other donors and the partner country in a participatory process involving civil society. Country Strategy Papers (CSPs) are an instrument for guiding, managing and reviewing EC assistance programs. The purpose of CSPs is to provide a framework for EU assistance programs based on EU/EC objectives, the Partner Country government policy agenda, an analysis of the partner country's situation, and the activities of other major partners. The CSPs point to where Community assistance should be directed and how it integrates with what other donors are doing. The partner country plays a leading role in the search for complementarity on the basis of the development strategy it has itself defined and which serves as a starting point for this paper. The CSPs will thus contribute to the better planning of co-operation activities, improved donor co-ordination/complementarity, and to the overall coherence of external assistance policy with other EU policies. It is an instrument of political dialogue between the EC and the partner countries and, where possible, forms part of a wider framework, such as the Poverty Reduction Strategy Papers (PRSPs) strategies. The CSPs outline an operating strategy in the form of programs, which are subject to regular review, enabling them to be adjusted to changes in the situation.

### **3.1.3. PRSPs: aiming at development aid ownership and getting involved in a coherent framework**

The European Commission welcomed the initiative of the Bretton Woods institutions to link the conditions for debt relief for heavily-indebted poor countries with the development of a poverty reduction strategy paper (PRSP) guaranteeing that funds made available by debt relief are directed as a matter of priority towards the fight against poverty. The poverty reduction strategy places poverty reduction at the center of the discussion on the allocation of national resources. The Commission supports the drawing-up of such strategies in the countries where it operates. The processes of elaboration of PRSPs correspond to the European Community's wish to strengthen, first, the ownership of development aid by the recipient countries, and, second, the coherence and complementarity of the donors' interventions.

As part of the monitoring of the process of drawing up the PRSPs, the European Commission attributes particular importance to a number of key issues:

- Genuine involvement of civil society as a whole,
- Clear link between the objectives of poverty reduction and macroeconomic stabilization,
- Fair distribution of the benefits of growth, particularly through a reformed tax system,
- Consistency between the poverty reduction strategy and the prospects for regional integration,
- Whether the objectives and the performance indicators laid down in the poverty reduction strategy paper are realistic, the strengthening of the institutional capacity is important in order to ensure better macroeconomic stabilisation and improve budget management control.

### 3.2. EC policy on Food aid and food security

European food-aid started in 1967 in the framework of the Wheat Trade Agreement and the Food Aid Convention, which laid down annual minimum commitments for industrialised countries<sup>13</sup>. The main argument was the need to dispose of European Community food surpluses rather than development objectives. Subsequently DG Agriculture managed the implementation in conformity with the rules of the Common Agricultural Policy, while DG Development was responsible for the allocations and for the negotiations with the beneficiaries.

Food aid, which was dominantly aid in-kind, was provided on a grant basis. Three forms could be distinguished: aid for projects in the field of food security, emergency aid and programme aid. The latter was to be sold on the local markets. The revenues from the sales formed counterpart funds that were used for financing of projects, initially projects for agricultural development<sup>14</sup>.

The limitations of such an offer-based development policy became rapidly evident since this type of aid is so dependent on the management of Community agricultural stocks. New food security instruments were reinforced or created to implement this policy orientation: finding substitutions to the delivery of food-aid (1984), local and triangular purchasing (1978, reinforced in 1986), support activities for emergency stocks and the information systems (1987), food-aid sold at local markets, supporting actions to make local products more competitive, support for market integration, priority given to Least Developed Countries.

The concept of food aid has also changed over time transforming it into an independent policy aimed at development objectives. This transformation started with a Council Decision in 1982, which oriented food aid towards balanced economic and social development. In 1986 food aid was formally dissociated from the Common Agricultural Policy and more possibilities were opened for triangular transactions and local purchases. In 1987 DG Development also became responsible for the execution of the aid, although the responsibility for initiating the mobilisation remained with DG Agriculture. In the meantime several decisions had been taken on co-financing operations with NGOs, on alternative operations replacing food aid by financial and technical assistance, on the creation of storage schemes and the financing of early warning systems and on the substitution of food aid by direct money transfers.

After the food crises of 1991-92, the Commission carried out an external evaluation of its policies and instruments. The evaluation shed light on the limits of food-aid (high costs, short term benefits), and the need to give greater attention to the structural causes of food insecurity.

In fact, food security became a priority of poverty reduction initiatives. The Council of Ministers adopted a resolution in 1994 on food security, proving the importance of a long-term food security policy.

In 1996, a new Regulation (1292/96) replaced five former separate Regulations. It integrated food aid into a broader food security strategy. This Regulation broadened the range of instruments at the disposal of the Commission. It increased the flexibility with which funds could be directed towards operations in support of food security. While former Regulations focused on food aid, under the 1996 Regulation, the EC programme could then finance almost any type of support for those sectors that concern food security.

Following an external evaluation of the implementation of Council Regulation (EC) No 1292/96 the Commission in September 2001 adopted a communication to be submitted to the European Parliament and to the Council. This communication (COM(2001) 473) and the relevant Council conclusions (15390/ 01) were further steps to fully integrate food aid and food security objectives and instruments into the Commission's development policy and cooperation.

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<sup>13</sup> For more information, please refer to the deconcentration guideline for food security, 2003.

<sup>14</sup> Since 1992 projects and programmes outside this sector have also been included.

### 3.2.1. The Food-aid Convention (The London Convention)

The International Food-Aid Convention was renegotiated in 1999 and approved by Council Decision EC/2021 of 13 June 2000. This convention, which was to end at the end of June 2002, was firstly extended for one year. In June 2003, the decision was made to renew it until June 2004. However, each member is free not to renew his commitment or to withdraw from the convention during the year by providing a notification. The signatories are: Argentina, Australia, Canada, Japan, Norway, Switzerland, The United States, The European Commission <sup>15</sup> and its Member States.

Since it was renegotiated in 1999, the Convention has better integrated food-aid into the framework of food security support. This means giving priority to the least developed countries and those with low income, limiting the perverse effects of food-aid, giving priority to local buying. The aim was to avoid certain pitfalls of in-kind food-aid: disrupting local markets and eating habits, the beneficiaries not feeling responsible for the aid, low economic efficiency, etc. Furthermore, by concentrating on local buying it provides indirect support to local agricultural production.

Other changes have also been made: diversifying eligible products (with the opportunity of including traditional food products that correspond to local habits), enhancing financial commitments, limiting debt-aid to 20% of commitments, taking into consideration the cost of shipment, operational costs and the cost of purchasing tools and basic inputs. The cost of purchasing tools and operational costs must not be greater than half the cost of purchasing foodstuffs.

The convention sets the minimum yearly food-aid commitments for signatories. Since 1999, these commitments have been expressed in tons, in values or in a combination of both. Article 21 of the 1292/96 regulation was modified in 2001 in order to take this aspect of food-aid into account. Monetary contributions can now be used to meet commitments of the convention by reporting data on the monetary equivalent of the basic food imports.

The European Union (EC and Member States) has made a commitment to provide an annual equivalent of 1 320 000 tons of wheat and 130 Million Euros. At the European Commission level annual convention commitments are 990 000 tons wheat equivalent. Counting the aid provided by the Commission in tons, guarantees that the minimum food-aid will be delivered in case international market prices rise.

Besides the commitments contained in this convention, EC food-aid purchasing must conform to rule 25191/97 on mobilizing food-aid.

### 3.3. The Regulation 1292/96<sup>16</sup>

As mentioned above, the Council Regulation No 1292/96 replaced five former separate Regulations and integrated food aid into a broader food security strategy. The main objectives of the Regulation can be summarized as follows:

- (a) enhancing food security geared to alleviating poverty in the recipient countries;
- (b) reducing the recipient countries' dependence on food aid;
- (c) contributing to the countries' balanced economic and social development.

To focus its interventions on the most vulnerable countries, prior to implementation, the Commission has selected 21 priority countries for structural interventions and a further 11 countries and the territory of Palestine which are regarded as being in a crisis or post-crisis

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<sup>2</sup> Lead agency : DG Agri/ Unit A12 with thematic support from DG Dev / Unit B4 and operational support from EuropeAid / Unit F5.

<sup>16</sup> For more information, refer to the deconcentration guideline on food security, which provides detailed information on the various types of operations.

situation. The number of countries may change depending on the situation faced by the countries (for example phasing out in Peru).

### **3.3.1. The objectives**

The objectives of the food-aid operations and operations in support of food security, including the foreign currency facility, are stated in Article 1.3 of the Council Regulation 1292/96. These objectives are:

- to promote food security geared to alleviating poverty, to help the population of developing countries and regions at household, local, national and regional levels;
- to raise the standard of nutrition of the recipient population and help it obtain a balanced diet;
- to take account of the concern to ensure the supply of drinking water to the population;
- to promote the availability and accessibility of foodstuffs to the public;
- to contribute towards the balanced economic and social development of the recipient countries in the rural and urban environment, by paying special attention to the respective roles of women and men in the household economy and in the social structure. The ultimate objective of Community aid operations shall be to make the recipients into agents of their own development;
- to reduce dependence on food aid ;
- to encourage them to be independent in food, either by increasing production, or by enhancing and increasing purchasing power;

The granting of food aid shall, where necessary, be conditional on the implementation of short-term multi-annual development programs, and as a priority those who promote sustainable long-term food production and food security in the recipient country within the framework of food security and strategy. The operations in support of food security must help to improve the standards of the poorest people.

### **Increased focus on LRRD**

It was back in the 1980s that the concept of links existing between emergency aid, rehabilitation and development (LRRD) was developed, in other words, the “grey areas” between humanitarian assistance and development. This “grey area” exists because there is divergence between humanitarian aid and development cooperation programs in terms of their objectives, procedures, their time frame, partnerships, and in the types of interventions they execute. Humanitarian aid responds to the immediate needs of individuals in crisis and is mainly provided by non-governmental and international organizations. On the other hand, the aim of development cooperation is to support policies and strategies that match priority needs of the partner country.

The Commission recalls in communication (2000), 212 the importance of taking the LRRDs into consideration in order to effectively fight poverty. This aspect of efforts to combat poverty is also underscored by the Council<sup>17</sup> and Parliament<sup>18</sup>.

The Commission deems that taking LRRDs into account is more a question of approach than the need to develop new instruments. Using an LRRD approach means that the activities put into place in an emergency situation must encompass issues of long-term development and that development activities must include questions of prevention and crisis preparation.

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<sup>17</sup> « Linking relief, rehabilitation and development », Council Conclusions 9989/01, 25/06/2001.

<sup>18</sup> Report of the Development and Cooperation Commission to European Parliament on the Commission Communication (2001), 153.

The role of the food security budget line (FSBL) in the LRRD is underscored in Communication 2001 (153), Communication (2001) 473, and the Report of the Court of Accounts. This role encompasses the prevention of **short term** degradation of the vulnerable populations, the support to the populations in the **medium term** to guarantee their own food security and the **long term** support to governments and civil society to prevent crises.

### 3.3.2. The Titles under Regulation 1292/96

Regulation n°1292/96 on food-aid policy and food-aid management, and special operations in support of food security, distinguishes three types of operations which are discussed further below:

- Food-aid Operations (Title I);
- Operations in Support of Food Security (Title II);
- Early Warning Systems and Storage Programs (Title III).

These operations can be executed by the public sector or by international, regional or non-governmental organizations.

#### 3.3.2.1. Food-aid operations (Title I)

Allocations to Food Aid Operations can be both in-kind and in-cash. Aid in-kind can consist of a range of products. In addition to the products, delivery costs (especially transport) may also be funded. Food commodities can be mobilized from within the European Community, in the recipient country (local purchase) or from one of the developing countries listed in the Annex of Regulation n°1292/96 (triangular purchase).

Food Aid Operations in-cash take the form of a cash-for -food distribution to the beneficiaries or a foreign currency facility. In this case, aid is used to purchase food items identified from a list of eligible products and countries. Food Aid Operations, in-kind or in-cash, are used in countries with a partially or totally liberalized market in order to prevent distortion of private trade development.

In 2003 food aid remains an essential element of safety net strategies for certain vulnerable sections of the population in situations of food shortages and in the transition between relief, rehabilitation and long term development. The provision of food aid must conform to the guidelines of the Code of Conduct for food aid, and should be targeted at vulnerable groups while respecting their nutritional requirements and habits.

Currently, food aid in-kind is restricted to situations where it is the most appropriate means to solve the underlying problems. It is provided either directly through government programs or indirectly through mainly WFP program and NGOs for the following situations.

- In complementarity with ECHO's emergency work, to provide relief in cases of protracted crisis;
- As a contribution to strategic reserves and safety nets;
- as a support to operations linking relief, rehabilitation and development.

#### 3.3.2.2. Operations in Support of Food Security (Title II)

The Commission is able to provide financial and technical assistance to operations in support of food security. These operations should be consistent with, and complementary to, the objectives and operations financed by other Community development-aid instruments. These operations link food-aid with other development-aid projects and programs and thus reinforce the integration of food-aid and food-security under a general development policy. Title II of Regulation n°1292/96, allows the Commission to finance a range of activities in the fields of

production, storage, processing, transport and distribution, as well as training programs. Although Regulation n°1292/96, clearly distinguishes between food-aid operations and operations in support of food security, by the use of two different Titles, in practice they overlap as the same commodities and services can be supplied under both. This is especially true with the supply of seeds, fertilizers, tools, other inputs and financial assistance, and training schemes.

Currently, food security interventions aim at tackling the underlying structural causes of food insecurity, and this, related to the following three levels:

- Inadequate food availability at the national level;
- Poverty resulting in insufficient access to food at the household level;
- Food use and nutritional adequacy at individual level.

### **3.3.2.3. Early-warning systems, storage and support to agricultural research programs (Title III)**

Title III of Regulation n°1292/96, allows the Community to support and help to strengthen existing national and international early-warning systems. In exceptional cases, it may even operate such systems itself. Additionally, the Community may cover the cost of the implementation of storage programs.

Allocations reported under this Title are by far the smallest. Commitments for early-warning systems amounted to ca 25,9 million Euros in 2002 (5,7% of the budget). In previous years the amounts even were lower. Allocations for storage are even smaller. However these programs can be financed through counterpart funds or by financial support as part of food security operations.

These modest levels registered under Title III do not necessarily reflect the importance attached to these kinds of activities. First, there is a duplication in the allocation of activities by Title. Storage and early warning systems activities can be financed under both the other Titles as well. Secondly, financing may come from other programmes and instruments, such as EDF. This is the case for early warning systems, which often contain multi-annual activities.

### **3.3.3. The operations under the Council Regulation 1292/96**

The operations have been translated into a number of instruments according to four categories

1. Food aid-in-kind;
2. Foreign currency;
3. Operations to support food security;
4. Others- technical assistance and capacity building.

Under the classifications in use by the Commission, early warning systems and storage programs have been included under the category of food security. The instruments can be used in different combinations adapted to the situation of the recipient country or organization and to the nature of the problems identified.

#### **3.3.3.1. Food aid in kind**

Food aid-in-kind is given to a number of countries that may receive products selected from a positive list. These products may be mobilized on the Community market, in the recipient country, or in one of the developing countries (Art. 11 of the Regulation). Besides food

products this instrument also finances related costs, of which transportation is by far the most important.

Food commodities can either be distributed free of charge or sold to the final beneficiaries. In the latter case, revenues from sales are placed in a counterpart fund. These funds are, in turn, used for purposes agreed upon by the Commission and the recipient country in support of development projects, sectoral operations and development programs, which promote long-term food production and food security within the framework of a food policy and strategy. Where countries are implementing a structural adjustment program, counterpart funds may be used for general allocation under the conditions set by the structural adjustment program.

The delivery of food aid intends to enhance food availability in the country concerned. Where food aid products are sold, the resultant counterpart funding may contribute to the achievement of long-term and short-term food security. In the case of free distribution of food, the result is improved access to food for households and a contribution to the improvement of intrahousehold food security, depending on the specific conditions of delivery.

Food aid in-kind is an expensive instrument, but could be justified in cases where there are no alternatives, such as in emergency situations where there is no effective government, or in cases where aid in-kind has comparative advantages with regard to other types of aid in targeting special vulnerable groups.

### **3.3.3.2. Foreign currency Facility**

Article 12 of the Regulation allows Commission food aid to take the form of a Foreign Currency Facility. This facility is, however, restricted to those countries with economies that allow liberalized food imports. This facility is provided through private sector operators (preferably small and medium sized enterprises) who import food commodities from European markets or from eligible countries in the region. Such imports are intended to be consistent with the recipient country's policy and therefore avoiding a distortion of the national market. The type and origin of the commodities are regulated by the EC.

The Foreign Currency Facility has two distinct features:

1. The transfer of hard currency to the recipient country; and
2. The subsequent conversion of hard currency into local currency, constituting countervalue funds. The utilization of these countervalue funds in support of the public budget is defined in the first instance by Regulation n° 1292/96 and then is more precisely determined in a Memorandum of Understanding (MoU) agreed between the Commission and the beneficiary government.

The specific objectives of the foreign exchange are aiming at:

- involving the private sector in improving food availability through domestic markets, thereby, avoiding beneficiary governments offering food aid commodities on the national market at below import parity price;
- providing an incentive for the development of small and medium sized trading enterprises;
- creating additional demand at local and/or regional markets; and
- Providing counterpart funds for public sector budgeted initiatives aimed at improving food security.

In accordance with the provisions of the Regulation 1292/96 (Article 12 and Article 2.5), in countries undergoing structural adjustment, the counter values in local currency generated by different development aid instruments must be managed under a coherent budgetary

policy within the framework of an agreed government reform programme in support of food security objectives, policies and programmes. The regulation also provides the possibility to move towards more general budget support against clearly defined policy reform measures (conditionality and performance indicators).

This facility should be an instrument for enhancing food availability without the risk of local market distortions. Further it should permit a dialogue with the recipient countries to formulate and implement a national food security policy and programs.

### **3.3.3.3. Operations in support of Food security**

These operations are intended to support, with the use of available resources, the framing and execution of a food strategy or other measures fostering the food security of the population concerned and encouraging a reduction in food aid dependency, especially in the case of low-income countries with serious food shortages. The operations must aim at improving the living standards of the poorest people in the country concerned (Art. 3).

Food security operations can take the form of technical and financial assistance. Activities that might be financed by this instrument include (Art. 5):

- SISA (Food security Information System)
- the supply of seed, tools and inputs essential to the production of food crops;
- rural credit schemes targeted particularly at women;
- schemes to supply the population with drinking water;
- storage schemes at appropriate levels;
- operations concerning marketing, transportation, distribution and/or processing of agricultural and food products;
- measures in support of the private sector for commercial development at national, regional and international levels;
- applied research and field training;
- projects to develop the production of food crops while respecting the environment;
- improving awareness, technical assistance and field training operations, in particular for women and producers' organizations;
- projects to produce fertilizer for raw materials and basic materials found in the recipient countries;
- schemes to support local food-aid structures, including training schemes on the ground.

The list of activities is not exhaustive and may be enlarged. All activities mentioned contribute to one or more of the objectives of the Regulation and thus can be characterized as relevant. They cover the different levels of national, household and intra-household food security. They all focus on the structural solutions of the food security problem, and doing so, of poverty.

### **3.3.3.4. Others**

#### ***Technical assistance and Resal***

In 1998, the EU created the European Food Security Network (RESAL) to reinforce the capacity for analysis of the local food security situation and help in decision-making. The objective of RESAL can be summarized in four statements:

- strengthening of problem analysis and support to the decision-making process for food security activities and food aid deployment;
- assistance for food security formulation and implementation in priority countries;
- strengthening the implementation of EU food security interventions; and
- improving policy dialogue and co-ordination within the EU, with other donors, governments, NGOs and researchers in the field of food security strategies.

The network was based on European experts, residing in their home countries, in regional centers (Food Security Unit) or in beneficiary countries, who – during short missions – trained and supported local experts in priority countries, supervised their work periodically, and participated in the formulation and implementation of food security policy studies. Networking was used to develop intersectoral approaches and debates on food security policies and strategies. This network had stopped in August 2001 aiming to integrate the 35 FS experts and the Resal network within the EC delegations.

### ***Capacity building***

One of the main constraints in the formulation and implementation of effective national strategies and programmes to address food insecurity and poverty is the weakness of local administrative and technical capacity. The result of this situation is that absorption capacity remains weak and national and local administrations are unable to take full ownership of programmes. Consequently, greater importance will be attached to local capacity building through technical assistance support and national training and administrative reform programmes. Particular attention will be devoted to building local capacity to analyse and monitor national and regional food security situations and to formulate food security and poverty policies, strategies and programmes.

#### **3.3.4. The channels used by the Regulation 1292/96**

Regulation n°1292/96 can be implemented by a number of agents including the government of the recipient country, the Commission, international organizations and organizations of the civil society (non-governmental organizations, both international and national). Aid managed by both the recipient country and the Commission is characterized as direct aid, while aid through an intermediary such as international and regional organizations and NGOs is categorized as indirect aid.

The World Food Programme (WFP) is the most important single recipient of indirect aid. NGOs constitute the second largest category of indirect recipients. Their allocations are committed either in-kind or in the form of financial and technical assistance. Assistance in-kind to NGOs is channeled through Euronaid.

Other recipient organizations are or have been UNHCR, UNRWA, ICRC and FAO

For each country and region, the proposed allocations are indicative and may be revised as required to take account of unforeseen crisis situations, slow implementation of ongoing programmes or non-compliance with agreed policy reform processes. The commitment and implementation processes are closely monitored and the proposed allocations can be reviewed regularly.

Roughly 50% of the financial resources will be mobilised under multi-annual programmes, the other half being devoted to annual programmes and projects in countries where policy and institutional framework are inadequate for multi-annual programmes. Food aid through annual allocations mainly channeled through WFP, EuronAid, UNWRA and other partners will be targeted to regions in crisis or post-crisis situations.

### 3.3.4.1. Direct aid

Almost half the food security program funding is directly allocated to the beneficiary countries. This requires a memorandum of understanding to be formulated between each recipient government and the European Commission on the terms of implementation and the conditionalities attached to the aid. There is also discussion of the areas supported by this financial aid and a definition of the payment conditionalities in terms of strategy and priorities. This approach is therefore adopted only in the countries, where the dialogue with the recipient government is constructive and allows a long-term, jointly planned food security strategy to be implemented. This dialogue also involves joint planning, at different levels, with the other parties involved: other donors, international and local NGOs, civil society, private sector, etc. This direct intervention by the Commission is incorporated into the national policies of the recipient government, either by means of financial support for the national budget (budget support), or by financing individual sector development programmes. The memorandum of understanding with the recipient government may also provide for EC financial assistance to support programs. These activities are generally exercised by government bodies, by specific Food Security Unit (till 2002) or entrusted to third parties such as multilateral organizations (FAO) or NGOs, and cover all areas of food security interventions. The support to government programs can be forwarded through:

1. Programme aid (foreign currency facility) will provide financial assistance through the government budget in support of the following four objectives:
  - support policy and institutional reform related to food security;
  - facilitate import of food by the private sector;
  - promote employment and income generation to improve access to food;
  - provide support to safety nets.
2. Project support will be maintained in conditions where the policy environment does not permit budgetary aid, and more generally, in order to:
  - ensure the targeting of financial support to vulnerable groups experiencing food insecurity;
  - ensure good management of development assistance in conditions of unacceptable weak public sector management and lack of realistic perspectives for improvement;
  - test pilot approaches to tackling food insecurity;
  - implement specific activities addressing key bottlenecks in food availability and access to food;
  - ensure more active beneficiary participation in project design and implementation.

Moreover, food security projects may be supported for a limited duration in situations of transition from relief to long-term development or in conditions of structural food insecurity. The focus should be on improving access to food through support to production systems, other income generating activities and social safety nets.

### 3.3.4.2. Indirect aid via partner organisations

This second pillar of the food security program enables the Commission to provide financial support to organizations and programs within their specific areas of responsibility, once the recipient countries have been targeted. The World Food Programme (WFP) is still the Commission's preferred partner for the distribution of food aid, although other international organizations such as the FAO (United Nations Food and Agriculture Organization) and the UNRWA (United Nations Relief and Works Agency for refugees in the Near-East) and some European non-government organizations (NGOs) are also important channels for the transfer of EC aid to the recipient countries and populations.

### 3.3.4.2.1. The World Food Programme (WFP)

Since 1997, the European Commission's financial contribution to the activities of the World Food Programme (WFP) has concentrated on food aid and support actions in a crisis and post-crisis situation, and funding the Emergency Operations (EMOP) for the distribution of food aid in a crisis situation. It also finances Protracted Relief and Recovery Operations (PRRO) whose objective is to restore or maintain the health-nutrition balance and to reduce the dependence of refugee or displaced populations. The recipient populations victimized by a severe food crisis receive supplies through the WFP. They may also be refugees who have been displaced within their own country, or host populations. In this case the intervention will take place in co-operation with the UNHCR (United Nations High Commission for Refugees). The EC financing targets a limited number of intervention countries in order to maximize available resources. The WFP and the recipient government make the programming of the food aid needs annually at national level. The EC provides its food aid to WFP partially in kind via international tenders for the supply of food that is purchased in Europe and regionally or and mainly in cash in order to promote local and triangular purchases. The WFP is contracted annually for the management of the food aid and its distribution in a country.

While this intervention is taking place, the dialogue between the Commission and the WFP takes the form of strategic and operating partnerships in the intervention countries, ensuring that the WFP projects complement, and are consistent with, all EC development actions. In the field, these partnerships take the form of a monitoring and joint assessment of projects, enhanced co-ordination and the sharing of information at all levels. The WFP makes the distribution on its own or with the support of the government. In some cases WFP contracts NGOs to make the distribution of the food aid within a country. These NGOs make also the monitoring not only of the quantities of the aid, but also regarding micro-economic (revenue) and nutrition indicators (diet) at household level. In 2002 about one third (132 Million Euros) of the FS-FA allocation has been channeled to the WFP programs.

### 3.3.4.2.2. UNRWA

Since 1950, the United Nations Relief and Works Agency for Refugees in the Near-East (UNRWA) has been responsible for ensuring that the Palestinian refugee populations in Jordan, Syria, Lebanon and Palestine (Gaza and the West Bank), i.e. a population of 3.8 million, have access to basic social services. This population is made up of families who became refugees after the Arab-Israeli wars in 1948 and 1967, and of their descendants. For these populations, UNRWA ensures access to three kinds of assistance: health, education, and social and rehabilitation services. The European Union is by far the main provider of funds to UNRWA. In 2002, 15 Million Euros have been allocated by EC food security programme to UNRWA.

### 3.3.4.2.3. Non-governmental organizations (NGOs)

Like international organizations, non-governmental organizations are an important partner for the Commission in the implementation of food security programs. By means of this partnership, the food security program can capitalize on the specific expertise, experience in the field (particularly in a crisis situation) and flexibility of intervention of the NGOs. The partnership goes through two different channels. The first is the NGO collective Euronaid. This association manages aid in the form of products (food aid, inputs, seed, equipment) from the Commission, and distributes it via the NGOs. The second channel consists of a global financial allowance designed to finance specific NGO projects in response to the structural food insecurity problems. This process has been based on calls for proposals since 2000.

#### 3.3.4.2.3.1. Euronaid

Euronaid is a unique integrated service (food pipeline, training and advocacy) association jointly owned by 38 NGOs and servicing about 140 NGOs a year. It manages the

administration of purchasing, transport, and delivery of foodstuffs to NGOs in beneficiary countries

Via EuronAid, the Commission is given a summary estimate of the food aid needs put forward by the NGOs. The objective is to support projects aimed at solving food insecurity problems affecting particularly vulnerable populations. Such populations are those exposed to physical insecurity (armed conflict, forced migration), natural disasters (drought, flooding, earthquake), malnutrition, disease, financial loss or shortage of production factors (inputs, seeds, equipment). Three types of project can be supported in this manner: (1) food aid projects, which improve the nutritional status of populations in a severe food crisis in the short term, (2) projects such as "life against work", rehabilitation of the populations' social and productive environment, and (3) projects to supply seeds, tools and farming means of production, making it possible to remedy the loss (in case of natural disasters, conflicts) or the forced sale of production factors (loss of capital of households due to poverty or crisis situations). Euronaid makes the purchase of its supplies preferably on the local and regional markets and sometimes on the European markets with always the ex-ante control of the European Commission services.

Requests from countries and NGOs are evaluated by the EC services in accordance with the scale of the emergency, the actual need for food aid and the consistency of these requests with existing EC policies, international agreements and the strategies of the government in question and of the other donors. In 2002, a total of 60,5 Million Euros has been allocated by EC food security to Euronaid.

#### **3.3.4.2.3.2. NGO support actions: the call for proposals**

A global financing allowance is decided upon annually to provide joint financing for projects formulated by NGOs in response to the structural problems of food insecurity, particularly in order to restore production capacity. This allowance is the subject of a call for proposals. Every year, the European Commission Services select the targeted countries for the call of proposals. A strategic document defines the expected objectives for each selected country: "the Country Technical Paper" (CTP). This document identifies priorities for action in terms of sectors and geographical areas, consistent with the national food security strategy.

A specific amount of allowance is earmarked by country. On the basis of the CTP, the best projects submitted by the NGOs, and are then selected by the Commission.

NGO projects aim to reduce the vulnerability of populations to the socio-economic environment and to weather changes by improving access to income and factors of production. Such projects consist of technical and financial assistance provided by NGOs for food security support actions. The possible areas of intervention are: the creation of information systems, the supply of seeds, tools and inputs, access to rural credit, the rehabilitation of dirt roads, markets, small rural infrastructures, the drilling of wells, the organization of drillings, consciousness-raising, training, technology transfer, applied research activities, anti-erosion work, reforestation, soil preservation.

#### **3.3.4.2.4. CGIAR**

The Commission, through different funds (ALA, MEDA, and FED) has funded the CGIAR's research programmes and projects for a number of years. The World Bank is also a main provider of funds to the CGIAR.

The new 3 year EC Programme (2002, 2003, and 2004) with a total of 61,960,000 euros, is now be funded by the FS budget line. The current agenda for the benefit of developing countries concentrates on 5 priorities research areas: increasing productivity, integrating sustainability, preserving biodiversity, improving national policies, and capacity building of the National Agricultural Research Systems (NARS). There is a selection of new projects every year. The task force members are DG Dev/ EC Research Center/ Member States.

### 3.3.4.2.5. FAO

As of 2000, 2001 and 2002, the European Commission and the FAO put their co-operation on a formal basis — it had previously been on a project by-project basis — by signing an overall agreement. Specifically, this co-operation took the form of a donation that is regulated under the overall contract agreement between the EC and the International Organizations.

- a) The Global Information and Early Warning System (GIEWS) for agriculture and food is an open forum for the exchange of food security information coming from various official or unofficial sources. Eight projects have been selected under the present contract. In geographical terms, GIEWS is concentrated on Africa and Central Asia and has two components: developing and extending world-wide monitoring and rapid warning systems, and training and consulting to support sector policies to be used in multilateral negotiations. A mid-term review of the program is currently under process.
- b) Another EC/FAO 3 year co-operation Programs to Support Food Security is in preparation. It has a particular focus on the following areas:
  - 1. Further development and expansion of global monitoring and early warning systems
  - 2. The provision of training and consultancy for a number of specific policy and thematic issues
  - 3. The intensification of EC/FAO collaboration for food security in a number of food security priority countries

### 3.3.4.2.6. Information and Monitoring System on Food Security

Several organizations which are managing Information Systems on Food Security (ISFS) are supported by the EC, such as the CILSS (Comité Permanent Inter-Etats de lutte contre la Sécheresse au Sahel) for West Africa and SADC (Southern Africa Development Community) for Southern Africa.

A monitoring system is also being developed to support the EC food security strategy and policy<sup>19</sup> within a country. It is based on a basket of indicators covering the food availability at national (prevalence of undernourishment, cereal production/person, country importation capacity in weeks,...), the poverty at the household level (Gini coefficient, inflation within the country, international poverty indicator, national poverty indicator,...) as well as the malnutrition at the individual level (anthropometric indicators such as individual underweight).

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<sup>19</sup> For more informations on FS indicators : see the FS Deconcentration Guidelines

The following Table 1 presents an overview of the various typologies used to present the operations under the Council Regulation (EC) No 1292/96.

Table 1: Various typologies of FA-FS operations

Regulation 1292/96	Programming document 2003-2004 FA-FS budget line	Operations	Channels
Food-aid Operations (Title I)	<b>Food Aid</b> Food aid-in-kind	<b>Food Aid</b> Food aid-in-kind	<b>Food Aid</b> <i>indirect aid via partners:</i> WFP, ICRC, UNRWA, EURONAID  <i>direct aid via:</i> governments
Operations in Support of Food Security (Title II)	<b>Food Security</b> Programme aid (foreign currency facility) Project aid NGO cash projects Support to international organisations Capacity building	<b>Food Security</b> Foreign currency Facility  Operations in support of Food Security <ul style="list-style-type: none"> <li>• project support to governments,</li> <li>• NGO call for proposal;</li> <li>• support to international organizations</li> </ul> Others (RESAL, technical assistance and capacity building)	<b>Food Security</b> <i>direct aid via:</i> Budget support <ul style="list-style-type: none"> <li>- Programs</li> <li>- Projects</li> </ul> <i>indirect aid via partners:</i> NGO, EURONAID, FAO, CGIAR
Early Warning Systems and Storage Programs (Title III).	Included in food security	Included in food security	Included in food security

### 3.3.5. Other EC related budget lines

The new Council conclusions (4/07/2003) requires the Commission to avoid duplication between Council Regulation 1292/96 and the mainstream development instruments (EDF, ALA, MED) and to ensure that Council Regulation 1292/96 is used strictly for priority countries highly vulnerable to food security risks and crisis.

#### 3.3.5.1. ECHO (Council Regulation 1257/96)

ECHO - the European Community's Humanitarian Aid Office - is the service responsible for providing humanitarian assistance to third countries, through which the Commission expresses the concrete solidarity of the European Union with those affected by conflicts or disasters, both natural and man-made, all over the world. Its mission is to fund the co-

ordinated delivery of Community humanitarian assistance and protection through partner humanitarian organisations (NGOs, international organisations, etc.) in order to save and preserve life, reduce or prevent suffering and safeguard the integrity and dignity of populations affected by humanitarian crises.

The humanitarian aid comprises assistance, relief and protection operations on a non-discriminatory basis to help people in third countries, particularly the most vulnerable among them, and as a priority those in developing countries, victims of natural disasters, man-made crises, such as wars and outbreaks of fighting, or exceptional situations or circumstances comparable to natural or man-made disasters. It shall do so for the time needed to meet the humanitarian requirements resulting from these different situations. Such aid shall also comprise operations to prepare for risks or prevent disasters or comparable exceptional circumstances (Article 1). ECHO is also managing food aid in kind.

ECHO's response to the humanitarian challenges will be based on a three-pronged approach:

- by intervening in the areas where the **greatest humanitarian needs** have been identified
- by paying specific attention to "**forgotten crises**" and "**forgotten needs**".
- by promoting quality humanitarian aid through systematically mainstreaming **cross-cutting issues** into its operations. Alongside continuing efforts on horizontal issues like protection, gender or human rights, ECHO feels that donors need to make more progress regarding three issues of outstanding importance: the "transition gap" from relief to development (LRRD), disaster preparedness and a better targeting of the most vulnerable, in particular children.

ECHO-funded assistance also aims at facilitating, together with other aid instruments, the subsequent return of populations to self-sufficiency wherever and whenever possible, to permit the phasing out of ECHO funding in good conditions. In that perspective, ECHO is actively engaged in designing and implementing **LRRD strategies** (linking relief, rehabilitation, development) in coordination with other Commission Services and in developing co-operation with other donors.

Beyond the direct response to humanitarian needs in such situations, ECHO's policy also aims at contributing positively to the establishment at international level of a more integrated and sustainable approach to the solution of crises/problems of a complex nature. Based on its experience in addressing disasters, ECHO also works at promoting **disaster preparedness** -as part of a Commission disaster preparedness approach- in order to reduce both vulnerability and exposure of people to risks and disasters.

In keeping with the principles of international humanitarian law, namely impartiality and non-discrimination, EC humanitarian assistance is allocated according to needs of affected populations and is not guided by political considerations.

### ***Main objectives for 2004***

In line with best practices of other key humanitarian players and with article 16 of the Humanitarian Regulation, ECHO provides strategic guidelines for humanitarian operations to be undertaken in the year ahead. These guidelines include ECHO's geographical as well as its thematic priorities. ECHO will focus on three main objectives in 2004:

- **Identify and intervene in the areas of the greatest humanitarian needs.** Geographical priorities are defined by a combination of field level needs assessments and analyses of aggregate data on relevant indicators (refugees, IDPs, mortality rates, disaster proneness etc.). The methodology to assess those needs was consolidated throughout 2002, together with a clarification of ECHO's criteria for entry (e.g., major loss of life or major

damage exceeding coping capacity of local population) and exit (e.g improvement of situation beyond a certain threshold, take-over by other donors).

- **Pay specific attention to "forgotten crises" and "forgotten needs".** This complementary approach has been introduced in the ECHO strategy from 2001 and will be maintained in 2004. In line with its general needs-based approach, ECHO attaches a complementary attention to high-need crises that are not in the public limelight and where few other donors are present or where specific other donors do not cover sectoral needs. This also includes unstable post-crisis situations where other (national) donors may be reluctant to get involved in short-term rehabilitation measures because of the high risks involved or the destabilizing effects a perceived lack of impartiality of those donors might have.
- Commit itself to quality humanitarian aid through appropriately addressing **cross-cutting issues**. Partners will continue to be required to integrate horizontal issues (gender, protection, human rights etc.) into the humanitarian operations funded by ECHO. Beyond this, ECHO will give specific priority to three horizontal issues in 2004, namely:
  - LRRD
  - Disaster preparedness
  - Child-related activities.

### 3.3.5.2. The EDF - ACP countries

#### 3.3.5.2.1. The Lomé Convention

The Title II of the Lomé IV Convention, concerns agricultural co-operation, food security and rural development.

Coherence is identified between the objectives defined by Lomé and the Community's food security policy. Poverty alleviation is one of the key objectives of the Food Security policy. It is clearly integrated within a global development co-operation framework and the provisions of the Lomé Convention. According to the Lomé IV Convention, food aid must be integrated within the ACP States' development policies.

A special feature of the Food Security policy of the European Commission is its focus on poverty relief for the individual and on the aim of ensuring sufficient daily food intake. Complementarity with the Lomé Convention is maintained as long as food security is integrated into development policy. The Lomé Convention has been replaced by the Cotonou Agreement.

#### 3.3.5.2.2. The Cotonou agreement

The Partnership agreement between the European Union and the ACP countries signed in Cotonou in June 2000 provides scope for a revised policy, by **integrating political dialogue, trade dimension and development aid**. This agreement, which addresses the general objective of poverty reduction, is based upon a strengthened political dialogue, setting out respect for human rights and democracy as essential elements of co-operation, and extending the consultation to non-governmental players: civil society, private sector and local authorities. These parties are consulted as to strategies, and have access to financial resources to strengthen their capacity, so that they can play their role to the full, and participate in implementing the programs.

The trade dimension of the Cotonou Agreement links trade and aid to development, with a view to improving integration of the ACP countries into the world economy. The regional economic partnership agreements will establish free-trade areas between the European

Union and the ACP regional blocs and provide preferential access to the EC market. It will promote regional integration and further prospects for a regional food security dynamic.

Non-ACP regions are the subject of specific partnership agreements with the European Commission.

### **3.3.5.3. MEDA I (Council Regulation 1488/96) and II (Council Regulation 2698/2000)**

The Regulation concerns the EC cooperation rules with the Mediterranean countries (except EU countries and CARD countries but with Turkey). Food security issues are considered, mostly through the fight against poverty, rural development and environmental cooperation. Meda II insists of paying attention to the decision taken in UN summits, such as FAO summit in 1996.

The purpose of this Regulation is to contribute to initiatives of joint interest in the three sectors of the Euro-Mediterranean partnership: the reinforcement of political stability and of democracy, the creation of a Euro-Mediterranean free-trade area, and the development of economic and **social cooperation**, taking due account of the human and cultural dimension. These support measures shall be implemented taking account of the objective of achieving long-term stability and prosperity, in particular in the fields of economic transition, **sustainable economic and social development** and regional and cross-border cooperation (Article 2). The objectives and details of the relevant procedures related to the support for achieving a better socioeconomic balance shall include in particular (Annex II):

- the **participation of civil society** and populations in the planning and implementation of development measures,
- the improvement of social services, especially in the areas of health, family planning, **water supplies**, sanitation and housing,
- **the fight against poverty**
- **harmonious and integrated rural development** and the improvement of urban living conditions,
- reinforced cooperation concerning fisheries and the sustainable exploitation of marine resources,
- reinforced **environmental cooperation**,
- upgrading of economic infrastructures, particularly in the sectors of transport, energy, **rural development**, information technology and telecommunications,

#### ***A main change in the Annex II of MEDA II***

The promotion of wide and equitable sharing of the fruit of growth should pay a particular attention to the objectives and targets agreed at UN summits concerning the fight against poverty, and its incorporation into the development targets.

### **3.3.5.4. TACIS (Council Regulation 99/2000 of 29 December 1999)**

This Regulation concerns the EC cooperation rules with the CIS (Commonwealth of Independent States) and Mongolia. The food security aspects are considered through the environment protection and the sustainable use of natural resources. The regulation makes a particular attention on the rural economy, for the improvement of distribution and access to markets. It mentions (Article 2, point 3) that a particular attention shall be paid to the need to promote the **sustainable use of natural resources**.

The Regulation insists (Annex II) on:

- the promotion of **environmental protection** and management of natural resources
- the development of **the rural economy**, through the improvement of **distribution and access to markets**

TACIS is financing technical assistance and the FSBL is focusing on budgetary support.

### 3.3.5.5. ALA (Council Regulation 443/92)

This Regulation concerns the overall cooperation rules with the Latin American and Asian countries (except Japan). It gives a specific attention to food aid and food security issues. The financial and technical assistance shall be targeted primarily on the **poorest sections of the population** and the poorest countries of the 2 regions, through the implementation of programs and projects in whatever sectors Community is likely to play an important role. (Article 4). The financial and technical assistance shall also give **priority to develop the rural sector and improve the level of food security**. In this regard, integrating food aid into other development instruments may help this form of aid to fulfill its specific role and objectives (Article 5). Furthermore, consideration shall be given in all operations to **protect the environment and natural resources**.

The new ALA Regulation is still under preparation by the European Commission Services. The latest document proposal mentions that **sustainable development** is an area of EC intervention (Article 2). The support rehabilitation, reconstruction and aid to uprooted people should be implemented with a particular attention to the **transition between emergency and development**. (Article 2, point f).

### 3.3.5.6. CARDS (Council Regulation 2666/2000)

The Regulation concerns the EC cooperation rules with the EU pre-accession countries. The food security aspects can be considered through poverty reduction and environment. The Community assistance should *inter alia* be for social development, with particular reference to **poverty reduction**, gender equality, education, teaching and training, and **environmental rehabilitation** ( Article 2, d).

### 3.3.5.7. Conclusions

All EC cooperation instruments have an approach on food security that is mostly related to poverty reduction. These budget lines take an approach to food security via broader programs such as public health, education, rural development, sustainable use of natural resources and environmental protection. The concern of these programs is also related to reduce the risks of food security crises. Meanwhile the Regulation 1292/96 contains various specific instruments that can be used according to the situation of the recipient country. Given this variety of instruments dealing with food aid and food security, the core issue is to analyse the added value of each instrument and its specific role for achieving food security.

The next Chapter presents a methodology for linking these various instruments to each other (impact diagram) and focuses on most important issues that have to be clarified in the second phase of this evaluation (evaluative questions).

## 4. THE INTERVENTION LOGIC OF EC FOOD AID AND FOOD SECURITY STRATEGY

### 4.1. Elaboration of the impact diagram

The impact diagram presents a stylized overview of EC objectives and intended impacts, outcomes, outputs and actions in relation to food aid and food security operations. It details the intervention logic in the given sector, as it was perceived by the evaluators based on the strategic components of the EC food aid and food security approach as laid out in the most relevant official policy documents of the Commission.

The impact diagram presented below was elaborated in two steps:

In a first step, the diagram has been built referring to the two most important documents for this evaluation:

- The Council Regulation (EC) 1292/96 of 27<sup>th</sup> of June 1996 on food aid policy and food aid management and special operations in support of Food Security
- The Communication from the Commission to the European Parliament and the Council: Evaluation and future orientation of Council Regulation (EC) No. 1292/96 on food aid policy and food aid management and special operations in support of Food Security [COM (2001) 473 final/2].

In a second step, the diagram has been completed referring to following documents, whose importance has been stressed by the Steering Committee members:

- The Special Report N°2/2003 from the Court of Auditors on the Implementation of the Food Security Policy in developing countries financed by the general budget of the European Union;
- The Commission's replies to the Special report n° 2/2003 from the Court of Auditors;
- The Draft Council Conclusions on the Special report n° 2/2003 from the Court of Auditors;
- The conclusions of the 2000 Evaluation of EC Food Aid, Food Security Policy, Food Aid Management and Programmes in support of Food Security, Regulation No 1292/96.

The results of discussions held with officials from various units in the Commission services have been also integrated into this diagram. This led to a focus on:

- The various instruments playing a role in food security. Apart from the regulation N°1292/96, the other geographical instruments and budget lines should be also analysed. The added value of the regulations compared to the others instruments should be assessed.
- The various operations / components of the regulation. The regulation is composed of four components with specific programming and implementing modalities. Each of these components should be analysed.
- The various issues that are influencing FA and FS policies and actions (now and in the future). In order to ensure the relevance of recommendations, actual changes and trends (such as the deconcentration process, the focus on budgetary support, the new financing regulation, the LRRD process) and especially their impact on FA and FS policies and actions should be integrated into the analysis.

It is important to keep in mind that the impact diagram is a representation of EC strategy, based on official documents. The elements listed in the diagram are issued from official documents; the role of the evaluators was to structure the various elements and to bring them in one diagram.

The table in annex 01 presents the various issues mentioned in the impact diagram, the referring original text of the official documents and the place where it can be found in the document.

#### 4.2. Presentation of the impact diagram

The diagram presented here is a simplified version of the diagram presented at the SG meeting on November the 3<sup>rd</sup>. All the linkages between the different elements of the various columns have been deleted to make the diagram more readable. It is therefore no more possible to analyse the cause-effect chains between specific actions, outputs and outcomes.

Because the majority of actions can be financed by several of the components of the FA-FS regulation and by other instruments, presenting all linkages in the diagram is confusing.

The impact diagram is composed of various columns:

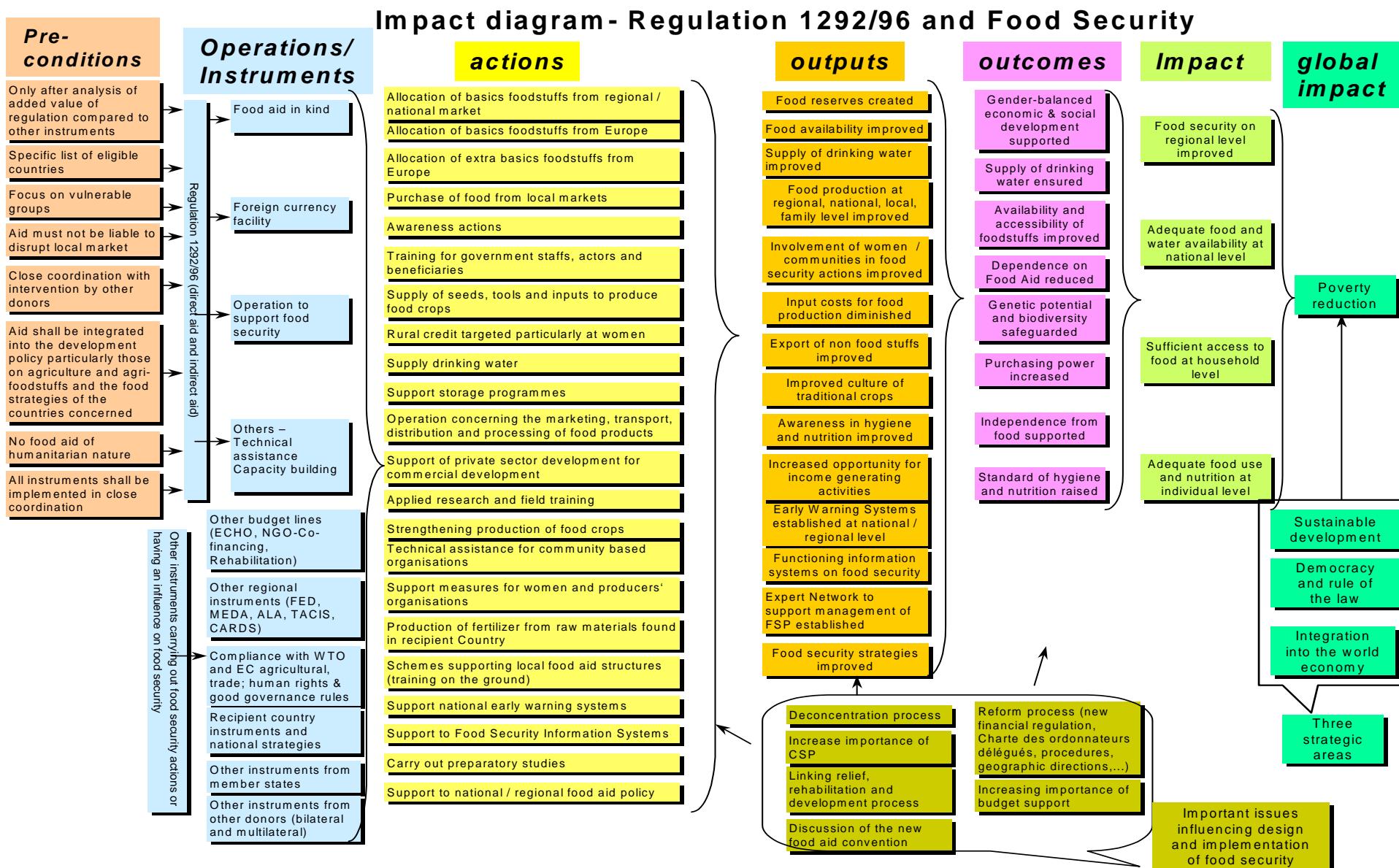
- The first column presents the pre-conditions of the regulation 1292/96. This column focuses on the most important conditions that should be fulfilled before using the aid instruments of the regulations (see Chapter 1, art 1 and 2). These conditions are important for the analysis as they provide information on the specificity of the regulation compared to the other instruments dealing with FA and FS. Coordination and complementarity between the regulation and the other instruments is already a major condition.
- The second column of the impact diagram presents a list of the various instruments dealing with FA-FS. Above, the various operations or components of the regulation are listed. These components (food aid, Foreign currency, operation to support food security and other) have been presented in the previous chapter (see Chap. 3.3.3). At the bottom, the other instruments dealing with FA and FS are listed: other geographical instruments (MEDA, FED, ALA, CARDS and TACIS); other budget lines (ECHO, Rehabilitation, NGO Cofinancing). Apart from these instruments, other instruments from member states or from other donors (USAID) are also listed, but will not be analysed as the analysis will focus on EC strategy (these issues will be tackled by analysing the coordination between donors). Two major observations can be made based on this column: first, there are various components / operations within the regulation, that are supporting similar types of actions. There is a need to analyse the specificity of each component. Second, there are several instruments that are dealing with FA and FS apart from the regulation. This stresses the need to analyse the coherence between the regulation and these instruments and to assess the added value of the regulation in the EC FA and FS strategy.
- The third column presents the various actions that can be financed by the regulation 1292/96 (as well as by other instruments). These actions are issued from the regulation (Chapter 1 art 2 to 8). It is important to keep in mind that many actions can be financed by various instruments and also lead to many outputs.
- The fourth column presents the various outputs of EC interventions, as mentioned in the regulation 1292/96 and the COM 473 and derived from the outputs.
- The Fifth and Sixth columns present the major outcomes (short-term and mid-term outcomes) derived from the outputs and based on the regulation (chap 1, Art 1) as well as on the European Commission's vision and approach of food security<sup>20</sup>.
- Outputs and outcomes are important as they will be used to assess the effectiveness of programmes or projects, as well as operational impacts.
- The Seventh column presents the overall Objective of EC intervention, focussing on poverty reduction (as the central objective of EC development cooperation) that will

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<sup>20</sup> Fighting Hunger: Food security at the heart of poverty reduction. The European Commission's vision and approach; September 2001

be reached by the achievement of outcomes, as well as by the achievement from the three strategic areas deriving from the Treaty of the European Union (sustainable development; integration into the world economy; democracy, human rights, rule of law, peace making and conflict prevention).

- Finally, at the bottom of the diagram on the right side, there are a set of important issues influencing the overall management of FA and FS programmes (programming, Identification, appraisal, financing, implementation and evaluation). These issues cover the deconcentration process, the focus put on the link between Relief, rehabilitation and development, the discussion of the new aid convention, the increasing importance of budgetary support, and the new financial regulation). These issues will not be analysed in details, but the influence that these processes have on FA and FS programmes will be assessed, so as to ensure the relevance of our recommendations.



## 5. EVALUATION QUESTIONS, JUDGEMENT CRITERIA AND ASSOCIATED INDICATORS

### 5.1. Link between impact diagram and evaluative questions

The set of evaluation questions were drafted on the basis of the impact diagram presented above.

Three sets of evaluation questions (EQ) were drafted:

- A first set of questions is analysing the strategy and policy level of food aid and food security. These questions are addressing the issue of coherence, coordination and complementarity of the various operations and instruments dealing with food security (link between first and second column of the impact diagram, as well as linkages between the regulation and the other instruments within the second column):
  - EQ 1 is dealing with the coherence at the policy level between the regulations and the other geographical instruments or budget lines dealing with food aid and food security. Other regional instruments are : FED, ALA, MEDA, TACIS, CARDS. Within the others budget lines dealing with food security; the most important are ECHO, the budget lines on rehabilitation and the NGO-Cofinancing budget line.
  - EQ 2 is dealing with the coherence of EC strategy at national level, i.e. at the linkages between the regulation, the other instruments and the EC national strategy (Country Strategy Papers).
  - EQ 3 is dealing with the linkages between EC strategy and national strategy, based on the Poverty Reduction Strategy Paper, or on national priorities. This EQ will analyse coordination mechanisms between EC and government, as well as with other donors.
- A second set of questions is focusing on the added value of the various operations / components of the regulations compared to the other instruments and budget lines (see part regulation in the second column of the impact diagram). Each instrument should be analysed independently from the others. The reason for this specific analysis is that the various components
  - have specific eligibility criteria to be used
  - are very different from each other (there is for example specific criticism on food aid in kind which is not relevant at all for the other instruments)
  - despite their differences can also finance similar activities.
  - EQ 4 is dealing with the added value of “food aid”, EQ5 with the added value of “currency facility”, EQ6 with the added value of “operation to support food security”; and EQ7 with the added value of the component “other/capacity building”. For more information on the various components, please refer to chapter 2.2.4.
- A third set of questions is dealing with the analysis of FA/FS strategies and actions within the different phases of the Project Cycle Management:
  - EQ8 is focussing on the first phases of the PCM: from programming to financing. It is covering the identification of priorities for the relevant FA-FS units, the selection of countries, the targeting of beneficiaries / vulnerable groups, the funding instruments, the identification and appraisal process, the multi-annual programming,...
  - EQ9 is focussing on the last phases of the PCM, from implementation to evaluation. It includes implementation set-ups, M&E systems, division of work and responsibilities, coordination of actions,...

- EQ10 is dealing with the phasing out of the FA-FS budget line, i.e. the exit of the project cycle.
- A fourth set of questions is focussing on specific issues mentioned in the COM 473:
  - EQ11 is dealing with the impact and the sustainability of FA-FS programmes. The impact assessment of the regulation is important because it couldn't be analysed during the evaluation carried out in 2000.
  - EQ 12 is dealing with the role of the regulation in the context of the discussion on the link between Relief, rehabilitation and development).

In addition to these evaluative questions, the quality criteria will be also assessed (relevance, effectiveness, efficiency, impact and sustainability).

Together, the analyses should give an answer to the question on the need to maintain a stand-alone regulation or the necessity to merge the regulation with existing instruments. In any cases, the recommendation will be issued from main conclusions and will take into consideration the impact of a change of the institutional set up on the other instrument (absorption capacity of taking over the tasks from the regulations).

## 5.2. Presentation of the evaluative questions

EQ1: What is the level of coherence between the food security policies, strategies and objectives of Regulation No.1292/96 and those from other geographical instruments (EDF, ALA, MEDA, TACIS, CARDs) and budget lines (ECHO, Rehabilitation, NGO Cofinancing)?

EQ2: What is the level of integration of the food security policy within the Commission's development strategy with the partner country concerned as laid down in the Country Strategy Paper (CSP)?

EQ3: What is the level of coherence between EC food aid and food security policy and national strategies of beneficiary countries, especially the PRSP?

EQ4: What is the added value of food aid (in kind) for achieving the overall food security objectives set in the regulation?

EQ5: What is the added value of the currency facility (budgetary support) for achieving the overall food security objectives set in the regulation?

EQ6: What is the added value of the operations to support food security for achieving the overall food security objectives set in the regulation?

EQ7: What is the added value of the other / Technical assistance and capacity building component for achieving the overall food security objectives set in the regulation?

EQ8: To what extent has the design of supported actions (phasing in) facilitated progress towards the achievement of food aid and food security objectives? This includes the identification of priorities, the selection of countries, the targeting of beneficiaries / vulnerable groups, the funding operations - components, the identification and appraisal process, the multi-annual programming, etc.?

EQ9: To what extent have implementation set-ups (i.e. suitable structures for planning, implementation, monitoring and evaluation), management mechanisms / tools and processes (i.e. division of work and responsibilities, coordination of actions) facilitated the achievement of food aid and food security objectives?

EQ10: To what extent has a phasing out of the supported actions been planned and what contribution did it have on the achievement of food aid and food security objectives?

EQ11: How sustainable are the effects and impacts of EC-supported policies and programmes in the field of food security, both at the level of target populations and at institutional and policy level in the partner countries?

EQ12: What is the role of Regulation No.1292/96 in the on-going efforts to bridge the gap between relief, rehabilitation and development?

### 5.3. Presentation of the judgement criteria and associated indicators

EQ1: What is the level of coherence between the food security policies, strategies and objectives of Regulation No.1292/96 and those from other geographical instruments (EDF, ALA, MEDA, TACIS, CARDs) and budget lines (ECHO, Rehabilitation, NGO Cofinancing)?

Judgment criteria	Indicators	Data collection / methods
<p>Coherence of the overall objectives of the various instruments</p> <p>Agreement on a definition of food aid and food security concept</p> <p>Clear division of role between the various instruments</p> <p>Complementarities of the various instruments</p> <p>Coordination of the various DG/Units responsible for the implementation of the various instruments</p>	<p>Similar overall objectives</p> <p>Similar definition of FA-FS concept</p> <p>Pre conditions and specific modalities for the use of each instrument as regard food security</p> <p>Quality of cross-references in official documents</p> <p>Quality of proposed co-operation and co-ordination mechanisms between different instruments</p>	<p>Esp. Desk phase</p> <p>Document analysis of various instruments (CSP, Questionnaires to delegations (sample)</p> <p>Interviews with key actors at EC and country level</p>

EQ2: What is the level of integration of the food security policy within the Commission's development strategy with the partner country concerned as laid down in the Country Strategy Paper (CSP)?

Judgment criteria	Indicators	Data collection / methods
<p>Coherence of the overall objectives of the food security policy and the CSP</p> <p>Importance of FA-FS issue in CSP<sup>21</sup>.</p> <p>Clear definition of the role of the regulation within CSP</p> <p>Complementarities of the various EC instruments within CSP</p> <p>Coordination of EC interventions</p>	<p>Similar overall objectives</p> <p>Quality of cross-references in CSP with regard to FA and FS</p> <p>Pre-conditions and specific modalities for the use of the regulation and the other instruments and budget lines as regard to FA and FS</p> <p>Quality of proposed and operational co-operation and co-ordination of EC interventions</p> <p>Coordination mechanisms of EC interventions (selection of intervention area, integration of interventions in global programming, monitoring system for implementation, follow-up meeting)</p>	<p>Esp. completion phase</p> <p>Document analysis of CSPs / Indicative programmes (sample – field visits)</p> <p>Questionnaires to delegations (sample)</p> <p>Analysis of relevant projects in the visited countries</p> <p>Interviews with key actors at EC and country level</p>

<sup>21</sup> The valuation of the answer should be carefully analysed as it could have different meanings.

EQ3: What is the coherence between EC food aid and food security policy and national strategies of beneficiary countries, especially the PRSP?

Judgment criteria	Indicators	Data collection / methods
<p>Coherence of the overall objectives of CSP and PRSP or national strategies</p> <p>Importance of FA-FS issue in PRSP or national strategies<sup>22</sup></p> <p>Clear definition of the role of EC within PRSP or national strategies<sup>23</sup></p> <p>Rationale of EC intervention<sup>24</sup></p> <p>Coordination mechanisms of donors and government interventions</p>	<p>Similar overall objectives</p> <p>Quality of cross-references in PRSP and national strategies with regard to FA and FS</p> <p>Specific domain of EC interventions as regard to FA and FS</p> <p>Quality of proposed and operational co-operation and co-ordination of donor interventions</p>	<p>Esp. completion phase</p> <p>Document analysis of PRSP and national strategies (field visits)</p> <p>Questionnaires to delegations (sample)</p> <p>Interviews with key actors at EC and country level</p>

EQ4: What is the added value of Food Aid in kind (FA) for achieving the overall food security objectives set in the regulation?

Judgment criteria	Indicators	Data collection / methods
<p>Relevance of FA strategies and actions</p> <p>Effectiveness of FA strategies and actions</p> <p>Efficiency of FA strategies and actions<sup>25</sup></p> <p>Impact of FA strategies and actions<sup>26</sup></p> <p>Sustainability of FA strategies and actions</p> <p>Comparison with other instruments dealing with FA</p> <p>Coordination of the various types of operation (within the Regulation) and other instruments dealing with FA</p> <p>Quality of beneficiary targeting</p>	<p>Pre-conditions for the use of FA</p> <p>Modalities of implementing programmes</p> <p>Degree of achievement of objectives</p> <p>Cost-benefit ratio of FA</p> <p>Flexibility and rapidity of FA to respond to needs</p> <p>Degree of satisfaction of partners and beneficiaries (for example as regard to the appraisal process of food needs, the type of delivered food, the timeliness of the delivery,...)</p> <p>Degree of ownership of FA actions</p> <p>Similar indicators as above for the other relevant instruments (ECHO)</p> <p>Quality of operational co-operation and co-ordination mechanisms between different instruments (including the various types of operations within the Regulation)</p>	<p>Desk phase and completion phase</p> <p>Document analysis of various instruments</p> <p>Evaluation and project reports</p> <p>Questionnaires to delegations (sample)</p> <p>Analysis of relevant projects in the visited countries</p> <p>Interviews with key actors at EC and country level</p>

<sup>22</sup> It is a sensitive issue. What should EC do if a country is experiencing food insecurity and no mention is made on food security in the PRSP or in national strategies?

<sup>23</sup> Here again, the answer should be analysed carefully. As the PRSP is a national document, a strong implication of donors in this process could be a sign for a lack of governmental capacity.

<sup>24</sup> This issue is dealing with the reasons of EC interventions, It covers the case in which there is no coherence between CSP and national strategies, but there is a necessity for an intervention.

<sup>25</sup> - By analysing the purchase of food from local market, an attention should be put on which type of organisation has been involved (focus on small size organisations).

<sup>26</sup> For example long term impact on local production

EQ5: What is the added value of the currency facility-CF / Budgetary Support-BS for achieving the overall food security objectives set in the regulation?<sup>27</sup>

Judgment criteria	Indicators	Data collection / methods
Relevance of CF-BS strategies and actions <sup>28</sup> Effectiveness of CF-BS strategies and actions Efficiency of CF-BS strategies and actions Impact of CF-BS strategies and actions Sustainability of CF-BS strategies and actions Comparison with other types of operation (within the Regulation) and other instruments dealing with BS Coordination of the various instruments dealing with BS Coherence between CF and the new financial regulation and EC guideline on budgetary support <sup>29</sup>	Pre-conditions of using CF-BS Modalities of implementing programmes Degree of achievement of objectives Cost-benefit ratio of CF-BS Flexibility and rapidity of CF-BS to adapt to new context Progress made in supported sectors Degree of satisfaction of partners and beneficiaries (for example as regard to the pre-conditions of using CF, the implementing modalities,...) Degree of ownership of CF-BS actions Similar indicators as above for the other relevant instruments (geographical instruments) Quality of operational co-operation and co-ordination mechanisms between different instruments	Desk phase and completion phase Document analysis of various instruments Evaluation and project reports Document analysis of CSPs / Indicative programmes (sample – field visits) Questionnaires to delegations (sample) Analysis of relevant projects in the visited countries Interviews with key actors at EC and country level

EQ6: What is the added value of the operations to support food security (FS) for achieving the overall food security objectives set in the regulation?

Judgment criteria	Indicators	Data collection / methods
Relevance of FS strategies and actions Effectiveness of FS strategies and actions Efficiency of FS strategies and actions Impact of FS strategies and actions Sustainability of FS strategies and actions Comparison with other types of operation (within the Regulation) and other instruments dealing with FS Coordination of the various instruments dealing with FS	Pre-conditions of using FS (including sub-components of FS such as project aid, NGO call for proposal, support to international organizations,...) Modalities of implementing programmes Degree of achievement of objectives Cost-benefit ratio of FS Flexibility and rapidity of FS to respond to needs and adapt to new context Degree of satisfaction of partners and beneficiaries (for example as regard to their implication in the selection process, the implementing modalities, the timeliness of financing,...) Degree of ownership of FS actions Similar indicators as above for the other relevant instruments (geographical instruments and other budget lines such as NGO cofinancing, rehabilitation) Quality of operational co-operation and co-ordination mechanisms between different instruments	Desk phase and completion phase Document analysis of various instruments Evaluation and project reports Document analysis of CSPs / Indicative programmes (sample – field visits) Questionnaires to delegations (sample) Analysis of relevant projects in the visited countries Interviews with key actors at EC and country level

<sup>27</sup> Within this question, analysis will be made on the new financial Regulation, the recent guidelines on Budget support as well as on the conditionalities on policy reform, which are normally attached to BS.

<sup>28</sup> One of the issues could be to analyse if CF is responding to the needs of the recipient countries.

<sup>29</sup> Some information can be found in the report of the Nairobi meeting.

EQ7: What is the added value of the “other / Technical assistance and capacity building” component for achieving the overall food security objectives set in the regulation?

Judgment criteria	Indicators	Data collection / methods
Relevance of “other’s component” strategies and actions	Pre-conditions of using the “other’s component”	Desk phase and completion phase
Effectiveness of “other’s component” strategies and actions	Modalities of implementing programmes	Data base
Efficiency of “other’s component” strategies and actions	Degree of achievement of objectives Cost-benefit ratio of “other’s component” Flexibility and rapidity of “other’s component” to respond to needs	Document analysis of various instruments Evaluation and project reports
Impact of “other’s component” strategies and actions	Specific ToRs for technical assistance	Document analysis of CSPs / Indicative programmes (sample – field visits)
Sustainability of “other’s component” strategies and actions	Degree of satisfaction of partners and beneficiaries (for example as regard to the input of the technical assistance, the methodology use to empower the partners, the relevance and quality of CB actions,...) <sup>30</sup>	Questionnaires to delegations (sample)
Comparison with other types of operation (within the Regulation) and other instruments dealing with “other’s component”	Degree of “ownership” of “other’s component” actions	Analysis of relevant projects in the visited countries
Coordination of the various instruments dealing with “other’s component”	Similar indicators as above for the other relevant instruments (geographical instruments and budget line such as ECHO)	Interviews with key actors at EC and country level
Empowerment role of technical assistance	Quality of operational co-operation and co-ordination mechanisms between different instruments	

<sup>30</sup> By analysing actors and partners’ satisfaction with technical assistance, the reasons should be discussed in detail, referring to the ToR of the technical assistance.

EQ8: To what extent has the design of supported actions (phasing in) facilitated progress towards the achievement of food aid and food security objectives? This includes the identification of priorities, the selection of countries, the targeting of beneficiaries / vulnerable groups, the funding operations - components, the identification and appraisal process, the multi-annual programming, etc.?

Judgment criteria	Indicators	Data collection / methods
<p>Quality of the overall programming of resources (identification of priority countries, eligibility criteria, focus on specific target groups...)</p> <p>Quality of the country level of programming (link to CSP and PRSP, actors participation in programming)</p> <p>Quality of the programme approval process</p> <p>Relevance of EC actions vis à vis beneficiaries needs</p> <p>Selection of adapted FA-FS component / channeling (added value of each component compared to the others)</p> <p>Clear division of responsibilities in the various PCM phases (programming to Financing)</p> <p>Integration of cross cutting issues in programme / project design</p>	<p>Criteria for the selection of priorities, countries and FA-FS component</p> <p>Characteristics of beneficiaries / groups (total number of various groups; areas to be covered,...)</p> <p>Phasing in strategies prior to interventions</p> <p>Coordination mechanisms to programme resources and plan activities</p> <p>Decision flow chart between various relevant units and institutions (FA-FS committee)</p> <p>Flexibility and rapidity of FS budget line to respond to needs</p> <p>Quality of need assessment analysis</p> <p>Number of meetings and seminars with various types of actors</p> <p>Use of specific checklist by programme design (gender oriented criteria)</p>	<p>Document analysis of project proposals</p> <p>Questionnaires to delegations</p> <p>Analysis of relevant projects in the visited countries</p> <p>Interviews with key actors at EC and country level; People to be interviewed should include responsible staff in the Delegation, in the Government (Ministry of Finance, key line Ministries), and leading civil society organisations dealing with FA-FS as well as beneficiaries.</p>

EQ9: To what extent have implementation set-ups (i.e. suitable structures for planning, implementation, monitoring and evaluation), management mechanisms / tools and processes (i.e. division of work and responsibilities, coordination of actions) facilitated the achievement of food aid and food security objectives?

Judgment criteria	Indicators	Data collection / methods
<p>Complementarity with other programmes</p> <p>Clear division of responsibilities in the various PCM phases (implementation and evaluation)</p> <p>Empowerment role of technical assistance</p> <p>Adapted procedures for programme management (In time delivery mechanisms)</p> <p>Adequate resources for programme (EC level) and project (country level) management</p> <p>Adequate monitoring and impact assessment system (Early warning systems and information systems, food security assessments, coordination mechanisms, impact assessment)</p> <p>Actor's participation in programme management</p> <p>Integration of cross cutting issues in programme / project implementation</p>	<p>References on other existing programmes and strategy of coordination</p> <p>Decision flow chart between various relevant units and institutions (FA-FS committee)</p> <p>Specific ToRs for technical assistance</p> <p>Procedures and monitoring systems</p> <p>Staffing for programme and project management</p> <p>Decentralized project selection process</p> <p>Small differences between planned and realized</p> <p>Quality of monitoring sheet and system</p> <p>Cost-benefit ratio</p> <p>Characteristics of beneficiaries / groups (total number of various groups; areas covered,...)</p> <p>Capacity to integrate on going discussion in project implementation</p> <p>List of evaluations carried out</p> <p>List of recommendations taken into account</p> <p>Existing mechanisms to analyze and adapt project implementation</p> <p>Use of specific checklist by programme implementation (gender oriented criteria)</p> <p>Presence of men and women in the management team and / or belonging to various groups (ethnic groups, minorities,...)</p>	<p>Document analysis of project proposals</p> <p>Data base</p> <p>Questionnaires to delegations</p> <p>Analysis of relevant projects in the visited countries</p> <p>Interviews with key actors at EC and country level; People to be interviewed should include responsible staff in the Delegation, in the Government (Ministry of Finance, key line Ministries), and leading civil society organisations dealing with FA-FS as well as beneficiaries.</p>

EQ10: To what extent has a phasing out of the supported actions been planned and what contribution did it have on the achievement of food aid and food security objectives?<sup>31</sup>

Judgment criteria	Indicators	Data collection / methods
<p>Presence of a clear strategy to gradually reduce dependence on EC assistance and its effectiveness</p> <p>Empowerment strategies of partners – actors (Capacity building)</p> <p>Adequate procedures for smooth transition</p>	<p>Strategy document for phasing out Training schemes Flexibility of procedures Impact assessment Degree of satisfaction of partners, actors and beneficiaries</p>	<p>Esp. completion phase Analysis of documents Questionnaires to delegations Analysis of all projects in the visited countries Interviews with key actors at EC and country level and a sample of beneficiaries</p>

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<sup>31</sup> This question is mainly focusing on countries, which are not in a crisis situation. The analysis should be adapted to such country (for example no strategy document for phasing out at the beginning but position paper to link relief and development).

EQ11: How sustainable are the effects and impacts of EC-supported policies and programmes in the field of food security, both at the level of target populations and at institutional and policy level in the partner countries?

Judgment criteria	Indicators	Data collection / methods
<p>Presence of a clear strategy to gradually reduce dependence on EC assistance and its effectiveness</p> <p>Ability of Government (and non-government) institutions to elaborate strategies and implement programmes as well as to continue to pursue programme objectives in all areas after EC assistance ceases</p> <p>Ability of service providers to continue provision of services in the long term</p> <p>Ability of beneficiaries to continue accessing the benefits of the EC-supported project after the EC grant has ended.</p> <p>Ability of women and men of different ages, ability, ethnicity, income and religion to have equal access to the benefits of the EC projects</p> <p>Ability of EC delegation to manage programmes as well as to insure coherence between EC different instruments</p> <p>Ability of EC headquarter to define strategies as well as to insure coherence between EC strategy and international food security strategy</p>	<p>Strategy document to insure financial sustainability and access to services</p> <p>Financial balance of costs and resources</p> <p>How were the costs of the service covered once EC funding ended?</p> <p>Government / other donor agencies have a long term financing plan in place</p> <p>Food security data and analyses available at the appropriate time to policy and decision makers</p> <p>Adoption of a national food security policy</p> <p>Staff adequately skilled at different levels to provide relevant services on key areas, staff maintained and/or increased when required, and skills updating mechanisms in place</p> <p>Number of EC delegation staff working on FA-FS</p> <p>Linkages between various instruments</p> <p>Number of EC headquarter staff working on FA-FS</p> <p>Number of budget lines referring to FA-FS</p> <p>Linkages between various units working on FA-FS</p> <p>Ability of geographical instrument to finance the TA actually financed by the FA-FS budget line</p>	<p>Esp. completion phase</p> <p>Analysis of documents</p> <p>Questionnaires to delegations</p> <p>Analysis of all projects in the visited countries</p> <p>Interviews with key actors at EC and country level and a sample of beneficiaries</p>

EQ12: What is the role of Regulation No.1292/96 in the on-going efforts to bridge the gap between relief, rehabilitation and development?

Judgment criteria	Indicators	Data collection / methods
<p>Agreement on a definition of LRRD process<sup>32</sup></p> <p>Clear division of role between the various instruments involved in this process</p> <p>Complementarities of the various instruments relevant for this process</p> <p>Added value of the regulation to fulfill its role<sup>33</sup></p> <p>Coordination of the various instruments</p>	<p>Similar definition of LRRD process</p> <p>Specific modalities for the use of each instrument as regard to LRRD</p> <p>Comparative analysis of official documents</p> <p>Quality of proposed co-operation and co-ordination mechanisms between different instruments</p>	<p>Esp. Desk phase</p> <p>Document analysis of various instruments</p> <p>Evaluation reports</p> <p>Questionnaires to delegations (sample)</p> <p>Interviews with key actors at EC and country level</p>

<sup>32</sup> For more information on LRRD, refer to the FS deconcentration guideline.

<sup>33</sup> For example, capacity of budget line to respond quickly to a food crisis, flexible programming to adapt planning in case of an unforeseen crisis,..)

## 6. QUANTITATIVE ANALYSIS OF RESOURCE COMMITMENTS AND PAYMENTS FOR FOOD AID AND OPERATIONS IN SUPPORT OF FOOD SECURITY

### 6.1. Objective of the statistical analysis

As part of the structuring phase of this evaluation, the team of evaluators compiled an overview of resource commitments and payments made to finance food aid operations as well as operations in support of food security. The purpose of this analysis was

- to inform the selection of countries for the field phase, in particular in view of the preparation of the field visits
- to assess the relative importance of food aid in comparison to operations in support of food security, also with respect to potential trends over time in the allocation of resources to these two broad areas of involvement

### 6.2. Methodology

#### 6.2.1. Data demands for quantitative analysis

As part of the quantitative analysis, the evaluators were aiming at compiling the following data:

- data on financial commitments under the Food Aid / Food Security Budget Line (B7-20) for the time period 1997 - 2002, disaggregated by recipient country, programme year<sup>34</sup>, and type of support (food aid vs. food security)
- data on actual payments under the Food Aid / Food Security Budget Line (B7-20) for the time period 1997 - 2002, again disaggregated by recipient country, programme year and budget year and type of support (food aid vs. food security).

By examining commitments and payments, the evaluators were aiming at determining the speed of the actual disbursement of the funds, i.e. the time-lag between the date of commitment creation and the actual disbursement of the resources. This kind of country-specific data for food aid and food security support can help to compare the speed of disbursement between countries and between the two broad types of support (food aid vs. food security).

#### 6.2.2. Choosing the source for budget figures

The evaluators consulted the following sources of information for data on commitments and expenditures for food aid and food security operations in the time period from 1997 - 2002:

- **AIDCO's & DG Dev's annual statistical reports** "Programme Communautaire de Sécurité Alimentaire et d'Aide Alimentaire en Chiffres"<sup>35</sup>:
- Aidco's **management information system / database CRIS Saisie**
- the **Court of Auditors report (2003)** on the implementation of Budgetline B7-20.

As explained in section 6.2.1, the analysis envisioned for this report required commitment and payment data that were disaggregated by country, programme and budget year and type of support for each year between 1997 and 2002. In acquiring these data, the evaluators faced the following limitations:

- **AIDCO's & DG Dev's annual statistical reports "Programme Communautaire de Sécurité Alimentaire et d'Aide Alimentaire en Chiffres"**: Statistical reports for all 6

<sup>34</sup> i.e. the year in which the commitment was created.

<sup>35</sup> For the years 1997 - 1999, these reports were published by DG Dev. After the creation of AIDCO in 2003, they were published directly by AIDCO / the Food Security Unit (i.e. for the years 2000 - 2002).

years were available with the Food Security Unit that contained data on total resource allocations (commitments) per country. However, the reports provided information on differing levels of detail: Whereas the most detailed one (figures for 1998) provided data disaggregated in various ways (e.g. direct aid and indirect aid by country, delivery channel (WFP, EuronAid, etc.), the more recent ones displayed the data in a more aggregated ways (total commitment by country without any further disaggregation), which limited the possibility to compare the distribution of food aid vs. food security commitments over the years for the purpose of this evaluation. The statistical reports were mostly used to obtain regionally disaggregated data on resource commitments.<sup>36</sup>

- **The Court of Auditors report (2003) on the implementation of Budget line B7-20:** The report contains detailed (per country and programme year) data on cumulative payments for operations in support of food security and food aid. It also contains global commitments for the different programme years, distinguishing commitments towards food aid and commitments towards operations in support of food security. However, the report does not contain any country-level commitments, that would have allowed drawing conclusions on the regional distribution of resource commitments, and changes therein over the years<sup>37</sup>. Additionally, the (payment) figures in the Court of Auditors report are only accurate as of 31.12.2001 and therefore do not contain any payment figures for the last two years. Considering the usual time-lag in the disbursement of funds, this would lead to an under-representation of the payments made for the more recent programme years.
- **AIDCO's new database CRIS Saisie:** This newly established database<sup>38</sup> provides access to information from two different sources:
  - *Data on AIDCO activities that have been entered by AIDCO staff on local systems (within Aidco), to be accessed through the decision/contract/invoice modules of CRIS Saisie:* As the use of CRIS Saisie is compulsory for AIDCO staff since the beginning of 2003, the database contains complete data for that year and the following year (2004). For the previous years, in particular the years 1997 - 2002, data were transferred from the previous AIDCO database CRIS Consultation<sup>39</sup> during the installation of the new system. However, not all data for the time period under consideration (1997-2002) were transferred (i.e. for ALA, MEDA, etc. only those projects were transferred for which at least one transaction was done in 2002 (except closure transaction)<sup>40</sup>: For this reason, data from the local systems (generated within Aidco) could not be used for the current analysis.
  - *Data on Commission activities (commitments and payments) from the EC accounting system Sincom 2.* This information can be accessed through the budget module of CRIS Saisie. In principle, the accounting data from Sincom contain specific enough information on the distribution of commitments and payments by country, region, type (food aid vs. food security) and programme year. In order to crosscheck the accuracy of the data, the evaluators

<sup>36</sup> The reports did not contain any figures on cumulative payments.

<sup>37</sup> Only looking at cumulative payments when determining the regional focus of EC aid potentially distorts the overall picture, as some regions might dispense committed resources more quickly than others. These would show a higher share of cumulative payments than other, "slower" regions.

<sup>38</sup> established in 2002.

<sup>39</sup> CRIS Consultation in turn integrates data from GRIOT, MIS, etc.

<sup>40</sup> For other instruments, the following rules apply: TACIS, CARDS and PHARE programmes: all historical data loaded from 1990 onwards, ONG-PVD & ONG-ED (B76000) grant contracts: all historical data loaded from 1991; others programs : MED & ALA, other horizontal lines (Democracy, Drugs, Health, Environment, etc.): historical data loaded if at least one transaction was done in 2002 (except closure transaction).

compared these data to the figures listed in the Court of Auditor report. It became clear, that the payment figures were reasonably similar to the ones from the Court of Auditor report. Consequently, the evaluators used these figures for the analysis presented below. However, the commitment figures extracted from CRIS Saisie were considerably higher than those quoted by the COA. Therefore, the evaluators did not use the commitment figures generated through CRIS Saisie for this analysis, but will review these figures in more detail for the overall quantitative analysis that will be presented in the final evaluation report.

Because the reference frames for the different datasets mentioned above were often different (i.e. in relation to the exact timeframes, for which the figures in the datasets were valid<sup>41</sup>), it was not possible to reliably complement the different datasets with each other. However, as mentioned above, the evaluators checked for at least a rough consistency among the data from the different sources. Additionally, it was decided to test the findings from the analysis of the data from CRIS Saisie on their *robustness*, when deduced from the data from the other two alternative sources. In this procedure, CRIS Saisie generally served as the primary data source<sup>42</sup>. Conclusions were then double-checked with the data from the Court of Auditors report and / or the annual statistical reports.

### 6.2.3. Preparing the data

When cleaning the data from CRIS Saisie, the following steps were taken to prepare the data for further analysis.

The following data entries were deleted from the data:

- ⇒ 1 entry for "Anguilla" (no payment was made)
- ⇒ Entries with the geographical information "Sincom CB/D '625" amounting to total payments of €2.7 Mio.

The recipient countries were assigned to geographic regions (based on the information the EuropeAid tendering webpage<sup>43</sup>). Geographic information not listed on the webpage were assigned as follows:

- ⇒ European Countries (Germany, Belgium, Italy, Denmark, Netherlands) became part of the "Other" category. Consequently, the countries in the "Other" category are no recipient countries for food aid and food security operations, but rather countries through which support has been channelled.
- ⇒ Entries with the geographical information "PAYS ET TERRIT. NON DETERMINES", "CC CONTRATS COMMUNAUTAIRES", "DIVERS-VENTILAT. NON POSSIBLE" were labelled "Non-Geographic". This category includes indirect aid delivered through WFP, EuronAid, CICR, etc.

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<sup>41</sup> One possible source of confusion was the often-lacking distinction between "budget years" and "programme years" (or, in CRIS Saisie terminology "Commitment Creation Year"). A programme year is the year for which a pledge is made to finance a food security programme for a specific recipient country. The commitments for such a programme can be spread over several budget years (see also Court of Auditor Report, 2003)

<sup>42</sup> Specifically, the evaluators used the search mask "commitments" in the budget module of CRIS Saisie. The country figures for payments matched those compiled by the Court of Auditors reasonably well.

<sup>43</sup> <http://europa.eu.int/comm/europeaid/cgi/frame12.pl>

#### 6.2.4. Distinguishing food aid from operations in support of food security

The evaluators distinguished funds / payments made for food aid from payments made to operations in support of food security on the basis of the budget title under which the payment had been made. This is the approach taken by the Court of Auditors in its special report. The budget chapter considered for this analysis are the following

**Table 1: Budget chapters and sub-chapters considered in the quantitative analysis for the years 1997 - 2002.**

Budget Chapter	Title	Classification
<b>B7-20</b>	<b>Food Aid and Support Operations</b>	<b>Food Aid &amp; Food Security</b>
B7-200	Products mobilised under the Food Aid Convention	Food Aid
B7-201 <sup>44</sup>	Other aid in the form of products, support operations, early-warning systems and storage	Food Security
B7-202A	Transport, distribution, flanking measures and measures to monitor implementation - Expenditure on administrative management	Food Aid (Transport)
B7-202	Transport, distribution, flanking measures and measures to monitor implementation	Food Aid (Transport)

Note: The evaluators are aware that as of 2003 the budget-titles B7-202A and B7-202 are no longer in use and have been integrated in the other two budget-titles listed in the table (B7-200, B7-2001). However, this quantitative analysis is examining historical data from previous years (1997 - 2002), for which the B7-202 budget-title was still valid. Therefore, the evaluators had to include data with from these titles and, for completeness, had to list them in the above table. However, users of this report should keep in mind that as of 2003, the Food Aid / Food Security budget line is only divided into the two sub-titles B7-200 and B7-201.

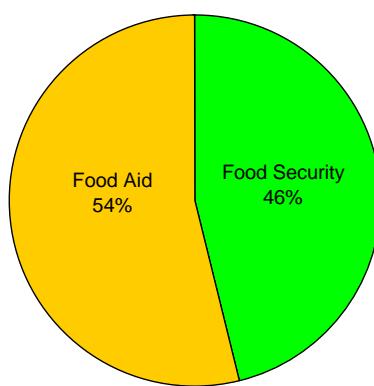
### 6.3. Analysis and Findings

#### 6.3.1. Overall distribution of resources between operations in support of food security and food aid (including transport)

As a whole, the resources<sup>45</sup> committed as well as spent under Regulation 1292/96 are relatively evenly distributed between operations in support of food security and food aid. The Court of Auditor report established, that for the programme years 1997 - 2001, 49% of the resources had been allocated to operations in support of food security, whereas 51% had been committed to finance food aid. In terms of actual payments, Figure 4 shows that for the programme years 1997 - 2002 54% of all payments have been made to finance food aid, whereas 46% of payments were made for operations in support of food security.

<sup>44</sup> As is noted in the Court of Auditors report, the budget heading B7-201 contained large amounts for food aid in the form of non-cereals (e.g. oils, milk powder), in particular in the years 1994 to 1996. Therefore only the years 1997 to 2002 can be compared with each other.

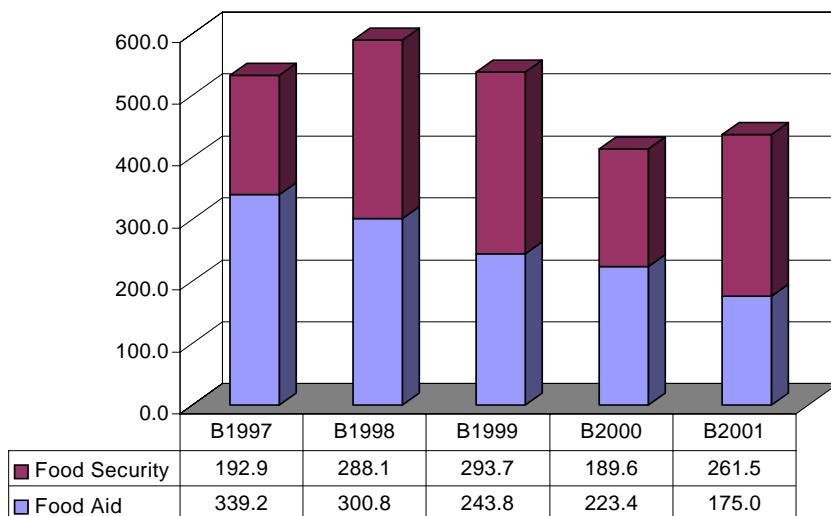
<sup>45</sup> In terms of actual payments



Source: CRIS Saisie, Budget Module, Date of Extraction: 10.11.2003

**Figure 4: Overall distribution of payments (only direct aid) under Regulation 1292/96 (Budget chapter B7-20) towards food aid and food security, 1997-2002**

A look at resource commitments and expenditures over time renders a somewhat more differentiated and informative picture. The commitment figures generated for the Court of Auditor report show a steady decline in the amounts committed to food aid under regulation 1292/96 from programme year 1997 (€ 339.2 Mio) to 2001 with only € 175.0 Mio committed to food aid (see Figure 5). During these programme years, food aid commitments under Regulation 1292/96 not only were reduced in absolute terms, but also in comparison to food security measures: the share of resource commitments to food aid under Regulation 1292/96 declined from 64% of total commitments in 1997 to only 40% of total commitments in 2001<sup>46</sup>. According to these figures, the focus of support financed under regulation 1292/96 is in fact shifting from food aid to operations in support of food security.

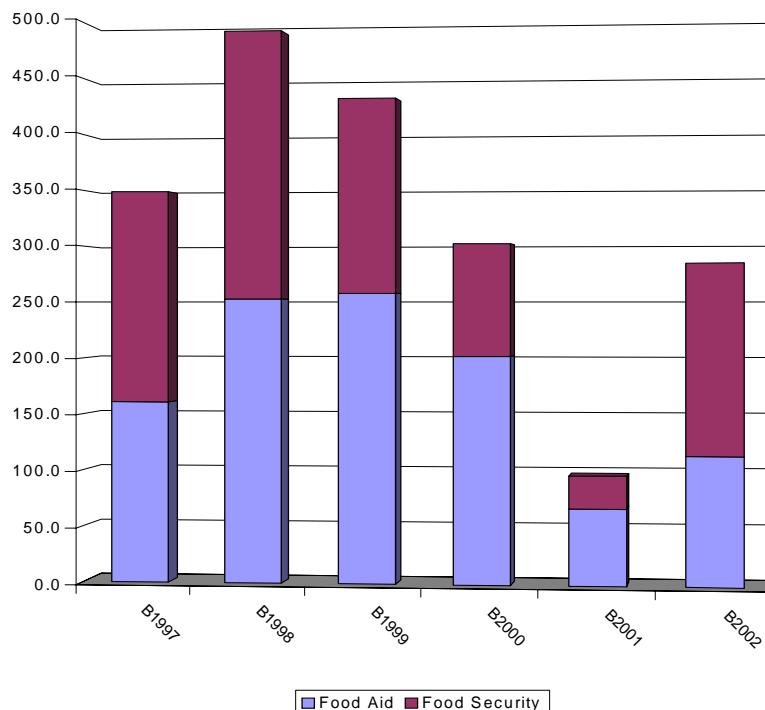


Source of data: Court of Auditor Special Report, 2003

**Figure 5: Distribution of resource commitments over programme years 1997-2001 (in Mio €)**

<sup>46</sup> With the exception of programme year 2000, when the share of food aid commitments rose again from 45% to 54% (i.e. by 9%) of total commitments under B7-20 from the previous year. For programme year 2002 no reliable commitment figures were available.

When looking at the distribution of the resources that have actually been paid out for each programme year, the first striking characteristic is a significant variation in the amounts that were actually disbursed. As can be seen in Figure 6, the absolute amounts paid for every programme year<sup>47</sup> vary considerably, ranging from € 490.9 Mio in 1998 to only € 97 Mio for programme year 2001<sup>48</sup>.



Source of data: CRIS Saisie, Budget Module, Date of Extraction: 10.11.2003

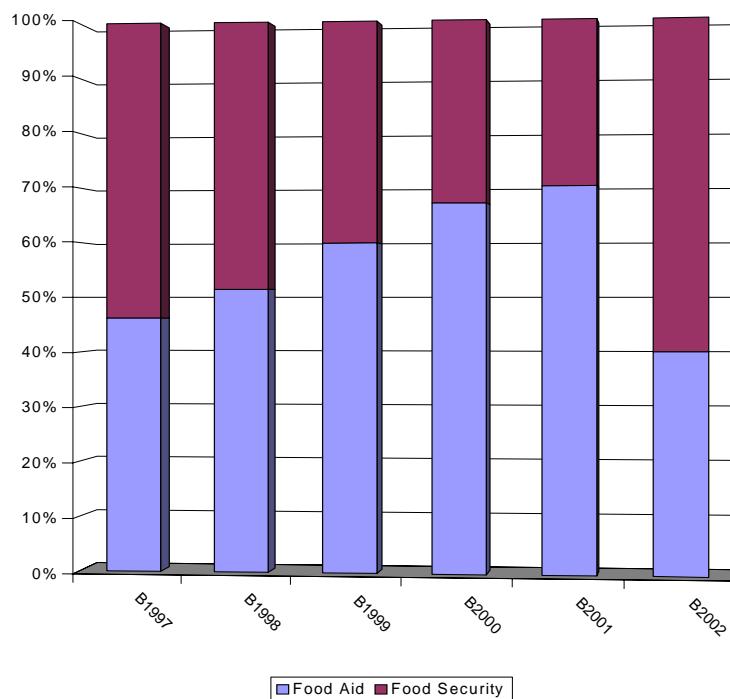
**Figure 6: Payments for food aid and operations in support of food security under Regulation 1292/96 by year of commitment creation, 1997-2002 (Mio €)**

The cause for this variation remains unclear at this point. A certain time lag in the actual disbursement of committed funds is to be expected, which would translate in lower cumulative payments for the more recent programme years. However, even allowing for an unspecified time lag, it is striking that disbursements for programme year 2001 are considerably lower than for the following programme year (2002), suggesting a possible more severe time lag in the disbursement of the funds for programme year 2001.

<sup>47</sup> The terms "programme year" and "year of commitment creation" are used here interchangeably. Both refer to the year, in which a pledge was made to finance a food security programme or food aid for a specific recipient country.

<sup>48</sup> It is important to remember, that "payments" and "commitments" cannot be directly compared to each other, as the payment and commitment figures are taken from two different sources. As explained above, the consultants chose to use the more recent data from CRIS Saisie for the analysis of payments as opposed to the Court of Auditor (CoA) figures from 12/2001 to take into consideration the payments made in the last two years. However, the impression of large annual variations in the degree to which programme commitments have actually been paid is also supported by the older CoA data. The CoA report also shows a considerable variation in actual payments for each programme year, ranging from € 464.4 Mio in 1998 to only € 105.3 Mio in 2001.

The annual data on actual disbursements of programme funds also suggests that food aid resources are disbursed more quickly than resources to finance food security measures<sup>49</sup>. Figure 7, plotting the relative share of food aid and food security funds of the total disbursements for each programme year in the period from 1997 - 2002 shows an actual increase in the share of cumulative food aid disbursements for the programme years from 1997 to 2001. Although the **share of food aid commitments** has steadily sunk in comparison to resources committed to food security measures in the same period, the programme has actually disbursed more funds for food aid than for food security measures for programme years 1997 - 2001<sup>50</sup>, suggesting a higher pace in the disbursement of food aid funds than in the payment of food security resources<sup>51</sup>.



Source of data: CRIS Saisie, Budget Module, Date of Extraction: 10.11.2003

**Figure 7: Distribution of payments for food aid & food security, Regulation 1292/96, years of commitment creation 1997-2002.**

### 6.3.2. Regional Distribution of Resources

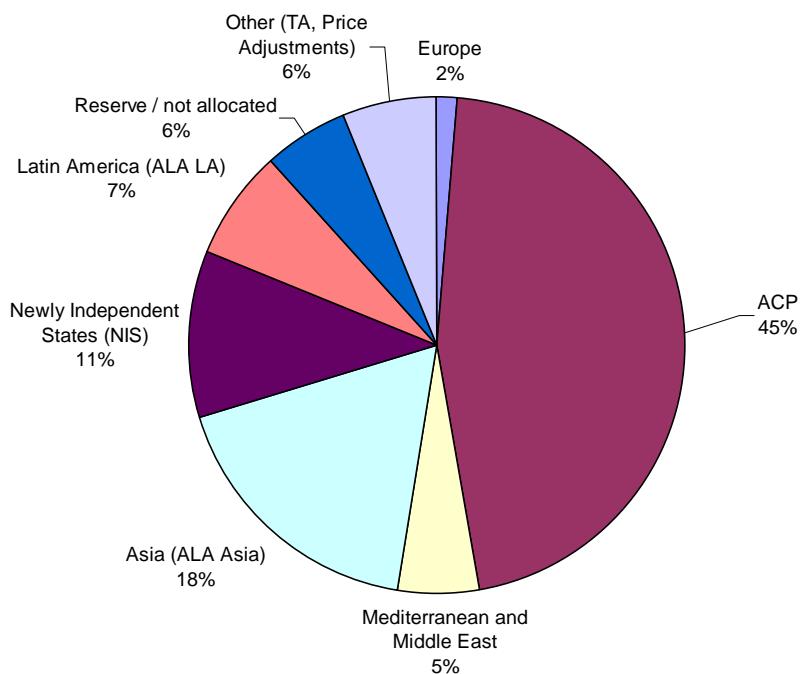
With 45% of total resource commitments, ACP countries have received the largest share of resources in the period from 1997 - 2002 (see Figure 8)<sup>52</sup>. Asian countries received the second-largest share of commitments (18%). The group of Newly Independent States (NIS) received 11% of the overall commitments.

<sup>49</sup> This is also a finding from the Court of Auditor report.

<sup>50</sup> Programme year 2002 is the exception with only about 40% of the resources disbursed so far having financed food aid initiatives.

<sup>51</sup> The alternative explanation that the proportionally larger share of food aid disbursements might be caused by the use of additional food aid emergency funds from outside the B7-20 budget line does not apply, as Figure 7 only considers payments made from B7-20.

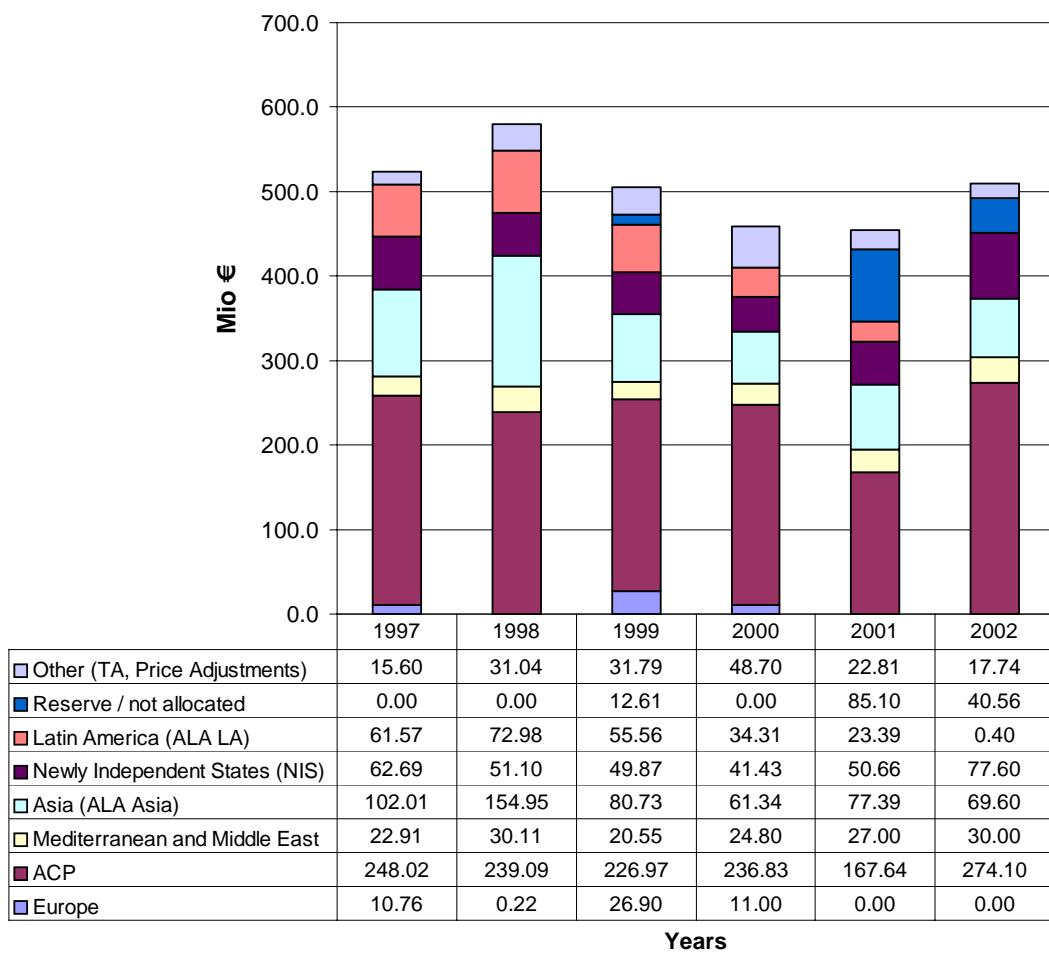
<sup>52</sup> For the years 1997 - 2002, the overall amount committed under the programme is € 2.51 billion. It is not clearly stated in the statistical report, if the years mentioned refer to budget years or programme years.



Source of Data: Annual Statistical Report, Food Security Unit, 2003.

**Figure 8: Overall regional distribution of resource commitments, 1997 - 2002**

The relative importance of the different geographical regions remained relatively stable over time. As can be seen in Figure 9, ACP remained the region that receives the largest share of resource commitments for every programme year between 1997 and 2001. The relative importance of Asia and the NIS as second and third largest recipients of commitments also remains relatively constant, with the NIS receiving a larger share of resource commitments than Asia for the first time in 2002. However, despite the continuity of resource commitments for the first three regions, the data show a relatively clear decline in resource commitments to Latin America over the years. Whereas Latin America still received 12% of the overall commitments in 1997, its share of resources as well as the absolute level of resource committed to the region sank in subsequent years until 2002, when the resource commitments to Latin America in 2002 only represented less than 1% of the overall resources.



Source of data: Annual Statistical Report, Food Security Unit, 2003; Note: the Annual Statistical Report does not specify, which countries are included in the "Europe" category.

**Figure 9: Regional distribution of resource commitments per year<sup>53</sup>**

### 6.3.3. Primary recipients of aid under Regulation 1292/96

Table 2 list provides a ranking of the primary recipients of funds from budget line B7-20 for the programme years 1997 - 2002. The table compares the relative importance of individual countries based on the following criteria:

- Total cumulative payments received for food aid and food security combined (column 1)
- Total cumulative payments for food aid only (column 3)
- Total cumulative payments for food security only (column 5)
- Total commitments for food security and food aid (programme years 1997 - 2002).

It has to be noted, that due to limitations of the payment data from Sincom, the country level figures on cumulative payments **only include direct aid**, and leave aside indirect aid channelled through partners such as Euronaid, WFP, etc<sup>54</sup>. Therefore, in addition to ranking the countries based on direct aid cumulative payments, column 1 compares this country

<sup>53</sup> As explained in footnote 50, the statistical report does not state if the years refer to budget years or programme years (years of commitment creation).

<sup>54</sup> Payments made to these partners are not assigned a specific region in the database, but are only labeled as PAYS ET TERRIT. NON DETERMINES, etc.

ranking to their ranking based on total commitments in the programme years under consideration<sup>55</sup>.

Based on this comparison the following countries are among the 10 biggest recipients of funds from the regulation **in terms of commitments and cumulative payments of direct aid** (see also Figure 10)

1. Ethiopia (1/1)<sup>56</sup>
2. North Korea (2/2)
3. Malawi (3/4)
4. Bangladesh (4/3)
5. Bolivia (5/8)
6. Mozambique (6/7)
7. Armenia (7/9)

Another group of countries is ranked among the group of 10 biggest recipients when considering only cumulative payments (of direct aid), but falls out of this group when ranked based on total commitments. The countries in this group are:

1. Kyrgyzstan (8/11)
2. Azerbaijan (9/12)
3. Peru (10/17)

Two hypotheses can be formulated that, if verified, could help to explain this phenomenon:

- Aid that was committed to the above countries is disbursed more quickly than in other countries that have received a larger share of total commitments in the programme years under consideration. Unfortunately, the current analysis does not allow to reliably compare disbursement rates between countries and to test this hypothesis, as payment figures and commitment figures have been generated from different sources (see above).
- Although the above countries received a relatively large share of direct aid, they received proportionally less resources in the form of indirect aid. Therefore, when compared to recipients of large amounts of indirect aid, the total amount of resources received by these countries is lower<sup>57</sup>.

Yet another country, Angola, is ranked among the group of 10 biggest recipient of support (food aid & food security) when considering total commitments (Rank 5), but falls outside of this group when only cumulative payments of direct aid are considered (Rank 18). Again, as above, one possible hypothesis to explain this phenomenon is that Angola has received a proportionally lower amount in indirect aid<sup>58</sup>. The second possible hypothesis is that disbursement of aid is relatively lower than the disbursement of aid in other countries with lower overall resource commitments.

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<sup>55</sup> This step allows arriving at more robust conclusions about the relative significance of individual countries in relation to the Regulation. Basing the ranking on commitments alone would leave aside the importance of the country in the actual implementation process so far.

<sup>56</sup> The numbers in brackets indicate (ranking based on total cumulative payments / ranking based on total commitments).

<sup>57</sup> A look at the figures from the annual statistical reports supports this interpretation: Although Kyrgyzstan received commitments of € 65.5 Mio for programme years 1997 - 2002, it received (according to the figures in the statistical reports) no indirect aid. A similar situation becomes apparent in the case of Azerbaijan, which received € 62.3 Mio of support through direct aid, but only € 1 Mio in the form of indirect aid. Finally, Peru received € 45 Mio in direct aid, but only € 4.5 in indirect aid.

<sup>58</sup> According to the data in the annual statistical reports, this is indeed the case: Angola received a total of € 10.5 Mio in direct aid, but a total of € 85.2 Mio in indirect aid.

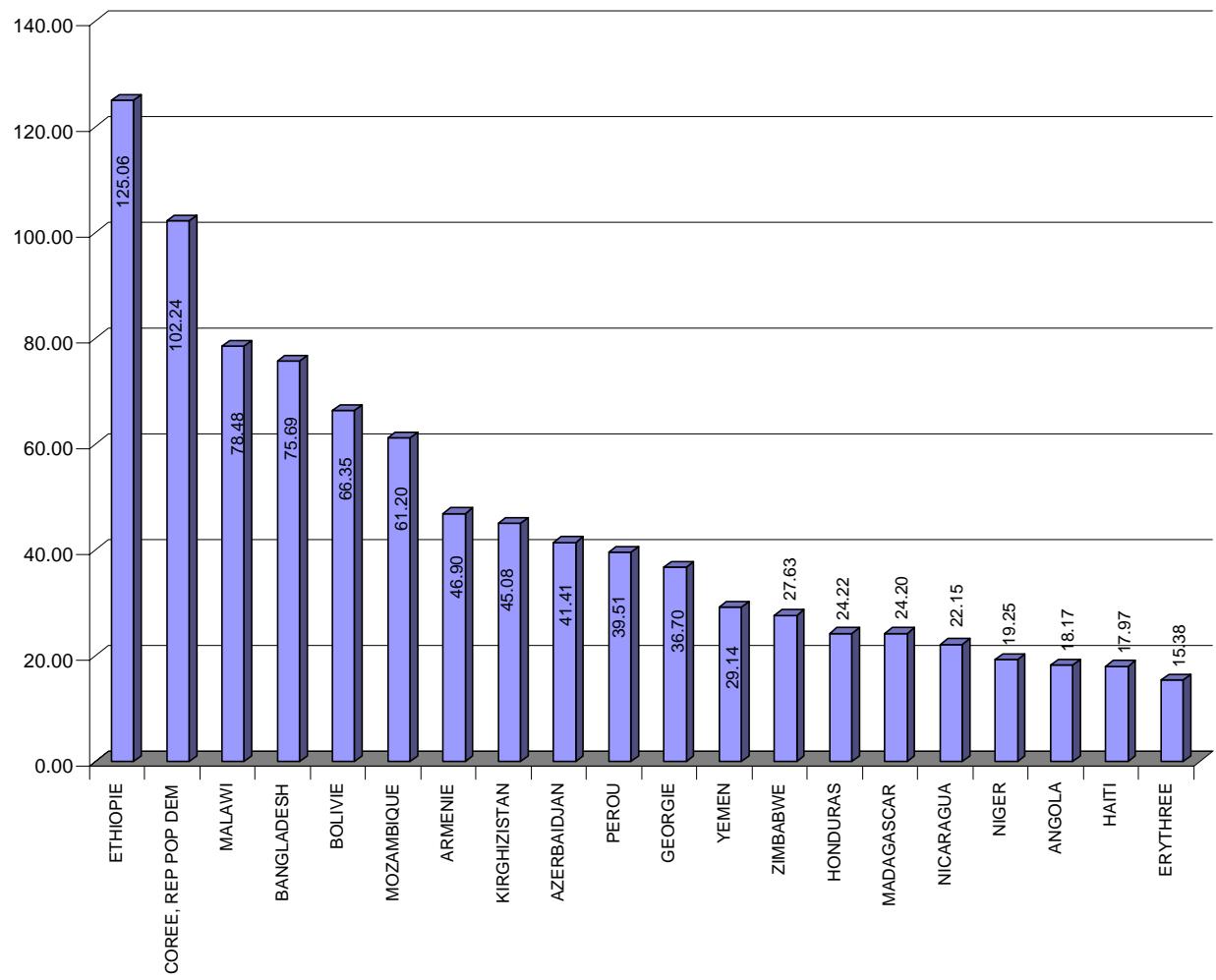
Table 2: List of Primary recipients of Food Aid and Food Security, commitments and payments, 1997 - 2002.

List of Primary Recipients (Total Payments) (direct aid only), 1997 - 2002	Region	List of Primary Recipients (Total Payments Food Aid) (direct aid only) <sup>59</sup> , 1997 - 2002	Region	List of Primary Recipients (Total Payments Food security) (direct aid only) <sup>60</sup> , 1997 - 2002.	Region	List of Primary Recipients 1997 - 2002 (Commitments) (direct and indirect aid)
Ethiopia (1/1)	ACP	Ethiopia	ACP	Bolivia	ALA (LA)	Ethiopia
North Korea (2/2)	ALA (Asia)	Bangladesh	ALA (Asia)	North Korea	ALA (Asia)	North Korea
Malawi (3/4)	ACP	Kirghizstan	TACIS	Ethiopia	ACP	Bangladesh
Bangladesh (4/3)	ALA (Asia)	North Korea	ALA (Asia)	Malawi	ACP	Malawi
Bolivia (5/8)	ALA (LA)	Armenia	TACIS	Peru	ALA (LA)	Angola
Mozambique (6/7)	ACP	Malawi	ACP	Mozambique	ACP	Afghanistan
Armenia (7/9)	TACIS	Mozambique	ACP	Nicaragua	ALA (LA)	Mozambique
Kirghizstan (8/11)	TACIS	Georgia	TACIS	Madagascar	ACP	Bolivia
Azerbaijan (9/12)	TACIS	Azerbaijan	TACIS	Bangladesh	ALA (Asia)	Armenia
Peru (10/17)	ALA (LA)	Peru	ALA (LA)	Honduras	ALA (LA)	Georgia
Georgia (11/10)	TACIS	Yemen	ALA (Asia)	Yemen	ALA (Asia)	Kirghistan
Yemen (12/18)	ALA (Asia)	Eritrea	ACP	Zimbabwe	ACP	Azerbaijan
Zimbabwe (13/14)	ACP	Zimbabwe	ACP	Haiti	ACP	Palestine (Gaza & West Bank)
Honduras (14/n/a)	ALA (LA)	Angola	ACP	Niger	ACP	Zimbabwe
Madagascar (15/15)	ACP	Bosnia-Herzegovina	CARDS	Afghanistan	ALA (Asia)	Madagascar
Nicaragua (16/n/a)	ALA (LA)	Honduras	ALA (LA)	Albania	CARDS	Eritrea
Niger (17/n/a)	ACP	Cap Verde	ACP	Mauritania	ACP	Peru
Angola (18/5)	ACP	Niger	ACP	Azerbaijan	TACIS	Yemen
Haiti (19/n/a)	ACP	Madagascar	ACP	Palestinian Territory	MEDA	Tajikistan
Eritrea (20/16)	ACP	Haiti	ACP	Liberia	ACP	Sudan

Note: The current layout of Table 2 was chosen because it allowed presenting the complete list of the 20 most important recipients for each of the categories.

<sup>59</sup> Indirect aid is systematically excluded from the Sincom data generated through the budget module of CRIS Saisie as aid delivered through partners such as WFP, Euronaid, etc. is not attributed to a specific country in Sincom.

<sup>60</sup> Idem 57.



Source: CRIS Saisie

**Figure 10: Primary recipients of food aid & food security (payments, programme years 1997 - 2002), Mio €**

## 7. METHODOLOGY FOR THE COMPLETION PHASE

### 7.1. Approach to the completion phase

Implementation of the proposed evaluative approach will involve five components to be carried out by international evaluation experts assisted, in those countries selected for field visits, by one national expert per country.

These five components are:

- *Deepen the analysis of the food aid and food security database.* During the desk phase, the analysis has focused on the regulation 1292/96. Given the focus on a comparative analysis of the various instruments dealing with FA and FS, there is a need to broaden database analysis to the other instruments. An overall analysis of FA-FS relevant projects will be made by following financial instruments: FED, MEDA, ALA, TACIS, CARDS, ECHO, Rehabilitation; NGO-Cofinancing ). Administration of the questionnaire discussed below should also contribute to double-checking and debugging the database for a significant number of countries, thus giving a more representative picture of EC global activities in FA and FS.
- *Document review and interviews with relevant resource persons in Brussels.* The majority of relevant documents has been collected and analysed during the desk phase. During the completion phase, the collecting will focus on new documents. The interviews with resource persons will be made to deepen specific issues or questions that may occur after the field visits.
- *Comparative analysis of national strategy documents.* The aim of this comparative analysis of national strategies documents (CSPs, PRSPs, sectoral strategies relevant to food security, etc.), both at the point in time at which the regulation started its support and now, is to assess what kind of interrelations can be found between the various processes (role of the regulation in the CSP; role of EC in the elaboration of PRSP,..). This will mainly be a desk study. However, contributions and cooperation from the delegations would be appreciated and helpful for the work, especially in identifying and collecting the relevant national documents. This analysis could be carried out for the most important recipient countries and could be implemented in parallel to the distribution and analysis of questionnaires that will be sent to the delegations.
- *A questionnaire survey of a sample (ca. 20-30) of Delegations.* The evaluative approach described above will be translated into a structured questionnaire, which will be finalized at the beginning of the completion phase. A sample of FA-FS country programmes will be constructed based on geographical representation and size of FA-FS population programme. Relevant Delegation staff will be identified and contacted by telephone with a request to complete the questionnaire, as well as to check the FA-FS project database in an effort to improve database accuracy for major partner countries. Relevant Commission Desk Officers in Brussels will also be contacted.
- *Field visits (10 countries).* The specific objective of the country field visits is to assess to the impact of the regulation over the period 1997-2002, the coherence and complementarity of the various instruments and budget lines, as well as the added-value of this Regulation and associated budget line. The increase of the field visits from 5 to 10 will allow to broaden the representativeness of the results from the field phase. This approach will allow the evaluators to select countries as part of the sample that will better represent the various instruments used and the development contexts that are encountered in the delivery of food aid and food security operations.
- *Reporting.* A short report will be made for each country. The draft report and the final report will present the overall results of the evaluation. All reports will be structured according to a standard framework, referring to the Evaluative Questions and the associated judgment criteria.

## 7.2. Selection of countries to be visited

The following steps present the process for the selection of the countries to be evaluated.

### 7.2.1. Step 1: Proposal of criteria for the selection of countries for the field evaluation

The following criteria have been sent to the members of the steering committee, to have their comments and to have a first proposal of countries from their side.

#### Criteria of selection:

**1) Most important recipients of the budget line** : The evaluation should focus on the 20 most important countries in financial terms during the period 1997-2002.

**2) Balance of food security and food aid component** (given the statistical repartition, the 10 most important countries for food aid and the 10 most important countries for food security should be selected). Within food aid component, the various partners should be represented (WFP, EURONAID, government). Within food security component, the various sub-components should be represented (Foreign currency facility, project aid with governments, FS project under the NGO call for proposals, support to international organisations)<sup>61</sup>.

**3) Geographical diversity** : Given the need to do a comparative analysis between the various geographical instruments, each zone should be represented by at least one country. Given the statistical repartition, following importance of the various zones could be made:

- ACP (4 countries could be evaluated as ACP represents 45 % of FA-FS annual budget),
- ALA (2 countries as 25% of annual budget),
- TACIS (2 countries as 15 % of annual budget),
- MEDA (1 country as 7,5 % of annual budget),
- CARDS (1 country as 7,5 % of annual budget).

#### **4) Fine tuning criteria**

- Several countries should also have experienced ECHO programmes
- Several countries should also have experienced programmes financed under the rehabilitation budget lines
- Several countries should also have experienced programmes financed under the NGO-Co-financing budget line
- Several countries should also belong to the selected LRRD countries : Selected LRRD are: Sierra Leone, Ethiopia, Burundi, Sudan, West Africa (epidemics), Caribbean (DPP), Cambodia, Tajikistan, Afghanistan, South Asia (DPP), Central America (LRRD + DPP), Andean Community (DPP).
- Priority will be given to the countries which haven't been evaluated in the past 2 years (but exceptions are possible due to the importance of the country):

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<sup>61</sup> Concerning the international organisations, and more specifically the FAO, there are « national » projects as well as thematic packages without geographical focus.

- Countries evaluated by the Court of Auditors in 2002-2003: Ethiopia, Bolivia, Peru, Georgia, Niger, Yemen, Madagascar, Honduras (financial audits for Peru and Honduras)
- Evaluations made by FS-budget line : Bolivia (2002); Ethiopia (2003); Green Cape (2003), Honduras (2002), Somalia (2002), Niger (2002), Nicaragua (2002), Malawi (on going)
- Evaluation made by evaluation unit: Honduras (on going); Bangladesh (on-going)

**Note:**

The disponibility and engagement of the delegation can't be a selection criteria but should be considered in the selection process. Given the short duration of the mission, a helpful delegation will have a positive impact on the quality of the field evaluation.

### 7.2.2. Step 2: Synthesis of the SG comments

Concerning the criteria, two types of comments have been made:

- Several comments focus on the fact that as no programme has been financed in the CARDS countries in the last years, there is no need to have one CARD country in the sample.
- Several comments also point out that there is no need to have 2 TACIS countries in the sample as these programmes are similar in these countries and that there have been often evaluated (twice a year, in the last years). The recommendation has been made to take only one country.
- Doing so, it will be possible to increase the number of countries in ALA (from 2 to 3) and in ACP (from 4 to 5)
- Some comments did also underline that the criteria "Priority will be given to the countries which haven't been evaluated in the past 2 years (but exceptions are possible due to the importance of the country)" should be taken with flexibility as some recently evaluated countries could be of high importance for this evaluation. Moreover, the former evaluation will not give an answer to the evaluative questions that build the core of this evaluation.

The following table gives an overview of the comments received so far as regard to the countries that should be selected for the field evaluations. (X means that the country has been listed but without any explanation).

Unit Countries	DEV B4	RELEX G1	AIDCO E1	AIDCO F5	RELEX E1	AIDCO A4
ACP						
Ethiopia	X			FA (WFP and Euronaid and direct aid); FS (direct and indirect aid); programme just partly covered by the 2003 evaluation		
Burkina Faso				National and regional programme (CILSS) ; direct and indirect aid : no evaluation		
Haïti	X					
Malawi	X					
Mozambique	X			Direct aid and indirect aid (NGO and FAO); programme with all FA-FS components; follow up of the 2000 evaluation		
Sudan				Euronaid and ONG ; intervention ECHO and other budget lines; LRRD process ; no evaluation		
Tanzania, Uganda or Zambia				Small programmes; in case of comparison with other budget lines		
Zimbabwe				important programme ; intervention WFP, Euronaid, CICR ; intervention ECHO ; LRRD process ; no evaluation		

ALA						
Afghanistan				All components of FS and FA; other instruments but problem of security		
Central America regional Programme (managed from Managua)	-	(Nicaragua) regional dimension		Regional dimension ; LRRD process ; ECHO intervention		
Bangladesh	X			Important programme; NGO call for proposals; coordination with other donors  On-going evaluation		
Bolivia	X	Most important programme	X idem relex	Programmes have been often evaluated; information could be taken from document analysis		
Ecuador				Interesting programme; direct and indirect aid; phasing out ; but little disponibility of the delegation		
Nicaragua	X	X	(regional and national programmes)			
North Korea				Interesting programme but difficulty of organising field surveys		
Peru		Discontinuity of aid		Important programme ; phasing out ; transition to ALA ; disponibility of technical assistants		

<b>MEDA</b>						
Palestine				Important programme ; all components ; other instruments (ECHO, rehabilitation ; NGO Cofinancing, human rights)		
Yemen	X			Not necessary ; recent evaluation		
<b>TACIS</b>						
One country TACIS				Similar programmes in all countries; many evaluations are available		
Armenia				Budgetary support; disponibility of technical assistant	Idem Aidco F5	
Azerbaijan						FA component
Georgia						FA and FS components
Kyrgyzstan				Budgetary support ; proposal made by delegation of Kazakhstan	Idem Aidco F5	
Moldavia	X					Interesting programme
<b>CARDS</b>						
No country CARDS				Not necessary to include CARDS countries ;no intervention in the recent years	Not necessary to include CARDS countries	Not necessary to include CARDS countries

### 7.2.3. Step 3 : Integration of comments and finalisation of the list

The comments on the geographical diversity have been integrated, so that the repartition of the 10 countries could be as follows:

- ACP (5 countries),
- ALA (3 countries),
- TACIS (1 county),
- MEDA (1 country),
- CARDS (0 country). The comparison between the regulation and the other instruments will be done based on the various existing evaluation reports and through interviews.

The first list presents the geographical repartition of the 20 most important countries, in financial terms.

ACP	ALA	MEDA	TACIS	CARDS
Ethiopia	North Korea	Palestine	Armenia	No country
Malawi	Bangladesh	Yemen	Georgia	
Angola	Afghanistan		Kyrgyzstan	
Mozambique	Bolivia		Azerbaijan	
Zimbabwe	Peru		Tajikistan	
Madagascar				
Eritrea				
Sudan				

Note: Due to the political situation, field visits may not be possible in Afghanistan and North Korea. The evaluation team proposed not to include these two countries in the list 2.

The second list presents the countries that are belonging to list one and that have been recommended by the SG members

ACP	ALA	MEDA	TACIS	CARDS
Ethiopia	Bangladesh	Palestine	Armenia	No country
Malawi	Bolivia	Yemen	Georgia	
Mozambique	Peru		Kyrgyzstan	
Zimbabwe			Azerbaijan	
Sudan			Tajikistan	

The third list integrates the regional component, which not appears in the list 1.

ACP	ALA	MEDA	TACIS	CARDS
Ethiopia	Bangladesh	Palestine	Armenia	
Malawi	Bolivia	Yemen	Georgia	
Mozambique	Peru		Kyrgyzstan	
Zimbabwe	Nicaragua (central America)		Azerbaijan	
Sudan			Tajikistan	
Burkina Faso (CILSS)				

The fourth list presents the specificities of the programmes in each country

Country	Regional component	FA	FS	ECHO	LRRD-Rehabilitation	NGO Co-financing
ACP						
Ethiopia		X (All sub-components)	X (all components)		X	X
Malawi		X	X			
Mozambique		X	X (all components, FAO)			X
Zimbabwe		X (WFP, Euronaid, CICR)		X	X	X
Sudan		X (Euronaid)	X (NGO)	X	X	X
Burkina Faso	X (CILSS)	X	X (NGO)			X
ALA						
Bangladesh		X	X			X
Bolivia		X	X		X	X
Peru		X	X		Phasing out	X

Country	Regional component	FA	FS	ECHO	LRRD-Rehabilitation	NGO Co-financing
Nicaragua (central America)	X	X	X	X	X	X
<b>MEDA</b>						
Palestine		X	X	X	X	X
Yemen		X	X			
<b>TACIS</b>						
Armenia			X			
Georgia		X	X			
Kyrgyzstan	X		X			
Azerbaijan		X	X			
Tajikistan			X			

The Fifth list presents the countries, which could be finally selected.

ACP	ALA	MEDA	TACIS	CARDS
Burkina Faso (CILSS) Ethiopia Mozambique Zimbabwe Malawi	Nicaragua (central America) Peru Bangladesh	Palestine	Kyrgyzstan	No country

### 7.3. Country visits

The goal of country visits is to test and verify the logic and consistency of project and programme actions against stated objectives and anticipated impacts. Through consideration of the evaluative questions, the evaluation team will assess the relevance, effectiveness, and coherence of EC FA-FS strategy(ies) and programmes.

Ten country missions will be undertaken. Each mission will be carried out by a senior international consultant, who will work collaborate with a national expert recruited in advance of the mission. The duration of each country mission will be ca. 15 days plus two days

mission preparation and four days report drafting. Approximately 10 days will be dedicated to meeting different stakeholders, in the EC delegation, in partner organisations (line-ministries, NGOs, bilateral funders, etc.) and national actors involved in FA-FS issues. Donors (multilateral and bilateral) as well as major NGOs involved in FA-FS will be interviewed for benchmarking of EC approach to FA-FS. A mixture of participatory techniques, including face-to-face interviews and focus group discussions will be used. Approximately five days will be dedicated to an assessment of selected programmes or projects. Techniques will include interviews and focus groups with beneficiaries (women and men), local implementers and other key stakeholders. An "aide mémoire" (ca 5 pages) will be drafted and a final feed-back/discussion session will be organised for the EC delegation and its key partners at the end of each country mission.

Each country mission will result in a country report suitable for external dissemination. This report will be submitted to the Evaluation Unit no more than two weeks after the completion of each field visit.

#### **7.4. Questionnaire**

The purpose of the questionnaire survey is to add to the evidence-base of the evaluation. The survey is particularly important given the limitations of other elements of the evaluation. In particular, due to budgetary and time constraints, only 10 country missions can be carried out in any depth during the evaluation, and while these will provide valuable case study material to validate and clarify other findings, the sample is very limited, especially given the high number of other instruments to be covered. The questionnaire will provide a valuable supplement to these country-level studies. It will also provide information from countries, which have not been covered by the Regulation 1292/96.

The questionnaire survey focuses uniquely on EC Delegations in third countries within the regions addressed by the evaluation. Time and budget constraints of the evaluation do not allow such a survey to be carried out amongst country partners, useful as this would be for the evaluation. Evidence from the EC headquarters in Brussels is covered by the desk study and interviews and focus group discussions.

This questionnaire will be made in English and will be translated after approval from SG in French and Spanish.

#### **7.5. Timing**

The study team will, in view of the broad nature of the Food security theme, be multi-disciplinary. It is foreseen that the composition will be as follows:

- 1 Senior Expert and Team Leader, with special competence in FA and FS, will be responsible for the coordination of the team members and timely reporting, will steer all relevant internal meetings, will represent the team and will maintain, together with PARTICIP, close contact to the Commission in order to ensure a constant dialogue. He will ensure the complementary and synergetic advantages of working in a team and therefore will supervise and organise the proper exchange of information and the internal feedback system. He will maintain the methodological and conceptual overview in collaboration with the Commission, the senior experts and PARTICIP's backstopping.
- 5 Senior Expert with long experience in FA and FS, covering the various issues mentioned in the EQ (link between FA and ECHO; LRRD process, budgetary support,...).
- 2 Junior Experts responsible for database issues, comparative analysis of national strategy documents, questionnaire administration, analysis of results, and the Brussels-based collection of background documentation / data on countries to be visited
- 10 national experts. A national expert will be identified in each of the ten countries selected for field visits. The terms of reference of this national expert, probably a senior academic, will be to

- Liaise with the Delegation prior to arrival of the international expert to facilitate the field visit
- Collect relevant field-based documents and distribute to the international experts prior to the field visit,
- Prepare, prior to the field visit, a ca. 10 page report summarising the FA-FS profile of the country and policy concerns over the evaluation period,
- Arrange appointments and accompany the international experts to meetings, and
- Work with the international members of the evaluation team on preparing the country report.
- Review and comment on the final thematic evaluation report

The study team will be backstopped at every stage of the Completion Phase by one PARTICIP key experts in evaluation methodology. He will assist the team in the implementation of the evaluation methodology taking into account PARTICIP experience in previous EC evaluation exercises. This backstopping will include participating in the drafting of all reports and documents (questionnaires) so as to draw upon their expertise in presenting results in a manner most effective for use by the Commission as well as the participation to regular meetings with the Commission (steering group).

### 7.5.1. Timing

The timetable for the desk phase and the completion phase is planned as follows:

<b><i>Evaluation's Phases and Stages</i></b>	<b><i>Notes and Reports</i></b>	<b><i>Dates</i></b>	<b><i>Meetings</i></b>	<b><i>Dates</i></b>
Desk Phase		early September (03.09.2003)		
Starting Stage	Launch Note	Launch Note approved by start of work.	Launch Meeting (Evaluation Unit + Consultants)T T (w/o involvement of the steering group)	beginning of September (03.09.2003)
	final launch note	based on discussion with L. Charpentier, no revision of launch note required.		
Structuring Stage	Inception Note (DRAFT)	early October (10.10.2003)	Steering Group Meeting	early / mid October (03.11.2003)
Desk Study	Draft Desk Report	Due mid / late November (19.11)	Steering Group Meeting	early December (04.12..)
	Preparation of field phase (contact national consultants)	Beginning of December		
	Preparation of questionnaires (draft)			
	Final Desk Report	Due mid-December (15.12.2003) (has to		

<b>Evaluation's Phases and Stages</b>	<b>Notes and Reports</b>	<b>Dates</b>	<b>Meetings</b>	<b>Dates</b>
		be approved within 1 week (before Christmas break)		
Field Phase		Starts January 2004 (08.01.2004)		
	Finalisation of questionnaires Comment on questionnaire until End Feb.	25.02.03		
			Briefing meeting Brussels (with all field phase experts) 19-21.01.2004	
	Broaden of data base	18.01.2004 to 15.02.2004		
	Field surveys in 10 countries	21.01.2004 to 15.03.2004		
	Dispatching and analysis of questionnaires	05.02.2004 to 15.03.2004		
	Comparative analysis of national strategies	24.01.2004 to 15.03.2004		
	De-briefing post-Field Phase	Proposal: SG will only be briefed about field mission AFTER drafting of Draft Field Phase Report. No additional de-briefing after return of individual experts (logistically difficult)	Presented to the Steering Group	No separate SG Meeting right after return of individual experts
	Draft Field Phase Report	End March (31.03.2004)	Steering Group Meeting	Early April <sup>62</sup> (5.04.2004)
	Final Field Phase Report	15.04.2004 (approval within one week)		
Final Report-Writing Phase	Draft Final Report	early May (01.05.2004)	Steering Group Meeting	mid-May (12.05.2004)
	Final Report	Early June (01.06.2004)		
	Acceptance Final Report (after follow-up)	07.06.2004		

<sup>62</sup> all comments must be there on SGM

<b>Evaluation's Phases and Stages</b>	<b>Notes and Reports</b> comments & final revision)	<b>Dates</b>	<b>Meetings</b>	<b>Dates</b>
Dissemination	Seminar	not possible in timeframe provided		

### 7.5.2. Procedures and Reporting

- The evaluation team will start the preparation of the field surveys at the end of the desk phase, especially concerning the contact to the national consultants and with the delegations to set a draft work plan. If during the course of the fieldwork any significant deviations from the agreed methodology or agreed schedule are considered necessary, these should be explained to the Steering Committee through the Evaluation Unit. The evaluation teams shall *de-brief* the Commission delegation in countries that will be visited before traveling onward.
- The evaluation team will continue with the elaboration of the questionnaire at the beginning of the completion phase. The SG members will comment within one week so that the questionnaire can be finalized at the beginning of February.
- *Questionnaire administration.* In order to reduce the time requirements on Delegation staff, as well as to increase consistency of responses, questionnaire administration will include telephone interviews with relevant staff carried out by Brussels-based study team members. The results of the questionnaires will be presented as an annex to the final report. The results will also be integrated directly in the report with specific references.
- *Comparative analysis.* In order to increase consistency of analysis, delegations will be contacted to improve collecting of national documents. The results of the analysis will be presented as an annex to the final report. The results will also be integrated directly in the report with specific references.
- *Broadening of database analysis.* The relevant projects of the various instruments as regard to FA and FS will be integrated in the actual data base, so as to get an overall view of EC FA and FS interventions.
- *Report preparation.* Each country report will be an external evaluation report suitable for publication to a wider audience. Country reports will be circulated no more than two weeks following completion of the field mission. An exception will be made if due to planning constraints the time devoted to the reporting between the two missions is too short. In this case, both reports will be made after the return of mission 2.
- After completion of field visits, the evaluators will proceed with the preparation of the *Draft Final Report*. It should be noted that after having answered the evaluative questions – and on the basis of these answers – the consultants shall provide an overall assessment of the EC strategy regarding food aid and food security.
- The *Draft Final Report* will be delivered to the Steering Committee through the Evaluation Unit and discussed at a final Steering Committee meeting. On the basis of comments received, the team of evaluators shall bring the appropriate final amendments before submitting their *Final Report* to the Evaluation Unit. The evaluators may either accept or reject the comments made by the Steering Group, but, in case of rejection, they shall motivate (in writing) their refusal.

**ANNEXES**

### Annex 1 : Sources of the impact diagram

<p style="text-align: center;"><i>Pre conditions</i></p>			
Only after analysis of added value of regulation compared to other instruments	<p>Operations under this Regulation shall be appraised after analysis of the desirability and effectiveness of this instrument as compared with other means of intervention available under Community aid which could have an impact on food security and food aid, and in coordination with these means.</p> <p>Whereas the Community's support for the developing countries' efforts to achieve food security could be enhanced by greater flexibility in food aid, granting financial support for operations concerning food security, and in particular the development of farming and food crops, as an alternative to food aid in certain circumstances, while protecting the environment and the interests of small farmers and fishermen; Whereas, in order to ensure better management of food aid, aligning it more closely on the interests and needs of the recipient countries, and to improve the decision-making and implementing procedures,</p> <p>At this stage, the Commission concludes that the Regulation has distinct and specific attributes that are highly relevant to addressing food security as basic dimension of poverty in highly vulnerable and food insecure countries but that further analysis and thinking are required to fully integrate/merge both the food security objective and instrument into the Commission's overall development device.</p> <p>However, there is an immediate need to define more clearly the role of the Regulation and its various instruments in order to ensure coherence and complementarity with other Community policies and programmes. In addition, there is a need to strengthen the efficiency and the quality of programme management at all stages of the programming and project cycle.</p>	<p>Council Regulation N° 1292/96; Chapter 1, Article 1</p> <p>Council Regulation N° 1292/96; Chapter 1, Article 1</p> <p>Council Regulation N° 1292/96; Introduction</p> <p>COM 473, Ch. 2.3</p>	
Specific list of eligible countries	<p>Whereas a list should be drawn up of the countries and bodies eligible for Community aid operations;</p> <p>The countries and organizations eligible for Community aid for operations under this Regulation are listed in the Annex. In this connection, priority shall be given to the poorest sections of the population and to low-income countries with serious food shortages.</p> <p>The selection of priority countries will be based on the following criteria:</p> <ul style="list-style-type: none"> <li>- Countries with a high incidence of poverty with a food security dimension measured by consumption and nutrition indicators;</li> <li>- The beneficiary country has a long term food security policy and conditions are in place for the effective utilisation of EC funds;</li> <li>- Food insecurity is addressed in the EC Country Support Strategy;</li> <li>- Countries where the EC has experience and a comparative advantage to intervene.</li> </ul>	<p>Council Regulation N° 1292/96; Introduction</p> <p>Council Regulation N° 1292/96; Chapter 2, Article 9</p> <p>COM 473, Ch. 3.5</p>	

	In addition, priority may be accorded to any eligible country facing serious food crises or post-crisis situations.	
Focus on vulnerable groups	<p>Whereas, given the different responsibilities of men and women for the food security of households, systematic account should be taken of their different roles when drawing up programmes aimed at achieving food security;</p> <p>Whereas women and communities should be involved to a greater extent in efforts to achieve food security at national, regional or local level and at the level of households;</p> <p>In this connection, priority shall be given to the poorest sections of the population and to low-income countries with serious food shortages.</p>	<p>Council Regulation N° 1292/96; Introduction</p> <p>Council Regulation N° 1292/96; Introduction</p> <p>Council Regulation N° 1292/96; Chapter 2, Article 9</p>
Aid must not be liable to disrupt local market	<p>Whether sold or distributed free of charge, aid must not be liable to disrupt the local market.</p> <p>Whereas food aid must not have any adverse effects on the normal production and commercial import structures of the recipient countries;</p>	<p>Council Regulation N° 1292/96; Chapter 1, Article 1</p> <p>Council Regulation N° 1292/96; Introduction</p>
Close coordination with intervention by other donors	The Commission shall ensure that operations under this Regulation are appraised in close coordination with intervention by other donors.	Council Regulation N° 1292/96; Chapter 1, Article 1
Aid shall be integrated into the development policy particularly those on agriculture and agri-foodstuffs and the food strategies of the countries concerned	<p>The Community's aid shall be integrated as thoroughly as possible into the development policies, particularly those on agriculture and agri-foodstuffs, and the food strategies of the countries concerned.</p> <p>Whereas food aid and operations in support of food security are key features of Community development cooperation policy and must be taken into account as objectives in all Community policies likely to affect the developing countries, in particular from the point of view of economic reforms and structural adjustment;</p> <p>Whereas in determining the steps to be taken for the execution of food-aid operations the implementing procedures should be adjusted to the specific nature of each recipient area, although within the framework of a common policy and strategy;</p>	<p>Council Regulation N° 1292/96; Chapter 1, Article 1</p> <p>Council Regulation N° 1292/96; Introduction</p> <p>Council Regulation N° 1292/96; Introduction</p>
No food aid of humanitarian nature	Food-aid operations of a humanitarian nature shall be carried out in the framework of the rules on humanitarian aid and shall not fall within the scope of this Regulation.	Council Regulation N° 1292/96; Chapter 1, Article 1
All instruments shall be implemented in close coordination	In the event of a serious crisis, all the instruments of the Community's aid policy shall be implemented in close coordination for the benefit of the population concerned.	Council Regulation N° 1292/96; Chapter 1, Article 1

<i>Operations – instruments</i>		
<b>Regulation 1292/96 (direct aid and indirect aid)</b>	<p>Whereas it is therefore necessary that the Community be able to provide a steady overall flow of aid and be in a position, in appropriate cases, to undertake to supply to the developing countries minimum amounts of products under specific multiannual programmes linked to development policies</p> <p>Whereas to that end provision should also be made for Community aid to be made available to international, regional and non-governmental organizations; whereas such organizations must satisfy a number of conditions guaranteeing the success of food-aid operations;</p> <p>Under its policy of cooperation with developing countries and in order to respond appropriately to situations of food insecurity caused by serious food shortages or food crises the Community shall carry out food-aid operations and operations in support of food security in the developing countries.</p> <p>Operations under this Regulation shall be appraised after analysis of the desirability and effectiveness of this instrument as compared with other means of intervention available under Community aid which could have an impact on food security and food aid, and in coordination with these means.</p>	<p>Council Regulation N° 1292/96; Introduction</p> <p>Council Regulation N° 1292/96; Introduction</p> <p>Council Regulation N° 1292/96; Chapter 1, Article 1</p> <p>Council Regulation N° 1292/96; Chapter 1, Article 1</p>
Food aid in kind	<p><i>Title I Food aid operations</i></p> <p>Food aid shall primarily be allocated on the basis of an objective evaluation of the real needs justifying such aid,</p> <p>Food aid in-kind provided under the Food Aid/ Food Security Regulation and channelled mainly through direct government programmes, EuronAid/NGOs and WFP should be mobilised in the following situations:</p> <ol style="list-style-type: none"> <li>1. In complementarity with ECHO, to provide relief in cases of major crisis;</li> <li>2. As a contribution to strategic reserves and safety nets;</li> <li>3. Linking relief, rehabilitation and development;</li> </ol>	<p>Council Regulation N° 1292/96; Chapter 1, Article 2</p> <p>COM 473, Ch. 3.3</p>
Foreign currency facility	<p>Where a recipient country has partially or totally liberalized food imports, the mobilization of Community aid must be consistent with that country's policy and not distort the market. In such cases, the Community contribution may take the form of a foreign currency facility to be made available to private-sector operators in the country concerned, subject to the operation being part of a social and economic policy and an agricultural policy aimed at alleviating poverty (including the strategy on the importation of basic foodstuffs).</p> <p>In the case of countries undergoing structural adjustment, and in line with the relevant resolutions of the Council, the counterpart funds generated by the various development assistance instruments constitute resources which must be managed as part of a single and consistent budgetary policy in the context of a programme of reforms.</p>	<p>Council Regulation N° 1292/96; Chapter 2, Article 12</p> <p>Council Regulation N° 1292/96; Chapter 1, Article 2</p>

	This form of assistance is gradually replacing project aid and traditional food aid in-kind because it offers a number of important advantages	COM 473, Ch. 3.4
Operation to support food security	<p><i>Title 2 Operations in support of food security</i>            Operations in support of food security shall take the form of technical and financial assistance</p> <p>The Commission will maintain project support in conditions where the policy environment does not permit budgetary aid,</p> <p><i>Title III Early-warning systems and storage programmes</i></p>	Council Regulation N° 1292/96; Chapter 1, Article 5 COM 473, Ch. 3.4 Council Regulation N° 1292/96; Chapter 1, Article 6
Others – Technical assistance Capacity building	<p>Operations in support of food security shall take the form of technical and financial assistance</p> <p>The Community contribution may also cover flanking activities necessary to make the operations under this Regulation more efficient and, in particular, supervision, monitoring and inspection, distribution and field training.</p> <p>Consequently, the Commission will attach greater importance to local capacity building through technical assistance support and national training and administrative reform programmes. Particular attention will be afforded to building local capacity to analyse and monitor national and regional food security situations and to formulate food security and poverty policies, strategies and programmes.</p>	Council Regulation N° 1292/96; Chapter 1, Article 5 Council Regulation N° 1292/96; Chapter 2, Article 16 COM 473, Ch. 3.4
<b>Other instruments carrying out food security actions or having an influence on food security</b>		
Other budget lines (ECHO, NGO-Co-financing, Rehabilitation)	<p>Whereas food aid and operations in support of food security are key features of Community development cooperation policy and must be taken into account as objectives in all Community policies likely to affect the developing countries, in particular from the point of view of economic reforms and structural adjustment;</p> <p>Such operations shall be planned and appraised in the light of their consistency with, and complementarity to, the objectives and operations financed by other Community development-aid instruments. They must be part of a multiannual plan.</p> <p>It is necessary to clarify the division of responsibilities between the food security instrument and EC long term development instruments (EDF, ALA, MEDA, TACIS and macro financial lending) and between the food aid instrument managed by DEV / EuropeAid Cooperation Office and short term humanitarian relief programmes managed by ECHO.</p>	Council Regulation N° 1292/96; Introduction Council Regulation N° 1292/96; Chapter 1, Article 3 COM 473, Ch. 3.3

Other regional instruments (FED, MEDA, ALA, TACIS, CARDS)	<p>Whereas food aid and operations in support of food security are key features of Community development cooperation policy and must be taken into account as objectives in all Community policies likely to affect the developing countries, in particular from the point of view of economic reforms and structural adjustment;</p> <p>Such operations shall be planned and appraised in the light of their consistency with, and complementarity to, the objectives and operations financed by other Community development-aid instruments. They must be part of a multiannual plan.</p> <p>It is necessary to clarify the division of responsibilities between the food security instrument and EC long term development instruments (EDF, ALA, MEDA, TACIS and macro financial lending) and between the food aid instrument managed by DEV / EuropeAid Cooperation Office and short term humanitarian relief programmes managed by ECHO.</p>	<p>Council Regulation N° 1292/96; Introduction</p> <p>Council Regulation N° 1292/96; Chapter 1, Article 3</p> <p>COM 473, Ch. 3.3</p>
Compliance with WTO and EC agricultural, trade; human rights & good governance rules	<p>whereas the Community, with its Member States, is a party to certain international agreements in this domain, and in particular the Food Aid Convention;</p> <p>Whereas it is therefore necessary that the Community be able to provide a steady overall flow of aid and be in a position, in appropriate cases, to undertake to supply to the developing countries minimum amounts of products under specific multiannual programmes linked to development policies as well as to enter into undertakings in relation to international organizations;</p> <p>In addition to these policies; the Regulation should also be consistent with the EC's external commitments, such as the obligations under the Food Aid Convention and associated Code of Conduct, the Commission's global network of development cooperation partnerships and trade relations under the WTO.</p>	<p>Council Regulation N° 1292/96; Introduction</p> <p>Council Regulation N° 1292/96; Introduction</p> <p>COM 473, Ch. 3.2</p>
Recipient country instruments and national strategies	<p>Whereas food aid must be integrated into the developing countries' policies for the improvement of their food security, in particular by the establishment of food strategies aimed at alleviating poverty and geared to achieving the ultimate goal of making food aid superfluous;</p> <p>Whereas Community food-aid policy must adjust to geopolitical change and the economic reforms under way in many recipient countries;</p> <p>to support the efforts of the recipient countries to improve their own food production at regional, national, local and family level,</p> <p>This change reflects the increasing importance of national development/food security strategies and EC Country Support Strategies (CSS) as the basis for the design of food security programmes.</p>	<p>Council Regulation N° 1292/96; Introduction</p> <p>Council Regulation N° 1292/96; Introduction</p> <p>Council Regulation N° 1292/96; Chapter 1, Article 1</p> <p>COM 473; Ch. 2.1</p>

	Food security interventions will be designed and implemented so as to be consistent with EC Development Policy and country and regional support strategies (Country and Regional Strategy Papers);	COM 473; Ch. 3.4
Other instruments from member states	<p>Whereas the Community and its Member States closely coordinate their development cooperation policies as regards food aid programmes and operations aimed specifically at enhancing food security;</p> <p>Whereas, in order to facilitate the application of certain of the measures envisaged and ensure that they mesh with the recipient country's food security policy, provision should be made for close cooperation between the Member States and the Commission within a Food Security and Food Aid Committee;</p> <p>In order to guarantee the principle of complementarity referred to in the Treaty and enhance the effectiveness and consistency of the Community and national food-aid provisions and operations in support of food security, the Commission shall seek to ensure that its own activities are as closely coordinated as possible with those of the Member States and with other policies of the European Union, both at decision-making level and on the ground, and may take any appropriate initiative in pursuit of this end.</p>	<p>Council Regulation N° 1292/96; Introduction</p> <p>Council Regulation N° 1292/96; Introduction</p> <p>Council Regulation N° 1292/96; Chapter 3, Article 28</p>
Other instruments from other donors (bilateral and multilateral)	<p>Therefore, in order to maximise coherence, complementarity and efficiency the Commission will fully integrate food security objectives and strategies into its Development Cooperation Framework both at the overall policy level and at the specific country strategy level (EC Country Strategy Papers).</p> <p>Food security interventions will be designed and implemented so as to be consistent with EC Development Policy and country and regional support strategies (Country and Regional Strategy Papers);</p>	<p>COM 473; Ch. 3.3</p> <p>COM 473; Ch. 3.4</p>
<b>ACTIONS</b>		
Allocation of basics foodstuffs from regional / national market	Products shall be mobilized on the Community market, in the recipient country or in one of the developing countries (listed in the Annex) if possible one belonging to the same geographical region as the recipient country.	Council Regulation N° 1292/96; Chapter 2, Article 11
Allocation of basics foodstuffs from Europe	Products shall be mobilized on the Community market, in the recipient country or in one of the developing countries (listed in the Annex) if possible one belonging to the same geographical region as the recipient country.	Council Regulation N° 1292/96; Chapter 2, Article 11
Allocation of extra basics foodstuffs from Europe	Products shall be mobilized on the Community market, in the recipient country or in one of the developing countries (listed in the Annex) if possible one belonging to the same geographical region as the recipient country.	Council Regulation N° 1292/96; Chapter 2, Article 11

Purchase of food from local markets	Products shall be mobilized on the Community market, in the recipient country or in one of the developing countries (listed in the Annex) if possible one belonging to the same geographical region as the recipient country.	Council Regulation N° 1292/96; Chapter 2, Article 11
Awareness actions	Besides the allocation of basic foodstuffs, aid may be used for the supply of seed, fertilizer, tools, other inputs and commodities, the creation of reserves, technical and financial assistance and awareness and training schemes.	Council Regulation N° 1292/96; Chapter 1, Article 2
Training for government staffs, actors and beneficiaries	Besides the allocation of basic foodstuffs, aid may be used for the supply of seed, fertilizer, tools, other inputs and commodities, the creation of reserves, technical and financial assistance and awareness and training schemes.	Council Regulation N° 1292/96; Chapter 1, Article 2
Supply of seeds, tools and inputs to produce food crops	Besides the allocation of basic foodstuffs, aid may be used for the supply of seed, fertilizer, tools, other inputs and commodities, the creation of reserves, technical and financial assistance and awareness and training schemes.  the supply of seed, tools and inputs essential to the production of food crops,	Council Regulation N° 1292/96; Chapter 1, Article 2  Council Regulation N° 1292/96; Chapter 1, Article 5
Rural credit targeted particularly at women	rural credit support schemes targeted particularly at women,	Council Regulation N° 1292/96; Chapter 1, Article 5
Supply drinking water	schemes to supply the population with drinking water,	Council Regulation N° 1292/96; Chapter 1, Article 5
Storage schemes	Besides the allocation of basic foodstuffs, aid may be used for the supply of seed, fertilizer, tools, other inputs and commodities, the creation of reserves, technical and financial assistance and awareness and training schemes.  storage schemes at the appropriate level,  operations aimed at improving storage systems with a view to reducing waste or ensuring sufficient storage capacity for emergencies.	Council Regulation N° 1292/96; Chapter 1, Article 2  Council Regulation N° 1292/96; Chapter 1, Article 5  Council Regulation N° 1292/96; Chapter 1, Article 8
Operation concerning the marketing, transport, distribution and processing of food products	operations concerning the marketing, transport, distribution or processing of agricultural and food products,	Council Regulation N° 1292/96; Chapter 1, Article 5
Support of private sector development for commercial development	measures in support of the private sector for commercial development at national, regional and international level,	Council Regulation N° 1292/96; Chapter 1, Article 5

Applied research and field training	<p>Besides the allocation of basic foodstuffs, aid may be used for the supply of seed, fertilizer, tools, other inputs and commodities, the creation of reserves, technical and financial assistance and awareness and training schemes.</p> <p>applied research and field training,</p> <p>preparatory studies and training schemes in connection with the above activities.</p>	<p>Council Regulation N° 1292/96; Chapter 1, Article 2</p> <p>Council Regulation N° 1292/96; Chapter 1, Article 5</p> <p>Council Regulation N° 1292/96; Chapter 1, Article 8</p>
Strengthening production of food crops	<p>projects to develop the production of food crops while respecting the environment,</p> <p>to support the efforts of the recipient countries to improve their own food production at regional, national, local and family level,</p>	<p>Council Regulation N° 1292/96; Chapter 1, Article 5</p> <p>Council Regulation N° 1292/96; Chapter 1, Article 1</p>
Technical assistance for community based organisations	<p>Besides the allocation of basic foodstuffs, aid may be used for the supply of seed, fertilizer, tools, other inputs and commodities, the creation of reserves, technical and financial assistance and awareness and training schemes.</p> <p>flanking, awareness, technical assistance and field training operations, in particular for women and producers' organizations and agricultural workers,</p>	<p>Council Regulation N° 1292/96; Chapter 1, Article 2</p> <p>Council Regulation N° 1292/96; Chapter 1, Article 5</p>
Support measures for women and producers' organisations	<p>Whereas, given the different responsibilities of men and women for the food security of households, systematic account should be taken of their different roles when drawing up programmes aimed at achieving food security;</p> <p>Whereas women and communities should be involved to a greater extent in efforts to achieve food security at national, regional or local level and at the level of households;</p> <p>support measures for women and producers' organizations,</p>	<p>Council Regulation N° 1292/96; Introduction</p> <p>Council Regulation N° 1292/96; Introduction</p> <p>Council Regulation N° 1292/96; Chapter 1, Article 5</p>
Production of fertilizer from raw materials found in recipient Country	projects to produce fertilizer from raw materials and basic materials found in the recipient countries,	Council Regulation N° 1292/96; Chapter 1, Article 5
Schemes supporting local food aid structures (training on the ground)	schemes to support local food-aid structures, including training schemes on the ground.	Council Regulation N° 1292/96; Chapter 1, Article 5

Support national early warning systems	early-warning systems and systems for gathering data on trends in harvests, stocks and markets, the food situation of households and the vulnerability of the population with a view to improving understanding of the food situation in the countries concerned,	Council Regulation N° 1292/96; Chapter 1, Article 8
Support to Food Security Information Systems	early-warning systems and systems for gathering data on trends in harvests, stocks and markets, the food situation of households and the vulnerability of the population with a view to improving understanding of the food situation in the countries concerned,	Council Regulation N° 1292/96; Chapter 1, Article 8
Carry out preparatory studies	preparatory studies and training schemes in connection with the above activities.	Council Regulation N° 1292/96; Chapter 1, Article 8
Support to national / regional food aid policy		
<i>Outputs</i> <i>The output have been deduced from the actions and are referring to similar paragraphs of the mentioned official document</i>		
Food reserves created		
Food availability improved		
Supply of drinking water improved		
Food production at regional, national, local, family level improved		
Involvement of women / communities in food security actions improved		
Input costs for food production diminished		
Export of non food stuffs improved		
Improved culture of traditional crops		

Awareness in hygiene and nutrition improved		
Increased opportunity for income generating activities		
Early Warning Systems established at national / regional level		
Functioning information systems on food security		
Expert Network to support management of FSP established		
Food security strategies improved		
<i>Outcomes</i>		
Gender-balanced economic & social development supported	to contribute towards the balanced economic and social development of the recipient countries in the rural and urban environment, by paying special attention to the respective roles of women and men in the household economy and in the social structure;	Council Regulation N° 1292/96; Chapter 1, Article 1
Supply of drinking water ensured	to take account of the concern to ensure the supply of drinking water to the population,	Council Regulation N° 1292/96; Chapter 1, Article 1
Availability and accessibility of foodstuffs improved	to promote the availability and accessibility of foodstuffs to the public,	Council Regulation N° 1292/96; Chapter 1, Article 1
Dependence on Food Aid reduced	to reduce their dependence on food aid,	Council Regulation N° 1292/96; Chapter 1, Article 1
Genetic potential and biodiversity safeguarded	Whereas the genetic potential and bio-diversity of food production must be safeguarded;	Council Regulation N° 1292/96; Introduction
Purchasing power increased	to encourage them to be independent in food, either by increasing production, or by enhancing and increasing purchasing power,	Council Regulation N° 1292/96; Chapter 1, Article 1

Independence from food supported	to encourage them to be independent in food, either by increasing production, or by enhancing and increasing purchasing power,	Council Regulation N° 1292/96; Chapter 1, Article 1
Standard of hygiene and nutrition raised	- to raise the standard of nutrition of the recipient population and help it obtain a balanced diet,	Council Regulation N° 1292/96; Chapter 1, Article 1
<i>impact</i>		
Food security on regional level improved	<p>Whereas regional, national and household food security, with the long-term aim of securing universal and constant access to a diet that will promote a healthy and active life, is an important element in the fight against poverty and whereas it is important for this to be emphasized in all programmes intended for developing countries;</p> <p>Whereas it is necessary to continue to support regional approaches to food security, including local purchasing operations in order to make use of the natural complementarity between countries belonging to the same region; whereas the policies conducted in the field of food security should be given a regional dimension in order to foster regional trade in foodstuffs and promote integration;</p>	<p>Council Regulation N° 1292/96; Introduction</p> <p>Council Regulation N° 1292/96; Introduction</p>
Adequate food and water availability at national level	<p>to help the population of developing countries and regions, at household, local, national and regional levels,</p> <p>In this context, food security has evolved towards a much broader concept: Food insecurity at the national level is generally a problem of faltering development and a weak trade position.</p> <p>Food security interventions aim to tackle the underlying structural causes of food insecurity related to the following three levels:</p> <ol style="list-style-type: none"> <li>1. Inadequate food availability at the national level;</li> <li>2. Poverty resulting in insufficient access to food at the household level;</li> <li>3. Food use and nutritional adequacy at individual level.</li> </ol>	<p>Council Regulation N° 1292/96; Chapter 1, Article 1</p> <p>COM 473, Ch. 3.2</p> <p>COM 473, Ch. 3.3</p>
Sufficient access to food at household level	<p>to help the population of developing countries and regions, at household, local, national and regional levels,</p> <p>At household level, food insecurity is fundamentally an outcome of poverty.</p> <p>Food security interventions aim to tackle the underlying structural causes of food insecurity related to the following three levels:</p> <ol style="list-style-type: none"> <li>1. Inadequate food availability at the national level;</li> <li>2. Poverty resulting in insufficient access to food at the household level;</li> <li>3. Food use and nutritional adequacy at individual level.</li> </ol>	<p>Council Regulation N° 1292/96; Chapter 1, Article 1</p> <p>COM 473, Ch. 3.2</p> <p>COM 473, Ch. 3.3</p>

Adequate food use and nutrition at individual level	<p>to help the population of developing countries and regions, at household, local, national and regional levels,</p> <p>Food security interventions aim to tackle the underlying structural causes of food insecurity related to the following three levels:</p> <ol style="list-style-type: none"> <li>1. Inadequate food availability at the national level;</li> <li>2. Poverty resulting in insufficient access to food at the household level;</li> <li>3. Food use and nutritional adequacy at individual level.</li> </ol>	<p>Council Regulation N° 1292/96; Chapter 1, Article 1</p> <p>COM 473, Ch. 3.3</p>
<i><b>Global impact</b></i>		
Poverty reduction	<p>to promote food security geared to alleviating poverty, to help the population of developing countries and regions, at household, local, national and regional levels,</p> <p>A focus upon poverty and the International Development Targets (IDTs) as overall objectives for development co-operation</p> <p>The overall objective of the Community's development policy is to encourage sustainable development that leads to a reduction in poverty in developing countries.</p>	<p>Council Regulation N° 1292/96; Chapter 1, Article 1</p> <p>COM 473, Ch. 3.2</p> <p>COM 473, Ch. 3.2</p>
<b>Three strategic areas</b>		
Sustainable development	Poverty reduction has been confirmed as the central objective of EC development cooperation along with three other strategic areas deriving from the Treaty of the European Union: (i) sustainable development, (ii) integration into the world economy, and (iii) democracy, human rights, rule of law, peace making and conflict prevention.	Food Security at the heart of poverty reduction; Chap. 5.1
Democracy and rule of the law	Poverty reduction has been confirmed as the central objective of EC development cooperation along with three other strategic areas deriving from the Treaty of the European Union: (i) sustainable development, (ii) integration into the world economy, and (iii) democracy, human rights, rule of law, peace making and conflict prevention.	Food Security at the heart of poverty reduction; Chap. 5.1
Integration into the world economy	Poverty reduction has been confirmed as the central objective of EC development cooperation along with three other strategic areas deriving from the Treaty of the European Union: (i) sustainable development, (ii) integration into the world economy, and (iii) democracy, human rights, rule of law, peace making and conflict prevention.	Food Security at the heart of poverty reduction; Chap. 5.1
<b>Important issues influencing design and implementation of food security</b>		
Deconcentration process	<i>Implicit issue</i>	

Increase importance of CSP	Food security interventions will be designed and implemented so as to be consistent with EC Development Policy and country and regional support strategies (Country and Regional Strategy Papers);	COM 473, Ch. 3.4
Linking relief, rehabilitation and development process	Whereas the food-aid instrument is a key component of the Community's policy on preventing or helping in crisis situations in the developing countries and whereas account should be taken in its implementation of its possible social and political effects;  In post crisis situations support to food security will be focused on linking humanitarian and relief aid and long-term development;	Council Regulation N° 1292/96; Introduction  COM 473, Ch. 3.4
Discussion of the new food aid convention	EC commitments to international agreements and multilateral initiatives that aim to establish strategic frameworks for tackling poverty. Principal amongst these are support to the achievement of the International Development Targets (IDTs) and the Food Aid Convention  Food aid interventions will be consistent with the Code of Conduct for Food Aid agreed between the EU and Member States.	COM 473, Ch. 3.3  COM 473, Ch. 3.4
Reform process (new financial regulation, Charte des ordonnateurs délégués, procedures, geographic directions,...)	<i>Implicit issue</i>	
Increasing importance of budget support	This form of assistance is gradually replacing project aid and traditional food aid in-kind because it offers a number of important advantages	COM 473, Ch. 3.4

## Annex 2: List of documents collected during structuring phase

### Key documents for the Food Aid / Food Security Evaluation + Guidelines Déconcentration du programme sécurité alimentaire

#### 1. OFFICIAL POLICY DOCUMENTS

Commission Regulation (EC) No 2519/97 of December 16<sup>th</sup> 1997 laying down general rules for the mobilisation of products to be supplied under Council Regulation (EC) No 1292/96 as Community food aid [Official Journal L 346, 17.12.1997].

Commission Regulation (EC) No 2298/2001 of November 6<sup>th</sup> 2001 laying down detailed rules for the export of products to be supplied as food aid [Official Journal L 308, 27.11.2001].

Communication from the Commission relating to the characteristics of products to be supplied as Community food aid [Official Journal C 312, 31.10.2000].

Communication from the Commission to the European Parliament and the Council: Evaluation and future orientation of Council Regulation (EC) No. 1292/96 on food aid policy and food aid management and special operations in support of Food Security [COM (2001) 473 final/2].

Session of the committee on Agriculture: Note of the European Commission on Food Aid, December 2001.

Council Regulation (EC) 1292/96 of 27<sup>th</sup> of June 1996 on food aid policy and food aid management and special operations in support of Food Security [Official Journal L 166, 5.7.1996].

Regulation 1726/2001 (amendment of article 21 of 1292/96)

Communication on The European Community's Development Policy, COM(2000) 212 final, p.26.

Communication from the Commission to the Council and European Parliament: Linking Relief, Rehabilitation and Development – An assessment (Brussels, 23.04.2001 COM (2001) 153 final)

#### 1.1. Country Strategy Papers / Regional Regulations

ALA Regulation (old): Council Regulation (EEC) No 443/92 of 25 February 1992 on financial and technical assistance to, and economic cooperation with, the developing countries in Asia and Latin America.

ALA Regulation (proposal): Proposal for a Regulation of the European Parliament and of the Council concerning Community cooperation with Asian and Latin American countries and amending Council Regulation (EC) No 2258/96 /\* COM/2002/0340 final - COD 2002/0139 \*/ Official Journal C 331 E , 31/12/2002 P. 0012 - 0019

Meda I Regulation: COUNCIL REGULATION (EC) No 1488/96 of 23 July 1996 on financial and technical measures to accompany (MEDA) the reform of economic and social structures in the framework of the Euro-Mediterranean partnership

Meda II Regulation: COUNCIL REGULATION (EC) No 2698/2000 of 27 November 2000 amending Regulation (EC) No 1488/96 on financial and technical measures to accompany (MEDA) the reform of economic and social structures in the framework of the Euro-Mediterranean partnership.

Cotonou Agreement (incl. Annexes)

CARDS Regulation: COUNCIL REGULATION (EC) No 2666/2000 of 5 December 2000 on assistance for Albania, Bosnia and Herzegovina, Croatia, the Federal Republic of Yugoslavia and the Former Yugoslav Republic of Macedonia, repealing Regulation (EC) No 1628/96 and amending Regulations (EEC) No 3906/89 and (EEC) No 1360/90 and Decisions 97/256/EC and 1999/311/EC

## 2. EVALUATION AND MONITORING REPORTS

### 2.1. Overview: Evaluation & Monitoring System for Food Aid (Evaluation: when, by whom, etc.)

Supervision des programmes de Sécurité Alimentaire (Presentation by Chantal Hebberecht, Head of Unit F-5)

### 2.2. Evaluation Reports

#### 2.2.1. Food Aid Regulation

Evaluation of European Union Programme Food Aid - Stage One; February 1994.

Joint Evaluation of European Union Programme Food Aid Synthesis Report October 1996 by Edward Clay, Sanjay Dhiri, Charlotte Benson

European Commission, EuropeAid Co-operation Office D (2001) 32947: Report on the European Commission's External Assistance (Staff working Document), Section on Food Aid pp. 26-32.

Evaluation of EC Food Aid, Food Security Policy, Food Aid Management and Programmes in support of Food Security, Regulation No 1292/96 of June 27<sup>th</sup> 1996 (2000)

- a. Field Mission Report Bangladesh
- b. Field Mission Report Bolivia
- c. Field Mission Report Haiti
- d. Field Mission Report Kyrgyzstan
- e. Field Mission Report Liberia
- f. Field Mission Report Mozambique
- g. Main Conclusions Food Aid Evaluation 2000 (short summary note)

European Court of Auditors, 2003/C 93/01 Special Report No 2/2003 on the implementation of the food security policy in developing countries financed by the general budget of the European Union, together with the Commission's replies.

- h. European Court of Auditors - Special Report - Mission Report Bolivia
- i. Draft Council conclusions on Special report n° 2/2003 from the Court of Auditors on the implementation of the Food Security Policy in developing countries financed by the general budget of the European Union

#### 2.2.2. Other Instruments (ECHO, humanitarian assistance, etc.)

EVALUATION OF THE FIRST DIPECHO ACTION PLAN FOR SOUTH ASIA 2002, FINAL REPORT, Date of Evaluation: 24rd November to 23rd December 2002

Development and humanitarian assistance of the European Union - Evaluation of the instruments and programmes managed by the European Commission - 05/1999 - ref. 951474

ECHO Evaluations (available on the internet on various countries and cooperation with WFP, UNICEF, UNHCR) 2000 - 2003)

### 2.3. Monitoring Reports

#### 2.3.1. External Monitoring (Results based monitoring)

Overview of projects monitored (external, results based monitoring) as of 22.10.2003 (reports in the overview can then be accessed through CRIS Consultation - for this, please contact Martin Steinmeyer (martin.steinmeyer@particip.de)

RE-MONITORING REPORT ETHIOPIA – ETH – INTEGRATED FOOD SECURITY PROGRAMME  
(1998 IFSP). MR-00623.02 – 02/06/03

### 3. EC ORGANIZATIONAL UNITS

#### 3.1. EuropeAid

##### 3.1.1. Quarterly EuropeAid Reports to Board of Directors

Progress Report on Creation of EuropeAid, Date 01.02.2001

Report 2001/01 - 2001/04 (January - April 2001)

Report 2001/05 - 2001/06 (May - June 2001)

Report 2001/07 - 2001/11 (July - November 2001)

Report 2002/01 - 2002/02 (January - February 2002)

Report 2002/07 - 2002/10 (July - October 2002)

Report 2002/03 - 2002/06 (March - June 2002)

Report 2002/12 - 2003/02 (December 2002 - February 2003)

Report 2003/01 - 2003/04 (January - April 2003)

##### 3.1.2. AidCo Annual Reports

Aidco Annual Report 2000 (chapter 2 - food aid)

Aidco Annual Report 2000 (financial annex)

Aidco Annual Report 2001 (complete report)

#### 3.2. Food Aid Unit (F-5 European Programme Food Aid & Food Security)

##### 3.2.1. Introductory Documents

Introduction to Web Page "European Programme for Food Aid and Food Security"

##### 3.2.2. Administrative Documents

Charte des missions et responsabilités des ordonnateurs subdélégués - Directorate F (explanation)

Note à l'attention de M de Angelis, Directeur AIDCO-F, Objet: Subdélégation de signature 2003

##### 3.2.3. Official Documents & Notes

Note à l'attention de M. Werblow, Chef d'unité DEV/B/4 "Réallocations programmes SA 2002"

##### 3.2.4. Indicators

Les différentes méthodes utilisées pour mesurer l'insécurité alimentaire (only french), Brussels, 2002

Les indicateurs (food aid)

Guidelines for the use of indicators in country performance assessment, 2002

Brief summary in French of USAID seminar "Standardized Monitoring and Assessment of Relief & Transition (SMART)" (Document available in French only)

Indicateurs de pauvreté et de sécurité alimentaire des pays bénéficiaires; EuropeAid,

### **3.2.5. Instrument-specific documents**

NGO calls for proposals, 2000 - 2002 (can be accessed through the EuropeAid Tender Page at <http://europa.eu.int/comm/europeaid/cgi/frame12.pl> (select "other", "forecast, open, closed", "grants", "all", "all", "submit".)

### **3.2.6. Activity Reports (bi-annual, annual, etc.)**

1998 / 99 activity report of EC Food Aid / Food Security Programme "Towards recipient country ownership of food security" (Parts 1 & 2)

2000 / 01 activity report of EC food aid and food security programme "Food security at the heart of poverty reduction" (Part 1, 2, 3)

FOOD AID AND FOOD SECURITY ACTIVITY REPORT DEC.02-FEB.03

FOOD AID AND FOOD SECURITY ACTIVITY REPORT MARCH.03-MAI.03

### **3.2.7. Budget**

Budget figures (overview) Title B7-2 Year 2000

Budget figures (overview) Title B7-2 Year 2001

Budget figures (overview) Title B7-2 Year 2002

### **3.2.8. RESAL**

Brochure "Réseau Européen de Sécurité Alimentaire - Améliorer la sécurité alimentaire grâce à des politiques d'intervention cohérentes et concertées"

Rapport d'étape sur la mise en place et les activités du Resal, Mars 1999

## **3.3. DG Development**

### **3.3.1. Official Documents & Notes (e.g. Programming notes)**

Note DG Dev to Ms. C Hebberecht "Food Aid / Food Security Budget Line - Priorities for 2003 and 2004"

Document de programmation: Programme communautaire de sécurité et d'aide alimentaire 2001 (DEV/A/1D (2000))

Bilan du Programme 1999 et Programmation 2000; Programme Communautaire de Sécurité et d'Aide Alimentaire (DEV/CH/A1(00)D/

- j. Annexe 1 du Bilan du Programme 1999 et Programmation 2000; Synthèse des Actions par pays 98/99 (DEV/CH/A1(00)D/
- k. Annexe 2 du Bilan du Programme 1999 et Programmation 2000; Aperçu des activités du Resal (DEV/CH/A1(00)D/

Bilan du Programme 1998 et Programmation 1999; Programme Communautaire de Sécurité et d'Aide Alimentaire (VIII/A/1D(99))

- I. Annexe 1 du Bilan du Programme 1998...; Synthèse des actions par pays

m. Annexe 2

Bilan du Programme 1997 et Programmation 1998; Programme Communautaire de Sécurité et d'aide alimentaire (VIII/B/1D(98))

- n. Annexe 1 du bilan du programme 1998...: Évolution de la situation alimentaire
- o. Annexe 2 du bilan...: Synthèse des actions par pays
- p. Annexe 3: Calendrier prévisionnel des action 1998

Document de Programmation 1997; Programme communautaire de sécurité et d'aide alimentaire

- q. community programme (1997) Cabo Verde
- r. community programme (1997) Ethiopia
- s. community programme (1997) Madagascar
- t. community programme (1997) Mozambique
- u. community programme (1997) Malawi
- v. community programme (1997) Haiti
- w. community programme (1997) Yemen
- x. community programme (1997) Bangladesh
- y. community programme (1997) Georgie
- z. community programme (1997) Armenia
- aa. community programme (1997) Azerbaijan
- bb. community programme (1997) Nicaragua
- cc. community programme (1997) Peru
- dd. community programme (1997) Bolivia
- ee. community programme (1997) Honduras

Cooperation Strategy World Food Programme (WFP), 1997

Cooperation Strategy NGOs, 1997

#### **4. RELATED THEMES / TOPICS**

##### **4.1. Deconcentration process**

##### **REPORT OF THE WORKING GROUP ON DECONCENTRATION**

##### **4.2. Household Economy Approach**

The Household Economy Approach: A resource manual for practitioners, Save the Children UK, August 2000

##### **4.3. Humanitarian Aid**

###### **4.3.1. ECHO**

Echo Aid Strategy 2003

Brochure Dipeccho programme - reducing\_impact\_of\_disasters

Council Regulation (EC) No 1257/96 of 20 June 1996 concerning humanitarian aid (Official Journal L 163 , 02/07/1996 P. 0001 - 0006)

#### **4.4. Rural Development**

POLITIQUE ET APPROCHE COMMUNAUTAIRES POUR LE DEVELOPPEMENT RURAL; Lutte contre la pauvreté en milieu rural (DG Development, 2000)

#### **4.5. Trade**

##### **4.5.1. European Commission**

Guidelines for European Commission Trade Related Assistance, May 2003 Version 1.0 (AIDCO E3/JP/lcc (D) 17823; Latin America - Thematic Support, Economic and Trade Co-operation)

##### **4.5.2. DFID**

Trade & Poverty; DfID background briefing, October 2002

#### **5. INTERNATIONAL / MULTILATERAL AGREEMENTS (RELEVANT FOR EC FOOD AID)**

FOOD AID CONVENTION, 1999 (London, 13 April 1999)