

Integrated Food Security Phase Classification



Technical Manual
Version 1.1

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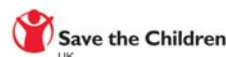
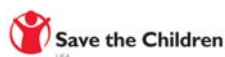
Technical Manual

Version 1.1

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IPC Technical Manual Version 1.1 results from the joint effort of the IPC Global Partners, a group of eight agencies and international NGOs including: Care International, the Food and Agriculture Organization of the United Nations (FAO), the Famine Early Warning Systems Network (FEWS NET), the Joint Research Centre of the European Commission (EC-JRC), Oxfam Great Britain, Save the Children UK, Save the Children US, and the United Nations World Food Programme (WFP). IPC Technical Manual Version 1.1 is based on Version 1 which was prepared by FAO /FSAU. Revisions have been conducted on behalf of the IPC Global Partners by the IPC Technical Working Group composed of: Suleiman Mohamed (FEWSNET), Agnès Dhur (WFP), Valérie Ceylon (WFP), Nicholas Haan (FAO) and Cindy Holleman (FSAU/FAO). Nicholas Haan coordinated the revision process and edited this manual.

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ORIGINAL FOREWORD AND ACKNOWLEDGEMENTS

MAY 2006

Since 1994, FSAU has been investing considerable energy in improving the rigour of the unit's food security, nutrition, and livelihoods analysis, and its relevance for decision making. To help meet the goals of rigor and relevance, FSAU has been developing and using a tool called the Integrated Food Security and Humanitarian Phase Classification (IPC) since February 2004. In addition to consistently improving analysis and facilitating effective response in the context of Somalia, there are strong indications that the IPC is relevant on a wider scale, as it serves as a "common currency" for food security and humanitarian analysis.

This manual provides technical guidance on the use of the IPC for FSAU analysts and technical partners. It will hopefully contribute to on-going global efforts to standardize core elements of humanitarian analysis and response (e.g., the SMART, Benchmarking, Needs Analysis Framework, Humanitarian Tracking Service, and Sphere Project).

The IPC builds on aspects of many existing classification systems and academic literature. The practical strength of the IPC, however, is that it was developed through the everyday realities of conducting food security analysis and linking it to action within the context of a complex emergency. In addition, IPC development has benefited from technical feedback from expert practitioners and high level decision makers through dozens of forums in Africa, Asia, Europe, and the USA. Appendix A lists just some of these meetings. We are extremely grateful for participants' technical input.

Within FSAU, there has been an on-going technical dialogue on the IPC among all of our Nairobi based analysts including: Noreen Prendiville, Cindy Holleman, Yusuf Mohamed, Ali Duale, Thomas Gabrielle, Simon Narbeth, Veena Sam-pathkumar, Zainab Jama, James Kingori, Sicily Matu, Ahono Busili, Bernard Owadi, Tom Oguta, Achoka Luduba, Carol Kingori and Francis Barasa. FSAU has a close partnership with FEWS NET Somalia, and both Mohamed Aw-Dahir and Sidow Addou have been directly involved in the IPC development. FSAU field staff has also made substantial input. Special thanks to Cindy, Noreen, Thomas, and Veena for their technical editing of this manual.

Thank you to the FSAU technical partners from WFP, UNICEF, OCHA, SC-UK, CARE, the Somalia Transitional Federal Government, authorities from Somaliland and Puntland, and numerous others for their technical input and continued support towards the development and usage of the IPC. The Greater Horn of Africa Regional Food Security and Nutrition Working Group has provided valuable feedback and support for wider application of the IPC. Wolfgang Herbing and many other colleagues from WFP Rome have also made substantial contributions to the IPC revisions.

Many warm thanks to FAO colleagues for their technical insight and continued support, including Prabhu Pingali, Anne Bauer, Margarita Flores, Mark Smulders, Luca Alinovi, Richard China, Graham Farmer, Daniele Donati, Guenter Hemrich, Suzanne Raswant, Giovanni Simonelli, Alessandro DeMatteis, Florence Egal, Henri Josserand, Shukri Ahmed, and Christian Lovendal.

And lastly, many thanks to the FSAU donors, the European Commission and the United States Agency for International Development, for their ongoing commitment to FSAU and encouragement to develop new ideas.

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Nairobi, Kenya, May 2006

2ND FOREWORD AND ACKNOWLEDGEMENTS

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This IPC Technical Manual Version 1.1 is a revision and update of the original IPC Manual Version 1 issued in 2006. Version 1.1 introduces priority revisions and clarifies key concepts arising from extensive field testing and inter-agency technical consultations. IPC users are encouraged to adopt the revisions documented in this revised version. Following the release of Version 1.1, a more comprehensive revision of the IPC Manual will be prepared in 2009, resulting in a Version 2 of the manual. Visit the IPC website at www.ipcinfo.org for a list of priority revisions and an action plan for Version 2.

Appendix H provides further explanations of the rationale for and usage of revisions introduced in Version 1.1. The text of the manual has been updated to reflect these revisions. Users are notified where revisions have been made with “call-out boxes” entitled “Revision”, and advised to go to Appendix H for further explanations.

Revisions include:

- changing the name from the “Integrated Food Security and Humanitarian Phase Classification” to the “Integrated Food Security Phase Classification”
- adding an optional division of Phase 1 into two phases: Phase 1A and 1B. This is a provisional solution towards the future development and insertion of a Phase between the current Phase 1 and 2.
- changing the name of Phase 2 from “Chronically Food Insecure” to “Moderately/Borderline Food Insecure”
- changing the terminology from “Early Warning Levels” to “Risk of Worsening Phase”
- making changes to the design of the Analysis Templates
- making changes in the cartographic protocols

Section 3 of the IPC Manual has been updated with several new sections that clarify key issues.

Areas for Clarification include:

- Focus of the IPC
- Analysis Process
- Data Adequacy and Reliability
- When and how often to do IPC analysis
- Time Horizon for IPC analysis
- Early Warning
- Inclusion of “imminent” in the Phase Classification
- Spatial scale of analysis
- Under 5 mortality rate
- Institutional ownership and processes
- Core elements of an “IPC analysis”

Interest and support for the IPC as a common classification framework for food security situation analysis continues to gain momentum among government, UN, NGO, donor, and academic organizations. The IPC has been introduced in several parts of Africa, Asia, Central America, and the Caribbean. This ranges from full implementation to pilot exercises to training activities. For more details on specific country experiences visit www.ipcinfo.org.

A number of food security-oriented agencies have formed an initial global partnership for the further development and roll-out of the IPC. These include: FAO, WFP, USAID-funded FEWS NET, Oxfam GB, CARE, Save the Children UK, Save the Children US, and the Joint Research Center of the European Union. Together with national governments, these international agencies and many others at the regional and national level are collaborating on the development and roll-out of the IPC. The IPC roll-out will be a demand-driven process, and its further development will be driven by country experiences and feedback.

There is a need to ensure that the IPC can accommodate a wide variety of country and institutional settings. Innovative ideas on how to improve the rigor and user-friendliness of the IPC are constantly generated each time the IPC is applied. Version 1.1 is based on extensive feedback from technical experts in countries involved in the IPC roll-out. In addition to country implementation feedback, revisions are based on technical discussions which took place during the IPC On-Line Forum (a month-long web based discussion on the IPC held in February 2007), an IPC International Workshop in Rome in March 2007, direct feedback from IPC global partner agencies, and consultations with the Greater Horn of Africa Regional Food Security and Nutrition Working Group. Numerous technical experts in the nutrition and food security community have also made contributions.

The revisions reflect the strong consensus between national governments and partner agencies who have been consulted so far, and have been endorsed by the IPC Global Partner agencies.

The efforts of the following members of the global IPC Technical Working Group are highly appreciated:

Suleiman Mohamed	FEWSNET Regional Representative
Agnès Dhur	Senior Food Security Officer
Valérie Ceylon	Programme Adviser
Nicholas Haan	FAO Senior IPC Technical Advisor
Cindy Holleman	FAO Chief Technical Advisor to the FSAU

The inputs from the many people who have contributed feedback to this Addendum are greatly appreciated.

*For further information on the IPC including technical support, country reports, and contact information, visit:
www.ipcinfo.org*

May 2008

The Global IPC Steering Committee:

Care International
Food and Agriculture Organization of the United Nations (FAO)
Famine Early Warning Systems Network (FEWS NET)
Joint Research Center of the European Commission (EC-JRC)
Oxfam Great Britain
Save the Children UK
Save the Children US
United Nations World Food Programme (WFP)

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LIST OF ACRONYMS

ACF	Action Against Hunger (Action Contre la Faim)
ALRMP	Arid Lands Resource Management Project
ALRMP	ALRMP Associated Press
BBC	British Broadcasting Corporation
CAP	Consolidated Appeal Process
CDC	Center for Disease Control
CILSS	Committee for Drought Control in the Sahel (Comité Inter-Etats de Lutte Contre la Sécheresse au Sahel)
CILSS	Committee for Drought Control in the Sahel
CMR	Crude Mortality Rate
CNN	Cable News Network
CSI	Coping Strategies Index
DFID UK	Department for International Development
EC	European Commission
EFNA	Emergency Food Needs Assessment
FANTA USAID	Food and Nutrition Technical Assistance
FAO	Food and Agriculture Organization of the United Nations
FAQs	Frequently Asked Questions
FEWS NET	Famine Early Warning Systems Network.
FIVIMS	Food Insecurity and Vulnerability Information and Mapping Systems
FNPP	FAO/Netherlands Partnership Programme
FSAS	Food Security Analysis System
FSAU	Food Security Analysis Unit - Somalia
GAM	Global Acute Malnutrition
GHA	Greater Horn of Africa
GIEWS	Global Information Early Warning System
HEA	Household Economy Approach
HPG	Humanitarian Policy Group
IASC UN	Inter-agency Standing Committee
ICRC	International Committee of the Red Cross
IDS	Institute of Development Studies
IPC	Integrated Food Security and Humanitarian Phase Classification
IRIN	Integrated Regional Information Networks
Kcal	Kilo calories
LRRD	Linking Relief, Recovery, and Development
LUC	Land Use and Land Cover Change
MSF	Medecins Sans Frontieres (Doctors Without Borders)
MUAC	Mid-Upper Arm Circumference
NAF	Needs Analysis Framework
NGO	Non-governmental Organization
ODI	Overseas Development Institute
SCF - UK	Save the Children - United Kingdom
SCN - UN	Standing Committee on Nutrition
SENAC	Strengthening Emergency Needs Assessment Capacity
SLA	Sustainable Livelihoods Approach
SMART	Standardized Monitoring and Assessment of Relief and Transitions
UN/OCHA	United Nations Office for the Coordination of Humanitarian Affairs
UNAIDS	The Joint United Nations Programme on HIV/AIDS
UNDP	United Nations Development Programme
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
USAID	United States Agency for International Development
VOA	Voice of America
WFP	United Nations World Food Programme
WFS	World Food Summit

1. EXECUTIVE SUMMARY

Within the cross-cutting field of food security analysis there are increasingly strong calls for improved analysis. These include: the greater **comparability** of results from one place to another, increased **rigour**, greater **transparency** of evidence to support findings, increased **relevance** to strategic decision making, and stronger linkages between information and **action**. Improving analysis along these lines would enable food security and humanitarian interventions to be more **needs-based**, **strategic**, and **timely**.

Central to meeting these challenges is the development of a classification system that is **generic** enough to be utilized in a vast array of food security situations, disaster types, and livelihood systems; **simple** enough to be practical in the field and understood by multiple stakeholders; and **rigorous** enough to meet international standards.

Since February 2004, the Food Security Analysis Unit for Somalia (FSAU¹) has been using and progressively developing a tool to meet these challenges called the **Integrated Food Security Phase Classification** (IPC²). Drawing from extensive literature on international humanitarian guidelines, aspects of existing classification systems, and in situ analysis of food security in Somalia, the IPC has consistently proven to improve analysis and enable more effective response.

Since the original release of the IPC manual in 2006, many countries in Africa, Asia, and Central America have introduced the IPC for improved food security analysis. Based on these field experiences, and wider technical consultations among governments, UN agencies, donors, NGOs, and academic agencies, this revised IPC Manual Version 1.1 introduces key structural changes and provides clarification on select issues. See the foreword of this Version 1.1 for a summary of these revisions and clarifications.

The IPC is a set of protocols for consolidating and summarizing **Situation Analysis**, a distinct, yet often overlooked (or assumed) stage of the food security analysis-response continuum. Situation Analysis is a foundation stage where the fundamental aspects (severity, causes, magnitude, etc.) of a situation are identified. These aspects have received an optimal broad-based consensus from key stakeholders including governments, UN agencies and NGOs, donors, the media, and target communities.

The analytical logic of the IPC is that varying phases of food security and humanitarian situations are classified based on outcomes on lives and livelihoods. Outcomes are a function of both immediate hazard events and underlying causes, as well as the specific vulnerabilities of livelihood systems (including both livelihood assets and livelihood strategies). The outcomes are referenced against internationally accepted standards, and their convergence substantiates a phase classification for any given area. Each phase is associated with a unique strategic response framework, while the outcome configuration for any given situation guides the creation of a tailored response unique to that situation. While the phase classification describes the current or imminent situation for a given area, levels of Risk for Worsening Phase are a predictive tool to communicate the likelihood and severity of a potential further deterioration of the situation beyond the Phase Classification itself.

The IPC consists of four components including the **Reference Table**, **Analysis Templates**, **Cartographic Protocols** and **Population Tables**.

The IPC **Reference Table** guides analysis for both the **Phase Classification** and Risk of Worsening Phase. The Phase Classification is divided into five **Phases** - **Generally Food Secure (1A and 1B)**, **Moderately/Borderline Food Insecure**, **Acute Food and Livelihood Crisis**, **Humanitarian Emergency**, and **Famine/Humanitarian Catastrophe**. The five phases are general enough to accommodate a wide range of causes, livelihood systems, and political/economic contexts - yet their distinction captures essential differences in implications for action (including strategic design, urgency, and ethical imperative).

Each Phase is linked to a comprehensive set of **Key Reference Outcomes** on human welfare and livelihoods which guide the classification. These include: *crude mortality rate*, *acute malnutrition*, *disease*, *food access/availability*, *dietary diversity*, *water access/availability*, *destitution and displacement*, *civil security*, *coping*, and *livelihood assets*. The breadth of outcomes enables triangulation and ensures the adaptability of the IPC to a wide variety of situations. Referencing outcomes to international standards ensures comparability and consistency of the phase classification in different countries and contexts.

Footnotes:

¹ FSAU is implemented by the Food and Agriculture Organization of the United Nations (FAO), and funded by the European Commission (EC) and the United States Agency for International Development (USAID)

² IPC is a short-hand acronym including the terms integrated phase classification..

Each Phase is also linked to a tailored **Strategic Response Framework** that provides strategic, non-prescriptive guidance to achieve three objectives: (1) mitigate immediate negative outcomes, (2) support livelihoods, and (3) address underlying/structural causes.

The Reference Table also includes three levels for **Risk of Worsening Phase**: (1) *Watch*, (2) *Moderate Risk*, (3) *High Risk*. Each of these is associated with key information required for the effective early warning of a potential further deterioration of the situation: Probability, Severity, Reference Indicators, Implications for Action, and Timeline.

The **Analysis Templates** are tables which organize key pieces of information in a transparent manner. They facilitate analysis to substantiate a Phase Classification and guide response analysis. The **Cartographic Protocols** are a set of standardized mapping and visual communication conventions which are designed to effectively convey key information concerning situation analysis on a single map. The **Population Tables** are a means to consistently and effectively communicate population estimates by administrative boundaries, livelihood systems, and livelihood types.

The IPC is not an assessment method, per se, but a classification system and a set of protocols for Situation Analysis that integrate multiple data sources, methods, and analyses (options for specific assessment methodologies include those endorsed by WFP, ICRC, Save the Children UK, and many others). Effective use of the IPC encourages a mixed-method approach which is obligatory given the complexity of the analysis and the need for triangulation. In this manner, the IPC gives a consistent and meaningful structure to the final statement. To substantiate an IPC statement, whatever the specific methodologies used, the legitimacy of data sources and analytical methods is rigorously evaluated and reflected in the overall confidence level.

The IPC does not replace existing food security information systems or methodologies. It is a complimentary “add-on” that draws from and provides focus to existing analytical systems, enables comparability, and explicitly links analysis to action. The IPC can be adapted to a broad range of information systems with regards to data availability, methodological approach, and human capacity.

The IPC emphasizes food security analysis through a livelihoods approach, but recognizes that it is impossible to separate food insecurity from associated sectoral crises in the fields of health, water, protection, sanitation, shelter, and others. There is highly dynamic interplay between these sectors; deteriorating situations often co-exist, and stress on one most likely leads to stresses on others.

Thus, the IPC emphasizes food security analysis while integrating related humanitarian concerns. The IPC is not meant, however, to substitute for a more refined analysis of any particular sector.

The IPC draws together and seeks to integrate:

- aspects of existing classification systems
- the breadth of food security phases, not just emergency situations
- food security and nutrition
- lives and livelihoods
- process indicators and outcomes
- information and action
- relief, rehabilitation, recovery, and development
- immediate and longer term perspectives
- concepts and practice
- academic standards and field practicalities
- accountability of analysis and response

*Perhaps most importantly,
the IPC provides a much needed
common currency for food
security analysis.*

Both within Somalia and the Greater Horn of Africa, the IPC has proven to be an effective means for communicating complex analysis to UN agencies, NGOs, governments, donors and media. It has been consistently demonstrated to increase technical consensus, comparability over space and time, transparency through evidence-based analysis, accountability, and the effectiveness of early warning and strategic response.

In the context of the FSAU, the IPC fits within the overall conceptual, operational, and analytic framework of the Food Security Analysis System (FSAS), as a means of conducting multi-faceted aspects of food security analysis through a livelihoods and evidence-based approach³ (see diagram in Appendix C).

The highly dynamic and complex nature of food security analysis in the context of Somalia has provided a vibrant “developing-ground” for the IPC - with multiple livelihood systems ranging from cropping to fishing to pastoralism, and a variety of hazards ranging from floods to drought to civil insecurity to the Tsunami (FSAU 2005). Most importantly, the IPC has been developed in-situ - drawing from academic literature and international guidelines, but driven first and foremost by the realities of conducting food security analysis on a day-to-day basis and linking information to action (see Appendix D).

Overall, this technical manual has three main objectives:

- (1) to provide technical guidance on the use of the IPC for food security and humanitarian analysis
- (2) to contribute to global developments related to improving and standardizing food security and humanitarian analysis
- (3) to solicit feedback on from the broad food security and humanitarian community to inform the development of future versions of the manual.

The manual begins with a discussion of why a common classification system is needed as well as a brief review of existing classification systems. The manual also provides technical details of the concepts and use of the IPC, and ends with a discussion on the potential for the broader applicability of the IPC to other country, regional, and global contexts and future challenges.

Footnotes:

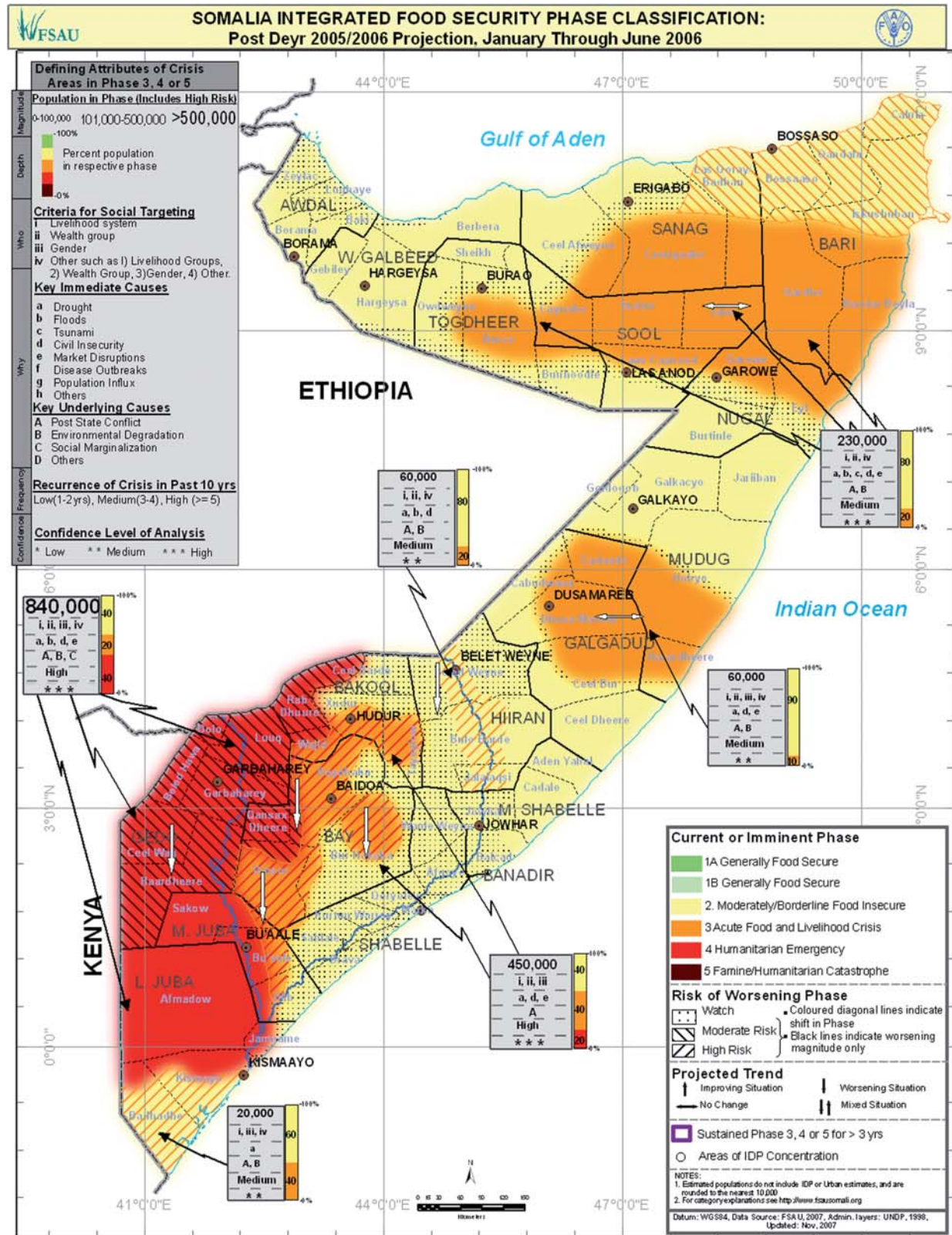
³ FSAU’s Food Security Analysis System (FSAS) is an overarching framework to integrate conceptual, analytical, and operational components of food security analysis through a livelihoods approach. Core analytical components of the FSAS include: Baseline Livelihoods Analysis, Seasonal Food Security Projections, Emergency Food Security and Nutrition Assessments, Key Indicator Monitoring, Nutrition Analysis, and Applied Research. Other core components include: Information Management System, Communication Strategy, Management, and Partner Networking. Core analytical sectors include: climate, agriculture, livestock, markets, nutrition, and civil security (FSAU 2004b). For more details visit www.fsausomali.org

Table 1: IPC Reference Table

Phase Classification		Key Reference Outcomes <i>Current or imminent outcomes on lives and livelihoods. Based on convergence of direct and indirect evidence rather than absolute thresholds. Not all indicators must be present for classification..</i>	Strategic Response Framework <i>Objectives: (1) mitigate immediate outcomes, (2) support livelihoods, and (3) address underlying causes</i>
1A	Generally Food Secure	<i>Crude Mortality Rate</i> < 0.5 / 10,000 / day <i>Acute Malnutrition</i> <3 % (w/h <-2 z-scores) <i>Stunting</i> <20% (h/age <-2 z-scores) <i>Food Access / Availability</i> usually adequate (> 2,100 kcal ppp day), stable <i>Dietary Diversity</i> consistent quality and quantity of diversity <i>Water Access / Avail.</i> usually adequate (> 15 litres ppp day), stable <i>Hazards</i> moderate to low probability and vulnerability <i>Civil Security</i> prevailing and structural peace <i>Livelihood Assets</i> generally sustainable utilization (of 6 capitals)	Strategic assistance to pockets of food insecure groups Investment in food and economic production systems Enable development of livelihood systems based on principles of sustainability, justice, and equity Prevent emergence of structural hindrances to food security Advocacy
1B	Generally Food Secur		
2	Moderately / Borderline Food Insecure	<i>Crude Mortality Rate</i> <0.5 / 10,000 / day; U5MR<1 / 10,000 / day <i>Acute Malnutrition</i> >3% but <10 % (w/h <-2 z-score), usual range, stable <i>Stunting</i> >20% (h/age <-2 z-scores) <i>Food Access / Availability</i> borderline adequate (2,100 kcal ppp day); unstable <i>Dietary Diversity</i> chronic dietary diversity deficit <i>Water Access / Avail.</i> borderline adequate (15 litres ppp day); unstable <i>Hazards</i> recurrent, with high livelihood vulnerability <i>Civil Security</i> Unstable; disruptive tension <i>Coping</i> "insurance strategies" <i>Livelihood Assets</i> stressed and unsustainable utilization (of 6 capitals) <i>Structural</i> Pronounced underlying hindrances to food security	Design & implement strategies to increase stability, resistance and resilience of livelihood systems, thus reducing risk Provision of "safety nets" to high risk groups Interventions for optimal and sustainable use of livelihood assets Create contingency plan Redress structural hindrances to food security Close monitoring of relevant outcome and process indicators Advocacy
3	Acute Food and Livelihood Crisis	<i>Crude Mortality Rate</i> 0.5-1 / 10,000 / day, U5MR 1-2 / 10,000 / dy <i>Acute Malnutrition</i> 10-15 % (w/h <-2 z-score), > than usual, increasing <i>Disease</i> epidemic; increasing <i>Food Access / Availability</i> lack of entitlement; 2,100 kcal ppp day via asset stripping <i>Dietary Diversity</i> acute dietary diversity deficit <i>Water Access / Avail.</i> 7.5-15 litres ppp day, accessed via asset stripping <i>Destitution / Displacement</i> emerging; diffuse <i>Civil Security</i> limited spread, low intensity conflict <i>Coping</i> "crisis strategies"; CSI > than reference; increasing <i>Livelihood Assets</i> accelerated and critical depletion or loss of access	Support livelihoods and protect vulnerable groups Strategic and complimentary interventions to immediately food access / availability AND support livelihoods Selected provision of complimentary sectoral support (e.g., water, shelter, sanitation, health, etc.) Strategic interventions at community to national levels to create, stabilize, rehabilitate, or protect priority livelihood assets Create or implement contingency plan Close monitoring of relevant outcome and process indicators Use "crisis as opportunity" to redress underlying structural causes Advocacy
4	Humanitarian Emergency	<i>Crude Mortality Rate</i> 1-2 / 10,000 / day, >2x reference rate, increasing; U5MR > 2 / 10,000 / day <i>Acute Malnutrition</i> >15 % (w/h <-2 z-score), > than usual, increasing <i>Disease</i> Pandemic <i>Food Access / Availability</i> severe entitlement gap; unable to meet 2,100 kcal ppp day <i>Dietary Diversity</i> Regularly 3 or fewer main food groups consumed <i>Water Access / Avail.</i> < 7.5 litres ppp day (human usage only) <i>Destitution / Displacement</i> concentrated; increasing <i>Civil Security</i> widespread, high intensity conflict <i>Coping</i> "distress strategies"; CSI significantly > than reference <i>Livelihood Assets</i> near complete & irreversible depletion or loss of access	Urgent protection of vulnerable groups Urgently food access through complimentary interventions Selected provision of complimentary sectoral support (e.g., water, shelter, sanitation, health, etc.) Protection against complete livelihood asset loss and / or advocacy for access Close monitoring of relevant outcome and process indicators Use "crisis as opportunity" to redress underlying structural causes Advocacy
5	Famine / Humanitarian Catastrophe	<i>Crude Mortality Rate</i> > 2 / 10,000 / day (example: 6,000 / 1,000,000 / 30 days) <i>Acute Malnutrition</i> > 30 % (w/h <-2 z-score) <i>Disease</i> Pandemic <i>Food Access / Availability</i> extreme entitlement gap; much below 2,100 kcal ppp day <i>Water Access / Avail.</i> < 4 litres ppp day (human usage only) <i>Destitution / Displacement</i> large scale, concentrated <i>Civil Security</i> widespread, high intensity conflict <i>Livelihood Assets</i> effectively complete loss; collapse	Critically urgent protection of human lives and vulnerable groups Comprehensive assistance with basic needs (e.g. food, water, shelter, sanitation, health, etc.) Immediate policy / legal revisions where necessary Negotiations with varied political-economic interests Use "crisis as opportunity" to redress underlying structural causes Advocacy

Risk of Worsening Phase	Probability / Likelihood	Severity	Reference Process Indicators	Implications for Action
Watch	As yet unclear	Not applicable	Occurrence of, or predicted <i>Hazard</i> event stressing livelihoods; with low or uncertain <i>Vulnerability</i> Process Indicators: small negative changes	Close monitoring and analysis Review current Phase interventions
Moderate Risk	Elevated probability / likelihood	Specified by predicted Phase, and indicated by color of diagonal lines on map.	Occurrence of, or predicted <i>Hazard</i> event stressing livelihoods; with moderate <i>Vulnerability</i> Process Indicators: large negative changes	Close monitoring and analysis Contingency planning Step-up current Phase interventions
High Risk	High probability; "more likely than not"		Occurrence of, or strongly predicted major <i>Hazard</i> event stressing livelihoods; with high <i>Vulnerability</i> and low <i>Capacity</i> Process Indicators: large and compounding negative changes	Preventative interventions with increased urgency for High Risk populations Advocacy

Map 1: Somalia Situation Analysis, Post Deyr 2005/06 Projection, January 2006 through June 2006



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FSAU is managed by FAO, funded by EC, the Government of Kenya and USAID. FSAU Partners are FEWS NET, WFP, FAO, UNDOCHA, SCF-UK, UNICEF, CARE, UNDP, SIDA.
The boundaries and names on these maps do not imply official endorsement or acceptance by the United Nations.
The regional & District boundaries reflect those endorsed by the Government of the Republic of Somalia in 1998.



2. BACKGROUND

2.1 The Need for a Food Security Phase Classification System

Based on a global review of needs assessment practice, the Overseas Development Institute (ODI) HPG Report “According to Need? - Needs assessment and decision-making in the humanitarian sector” (Darcy and Hofmann, 2003), identifies a critical gap in food security and needs assessment practice. While there is a broadly accepted definition of food security¹, there is a lack of clarity and common definitions for classifying various situations in terms of varying severity and implications for action. This lack of clarity is operationally problematic because the way in which a situation is classified determines not only the form of response, but the source of funding and its scale, the planning timeframe and the organizational roles of different stakeholders. There is an urgent practical and operational need for a broadly accepted food security classification system.

This “gap” and resulting lack of clarity is well recognized by analysts, donors, governments, implementing agencies, academics and the media. Projects such as the EC/WFP Strengthening Emergency Needs Assessment Capacity (SENAC) project, the EC/FAO Programme for Linking Information to Action, and the FAO/Netherlands Partnership Programme (FNPP) are all focused on improving food security assessment practices in order to elicit more effective response. NGO’s, including Save the Children, Oxfam, CARE, World Vision and others are also investing in improving assessment practices. Academic institutions such as Institute of Development Studies (IDS) in Sussex, Tufts University, Tulane University, and ODI also guide and contribute to this dialogue.

There are a number of ongoing initiatives to improve and develop global food security classifications systems. Inter-agency and global initiatives include the Standardized Monitoring and Assessment of Relief and Transitions SMART (SMART 2006), the DFID sponsored Benchmarking effort (DFID 2005), and the WHO led Humanitarian Tracking System. Coming to an agreement on a means of classifying humanitarian situations is also identified as a priority activity in the UN Inter-Agency Standing Committee as part of the ongoing humanitarian reform efforts (OCHA 2006). In practice, the food security and humanitarian communities are working towards a consensus on classifying food security situations with increasing attention to humanitarian principles and accountability.

Lessons learned from the last decade of food security crisis assessment and response highlight several key challenges that can help inform the development of a global food security classification system. In summary, a classification system needs to enable:

- **Technical Consensus:** Food security crises always involve multiple stakeholders, and response is much more effective (whether for leveraging resources or coordination) if there is technical consensus on the situation analysis. Without common terminology and criteria, such consensus is very difficult to build, and can be undermined by non-technical agendas.
- **Comparability Over Space:** In order to ensure the best use of limited resources, decision makers need to know how the severity of crisis situations compares from one place to another. Only when such a comparison can be made, using commonly adopted criteria, can humanitarian assistance be best directed to the people most in need.
- **Comparability over Time:** Decision makers need to be able to understand the evolution of a crisis as it worsens or improves in order to increase, decrease, or change the strategic focus of the response as well as identify exit criteria.
- **Transparency through Evidence-Based Analysis:** Analysts should be fully transparent in how conclusions are made, and decision makers should demand evidence to support findings. Without reference criteria the requirements for an adequate evidence base remain ambiguous.
- **Accountability:** Without consensual standards in reference characteristics, “analytical” accountability is not possible. There is a strong need for reference characteristics to avoid errors of commission (i.e., exaggerating a crisis which can lead to over-response) or errors of omission (i.e., “missing” or understating a crisis which can lead to lack of response). The former can waste resources and undermine livelihoods, while the latter can lead to loss of human lives and chronic poverty. With reference criteria and evidence standards, it is possible to enforce accountability from those responsible for analysis through peer review and public challenges to questionable findings.

Footnotes:

¹ “Food security exists when all people, at all times, have physical and economic access to sufficient, safe and nutritious food for a healthy and active life”, World Food Summit Plan of Action, 1996. The four pillars of food security analysis include: access, availability, utilization, and stability.

- **Effective Early Warning:** Decision makers need to know the potential severity, likelihood and timing of a pending crisis. Without a common technical understanding for describing crises, early warning messages can be ambiguous and go unheeded.
- **More Strategic Response:** Depending on the specific severity level of a given food security or humanitarian situation, there is a need for fundamentally different emphases in strategic response. Furthermore, the menu of options for mitigating a crisis needs to be fully evaluated, rather than resorting to a “supply-side” driven response.

2.2 Review of Existing Food Security Classifications Systems

Classification systems are not new, as means of classifying famines date back to the 1880’s Indian Famine Codes (Brennan 1984, Howe and Devereux 2004). In practice, classification of some type is necessary in order to make sense of situation analyses and communicate this to decision makers. Currently there are numerous ways in which food security situations are defined and classified. Agencies such as Oxfam, WFP, FAO GIEWS, MSF, FEWS NET, and many others have developed different systems for classifying food security crisis situations. Depending on the country, institutions involved, and persons doing the analysis, classification systems differ. Current operational systems can be roughly divided into four broad types: “relative terms”, “guiding definitions”, “specific aspect” and “referenced threshold” classifications. A comprehensive review of the different systems is not presented here. Instead, a brief review that identifies aspects of selected systems and illustrates their differences and weaknesses is given (see and Darcy and Hoffman 2003 for a comprehensive comparative review).

Classification Systems Based on “Specific Aspects”

Specific aspect classification systems are designed to distinguish meaningful categories of specific variables such as malnutrition, conflict, and coping strategies. One example is the MSF nutrition guidelines (2000), where stages of food insecurity are referenced against stages of coping strategies including *Insurance Strategies*, *Crisis Strategies*, and *Distress Strategies*. Other examples of a specific classification system are the conflict typologies developed by Samarasinghe, et al. (1999) for USAID and the Swiss Peace FAST conflict early warning system developed by Krummenacher et al (2001).

These systems are effective for providing a more detailed and nuanced understanding of particular variables. Bringing these specific-aspect classification systems together in an integrated system reveals complex inter-relationships between variables and allows for a more comprehensive and robust analysis.

Classification Systems Based on “Relative Terms”

The most often used classification system utilizes adjective variations on terms such as “vulnerable”, “food insecure”, “hotspot”, etc. to describe or classify different food insecurity situations. While striving to capture the overall essence of a crisis, this type of classification system is based on relative terms whose meaning is open to interpretation (even if the analysts themselves are clear about their meanings). This classification approach can have internal integrity when used within a particular country or context, enabling people or geographic areas to be identified and prioritized. Thus, they can be effective in drawing attention to priority areas within a given system, and imply a degree of severity.

These “relative terms” are generally not accompanied, however, by uniform reference characteristics - thus opening their use to bias and leading to ambiguous or subjective categorizations. As such, systems based on relative terms typically do not enable technical consensus and are not comparable over space and time. The ambiguity inherent in relative terms and the lack of clear reference characteristics often means that transparency and accountability are not achieved.

Classification Systems Based on “Guiding Definitions”

Other classification systems utilize consistent “guiding definitions” to arrive at a classification. An example of guiding definitions are the current FEWS NET alert levels (FEWSNET, 2005), whereby geographic areas and countries are divided into levels of Emergency, Warning, Watch, Concern, or No Alert³. Associated with each of these terms is a definition that guides its consistent usage (Appendix E). Furthermore, the choice of classification terms is meant to evoke different actions, and the guiding definition has broad implications for decision making.

Another example of a system using guiding definitions is the Kenya Arid Lands Resource Management Project (AL-RMP), where stages of Normal, Alert, Alarm, and Emergency are associated with guiding definitions (Appendix E). Additional examples of systems using guiding definitions are Oxfam’s severity typology that uses Type 1, Type 2,

Footnotes:

³ FEWS NET is currently developing a revised version of this alert system..

and Type 3, which describes varying levels of food and nutrition crisis, and FAO's Global Information Early Warning System (GIEWS) which categorizes countries based on shortfalls of food supply and access.

While intended to provide guidance on their usage, the "guiding definitions" are generally descriptive and open to interpretation, limiting the comparability over space and time. For example, some places may be classified as an "emergency" but are actually less severe than a different place being analyzed by different analysts, and vice-versa. The lack of clear reference characteristics associated with the guiding definitions limits the degree of comparability of analysis over space and time and does not explicitly set targets for evidence-based analysis.

Classification Systems Based on "Referenced Thresholds"

"Referenced Threshold" classification systems identify measurable indicators of food insecurity and set cut-off limits for determining various stages. Typically, these "measurable" indicators are outcome oriented and based on anthropometry, including malnutrition and mortality. Examples of this approach are the Famine Magnitude Scale developed by Howe and Devereux (2004) and the Food Insecurity Classification developed by Darcy and Hoffman (2003).

The Famine Magnitude Scale of Howe and Devereux includes six levels of famine intensity including: Food Security Conditions, Food Insecurity Conditions, Food Crisis Conditions, Famine Conditions, Severe Famine Conditions, and Extreme Famine Conditions. Each level is referenced against specific malnutrition and mortality thresholds as well as general descriptors of livelihoods. This scale of intensity is further complimented with a magnitude scale that identifies various categories of magnitude according to mortality figures resulting from a crisis (Appendix F).

Darcy and Hoffman's classification of food insecurity includes four levels: Chronic Food Insecurity, Acute Food Crisis, Long-term Food Crisis, and Famine. Each of these levels is associated with specific malnutrition and mortality rates, as well as general food security indicators. This classification also associates each level with general responses.

Both of these initiatives explicitly strive to make the classification comparable over space and time by referencing the classification to internationally accepted, quantifiable criteria. The IPC builds on this approach of linking categories to measurable indicators and integrates a more comprehensive set of outcomes on lives and livelihoods. It also links these to response, early warning, analysis procedures, mapping conventions and population table conventions.

3. OVERVIEW OF THE IPC AND “SITUATION ANALYSIS”

To address the key challenges noted previously the FSAU has developed the Integrated Food Security Phase Classification (IPC) which builds on the strengths of the main types of classification systems and makes some unique contributions.

Revision

The name of the IPC has been revised to omit the term “humanitarian”. See Appendix H for explanation.

The IPC enables a composite analytical statement on food security situations, drawing together multiple indicators of human welfare and livelihoods to guide consistent and meaningful analysis. Use of the IPC builds upon, but is a separate process from, specific methodologies used to collect and analyze specific data sets. In this way, the IPC enables **meta-analysis** of existing data and information from a variety of sources to summarize **Situation Analysis**.

The IPC helps meet the goals of the Humanitarian Charter (Sphere 2004), as well as numerous international conventions asserting human rights such as the World Food Summit Plan of Action (FAO 1996). The IPC is designed around broad conceptual frameworks for food security analysis including the four pillars of access, availability, utilization, and stability; the UNICEF model of nutrition analysis (UNICEF 1996); and Sen’s entitlement analysis (1981). Analytically, the IPC draws from a broad interpretation of a livelihoods approach (FSAU 2004) which includes both livelihood strategies, drawn from the Household Economy Approach (SCF-UK 2000), and livelihood assets, drawn from the Sustainable Livelihoods Approach (Frankenburger 1992, DFID 2001).

3.1 Focus of the IPC

The IPC is a set of tools for guiding and communicating food security Situation Analysis. The name change described in the previous section should further clarify the focus on food security analysis as opposed to multi-sectoral humanitarian analysis. The IPC includes a Reference Table to serve as a base for classifications using common standards. Its supporting tools include Analysis Templates, Cartographic Protocols, and Population Tables. While the IPC fills a critical component in overall food security analysis and response, it is not a panacea for the multiple challenges of conducting food security analysis.

While the IPC can contribute to improving data collection, monitoring, and information systems, methodologies, capacity building of analysts, and other important prerequisites for food security analysis, it is not a tool that directly meets these challenges. Moreover, while the IPC can support improved response analysis, planning, response implementation, and project monitoring, it can only be considered a strong and consistent input into these processes.

The Situation Analysis of the IPC has strong linkages to, but is not, Response Analysis. Indeed, Response Analysis is considered a separate, but linked, step from the IPC. This distinction better ensures that IPC analysis is done in an unbiased manner - i.e., insulated as much as possible from the institutional, financial, and political pressures that can influence humanitarian interventions. Keeping Situation and Response Analysis separate better ensures that there will be a strong commonly accepted foundation upon which to plan and implement interventions.

The IPC links to Response Analysis in four main ways: (1) the Strategic Response Framework, which provides generic guidance for what to do in each Phase, (2) the Analysis Templates, which both document unique characteristics of a projected Phase and Risk of Worsening Phase as well as identify opportunities for short and long-term interventions, (3) the Cartographic Protocols, which graphically present core aspects of Situation Analysis, and (4) IPC analysis reporting, which provides more depth and detail to complement the standard outputs of IPC analysis. Note that the Analysis Templates identify “opportunities for interventions” without making actual planning recommendations - the latter requires subsequent Response Analysis that considers technical as well as operational issues. Building on the notion of creating standards, there is also scope for the future development of common protocols for Response Analysis.

3.2 Analytical Logic of the IPC

The IPC is a means for classifying various stages of food security situations based on outcomes on lives and livelihoods. Outcomes are a function of both immediate hazard events and underlying causes, as well as the specific vulnerabilities of livelihood systems (including both livelihood assets and livelihood strategies). Outcomes are referenced against internationally accepted standards, and their convergence substantiates a phase classification for any given area. Each phase is associated with a unique strategic response framework, while the outcome configuration for any given situation guides the development of the most appropriate responses within that framework. While the phase classification describes the current or imminent situation for a given area, levels of **Risk of Worsening Phase** are a predictive tool to communicate the potential for further deterioration of the situation.

3.3 Components of the IPC

The IPC integrates a suite of tools including the **Reference Table**, **Analysis Templates**, **Cartographic Protocols**, and **Population Tables**.

The IPC **Reference Table** guides analysis for both the **Phase Classification** and **Risk of Worsening Phase**. The Phase Classification classifies geographic areas and social groups into one of five **Phases** - *Generally Food Secure (1A and 1B)*, *Moderately/Borderline Food Insecure*, *Acute Food and Livelihood Crisis*, *Humanitarian Emergency* and *Famine/Humanitarian Catastrophe*. A set of **Key Reference Outcomes** are associated with each Phase to guide the analytical statement. These are drawn from internationally accepted standards, and represent a breadth of outcomes on human welfare and livelihoods that enable triangulation and ensure the adaptability of the IPC to a wide variety of situations.

To facilitate linking information to action, each Phase is associated with a **Strategic Response Framework** that provides strategic, yet generic, guidance for achieving three objectives:

- (1) Mitigate immediate negative outcomes
- (2) Support livelihoods
- (3) Address underlying/structural causes

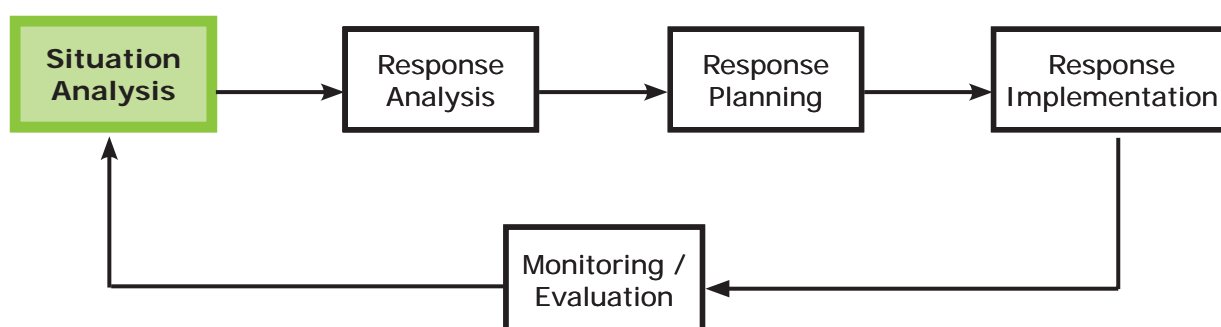
The Reference Table also includes protocols for providing the **Risk of Worsening Phase**, which are divided into three levels: (1) *Watch*, (2) *Moderate Risk*, and (3) *High Risk*. Each of these levels is associated with key information required for effective early warning: *Probability*, *Severity*, *Changes in Process Indicators*, and *Implications for Action* (the expected duration of the Situation Analysis is included in the cartographic protocols).

The **Analysis Templates** are tables which organize key pieces of information in a transparent manner to substantiate a Phase Classification statement. They include additional important information to guide effective response. The **Cartographic Protocols** are a set of standardized mapping and visual communication conventions that effectively convey key information concerning situation analysis on a single map. The **Population Tables** are a means to consistently and effectively communicate population estimates by administrative boundaries, livelihood systems, and livelihood types.

3.4 Situation Analysis

The IPC enables consistent analysis and communication of **Situation Analysis** -a distinct yet often overlooked, or assumed, stage in the “analysis-response continuum”. The diagram below illustrates its relationship with other broad stages, which include: Response Analysis, Response Planning, Response Implementation and Monitoring/Evaluation.

Figure 1: “Situation Analysis” within broad stages of the “Analysis-Response Continuum”



Revision
The terminology of “Early Warning Levels” has been revised to “Risk of Worsening Phase”. See Appendix H for explanation.

Revision
The Phase “Generally Food Secure” has been provisionally revised to give users the option of two different levels: 1A and 1B. Based on field trials, Version 2 of the IPC Manual will most likely introduce a new Phase between the current 1 and 2. See Appendix H for an explanation and Appendix I for a sample map from Kenya.

Revision
The Phase name of “Chronically Food Insecure” has been revised to “Moderately/ Borderline Food Insecure”. See Appendix H for explanation.

The overall **objectives** of each stage are shown below:

- **Situation Analysis:** To identify foundational aspects of a given situation (e.g., severity, magnitude, causes, and others) which are most relevant and essential for an effective and efficient response and for which there should be broad technical consensus.
- **Response Analysis:** To identify the range of potential strategic responses that would be most effective and efficient in mitigating immediate outcomes, supporting livelihoods, and addressing underlying causes.
- **Response Planning:** To identify and put in place operational requirements and systems to enable an effective and efficient response. These include logistics, financing, institutional partnerships, advocacy, training and others.
- **Response Implementation:** To implement multiple operational modalities towards an effective and efficient response.
- **Monitoring / Evaluation:** To detect changes in Response Implementation and Situation Analysis; to determine degrees of desired impact from project output and overall impact perspectives; and inform adjustments in the response as necessary.

Each of these stages involves unique expertise, institutions, timing and outputs. Therefore, they warrant distinct protocols specifically designed to facilitate that stage and ensure minimal standards of information provision, rigour and consistency.

The IPC provides key protocols for Situation Analysis and provides the platform for subsequent Response Analysis, Response Planning, Response Implementation, and Monitoring/Evaluation. Although these latter aspects of the analysis-response continuum are not covered in this manual, they also warrant basic protocols and standards. The Needs Analysis Framework (NAF 2005) is an example of a global effort to provide protocols for multi-sectoral and inter-agency Response Analysis (IASC 2005).

Situation Analysis is the foundation for planning and implementing subsequent interventions. Optimally, there should be broad consensus from all stakeholders (UN agencies, NGOs, governments, donors, media, and affected populations) on Situation Analysis. Strong consensus on Situation Analysis leads to effective coordination, more leverage for resources, and more efficient response.

Key aspects of Situation Analysis include:

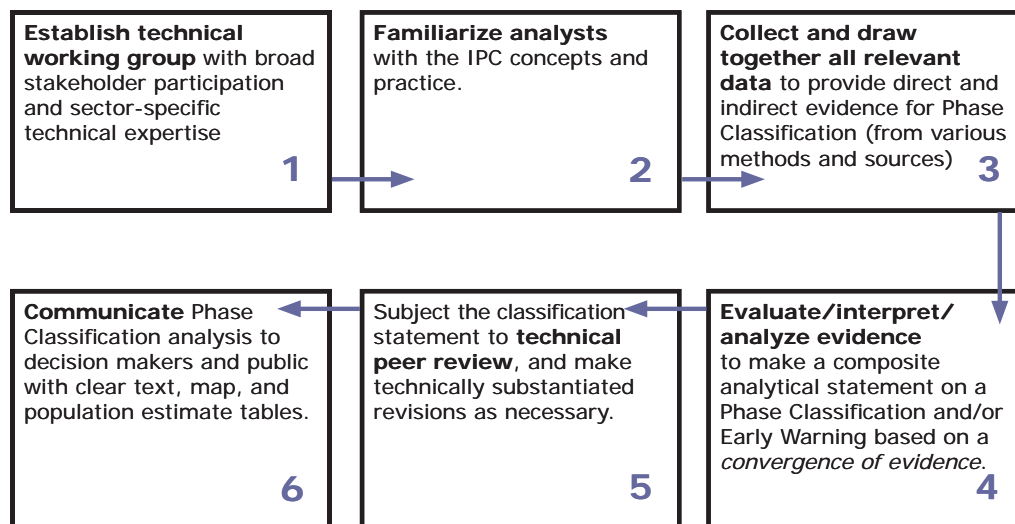
- **Severity of the situation** - How severe is the situation with regards to impacts on human lives and livelihoods?
- **Geographic extent** - What is the approximate geographic area in crisis? This should be defined according to actual spatial analysis, but can be guided by livelihood zones, administrative boundaries, agro-ecological zones, and other spatial markers.
- **Magnitude (# people)** - What is the estimated number of people experiencing various severity levels of crisis?
- **Immediate causes** - What are the direct, or proximate, causes of the crisis?
- **Underlying causes** - What are the underlying, distal, or structural causes of the crisis?
- **Identification of general needs** - What basic human needs and aspects of livelihood systems require support?
- **Recurrence of Crisis** - How often has a particular area experienced crisis in the past 10 years?
- **Criteria for social targeting** - What are the key criteria for targeting interventions to the most appropriate social groups?
- **Projected trend** - Is the future projected trend for the crisis area expected to improve, worsen or stay the same for the foreseeable future?
- **Confidence level of analysis** - What is the overall confidence level of the analysis as estimated by analysts based on a heuristic critique of the available evidence?

The IPC integrates all of these aspects of Situation Analysis in the Analysis Templates and communicates them with the Cartographic Protocols.

3.5 Steps in Using the IPC and its Adaptability to Diverse Information Systems

The general process of using the IPC involves six main steps (Figure 2). Adherence to these steps will enable evidence-based analysis, technical consensus, and linking information to action - all of which underpin the technical integrity of the IPC.

Figure 2: Main steps for using the IPC



The IPC is designed to be adaptable to a wide variety of information systems and analytical approaches. In most countries that experience chronic food insecurity or recurrent humanitarian crises, an information system of some type typically exists. This may range from a very rigorous and comprehensive system to a minimal or informal system. The IPC is designed to build on existing information systems in any given country (much like an “add-on” component), and help make the most rigorous, consistent, and meaningful use of that data and analysis. As such, the IPC can be equally applied in “data rich” and “data poor” settings.

3.6 IPC Analysis Process

The IPC is a set of tools for evidence-based meta-analysis of food security situations based on well-accepted conceptual frameworks, including: (1) the “food security pillars” of access, availability, utilization, and stability; (2) livelihoods analysis that incorporates livelihood strategies (i.e., the way people live and their behaviors) and livelihood assets (i.e. the range of resources people can build on and draw from along with policies, institutions, and processes); (3) the basic risk equation that shows that Risk is a function of Hazards and Vulnerability; and (4) the twin-track approach to interventions which addresses immediate problems while simultaneously addressing underlying causes and promoting sustainable development. Effective use of the IPC requires analysts to have a strong working knowledge of these concepts.

As previously noted, the IPC is not a methodology. Instead, it draws together multiple methods and data sources into an overarching meta-analysis of the situation. The classification is based on the documentation of any and all available direct and indirect evidence of the IPC reference outcomes, followed by determining appropriate Phase and Risk Levels based on convergence of evidence. This poses two main challenges to the analysts: (1) the need to reconcile potentially contradictory evidence, and (2) in the absence of any direct measures (which require interpretation in their own right), the need to interpret the likely related outcome of process and/or proxy indicators.

The first challenge requires analysts to consider all the evidence available, including their indications, long-term trends, reliability, and likely importance in a given situation. Given the massive complexity of trying to operationally model these dynamics, the IPC uses the approach of working with technical peers to evaluate the available evidence and make an evidence and consensus-based expert judgment on what Phase and Risk Level best describes a food security situation.

In technical terms, this type of decision making process is akin to a Delphic Process whereby holistic and iterative examination of the available evidence among diverse technical peers informs the ultimate decision¹. That said, not all IPC conclusions are equally supported by a solid evidence base (due to data limitations, time, and other factors),

¹ Note that in a pure Delphic process, experts are kept anonymous from each other to avoid inter-personal biases in the analysis.

and the IPC allows this variation in rigor to be communicated through the Confidence Levels of the analysis which show low, medium, and high confidence for each IPC statement.

The second challenge - interpreting indirect evidence such as process or proxy indicators - requires analysts to put into practice the livelihoods approach and the risk, hazard, vulnerability equation. Proxy or process indicators by definition do not directly measure an outcome, and need to be interpreted according to their livelihood and historical context. The IPC Reference Table provides a common reference for outcomes that they should be compared to, and it is up to the analysts to make the appropriate association between specific indirect evidence and the IPC reference outcomes.

The IPC does not provide thresholds for interpreting indirect evidence (e.g., market prices, crop production, rainfall, etc.) because these will entirely be dependent on local environmental and livelihood contexts, and are thus not comparable from place to place. That said, it would be possible to develop reference thresholds for indirect evidence for specific livelihood zones in a given country, and to use those thresholds to internally guide a phase classification for that area. Having baseline information of the livelihood system and benchmark values of key indicators is very useful for interpreting indirect evidence.

3.7 Data Adequacy and Reliability

While the ideal is to have adequate and reliable data to inform IPC analysis, the practical reality is that data is not fully available and reliable. The IPC approach is to recognize that with or without optimal data, decisions are made and would be better informed through the systematic analysis of that data which does exist. Initial attempts at documenting data can be further improved upon as the body of evidence grows. Thus, IPC analysis can be done with scanty or very comprehensive data, and that difference should be clearly indicated through the Confidence Levels of the analysis. The confidence level of the analysis is informed through overall evaluation of a completed Analysis Template with consideration for the comprehensiveness of the evidence, its strength in indicating a reference outcome, and its reliability (note that each piece of evidence is assigned a reliability score). Future IPC revisions will aim towards making this process more quantifiable and systematic, but for now the overall confidence level is an assessment made by technical consensus among analysts.

3.8 When and How Often to Do IPC Analysis

IPC analysis can be initiated at any time, but subsequently should be updated whenever evidence indicates the food security situation has changed or may change in the future. Thus, the IPC is a “living analysis” that is constantly and dynamically updated as the food security situation changes or new potential hazard/shock data becomes evident. The historical record of previous IPC Analysis Templates and Cartographic maps provides an invaluable resource towards informing IPC analysis and understanding the evolution of food security over time.

At a minimum, the IPC should be updated whenever new evidence indicates that the food security situation has or may change in the future. If the IPC analysis is conducted according to seasons, the situation can change in between analysis due to new hazard events or further deterioration, and the IPC statement should be updated accordingly.

3.9 Time Horizon for IPC Analysis

The IPC Phase Classification is a projection of the most likely Phase for a given area within the stated time period of the analysis. It is up to analysts to determine an appropriate time horizon for the projection, and this should be influenced primarily by the needs of decision makers. Thus, the analysis can project the most likely situation up until the next known event that will most likely change the food security situation (e.g. a rainy season), or it can project beyond that event.

IPC analysis can be conducted for numerous different time periods, including short term projections, longer term projections, and even retrospectively. Analysts should clearly define the time period their analysis covers. In some situations distinct IPC analyses can be conducted for multiple consecutive periods. For example, an IPC analysis could be undertaken projecting anticipated food security conditions for the next 6 months, and a separate complementary analysis for the 3 months following that period could be undertaken to provide longer range early warning.

3.10 Early Warning

In the most basic sense, early warning occurs anytime analysis projects into the future. It is a function of the amount of time between the date the analysis is conducted and the end date of the projection. The IPC Phase classification itself, in as much as it is projecting into the future, is an early warning statement. The “Risk of Worsening Phase” is also an early warning statement that the situation could further deteriorate in the stated time period of the projection.

3.11 Inclusion of “Imminent” in the Phase Classification

The Phase Classification is referenced against the outcome indicators in the IPC Reference Table and is based on the **currently** evident presence of those indicators and/or their **imminent** presence within the time period of the analysis. The inclusion of imminent in the projection is critical to ensuring that appropriate actions are taken in a timely manner. By including imminent in a Phase classification, analysts are communicating that if the outcomes are not yet present they are likely to be so in the time period specified (meaning very high probability with very high confidence), and thus the area should be treated as being in that Phase with regards to programming and planning urgency.

3.12 Spatial Scale of Analysis

IPC analysis can be conducted at any scale - from country-wide to individual villages - depending on the geographic dimensions of a crisis, the needs of decision makers, and the practicalities of conducting analysis. Typically, however, IPC analysis is conducted at a meso-scale of analysis that is informed by the geographic features of a hazard event and the underlying bio-social conditions (e.g., agro-ecological zones, livelihood zones, crop production zones, topography, etc.).

3.13 Institutional Ownership and Processes

Key to the IPC’s technical integrity is the process in which it is conducted, which requires diverse technical experts from a range of stakeholder agencies to reach technical consensus based on a convergence of evidence. Consistent with the Rights Based approach, whereby national governments have first and foremost responsibility for ensuring food security, the IPC emphasizes a role for national governments to lead IPC analysis, with the support of international technical experts as necessary. This ensures understanding and ownership of the IPC results.

In developing and implementing the IPC, the Global IPC Partner agencies have agreed to adhere to a set of guiding/working principles for operating the IPC within a country. The guiding principles elaborate on how the IPC could be applied outside of the original development context in Somalia, particularly taking into account the imperatives of national ownership and underlying processes. These are listed below:

Guiding principles for IPC implementation with a Common interagency Approach

1. The implementation of the IPC should be a consensual process facilitated by a broad interagency working group, including government and key constituencies.
2. All efforts should be made to engage and build government capacity and promote ownership and strengthen the institutional process.
3. Collaborating IPC agencies should strive to maintain internationally agreed-upon standards for IPC analysis, even during the development stage, so as not to lose the potential for regional and global comparison of results.
4. The timing of analysis should be linked to events/critical seasons that affect food security situations. The entry point might be a multi-agency planning event.
5. There should be commitment by members of inter-agency working group to multi-year process.
6. The implementation of IPC processes should be demand driven by government where possible.
7. The IPC can be started regardless of data availability. The initial situation analysis will be useful and improved as the process proceeds and will highlight key information gaps to be filled.
8. Any data used should contain confidence rankings.
9. The IPC process should comprise a mechanism for building an institutional commitment from government.
10. To promote transparency, the results of IPC analysis should be made available to the public in a timely manner.
11. IPC analysis should be done with technical neutrality by having broad membership in the interagency group and through a transparent process of consensus building and ensuring that group members participate according to their technical capacity.
12. IPC results should be subject to an external peer review process to check quality and maintain standards.
13. The IPC should be developed as an iterative learning process, in which collaborating agencies commit to document practice and lessons learned.
14. The leadership of IPC processes in countries should be decided by the interagency group in-country based on both comparative advantages and responsibilities (e.g. Government leadership).
15. The IPC should be used to engage/advocate with donors to make decisions according to need.

3.14 Core Technical Elements of IPC Analysis

Given the multiple components and level of detailed guidance within the IPC, it is often asked, “What makes an IPC analysis?” Indeed, IPC analysis can be thought of at various levels, ranging from the very core or essential elements that, if not done, mean that it is not IPC analysis; to the optimal elements which will require more effort. The table below distinguishes three levels of IPC usage and provides associated criteria.

Level of IPC Usage	Minimal Criteria
Level 1 (essential/core elements)	<ul style="list-style-type: none"> • Use IPC Phases and terminology when describing the severity of a food security situation • Associate Phases with IPC reference outcomes in the Reference Table • Document evidence in support of a Phase Classification using Part 1 of the IPC Analysis Templates and make available for public scrutiny • Conduct analysis with technical working group and subject analysis to technical peer review • Production of an IPC Map that minimally illustrates the results using the protocols of the main key
Level 2 (preferred elements)	<ul style="list-style-type: none"> • Identify other elements of Situation Analysis (in addition to severity) as specified in the Cartographic Protocols • Produce a map of the results using the IPC Cartographic Protocols in both the main and sub-key • Communicate the estimated population using IPC Population Tables
Level 3 (optimal elements)	<ul style="list-style-type: none"> • Complete IPC Analysis Templates Parts 2 and 3 in full for more detailed and comprehensive analysis of the situation and to better inform implications for action

3.15 Unique Contributions of the IPC

The IPC incorporates many elements of the classification systems described previously, and makes new contributions including:

- Enabling the strategic goal of saving livelihoods by including the phase of Acute Food and Livelihood Crisis, and including the analysis of livelihood assets in the Key Reference Outcomes, Strategic Response Framework and Analysis Templates.
- Integrating a number of different reference outcomes (in addition to nutrition indicators) to allow for greater adaptability to different situations, practicality given data limitations, and increased opportunities for triangulation.
- The explicit inclusion of additional key aspects of Situation Analysis such as causes, magnitude, projected trends, social group identification, underlying conditions, and confidence level of analysis.
- Putting in practice the concept of convergence of evidence to support a phase classification statement. This is practical due to the highly complex and dynamic nature of classifying food security situations as well as widely varying data availability.
- The inclusion of a comprehensive, yet generic and widely-applicable Strategic Response Framework associated with each phase.
- The inclusion of multi-sectoral aspects of humanitarian issues as both Key Reference Outcomes and in the Strategic Response Framework.
- Providing protocols for Early Warning and linking the various risk levels to the Phase classification system.
- Enabling increased rigour and transparency by supporting the classification with an evidence based approach using standardized Analysis Templates.
- The development of Cartographic Protocols to enable standardized and clear communication of complex analysis.
- The development of standard Population Tables that identify the number of people in crisis by administrative boundaries and livelihood systems.

4. IPC REFERENCE TABLE - TECHNICAL GUIDELINES

The IPC **Reference Table** (see Table 1) guides analysis for both the Phase Classification (Phase Classes, Key Reference Outcomes, and Strategic Response Framework), and the levels for **Risk of Worsening Phase** (Probability, Severity, Reference Hazards and Vulnerabilities, and Implications for Action). These technical guidelines review concepts and technical specifications for each of these components.

4.1 Phase Classes

Concepts

Given the relative urgency with which decisions need to be made in food security crises situations, classifications need to be objectively distinguished from each other in order to evoke the relative urgency, general conditions, and appropriate response. Academic needs for highly nuanced food security situations are acknowledged, but to provide effective early warning and real-time analysis, the IPC focuses on “getting the big picture right” to ensure decision makers and stakeholders can clearly distinguish important differences in situations and respond appropriately.

The IPC classifies geographic areas and social groups into one of five phases: *Generally Food Secure (1A and 1B)*, *Moderately/Borderline Food Insecure*, *Acute Food and Livelihood Crisis*, *Humanitarian Emergency*, and *Famine/ Humanitarian Catastrophe*. The five phases are general enough to accommodate a wide range of causes, livelihood systems, and political/economic contexts; yet their distinction has profoundly different implications for action (including strategic design, urgency, and ethical imperative).

Inclusion of the complete spectrum - from generally food secure to famine - emphasizes that food security interventions are required at all phases (not just when an emergency breaks out), although the strategic focus will differ. The terminology of “phases” underscores the dynamic and evolving (either positively or negatively) nature of food security. Indeed, the IPC is equally applicable for situations that are deteriorating or improving, enabling comparative analysis of situations over time. Note, however, that changes from one Phase to another are not necessarily sequential (e.g., it is possible to skip from Generally Food Secure to Humanitarian Emergency).

Specifications

The IPC distinguishes five Phases of food security and humanitarian situations, each of which has a general definition in addition to specific Key Reference Outcomes.

Table 2: General Descriptions of IPC Phases

Phase		General Description
1A	Generally Food Secure	Usually adequate and stable food access with moderate to low risk of sliding into Phase 3, 4, or 5.
1B	Generally Food Secure	
2	Moderately / Borderline Food Insecure	Borderline adequate food access with recurrent high risk (due to probable hazard events and high vulnerability) of sliding into Phase 3, 4, or 5.
3	Acute Food and Livelihood Crisis	Highly stressed and critical lack of food access with high and above usual malnutrition and accelerated depletion of livelihood assets that, if continued, will slide the population into Phase 4 or 5 and / or likely result in chronic poverty.
4	Humanitarian Emergency	Severe lack of food access with excess mortality, very high and increasing malnutrition, and irreversible livelihood asset stripping
5	Famine / Humanitarian Catastrophe	Extreme social upheaval with complete lack of food access and / or other basic needs where mass starvation, death, and displacement are evident

The above descriptions highlight general distinctions between the phases. Each of these phases is associated with Key Reference Outcomes with absolute and relative thresholds. The reference outcomes provide an objective means for distinguishing phases and technically support a phase classification, thus enabling comparability and accountability in analysis. Unique to the IPC is the explicit inclusion of Acute Food and Livelihood Crisis (Phase 3) as a food security and humanitarian phase. The food security community has long acknowledged the importance of understanding livelihood dynamics and the links to food security (Frankenburger 1992, DFID 2001, WFP 2005). The IPC literally puts “livelihoods on the map”, and draws attention to this critical phase which may not be the “CNN/BBC moment”

with stark images of starvation, but nonetheless requires urgent interventions to prevent highly stressed food access from slipping into Humanitarian Emergencies. It also supports the stabilization/recovery from livelihood asset deterioration. Thus, Phase 3 is both an early warning precursor to an impending Humanitarian Emergency as well as a critical phase in its own right that warrants urgent livelihood support.

Although the terminology used to label each Phase is emotive and purposely selected to elicit calls for urgent action, the IPC strives to move beyond the use of these terms as adjectives and metaphors open to relative interpretations by various interests. Rather, each phase is explicitly linked to a set of consistent, internationally accepted, and objective criteria (see section 4.2 on Key Reference Outcomes). Each term therefore has a specific technical meaning that becomes a common currency for analysts and other stakeholders (governments, decision makers, implementing agencies, donors, media, etc.).

4.2 Key Reference Outcomes

Concepts

The Phase classification is a composite analytical statement based on a convergence of evidence of **Key Reference Outcomes** representing operative common denominators of human welfare and livelihoods. For each IPC Phase there is a set of Key Reference Outcomes which cover a breadth of outcomes on human well being, including: *Crude Mortality Rate, Wasting, Stunting, Disease, Food Access/ Availability, Dietary Diversity, Water Access/Availability, Destitution/Displacement, Civil Security, Hazards, Coping, Structural Conditions, and Livelihood Assets*. Although the reference outcomes are interpreted and adjusted to fit the IPC phases, they are drawn from well recognized international standards and other classification systems.

The **selection** of individual reference outcomes for inclusion in the IPC is based on the following **criteria**:

- **Outcome rather than Process Indicators:** This is a critical distinction which gives the IPC comparability over space and time as well as accountability. The IPC Reference Outcomes are based on outcome indicators of resulting impact. Irrespective of the uniqueness of a given situation (the livelihood system, the socio-economic context, the history, the type of hazard, etc.), the international community can generally agree on which outcomes food security and humanitarian interventions should avoid, and which outcomes to work towards. The phase classification reference outcomes are as much as possible oriented around outcome indicators, although even these represent different stages of outcomes (on an individual scale, mortality, for example, would come after distress coping strategies).

Process indicators represent the dynamics that lead to a particular outcome. These include a wide range of indicators such as market prices, climate indicators, crop production, livestock conditions, and many others. While process indicators are essential for analysis, they work together in a highly dynamic and integrated manner and their ultimate impact (outcome) depends on the nuances of a given situation including its livelihood systems, socio-economic context, history, type of hazard, etc. For example, a 50 percent increase in the market price of milk (a process indicator) has a completely different outcome in a livelihood system that produces milk than in a livelihood system that is a net purchaser of milk, potentially being beneficial for the former and detrimental for the latter.

While outcome indicators provide direct evidence for a phase classification, the use of process indicators as indirect evidence can also be used to substantiate a phase classification (see the next section on usage for further explanation).

- **Breadth of Outcomes:** The reference outcomes include a breadth of outcomes that are either directly or indirectly related to food security. The IPC emphasizes food security analysis, but recognizes that it is impossible to separate severe food insecurity from associated sectoral crises in the fields of health, water, sanitation, shelter, and others. There is a highly dynamic interplay between these sectors, especially as situations deteriorate - for they often co-exist and any stress on one most likely leads to stresses on others. Thus, the IPC emphasizes food security analysis, but integrates other humanitarian concerns. The IPC is not meant, however, to substitute for more refined analysis of any particular sector.
- **Fewest Possible:** While aiming to include a broad spectrum of food security outcomes, the reference outcomes are selected to be as few as possible. Keeping their numbers to a minimum contributes to greater consistency and simplicity in analysis. Indeed, the reference outcomes are not meant to be full descriptions of all the dynamics occurring in a given Phase, but are identified only for their salient ability to signify Phase severity.

- **Lives and Livelihoods:** The reference outcomes include outcomes on both human lives and livelihoods. While saving lives is an immediate strategic objective, relief and response should mitigate the vulnerability of individuals and communities to future hazards. Without strategic attention given to supporting livelihoods, people may slide into chronic poverty and perpetual high vulnerability to future hazards, and thus become unable to meaningfully contribute to national development (Sphere 2004 and DFID 2001). Supporting livelihoods is a strategic goal in itself.

The IPC integrates livelihoods into the reference outcomes through the basic framework of the Sustainable Livelihoods Approach which identifies five main livelihood capitals: human, financial, social, physical, and natural. One current and future challenge for the IPC is that the status of these capitals, which can be legitimately be seen as outcomes in their own right, are difficult to measure in a consistent and objective manner. Developing objective indicators for analysis of livelihood assets is an area for future development.

- **Measurable/Practical:** Notwithstanding the challenges related to livelihoods noted above, the reference outcomes are selected based on the ability to objectively measure them in a reasonably practical manner. While the reference outcomes are as objective as possible (e.g., anthropometric thresholds), there are still some qualitative descriptions (e.g., displacement levels). For each of the reference outcomes, there is a range of specific methodologies that provide the objectivity and rigour for that particular reference characteristic.

Use of the reference outcomes to substantiate a Phase Classification is based on:

- **Current or Imminent Outcomes:** The Phase Classification is based on reference outcomes that are either currently present in a given situation or imminent. Imminent outcomes include the notions of immediate/foreseeable future as well as the level of confidence that they will occur. Inclusion of imminent in the definition of outcomes is important to ensure timely response and appropriate action before negative outcomes occur.
- **Convergence of Evidence:** Although the IPC strives for objectivity and consistency, the extremely complex nature of food security analysis makes the strict application of single indicator thresholds both impractical and technically questionable in their application to a wide array of situations. To overcome this, the IPC supports a Phase classification statement based on convergence of evidence from multiple sources (not limited to single assessment findings) as evaluated by analysts. Analysts use the reference outcomes as a guide, but ultimately make a classification statement based on the convergence of evidence from all available sources. This can include direct and/or indirect¹ evidence of outcomes from a variety of sources and process indicators, depending on data availability and practicality.

This evidence based approach is not only practical in a wide range of situations, it also focuses the burden of proof on the analysts, who must demonstrate/defend to all stakeholders (as if in a court of law) the validity and relevance of evidence in support of a classification statement, even if that statement is based on their “own best judgment”. Such a process enables accountability and accessibility for critique. An additional component of the IPC, the Analysis Templates, guides the organization of the pieces of evidence to facilitate analysis and increase the transparency of conclusions (see further discussion below).

- **Mixed Signals of Indicators:** Given the complexity and diversity of food security and humanitarian situations, individual indicators may not consistently support the same Phase Classification. While this is a practical reality, the approach of the IPC is to make these differences explicit, examine them in their broader context and strive to make an overall Phase Classification statement using a convergence of evidence. Any notable deviations for particular indicators will be highlighted in the Analysis Templates, and should be explained.
- **Direct and Indirect Evidence:** The Phase Classification can be substantiated with both direct and indirect evidence. *Direct evidence* includes data sources and methods that specifically indicate the key reference outcomes associated with each Phase. *Indirect evidence*, however, includes proxy indicators that substantiate the key reference outcomes without direct measurement. Akin to corroborating evidence, indirect evidence typically cannot stand on its own, but can be used to substantiate a Phase Classification. Even though indirect evidence is one step removed from the key reference outcomes, they are still valid and useful in supporting the Phase classification statement, albeit with lower confidence than direct evidence. For example, direct evidence of GAM could include a random sample nutrition survey, whereas indirect evidence could include marked increases in attendance at therapeutic feeding centers.

The classification itself, however, is stronger if referenced against outcomes which can be widely agreed upon and are applicable in a wide range of situations. For a comprehensive listing of different types of process and outcome indicators, see FAO/FIVIMS 2002 and Riely et al. 1999.

- **Adaptability:** With the emphasis on convergence of evidence rather than strict adherence to thresholds, the IPC can accommodate a complex range of situations while maintaining reasonable comparability. Indeed, the reference outcomes listed for each Phase are merely guides. They do not all necessarily need to exist or coincide in a given situation, but are listed to provide the breadth of outcomes and to enable triangulation (for example, there could be prevailing peace during a Humanitarian Emergency). As an important distinction from a strict interpretation of thresholds, the IPC reference outcomes often include both absolute cut-offs as well as changes from normal and trends. While this approach opens up the classification statement to interpretation by analysts, any significant deviation from the reference outcomes would be evident and would demand a technical explanation to convince stakeholders.
- **Technical Consensus:** The Phase classification statement is not only supported by a convergence of evidence, but also, due to multi-faceted data sources, methods involved, and required input from multiple institutions, it is also supported by technical consensus. Making the meaning of evidence clear and increasing its accessibility allows technical consensus to be reached through a process of rigorous and technically informed debate.

Specifications

While the IPC strives to identify objective and internationally accepted thresholds that correspond to each Phase, some outcomes are more objective than others. The Reference Table (Table 1) illustrates the collection of reference characteristic thresholds for each Phase. Listed below is an explanation of each reference characteristic as it relates to the IPC Phases.

Crude Mortality Rate

- **Importance:** Crude Mortality Rate (CMR) is the “mortality rate from all causes for a population” (WFP and CDC 2005, p. 220). It is measured by the formula: (number of deaths during a specific time period) / (number of persons at risk of dying during that period) x (time period) (WFP and CDC 2005). The under 5 mortality rate (U5MR) is calculated the same way, however the reference thresholds differ from the CMR. The Sphere Handbook notes that CMR is “the most specific and useful health indicator to monitor in a disaster situation” (Sphere 2004, p. 260). In many ways it is the ultimate outcome indicator of extreme food insecurity crises.
- **References/Sources:** In emergency situations CMR and U5MR are usually expressed as the number of deaths / 10,000 people / day. The Sphere Handbook notes that, “A doubling of the baseline CMR indicates a significant public health emergency, requiring immediate response” (Sphere 2004 p. 260). UNICEF’s State of the World’s Children (2003) notes that for Sub-Saharan Africa the baseline CMR is 0.44 and U5MR is 1.14. It further identifies emergency thresholds to be 0.9 CMR and 2.3 U5MR (UNICEF 2003). The United Nations Standing Committee on Nutrition notes, “The CMR and U5MR trigger levels for alert are set at 1/10,000/day and 2/10,000/day respectively. CMR and U5MR levels of 2/10,000/day and 4/10,000/day respectively indicate a severe situation” (SCN 2004 p. 37). On the Howe and Devereux “Famine Magnitude Scale” (2004), CMR rates for levels of “Famine” and “Severe Famine” are set at ≥ 1 but $< 5/10,000/\text{day}$ and ≥ 5 but $< 15/10,000/\text{day}$, respectively. Muireann Brennan and Oleg Bilukha from CDC recommended CMR levels for humanitarian emergency to be from 1 to 2/ 10,000/day, and greater than 2/10,000/ day for famine conditions (Brennan and Bilukha of CDC, April 11 2006).
- **Explanation of IPC Reference Thresholds:** The IPC integrates CMR in all Phases. The IPC is generally consistent with the sources cited above, with some modifications to fit the Phases. The criterion of “greater than two times the baseline” is incorporated in Phase 4, as are the dynamics of “greater than usual” and “increasing” (which apply only when situations are deteriorating). These two latter criteria provide further references that can be used in conjunction with absolute thresholds to ensure flexibility in many situations.

Table 3: IPC Reference Outcomes - Crude Mortality Rate

Reference Outcome	PHASE	Generally Food Secure	Moderately / Borderline Food Insecure	Acute Food and Livelihood Crisis	Humanitarian Emergency	Famine / Humanitarian Catastrophe
		1A and 1B	2	3	4	5
Crude Mortality Rate # deaths per 10,000 people per day		CMR <0.5 U5MR <=1	CMR < 0.5 U5MR <=1	CMR 0.5 - 1 increasing U5MR 1-2	CMR 1-2, increasing, or >2x reference rate U5MR >2	CMR > 2 (example: 6000 deaths / 1,000,000 people / 30 days)

- **Limitations:** Despite its direct relationship to extreme food insecurity, it may be difficult to measure CMR in real time during an emergency. Challenges include: (1) shifting base populations due to dynamic in and out migration, (2) small incidences with high variability, (3) the high potential for as yet “unknown” status and (4) other complicating factors (see CDC 2005 for fuller explanation of calculating CMR).
- **Potential Methods:** The best method for measuring mortality is through a well functioning surveillance system which captures most deaths in facilities and the community. This method allows trends to be analyzed on a daily basis, whereas a one time census or a survey would have to be repeated over time. Ideally, a well functioning mortality surveillance system would be complemented by a survey which could serve as a “reality check”.

Acute Malnutrition

- **Importance:** Wasting is defined as weight-for-height index (w/h) less than -2 Z-scores. Global acute malnutrition rates include the percent of the population that is < -2 Z-scores plus cases of oedema. Acute malnutrition is a direct outcome indicator of recent changes in nutritional status. High or increasing levels of acute malnutrition in a population indicate current or recent stress at individual or household level. Young et al. (2005) review the importance and role of nutrition information in humanitarian classification systems.
- **References/Sources:** The UN Standing Committee on Nutrition (SCN) states that, “A prevalence of acute malnutrition between 5-8% indicates a worrying nutritional situation and a prevalence of greater than 10% corresponds to a serious nutrition situation” (SCN 2004 p. 37). WHO provides guidance as follows: low (<5%), medium (5-9%), high (10-14%), and very high ($\geq 15\%$) (quoted from FAO 2005, p 47). Howe and Devereux (2005) reference “Famine Conditions” as 20-40%, and “Severe Famine Conditions” as $>40\%$.
- **Explanation of IPC Reference Thresholds:** The IPC incorporates acute malnutrition in all Phases, and is generally consistent with the sources cited above. A key reference threshold is that for Humanitarian Emergency, where wasting is $>15\%$. Making adjustments to fit the IPC phases, the reference threshold for Famine/Humanitarian Catastrophe is $>30\%$, which is halfway between the thresholds used by Howe and Devereux for “Famine” and “Severe Famine” conditions. Importantly, the IPC includes not just the absolute values of wasting levels to support a Phase Classification, but, for deteriorating situations, also includes the notions of “increasing” and “greater than usual” - thus enabling a more contextual analysis of malnutrition rates and their meaning.

Table 4: IPC Reference Outcomes - Acute Malnutrition

Reference Outcome	PHASE	Generally Food Secure	Moderately / Borderline Food Insecure	Acute Food and Livelihood Crisis	Humanitarian Emergency	Famine / Humanitarian Catastrophe
		1A and 1B	2	3	4	5
Acute Malnutrition (w/h < -2 z -scores)		<3%	>3% but < 10%, usual range, stable	10-15%, > usual, increasing	>15%, > usual, increasing	>30%

- **Limitations:** While wasting is a direct outcome of nutritional and health status, limitations in its use and interpretation include: (1) wasting can be a late outcome indicator of a crisis, and response mechanisms based on wasting can be too late for meaningful action, and (2) in populations where levels of acute malnutrition are high outside times of acute crisis, levels during periods of crisis can be difficult to interpret, and (3) there is on-going debate within the nutrition field as to whether wasting rates are comparable across population groups of different physiological structure (UNICEF forthcoming, Bradbury 1998).
- **Potential Methods:** The most common method of estimating levels of acute malnutrition levels at population level is through random, representative sampling methods. A supporting method is the Mid-Upper Arm Circumference (MUAC) measurement. Other indirect evidence can include health clinic data, admissions to therapeutic feeding centers, expert observation, and others.

Stunting

- **Importance:** Stunting is defined as <-2 Z scores height for age. The CDC defines stunting as, “Growth failure in a child that occurs over a slow cumulative process as a result of inadequate nutrition and/or repeated infections” (WFP and CDC 2005). As such, levels of stunting indicate overall poverty and chronic malnutrition, of which food insecurity can be a contributing factor.

- **References/Sources:** WHO provides the following guidance for interpreting stunting prevalence as a % with height for age < -2 Z scores: low (<20%), medium (20-29%), high (30-39%), and very high (>=40%) (FAO 2005 p47).
- **Limitations:** In addition to the normal challenges faced in survey sampling and data collection, stunting poses an additional challenge since it requires the subject's age to be known. For many societies this information is not readily available or incorrect due to lack of records.

Table 5: IPC Reference Outcomes - Stunting

Reference Outcome	PHASE	Generally Food Secure	Moderately / Borderline Food Insecure	Acute Food and Livelihood Crisis	Humanitarian Emergency	Famine / Humanitarian Catastrophe
		1A and 1B	2	3	4	5
Stunting (h/age < -2z scores)		<20%	20-40%	NDC	NDC	NDC

NDC - Not a Defining Characteristic

- **Potential Methods:** Stunting is best measured through population surveys and on-going nutrition monitoring systems.
- **Explanation of IPC Reference Thresholds:** The IPC only includes stunting for the Phases of Generally Food Secure and Moderately/Borderline Food Insecure as it is a measure of long-term effects of food security status; whereas wasting is a better measure of acute and highly dynamic situations. The reference threshold of >20% is used to classify areas that are Moderately/Borderline Food Insecure.

Disease

- **Importance:** In the conceptual model of causes of malnutrition developed by Helen Young (1998) and consistent with MSF (2002) and ACF (2002), “disease”, along with “inadequate food intake”, is a direct cause of malnutrition. This is also conceptually related to the “utilization” pillar of food security analysis in that the physiological ability of the human body to effectively utilize food can be directly undermined in the presence of disease. In addition to physiological effects, from a household economy perspective the presence of disease can have a direct negative impact on food access and availability. This includes the: (1) diversion of financial resources for health care, (2) removal of productive labor from the household either by the sick person or by caregivers and (3) the potential for social exclusion or marginalization. A number of studies have demonstrated strong linkages between HIV/AIDS and food security (Drimrie 2002, Drinkwater 2003, Haan et al. 2003, UNAIDS 1999, FAO 1995).
- **References/Sources:** While the links between disease and food security clearly warrant its inclusion in the IPC, identifying prevalence thresholds will depend on the particular disease in question (e.g., HIV/AIDS, cholera, measles, dysentery, etc.) Epidemiologists make general distinctions between endemic, epidemic and pandemic outbreaks, which provide general guidance for the IPC. When there are a fairly steady number of people getting sick all the time, and when there is a balance between the host-environment-agent triad, the disease is said to be endemic. When the balance is shifted in favor of the organism and there is a rapid increase in cases, the disease is called epidemic (Nordberg 1999). A disease becomes pandemic if it is spread over a wide geographic area or infecting a large portion of the population.
- **Explanation of IPC Reference Thresholds:** The IPC incorporates epidemic and pandemic in Phase 3, 4 and 5. It uses the general terms of epidemic and pandemic to distinguish relative severity levels in populations. These are only general terms whose meaning needs to be interpreted according to the particular disease in question and its implications for food security analysis. Individual diseases have specific thresholds of severity and magnitude to guide analysis for that disease.

Table 6: IPC Reference Outcomes - Disease

Reference Outcome	PHASE	Generally Food Secure	Moderately / Borderline Food Insecure	Acute Food and Livelihood Crisis	Humanitarian Emergency	Famine / Humanitarian Catastrophe
		1A and 1B	2	3	4	5
Disease		NDC	NDC	Epidemic outbreak; increasing	Pandemic outbreak	Pandemic outbreak

NDC - Not a Defining Characteristic

- **Limitations:** Due to the emphasis of the IPC on food security analysis, disease is analyzed according to its impacts on these overall concerns. Each particular disease has its distinct levels of “emergency” which can vary widely. Even a few new cases of polio, for example, could be considered an emergency from a public health perspective, although this is not likely to have profound effects on food security. As such, the IPC does not replace detailed analysis of public health implications for individual diseases.
- **Potential Methods:** Individual diseases require specific methods for data collection and analysis. Potential sources include routine and specific surveillance systems, health surveys, health clinic data and expert observation.

Food Access / Availability

- **Importance:** Food access and availability, while not as direct a measure of human condition as anthropometric indicators, are directly linked to human health outcomes. Using food access and availability as a criteria is consistent with the “entitlement theory” of Sen (1981). However, as noted by Webb et al. (2006), the actual measurement of household food access and availability is very difficult to do. As reference characteristics, access and availability are not distinguished - the question is whether or not (and with what trade-offs) the minimum kcal intake is met. In order to understand the nature of a crisis and for programming purposes, it is critical to distinguish whether gaps are due to an availability or access problem. This analysis should be included in the IPC Analysis Templates (see section 5. IPC Supporting Tools).
- **References/Sources:** A common reference for measuring adequate food access and availability for individual consumption is 2,100 kcal per person per day (SPHERE 2004). This reference characteristic draws on globally accepted norms and on current ongoing initiatives on poverty lines (Lanjouw 1989) and “expenditure gaps” and “food gaps” as used in Household Economy Analysis (FSAU 2006).
- **Explanation of IPC Reference Thresholds:** The IPC integrates food access and availability in all Phases, with specific reference thresholds identified. While 2,100 kcal is used as a reference, other important distinctions are included in the IPC that guide classification. These include stability and whether or not households have to strip assets in order to achieve 2,100 kcal.
- **Limitations:** An overemphasis on consumption levels of kcal can lead to overlooking the nutritional quality of food intake. This is partly offset by examining dietary diversity, which is also included in the IPC. The reference threshold of 2,100 kcal is a generalized figure that does not represent the specific needs of varying age groups, gender and levels of activity. Indeed, some analysts suggest that the reference threshold of 2,100 kcal is misleading and cannot be generalized to various population groups and situations. Rather, the emphasis should be on comparing the normal/typical kcal intake of a population group to that during times of stress. As with other indicators in the IPC, the absolute threshold is merely provided for rough guidance and conclusions on the Phase levels need to be triangulated with other reference outcomes.

Table 7: IPC Reference Outcomes - Food Access / Availability

Reference Outcome	PHASE	Generally Food Secure	Moderately / Borderline Food Insecure	Acute Food and Livelihood Crisis	Humanitarian Emergency	Famine / Humanitarian Catastrophe
		1A and 1B	2	3	4	5
Food Access / Availability		Usually adequate, stable (2,100 kcal pppd)	Borderline adequate, unstable (2,100 kcal pppd)	Lack of entitlement (2,100 kcal pppd); meeting minimum needs through asset stripping	Severe entitlement gap, Unable to meet minimum needs	Extreme entitlement gap; much below 2100 kcal ppp day

- **Potential Methods:** Food access and availability is typically analyzed for various population groups including wealth groups, social groups, livelihood groups, etc., as opposed to individuals. Because food access and availability results from a complex interaction of multiple variables, it is best examined in a holistic manner that looks at the sources of food, sources of income, expenditure patterns, and coping strategies - all at the level of a particular livelihood system. The Household Economy Approach (HEA) (SCF-UK 2000) is one such method. Alternatively household surveys and integrated macro-indicator analysis are also used. Swindale and Bilinsky (2006) have recently developed a method to examine food access that draws from qualitative indicators of household food stress, called the Household Food Insecurity Access Scale (HFIAS). Indirect evidence can be retail sales volumes for local markets, market prices of staple commodities, crop production, domestic imports, and many others that may affect purchasing power, social access, and /or supplies of staple foods (see FAO/FIVIMS 2002 for a more comprehensive listing of indicators related to food access and availability).

Dietary Diversity

- **Importance:** Swindale and Bilinsky (2005) of the Food and Nutrition Technical Assistance (FANTA) note that, "Household dietary diversity - the number of different food groups consumed over a given reference period - is an attractive proxy indicator for the following reasons:
 - a more diversified diet is an important outcome in and of itself.
 - a more diversified diet is associated with a number of improved outcomes in areas such as birth weight, child anthropometric status, and improved hemoglobin concentrations.
 - a more diversified diet is highly correlated with such factors as caloric and protein adequacy, percentage of protein from animal sources (high quality protein), and household income."

A recent comprehensive survey of food security and nutrition in Darfur led by WFP effectively demonstrated the value of dietary diversity as a component of food security analysis (WFP 2005).

- **References/Sources:** Swindale and Bilinsky (2005) identify twelve main food groups used to calculate a dietary diversity score: cereals, roots and tubers, vegetables, fruits, meat/poultry/offal, eggs, fish and seafood, pulses/legumes/nuts, milk and milk products, oils/fats, sugar/honey, and miscellaneous. Research conducted at FSAU found that three or less food groups indicates a critical situation (FSAU 2005).
- **Explanation of IPC Reference Thresholds:** The IPC makes general distinctions of dietary diversity for Phase 2 and 3, as chronic and acute dietary diversity deficits, respectively. For Phase 4, a numeric reference threshold of regularly less than 2-3 or fewer food groups consumed is used.
- **Limitations:** Measures of dietary diversity typically do not include quantities consumed. There can also be significant fluctuations over time in consumption of food groups. This poses challenges in extrapolating survey data to arrive at broad conclusions about the food security status.

Table 8: IPC Reference Outcomes - Dietary Diversity

Reference Outcome	PHASE	Generally Food Secure	Moderately/ Borderline Food Insecure	Acute Food and Livelihood Crisis	Humanitarian Emergency	Famine / Humanitarian Catastrophe
		1A and 1B	2	3	4	5
Dietary Diversity		Consistent quality and quantity of diversity	Chronic deficit in dietary diversity	Acute dietary deficit	Regularly 3 or fewer main food groups consumed	NDC

NDC - Not a Defining Characteristic

- **Potential Methods:** Dietary diversity can be measured through nutrition surveys, and estimated through focus group discussions, household interviews and market trader interviews.

Water Access / Availability

- **Importance:** “Water is essential for life, health, and human dignity. In most cases, the main health problems are caused by poor hygiene due to insufficient water and by the consumption of contaminated water” (Sphere 2004 p. 63). Thus water access and availability is both a direct indicator (through basic survival levels) and indirect indicator (by affecting the adequate utilization of food) of Phase severity.
- **References/Sources:** The Sphere Handbook identifies water requirements for different basic survival needs: survival needs for water intake (2.5-3 litres per day), basic hygiene practices (2-6 litres per day), basic cooking needs (3-6 litres per day), and total combined basic water needs (7.5-15 litres per day). These values depend on a number of local factors including climate, individual physiology and social/cultural norms.
- **Explanation of IPC Reference Thresholds:** The IPC integrates water access and availability at all Phases, with specific reference thresholds identified. The IPC generally follows the Sphere guidelines for total basic needs, while adjusting these levels to fit the Phase classes. An additional key criterion for Phase 1 and 2 is the stability of water supplies.
- **Limitations:** The basic water requirements listed in the IPC are for human usage only. For pastoral societies in particular, water requirements for livestock would significantly increase these amounts, and are necessary to consider for responses. Further, basic water access and availability does not take into consideration other factors such as time and distances required to fetch water. For further key indicators of water supply adequacy (see Sphere 2004, p. 63).

Table 9: IPC Reference Outcomes - Water Access / Availability

Reference Outcome	PHASE	Generally Food Secure	Moderately / Borderline Food Insecure	Acute Food and Livelihood Crisis	Humanitarian Emergency	Famine / Humanitarian Catastrophe
		1A and 1B	2	3	4	5
Water Access / Availability		Usually adequate, Stable (>15 ltrs pppd)	Borderline adequate, unstable (>15 ltrs pppd)	7.5 - 15 ltrs pppd: meeting minimum needs through asset stripping	<7.5 ltrs ppp day (human usage only)	< 4 ltrs ppp day

- **Potential Methods:** Because water sources are fewer and more streamlined than food sources, it is relatively easier to estimate either the amounts used by individual households (through surveys or focus group interviews) or communities that all share the same water source (e.g., boreholes, water trucking, and dams) by estimating the amounts available from the source versus the community population. This latter method, however, must consider purchasing power.

Destitution / Displacement

- **Importance:** While not synonymous, both destitution and displacement have strong associations with severe food insecurity, as both a result and a cause. When faced with extreme food shortages families may migrate or may be forced to sell all assets, leaving them destitute. As well, people who are forcibly displaced through conflict or a severe natural hazard such as a flood or earthquake typically lose access to their normal food sources.
- **References/Sources:** Destitution is a state of extreme poverty that results from the pursuit of unsustainable livelihoods. This means that a series of livelihood shocks and/or negative trends or processes erodes the asset base of already poor and vulnerable households until they are no longer able to meet their minimum subsistence needs, they lack access to the key productive assets needed to escape from poverty, and they become dependent on public and/or private transfers.” (Devereux 2003 p11). Displacement is defined as “Persons or groups of persons who have been forced or obliged to flee or to leave their homes or places of habitual residence, in particular as a result of or in order to avoid the effects of armed conflict, situations of generalized violence, violations of human rights or natural or human-made disasters.” (UNHCR 2005). See also Dasgupta 1993.
- **Explanation of IPC Reference Thresholds:** Destitution/displacement is included in the IPC at Phases 3, 4, and 5. While it is difficult to quantify this variable given the wide variety of situations, the IPC makes useful qualitative distinctions between: “emerging and diffuse” (which includes the beginning stages and a spatial pattern that still includes integration with other members of society); “concentrated and increasing” (which is the stage at which populations are converging on particular localities - e.g., camps and towns - creating new health, protection, and other social problems in addition to limiting options for food access/availability); and “large scale and concentrated” (which is a qualitative description whose interpretation will depend on the local context).
- **Limitations:** Often times when families migrate they split up, with the women and children becoming destitute and displaced while men will search for food, labor, and (in the case of pastoralists) grazing opportunities. Attention to displaced populations should not obfuscate the situation of those people not visible in camps.

Table 10: IPC Reference Outcomes - Destitution / Displacement

Reference Outcome	PHASE	Generally Food Secure	Moderately / Borderline Food Insecure	Acute Food and Livelihood Crisis	Humanitarian Emergency	Famine / Humanitarian Catastrophe
		1A and 1B	2	3	4	5
Destitution / Displacement		NDC	NDC	Emerging / diffuse	Concentrated / increasing	Large scale, concentrated

NDC - Not a Defining Characteristic

- **Potential Methods:** Destitution and displacement can be analyzed through household surveys, key informants, camp registrars, aerial surveys and other monitoring systems.

Civil Security

- **Importance:** Like destitution and displacement, civil insecurity can be both a cause and a result of food insecurity. When resources become scarce some populations may turn to violent options to ensure adequate access. The impacts of civil insecurity are felt directly through destruction or looting of food supplies, disruption of market channels and direct loss of life and bodily impairment.
- **References/Sources:** Samarasinghe et al. (1999) outline a conflict typology that includes the level of violence and the nature of the conflict (e.g., civil war, insurgency, protracted social conflict, revolutionary war, and war of succession). The level of violence is divided into two types: (1) High Intensity Conflict (violence characterized by fatality rates averaging >1000/year or extensive (>5%) population dislocation or both), and (2) Low Intensity Conflict (violence characterized by fatality rates <1,000/year (but >100), and <5% population dislocation. If either threshold is exceeded it is counted as a high intensity conflict. Kummenacher and Schmeidl (2001) describe details of conflict monitoring as used by the Swiss Peace Foundation. See also FSAU (2006)

- **Explanation of IPC Reference Thresholds:** The IPC directly integrates the typology provided by Samarasinghe et al. with a few additions, including: (1) unstable and disruptive tensions to describe Phase 2; and (2) the distinction between limited spread and widespread conflict. The former is associated with a relatively small area and particular social group while the latter is associated with a large and changing geographic area and multiple social groups.
- **Limitations:** Although conflict has direct linkages with negative outcomes on food security, it is also important to recognize that often some groups benefit from conflict, however unacceptable that may be.

Table 11: IPC Reference Outcomes - Civil Security

Reference Outcome	PHASE	Generally Food Secure	Moderately / Borderline Food Insecure	Acute Food and Livelihood Crisis	Humanitarian Emergency	Famine / Humanitarian Catastrophe
		1A and 1B	2	3	4	5
Civil Security		Prevailing and structural peace	Unstable, disruptive tension	Limited spread, low intensity conflict	Widespread, high intensity conflict	Widespread, high intensity conflict

- **Potential Methods:** In as much as conflict is defined by fatality rates and population dislocation, this information can be gained from morality surveys, key informants, official statistics, or observation of burial sites. Field-based conflict monitoring systems, surveys, and key informant descriptions can be used as well.

Coping Strategies

- **Importance:** Coping strategies are the resulting behaviors of individuals, households, or communities in the face of stress. The ability to cope with a shock is directly related to the capacity of an individual, household, or community to resist the effects of a hazard or shock. Coping levels are both an observable indicator of severity and an outcome in their own right, as some types of coping involve loss of livelihood assets.
- **References/Sources:** Although coping strategies vary widely and have different implications, MSF Holland identifies three main levels including: (1) insurance strategies (reversible coping, preserving productive assets, reduced food intake, etc.); (2) crisis strategies (irreversible coping threatening future livelihoods, sale of productive assets, etc.); and (3) distress strategies (starvation and death, and no more coping mechanisms) (MSF 2005). One approach for quantifying levels of coping is the Coping Strategies Index (CSI) developed by CARE and WFP. "The CSI measures behavior: the things that people do when they cannot access enough food. There are a number of fairly regular behavioral responses to food insecurity - coping strategies for short - that people use to manage household food shortage. These coping strategies are easy to observe. It is quicker, simpler, and cheaper to collect information on coping strategies than on actual household food consumption levels" (Maxwell et al. 2003). See Maxwell et al. 2008 for latest version of the CSI.
- **Explanation of IPC Reference Thresholds:** The IPC directly incorporates the MSF typology of coping for Phases 2, 3, and 4. The CSI is also incorporated - noting that analysis of CSI data is most effective when using longitudinal data sets to detect changes over time as opposed to absolute analysis (FSAU 2006).
- **Limitations:** Because the CSI is most rigorously applied when analyzed against reference figures, it is necessary to conduct the rapid CSI assessment several times during the course of a crisis. Also, because coping strategies are typically influenced by livelihood systems, its rigour is improved by developing a CSI specific to main livelihood types (FSAU 2006). However since the CSI is contextual and is best referenced to itself (baseline), comparability across space is limited. Nonetheless, the degrees of change from the baseline are effective indicators of food security.

Table 12: IPC Reference Outcomes - Coping Strategies

Reference Outcome	PHASE	Generally Food Secure	Moderately / Borderline Food Insecure	Acute Food and Livelihood Crisis	Humanitarian Emergency	Famine / Humanitarian Catastrophe
		1A and 1B	2	3	4	5
Coping Strategies		NDC	Insurance strategies	Crisis Strategies; CSI > reference increasing	Distress strategies; CSI significantly > reference	NDC

NDC - Not a Defining Characteristic

- **Potential Methods:** The CSI is usually a rapid household survey which can be a stand alone or part of a larger survey such as a nutrition survey.

Hazards

- **Importance:** As discussed in Section 4.4, Downing et al. (2001) define Hazard as a threatening event, or the probability of occurrence of a potentially damaging phenomenon within a given time period and area. Exposure to and the effects of hazards, as well as vulnerability, lead to risk of negative outcomes.
- **Reference/ Sources:** The persistent threat or occurrence of hazards can lead to successive shocks to systems, making it difficult to recover and achieve sustained food security. Hazards come in many forms (natural: hurricanes, floods, drought, earthquakes, cyclones, tsunamis, etc.; and socio-economic: market and trade fluctuations, policy shifts, conflict, etc.).
- **Explanation of IPC Thresholds:** As a Key Reference Characteristic of the Phase Classes, hazards are important in distinguishing differences between *Generally Food Secure* and *Moderately/Borderline Food Insecure*. Note, hazards are also used as a Key Reference Characteristic of the levels for **Risk of Worsening Phase** described in Section 4.4. Because of the multiple types and potential effects of hazards, the IPC uses a general description to guide the use of hazards to distinguish Phases, making a distinction between *low probability of hazards with low vulnerability and recurrent hazards with high vulnerability*.
- **Limitations:** A challenge for hazard analysis is to not merely report on the event, per se, but to analyze the impact of that event based on the vulnerabilities of a particular livelihood system. Furthermore, even within a single geographic area, a given hazard is likely to have different effects on various social groups.

Table 13: IPC Reference Outcomes - Hazards

Reference Characteristic / Outcome	PHASE	Generally Food Secure	Moderately / Borderline Food Insecure	Acute Food and Livelihood Crisis	Humanitarian Emergency	Famine / Humanitarian Catastrophe
		1A and 1B	2	3	4	5
Hazards		Moderate to low probability of, and / or vulnerability	Recurrent, with high vulnerability	NDC	NDC	NDC

NDC - Not a Defining Characteristic

- **Potential Methods:** Each specific hazard is analyzed in a unique way. However, in general, historic analysis of frequency and effects is useful. Hazards can also be modeled using GIS spatial analysis, statistical analysis and other methods.

Structural Conditions

- **Importance:** Structural causes of food insecurity, similar to underlying causes, are often overlooked when it comes to analysis and response. Structural causes of food insecurity (with respect to reference out-comes) refers to changes that require a long term strategy and changes in/development of governance structures, infrastructure, trade policies, regulations, environmental degradation, etc. It also includes socio - structural

issues such as inequality (e.g., gender and ethnicity), citizenship, demographic change, political empowerment, and other markers. Humanitarian situations often overlook structural issues due to the emphasis on saving lives and immediate response. However, in the interest of promoting sustainable food security they cannot be ignored. On the “relief-development” continuum, whereas saving lives is on one end of the spectrum, addressing structural hindrances to development is on the other.

- **References/Sources:** Michael Watts (1983) clearly highlighted the structural nature of food insecurity in the case of Nigeria. Stephen Devereux (2003) has also shown how structural issues continue to undermine food security in Ethiopia. Structural causes underlie each of the outcomes listed in the Key Reference Outcomes. Indeed, including structural issues forces analysis and response to address each sector more holistically.
- **Explanation of IPC Reference Thresholds:** The IPC incorporates structural conditions as a Key Reference Characteristic for the Phase of Moderately/Borderline Food Insecure, which distinguishes this Phase from that of Generally Food Secure. However structural issues are present in all phases and thus the need for addressing the structural causes of food insecurity is highlighted for each Phase in the Strategic Response Framework.
- **Limitations:** In as much as the IPC strives for objectivity and measurability, structural issues are not easily “measured”, and will vary greatly from place to place.
- **Potential Methods:** Methods that can be used to identify structural issues include problem tree analysis and reviewing key indicators in the Human Development Index and other socio-economic surveys.

Table 14: IPC Reference Outcomes - Structural

Reference Outcome	PHASE	Generally Food Secure	Moderately / Borderline Food Insecure	Acute Food and Livelihood Crisis	Humanitarian Emergency	Famine / Humanitarian Catastrophe
		1A and 1B	2	3	4	5
Structural		NDC	Pronounced underlying hindrances	NDC	NDC	NDC

NDC - Not a Defining Characteristic

Livelihood Assets

- **Importance:** As previously discussed, it is widely accepted that saving lives is an important but limited strategic objective for food security and humanitarian interventions. It is also important to simultaneously support livelihoods, so as to increase resilience and improve the overall well being of populations. In this way, food security is addressed in a holistic, sustainable manner and the probability of aid dependency is reduced. Hence, saving livelihoods is a strategic objective in itself.
- **References/Sources:** Livelihood assets as defined in the Sustainable Livelihoods Approach (SLA) are divided into five inter-related capitals: human (e.g., education, health, disease etc.), financial (e.g., savings, access to credit, access to remittances, etc.), social (cooperation, gender empowerment, etc.), physical (e.g., infrastructures like bridges, roads, telecommunications, etc.), political (e.g., representation, good governance, etc.), and natural (e.g., rangelands, soil fertility, fishing grounds, woodlands, etc.) (DFID 2001, Frankenburger 1992). Livelihood assets can be manifest at the household, community, and national level (i.e., public goods and services).
- **Explanation of IPC Reference Thresholds:** While the comprehensive application of the SLA requires a thorough analysis of how the six capitals interact with each other and through institutions to result in overall livelihood conditions, the IPC incorporates the six capitals in a simplistic manner that emphasizes access, rate of depletion, their risk of complete collapse and their consequent sustainability. Whether or not a change in a particular livelihood asset warrants determining a phase classification will depend on the rate of utilization and depletion and if that asset is vitally important for the overall livelihood of a population group.
- **Limitations:** The concept of livelihood assets includes an almost infinite number of variables, and will change dramatically for various livelihood systems. Conducting thorough analysis on any single asset can be complex, and becomes even more complex when considering multiple assets. Furthermore, quantifying the status of

particular assets will depend on the information requirements of that particular asset. Even so, livelihood assets are an integral aspect of food security analysis, and even “big picture” analysis makes important contributions.

Table 15: IPC Reference Outcomes - Livelihood Assets

Reference Outcome	PHASE	Generally Food Secure	Moderately / Borderline Food Insecure	Acute Food and Livelihood Crisis	Humanitarian Emergency	Famine / Humanitarian Catastrophe
		1A and 1B	2	3	4	5
Livelihood Assets (5 capitals: human, social, financial, natural, physical)		Generally sustained utilization	Stressed unsustainable utilization	Accelerated and critical depletion or loss of access	Near complete and irreversible depletion or loss of access	Effectively complete loss; collapse

- **Potential Methods:** Livelihood assets can be understood through the framework of the SLA (DFID 2001, Maxwell 2003). Specific methods include household surveys, key informant interviews, national socio-economic surveys, institutional and social network mapping etc (FSAU 2005). Better quantifying the status of livelihood assets is a key future challenge for development of the IPC.

4.3 Strategic Response Framework

Concepts

The operational value of the IPC is not only in referencing consistent criteria in support of a statement distinguishing different levels of food security, but also in explicitly linking that statement to appropriate responses. Depending on the phase level of a given area, the response type, configuration, and urgency will differ. As such, linked to each Phase is a **Strategic Response Framework** outlining key components of appropriate interventions to mitigate humanitarian crisis situations and promote food security. The following table illustrates overall distinctions and the strategic emphasis of response for each Phase.

The Strategic Response Framework is consistent with the Twin-Track Approach (Pingali et al. 2005, Flores et al. 2005), the EC policy for Linking Relief, Recovery, and Development (LRRD) (EC 1996), and the notion of saving lives and livelihoods (Longley and Maxwell 2003, WFP 2005, WFP 2004, FAO 2003).

Its three broad objectives are to:

- (1) *mitigate immediate negative outcomes*
- (2) *support livelihoods*
- (3) *address underlying/structural causes.*

The response framework addresses both immediate needs and medium/longer term response - hence it incorporates basic needs response as well as longer term structural issues concerning food security and other important sectoral needs such as water, health, shelter, sanitation, protection, etc.). While not explicit in the Strategic Response Framework, principles such as equity, sustainability, justice, and human rights are cross-cutting throughout.

Food security analysis often gets entangled in overly precise, ambiguous, or non-comparable situation analysis, while insufficient analytical effort is devoted to understanding the crisis and exploration/prioritization of the wide ranging menu of response options. An underlying goal of the IPC is to facilitate basic type, severity, and magnitude analysis to allow for greater analytical emphasis to be devoted to close examination of situation-specific opportunities and constraints.

For any given crisis situation, thorough analysis is required to determine the most appropriate responses for the situation's unique circumstances. The IPC is a summary tool for Situation Analysis, and the Strategic Response Framework bridges the subsequent stage of Response Analysis.

Specifications

For each IPC Phase, the Strategic Response Framework includes three broad objectives: *mitigate immediate outcomes, support livelihoods, and address underlying/structural causes.*

Like three blades on an airplane propeller, each of these three response components must be simultaneously and fully addressed, or they are doomed to fail in promoting sustainable food security (as the airplane will crash if it is missing one of the three propeller blades!). At the hub of the propeller lie the cross-cutting principles of equity, justice, and sustainability.

The Strategic Response Framework is purposely not prescriptive for which particular type of response is required in a given situation (this would come out of the Response Analysis stage of the continuum described in Section 3.3), rather, it merely provides an overarching framework to ensure that the basic elements of a holistic response are identified. The following table identifies both the general emphasis of the strategic response framework for each Phase, as well as a comprehensive framework to enable mitigating immediate negative outcomes, supporting livelihoods, and addressing underlying/structural causes. In this way the Strategic Response Framework helps in guiding and opening the way for a more in-depth analysis of response options that are most appropriate for a given Phase.

Table 16: IPC Strategic Response Framework

Phase Classification		Strategic Response Framework	
		General Emphasis	Objectives: <i>(1) mitigate immediate outcomes, (2) support livelihoods, and (3) address underlying causes</i>
1A and 1B	Generally Food Secure	Investment in livelihood production systems, trade, and distribution systems; enabling development; addressing issues of equity and sustainability	Strategic assistance to pockets of food insecure groups Investment in food and economic production systems Enable development of livelihood systems based on principles of sustainability, justice, and equity Prevent emergence of structural hindrances to food security Advocacy
2	Moderately / Borderline Food Insecure	Provision of safety nets; risk reduction interventions; livelihood support; address structural hindrances	Design & implement strategies to increase stability, resistance and resilience of livelihood systems, thus reducing risk Provision of "safety nets" to high risk groups Interventions for optimal and sustainable use of livelihood assets Create contingency plan Redress structural hindrances to food security Close monitoring of relevant outcome and process indicators Advocacy
3	Acute Food and Livelihood Crisis	Urgent interventions to increase food access / availability to minimum standards and prevent destruction of livelihood assets.	Support livelihoods and protect vulnerable groups Strategic and complimentary interventions to immediately increase food access / availability AND support livelihoods Selected provision of complimentary sectoral support (e.g., water, shelter, sanitation, health, etc.) Strategic interventions at community to national levels to create, stabilize, rehabilitate, or protect priority livelihood assets Create or implement contingency plan Close monitoring of relevant outcome and process indicators Use "crisis as opportunity" to redress underlying structural causes Advocacy
4	Humanitarian Emergency	Urgent interventions to prevent severe malnutrition, starvation, and irreversible asset stripping by increasing food access / availability and other basic needs to minimum standards.	Urgent protection of vulnerable groups Urgently food access through complimentary interventions Selected provision of complimentary sectoral support (e.g. water, shelter, sanitation, health, etc.) Protection against complete livelihood asset loss and / or advocacy for access Close monitoring of relevant outcome and process indicators Use "crisis as opportunity" to redress underlying structural causes Advocacy
5	Famine / Humanitarian Catastrophe	Critically urgent protection of human lives through comprehensive assistance of basic needs (e.g., food, water, health, shelter, protection, ...)	Critically urgent protection of human lives and vulnerable groups Comprehensive assistance with basic needs (e.g. food, water, shelter, sanitation, health, etc.) Immediate policy / legal revisions where necessary Negotiations with varied political-economic interests Use "crisis as opportunity" to redress underlying structural causes Advocacy

4.4 Risk of Worsening Phase

Concepts

Enabling timely and meaningful early warning is an integral goal of the IPC. Early warning is inherently linked to risk analysis. In as much as the terms risk, hazard, vulnerability, capacity, stability, resistance, and resilience are critical concepts for food security analysis, interpretation and usage of the terms varies (Dilley and Boudreau 2001). Drawing on the conceptual development of these terms within the risk/hazards sub-discipline of Geography (White 1975, Turner et al. 2003), the IPC operationalizes these concepts, with specific implications for food security analysis. In particular, as used with the IPC, the term Risk refers explicitly to the risk of changing from one Phase Classification to a worse one.

A simplified relationship between Risk, Hazard and Vulnerability is illustrated in the formula:

$$\text{Risk} = (\text{Hazard}) \times (\text{Vulnerability})$$

The Risk of a negative outcome (i.e., worsening Phase) is a function of the probability and severity of a Hazard Event as it interacts with the Vulnerability (including exposure, sensitivity, and resilience) of the system to that particular hazard (Turner et al. 2003). Thus, Risk increases as Hazards become more severe and Vulnerability is high. Conversely, Risk decreases when the Hazard is less severe and Vulnerability is low. For food security analysis, a livelihoods approach that includes both livelihood strategies and livelihoods assets is fundamental for understanding the vulnerability of people to particular hazards and the resulting Risk of food insecurity.

Risk: Crichton (1999) defines Risk as the probability of a loss, which depends on three elements, hazard, vulnerability and exposure. Downing et al. (2001) define Risk to be: Expected losses (of lives, persons injured, property damaged, and economic activity disrupted) due to a particular hazard for a given area and reference period. As used with the IPC, Risk has specific implications as specified by the “risk of deteriorating into a particular IPC Phase”.

Hazard: Downing et al. (2001) define Hazard as a threatening event, or the probability of occurrence of a potentially damaging phenomenon within a given time period and area. As the severity of a Hazard increases, the Risk of a negative outcome also increases.

Vulnerability: Turner et al. (2003) note that, “vulnerability is registered not by exposure to hazards (perturbations and stresses) alone but also resides in the sensitivity and resilience of the system experiencing such hazards.” See Appendix G for detailed diagrams illustrating these relationships. Brooks notes that “it is essential to stress that we can only talk meaningfully about the vulnerability of a specified system to a specified hazard or range of hazards (Brooks 2003 p. 3). Vulnerability is closely related to the ability of people or systems to cope with a shock (Chambers 1991), their resistance (ability to withstand a shock), resilience (ability to return to a similar state after recovering from a shock), and the stability of the system. As Vulnerability increases, the Risk of a negative outcome also increases.

Capacity: Capacity is a concept that some organizations (e.g. ICRC) bring explicitly into Risk analysis so as to draw attention to the ability of the system (human, technological, and institutional capacities) to respond to a shock through preventative measures, coping mechanisms, or by adjusting livelihood strategies. As Capacity increases, the Risk of a negative outcome decreases.

Components of Effective Early Warning

To be effective for decision making, early warning needs to include five main dimensions: (1) probability (how likely is it to happen?); (2) predicted severity (how bad things might get?); (3) substantiation (what evidence is available to support the early warning analysis?); (4) appropriate action (what is the most prudent and appropriate response?); and (5) timeframe (when is it expected to happen?).

As a whole, early warning systems involve much more than merely clear classification as guided by the IPC. They involve institutional networks, identification of priority indicators, communication strategies, issues of timing, and many others. These aspects and many other details of early warning are described in the FEWS NET Early Warning Primer (Chopak 2000).

Specifications

The IPC combines concepts of hazard and vulnerability to formulate a Risk statement that is specific to the probability of deteriorating into a particular Phase, thus giving risk a concrete and actionable meaning. Three levels of **Risk of Worsening Phase** are operationalized: Watch, Moderate Risk, and High Risk. For each of these levels the main

dimensions are specified, including: Probability, Severity, Reference Hazards and Vulnerabilities, Implications for Action and Timeframe. The Risk Levels are applied to the existing Phase Classification for a given area.

Table 17: Levels of Risk of Worsening Phase

Risk of Worsening Phase	Probability / Likelihood (of Worsening Phase)	Severity (of potential Phase decline)	General Description and Changes in Process Indicators	Implications for Action
Watch	As yet unclear	Not applicable	Occurrence of, or predicted <i>Hazard</i> event stressing livelihoods; with low or uncertain <i>Vulnerability</i> Process Indicators: small negative changes	Close monitoring and analysis Review current Phase interventions
Moderate Risk	Elevated probability / likelihood	Specified by predicted Phase Class, and indicated by color of diagonal lines on map.	Occurrence of, or predicted <i>Hazard</i> event stressing livelihoods; with moderate <i>Vulnerability</i> Process Indicators: large negative changes	Close monitoring and analysis Contingency planning Step-up current Phase interventions
High Risk	High probability; "more likely than not"		Occurrence of, or strongly predicted major <i>Hazard</i> event stressing livelihoods; with high <i>Vulnerability</i> and low <i>Capacity</i> Process Indicators: large and compounding negative changes	Preventative interventions with increased urgency for High Risk populations Advocacy

The **Probability** for each Risk Level differs as shown below:

- For **Watch**, probability is not applicable as it is yet unclear or uncertain that deterioration in the situation will occur. With the IPC, an area is put on **Watch** status if there are signals indicating potential stress and/or small negative changes in process indicators.
- For **Moderate Risk**, there is an "elevated" probability/likelihood above the normal/usual risk level. Although everyone at all times is at some degree of risk of food insecurity, for areas at **Moderate Risk**, conditions suggest there is an increased, or heightened, risk above that normal level, and this risk is cause for concern that the situation will deteriorate
- For **High Risk** there is a "high probability", or "more likely than not", that the predicted severity level will occur.

The level of **Severity** for each **Risk** Level depends upon the integrated analysis of potential hazards and vulnerability. Depending on how dire the future outlook is, the Risk of Worsening Phase can include any of Phases 3, 4, or 5. The severity level is signified by the color of diagonal lines as drawn on the map - see Cartographic Protocols.

Each of the **Risk** Levels has a **General Description and Change in Process Indicators** that provide guidance for the substantiation of an early warning statement. It is critical to note, however, that risk analysis of the impact of hazards and process indicators requires an understanding of the livelihood system for a given area, which enables vulnerability analysis. Depending on the situation (type of hazard and livelihood system), the relevant process indicators will vary, and can include any variables that would affect purchasing power, social access, or supply of staple foods or other basic humanitarian needs. Examples include: market prices, crop production, livestock conditions, political trends, etc. See FAO/FIVIMS (2002) and Riely et al. (1999) for a comprehensive list of indicators. A key distinction concerning process indicators between Moderate Risk and High Risk is that while the former has "large negative changes from normal", the latter incorporates the notion of "large and compounding negative changes"- meaning that multiple indicators are simultaneously deteriorating and mutually exacerbating the situation.

Each **Risk** Level is linked to general **Implications for Action**. For all levels, close monitoring and analysis is required. The Moderate and High Risk levels also include contingency planning, advocacy, the need for stepping up interventions required at the current Phase, and the need for preventative interventions. The main difference in Implications for Action between Moderate and High Risk levels concern increased urgency and imperative for High Risk populations.

And lastly, the time frame of the projected analysis should be made explicit. This will depend on the particular situation and should include both the starting period and anticipated ending period of the risk at hand. In some cases this will be oriented around seasonal cycles, but not always (e.g., civil tensions, global trade and marketing shocks, etc.). This information is summarized in the complimentary Cartographic Protocols.

5. IPC SUPPORTING TOOLS

To increase the rigour and communication effectiveness of the IPC, FSAU has developed a set of complimentary and supporting tools. These include:

A Analysis Templates - a tool to organize evidence to support a phase classification statement in a logical, transparent, and accessible manner

B Cartographic Protocols - standardized mapping conventions to convey essential Situation Analysis information

C Population Tables - a standardized approach and format for identifying the number of people facing crisis by administrative boundaries and livelihood systems

5.1 Analysis Templates

Concepts

Due to the profound implications on many people (sometimes millions) and the multiple stakeholders involved in food security response, whatever the method and however complex the analysis may be, the final results should be understandable and accessible to critique. Key to achieving the overall goals of accountability and transparency is the development of a simple format for organizing key pieces of evidence in support of findings as well as additional information required to inform effective response.

This **evidence-based approach** enables critical evaluation of findings by analysts, peers and decision makers. It opens the analytical process up to informed critique and subjects the results to an almost judicial (i.e. court of law) process whereby the “burden of proof” is incumbent on the analysts.

The **Analysis Templates** are designed to increase transparency and have the strong effect of facilitating key data access and report writing. They serve three main purposes:

- (1) to guide rigorous, evidence-based analysis
- (2) to enhance transparency by documenting key information for ease of access and historical archiving
- (3) to simplify writing reports and presentation creation by providing the core elements of information in a consistent and logical manner

Specifications

The Analysis Templates contain three parts:

- (1) Phase Classification statement
- (2) Key Information for Mitigating Immediate Outcomes
- (3) Key Information for Supporting Livelihoods and Addressing Underlying Causes

1) Phase Classification Statement: This part guides the listing of: (1) the affected area, (2) its phase classification, (3) which Key Reference Outcomes (from the IPC Reference Table) are applicable, (4) direct evidence supporting the classification, and (5) indirect evidence supporting the classification. Evidence is collected from a plethora of sources, depending on the situation. Since evidence has varying degrees of reliability, each individual piece of evidence is assigned a reliability score of 1, 2, or 3 depending on whether the evidence is very reliable, somewhat reliable, or unconfirmed. These scores are considered when assessing the overall confidence of the analysis.

Revision

Analysis Template Part 1 has been revised to combine direct and indirect evidence and to separate the analysis of Risk of Worsening Phase from the Phase Classification.
See Appendix H for more explanation.

Table 18: Analysis Template

Part 1: Analysis of Current / Imminent Phase and Risk of Worsening Phase

Area of Analysis (Region, District, or Livelihood Zone):			Time Period of Analysis:	
Reference Outcomes (As defined by IPC Reference Table)	Direct and Indirect Evidence For Phase in Given Time Period	Projected Phase for Time Period (Circle or Bold appropriate Phase)	Evidence of Risk for Worsening Phase or Magnitude (indicators of hazards and vulnerability)	Risk Level (Circle or Bold appropriate Risk Level and expected Severity, if warranted)
	<ul style="list-style-type: none">List direct and indirect (e.g., process or proxy indicators) evidence of outcomes (note direct evidence in bold)Note source of evidenceNote evidence Reliability Score (1= unconfirmed, 2=somewhat reliable 3= very reliable)Identify indicative Phase for each piece of evidenceNote "Not Applicable" or "Not Available" if necessary		<ul style="list-style-type: none">List evidence in support of Risk statementSource of EvidenceReliability Score (1= unconfirmed, 2=somewhat reliable 3= very reliable)	
Crude mortality rate	<ul style="list-style-type: none">	<ul style="list-style-type: none">Generally Food Secure 1A		<ul style="list-style-type: none">No Early Warning
Acute malnutrition	<ul style="list-style-type: none">			
Disease	<ul style="list-style-type: none">	<ul style="list-style-type: none">Generally Food Secure 1B		<ul style="list-style-type: none">Watch
Food Access / Availability	<ul style="list-style-type: none">Food Access:<ul style="list-style-type: none">Food sources:Income sources:Expenditures:Purchasing power:Social Access:Food Availability<ul style="list-style-type: none">Production:Supply lines:Cereal balance sheets:Other direct measure:	<ul style="list-style-type: none">Moderately / Borderline Food InsecureAcute Food and Livelihood CrisisHumanitarian EmergencyFamine / Humanitarian Catastrophe		<ul style="list-style-type: none">Moderate Risk<ul style="list-style-type: none">AFLCHEFamine / HCHigh Risk<ul style="list-style-type: none">AFLCHEFamine / HC
Dietary diversity	<ul style="list-style-type: none">			
Water access / availability	<ul style="list-style-type: none">			
Destitution / Displacement	<ul style="list-style-type: none">			
Civil Security	<ul style="list-style-type: none">			
Coping	<ul style="list-style-type: none">			
Structural Issues	<ul style="list-style-type: none">			
Hazards	<ul style="list-style-type: none">			
Livelihood Assets (5 capitals)	<ul style="list-style-type: none">			

2) Key Information for Mitigating Immediate Outcomes: This part guides the listing of: (1) immediate hazards for each affected area, (2) effects on livelihood strategies, (3) nature of food insecurity in terms of Access, Availability, or Utilization, (4) characteristics and percentage of population in Phase 3, 4, or 5, (5) projected trend, (6) risk factors to monitor, and (7) opportunities for response.

Table 19: Analysis Template

Part 2: Analysis of Immediate Hazards, Effects on Livelihood Strategies, and Implications for Immediate Response

Area of Analysis (Region, District, or Livelihood Zone):						Time Period of Analysis:	
ANALYSIS						ACTION	
Current or Imminent Phase (Circle or Bold Phase from Part 1)	Immediate Hazards (Driving Forces)	Direct Food Security Problem (Access, Availability, and/or Utilization)	Effect on Livelihood Strategies (Summary Statement)	Population Affected (Characteristics, percent, and total estimate)	Projected Trend (Improving, No change, Worsening, Mixed Signals)	Risk Factors to Monitor	Opportunities for Response (to Immediately improve food access)
<ul style="list-style-type: none"> ■ Generally Food Secure 1A ■ Generally Food Secure 1B ■ Moderately / Borderline Food Insecure ■ Acute Food and Livelihood Crisis ■ Humanitarian Emergency ■ Famine / Humanitarian Catastrophe 							

3) Key Information for Supporting Livelihoods and Addressing Underlying Causes: This part guides the listing of: (1) the underlying causes for each affected area, (2) the effects on livelihood capitals/assets, (3) projected trend for each livelihood capital, (4) risk factors to monitor and (5) opportunities for supporting livelihoods and addressing underlying causes.

Table 20: Analysis Template

Part 3: Analysis of Underlying Structures, Effects on Livelihood Assets, and Opportunities in the Medium and Long Term

Area of Analysis (Region, District, or Livelihood Zone):			Time Period of Analysis:	
ANALYSIS				ACTION
Current or Imminent Phase (Circle or Bold Phase from Part 1)	Underlying Causes (Environmental Degradation, Social, Poor Governance, Marginalization, etc.)	Effect on Livelihood Assets (Summary Statements)	Projected Trend (Improving, No change, Worsening, Mixed Signals)	Opportunities to support livelihoods and address underlying causes (Policy, Programmes and/or Advocacy)
<ul style="list-style-type: none"> ■ Generally Food Secure 1A ■ Generally Food Secure 1B ■ Moderately / Borderline Food Insecure ■ Acute Food and Livelihood Crisis ■ Humanitarian Emergency ■ Famine / Humanitarian Catastrophe 		Physical Capital:		
		Social Capital:		
		Financial Capital:		
		Natural Capital:		
		Human Capital:		
		Local Political Capital:		

Much of the information included in the Analysis Templates is communicated in summary format using the Cartographic Protocols.

5.2 Cartographic Protocols

Concepts

Drawing from best practices of poverty mapping (Snel and Henninger 2002, Davis 2003), the Cartographic Protocols communicate a vast amount of complex information in an accessible way (a map) to facilitate decision making and action. They are specifically designed to communicate salient elements of Situation Analysis in addition to the Phase Classification itself. Through consistent use of the Cartographic Protocols, users can readily interpret complex information. Adherence to the Cartographic Protocols enables longitudinal analysis to examine how food security situations improve or deteriorate from one point in time to another. The Cartographic Protocols developed for the IPC summarize the salient characteristics of food insecurity information for effective response. After all, “a picture paints a thousand words”.

Specifications

An example of the IPC Cartographic Protocols is FSAU’s recent food security projections following the 2005/06 Deyr season is provided in Map 1 (FSAU 2006). In addition to spatially demarcating all areas of Somalia into their respective **IPC Phases** and **Risk Levels**, the map provides additional information on **Defining Attributes for Areas in Phase 3, 4, or 5**. The title of the map explicitly states the projected timeline for the analysis.

Cartographic Protocols for illustrating this information include:

- **Spatial Delineation of IPC Phases:** using distinct, emotive colors the map delineates the respective areas in various phases of the IPC including *Generally Food Secure (1A and 1B)*, *Moderately/Borderline Food Insecure*, *Acute Food and Livelihood Crisis*, *Humanitarian Emergency*, and *Famine/Humanitarian Catastrophe*.

Though the core unit of spatial analysis is the Livelihood Zone, the spatial extent of the various phases does not necessarily correspond to a prescribed boundary (e.g., admin unit, livelihood zone, watershed, agro-ecological zone, etc.). Thus, analysts must utilize a wide range of information sources and methods (existing geographic datasets, satellite imagery, GIS spatial analysis, key informants, focus groups, household/nutrition surveys, field observation, etc.) to arrive at the best approximation of the spatial extent of a given phase.

- **Risk of Worsening Phase: Risk Levels** are divided into three types: Watch, Moderate Risk, and High Risk. These are overlaid on top of the color signifying the current Phase Classification and graphically distinguished by dots, downward sloping diagonal lines, and upward sloping diagonal lines, respectively. The color of the diagonal lines indicates the predicted severity level as specified by the corresponding color of the Phase Classification.
- **Sustained Conditions:** In general, the longer a crisis continues the relatively more essential it is to address underlying or structural causes if interventions have any chance of sustained positive effects. A purple border denotes areas of “sustained” levels of crisis in Phase 3, 4, or 5 for greater than three years (though an arbitrary threshold, it is inclusive of several seasonal cycles).. By highlighting these areas, it informs the type of strategic response and draws attention to “forgotten emergencies” for which complacency may have set in.

- **Defining Attributes of Crisis Areas.** For each area currently in or at risk for Phase 3, 4, or 5 a call-out box is included with situation specifics. A symbol key is provided for each defining attribute, including:

- Magnitude - Estimated population in Phase 3, 4, or 5
- Depth - Percentage of population in respective Phase
- Who - Criteria for Social Targeting
- Why - Key immediate and underlying causes
- Frequency - Recurrence of Crisis in Past 10 years
- Confidence - Confidence level of analysis

The main key is generic, whereas the call-out boxes contain the specific attributes relevant to that crisis area. The attributes of “Who” and “Why” can be expanded upon from the list currently provided to include those which are relevant to a given situation.

5.3 Standardized Population Tables

Concepts

The IPC is not a method and does not, in itself, offer guidance on how to estimate of the number of people in crisis. There are numerous ways to go about this. Whatever method is used to estimate populations, it is necessary to have a consistent and meaningful way to represent those findings.

There is an important distinction, however, in the way the IPC represents population figures from commonly used methods. Often, analysis presents the “number of people in need” (e.g., number in need of food aid, water, health services, etc.). The IPC, however, does not make such conclusions and merely identifies the number of people estimated to be in Phase 3, 4, or 5 - without an a priori statement about whether or not they need anything (in terms of resource transfer). Consistent with their emphasis on Situation Analysis rather than Response Analysis, the Population Tables provide the basic information to decision makers, who, through in-depth analysis of the potential response options, can then decide if the crisis situation can be mitigated through non-resource transfer means (such as policy change, negotiations, market interventions, etc.),

Figure 3: Spatial Delineation, Risk of Worsening Phase, and Projected Trend



Revision

Several cartographic protocols have been revised or introduced, including: moving “Projected Trend” to the main key, indicating “Magnitude” by font size, indicating “Depth” of a crisis with a stacked bar-graph showing percentage of population in respective Phases, and indicating the “Frequency of Crisis” over the past 10 years. See Appendix H for more explanation.

Figure 4: Defining Attributes of Crisis Areas



or through resource transfer (such as food aid, cash aid, etc.), or a combination of both. Sector specific needs-based population tables would be useful and complement the ones used in the IPC.

Specifications

The Population Tables identify the estimated number of people in Phase 3, 4, or 5 (including those at High Risk) by administrative boundaries (e.g., regions, districts, etc.), livelihood zones, and main livelihood systems. The percent of population in each phase is also identified. The example below illustrates the Population Tables by regions in Somalia. Liberal usage of footnotes provides more detailed clarifications on sources and interpretations where necessary (see FSAU 2005 for a comprehensive example of population estimates).

Table 21A: Estimated Population by Region in Humanitarian Emergency (HE) and Acute Food and Livelihood Crisis (AFLC), inclusive of the High Risk Groups.

Affected Regions	Estimated Population of Affected Regions ¹	Assessed and Contingency Population in AFLC and HE		
		Acute Food and Livelihood Crisis (AFLC) ²	Humanitarian Emergency (HE) ²	Total in AFLC or HE as % of Region Population
North				
Bari	235.975	45.000	0	19
Nugal	99.635	20.000	0	20
Sanag	190.455	55.000	0	29
Sool	194.660	50.000	0	26
Togdheer	302.155	40.000	0	13
Coastal (fishing)		20.000		
SUB-TOTAL	1.022.880	230.000	0	22
Central				
Galgadud	319.735	40.000	0	13
Mudug	199.895	20.000	0	10
SUB-TOTAL	519.630	60.000	0	12
South				
Bakol	225.450	45.000	105.000	67
Bay	655.686	135.000	395.000	81
Gedo	375.280	80.000	180.000	69
Hiran	280.880	55.000	0	20
Lower Juba	329.240	60.000	115.000	53
Middle Juba	244.275	50.000	120.000	70
SUB-TOTAL	2.110.811	425.000	915.000	63
TOTAL	3.653.321	715.000	915.000	45

Table 21B: Summary Table ²

Assessed and Contingency Population Numbers in AFLC or HE	1.630.000	22 ⁶
Urban Populations in Crisis Areas in the South ³	30.000	1 ⁶
Combined Assessed, Urban & Contingency Populations in AFLC and HE	1,700,000 ⁴	23 ⁶
Estimated Number of IDPs ⁵	400.000	6 ⁶
Estimated Total Population in Crisis	2.100.000	29 ⁶

¹ Source: WHO 2004. Note this only includes population figures in affected regions. UNDP recently released region level population figures for 2005. However, these estimates have not been finalised and therefore are not used in this analysis.

² Estimated numbers are rounded to the nearest five thousand, based on resident population not considering current or anticipated migration, and are inclusive of population in High Risk of AFLC or HE (estimated at 210,000) for purposes of planning.

³ Roughly estimated as 30% and 20% of urban population in HE and AFLC areas respectively.

⁴ Actual number is 1,660,000, however, this is rounded to 1,700,000 for purposes of rough planning and ease of communication.

⁵ Source: UN-OCHA updated April 2004 (376,630) and UNHCR IDP map Dec.2005 (407,000), rounded to 400,000 as an estimate.

⁶ Percent of total population of Somalia estimated at 7,309,266 (WHO 2004).

6. CONCLUSION

This manual provides overall explanations of the IPC as well as specific technical guidelines for its usage. The case is made as to why a classification system of some type is necessary, and how the IPC meets key challenges in food security analysis.

Within the Somalia context the IPC has consistently proven to be an effective tool for improving analysis and informing response. This has been demonstrated for a number of different crisis types (e.g., slow onset drought and economic crises, and rapid onset floods, civil insecurity, and the Tsunami). The IPC has also been successful in drawing attention to “forgotten crises” and ensuring investment in livelihood support. Perhaps the most compelling aspect of the IPC, however, is its ability to enable comparative analysis over space and time. It answers the questions of how does one crisis compare to another in a different location and how has it changed over time?

In the context of food security decision making for Somalia, the IPC has been an integral and guiding aspect of planning. In addition to individual UN, NGO, and government agency’s usage of the IPC to guide local planning, the UN Consolidated Appeals Process consistently uses the analysis of the IPC to guide response planning and appeals for funding.

The IPC has been presented and discussed in dozens forums ranging from analyst-practitioner workshops to global level IASC meetings. The development of the IPC has been a two year iterative process, and has drawn directly from constructive comments made at these meetings. Appendix B reviews some of the questions that are frequently asked at such presentations, and their answers. It is hoped that the IPC will contribute to global efforts to harmonize and improve food security and humanitarian analysis for action. The current version of the IPC should be seen as a usable platform for current use, while at the same time serving as a discussion document for critical review and improvement in future versions.

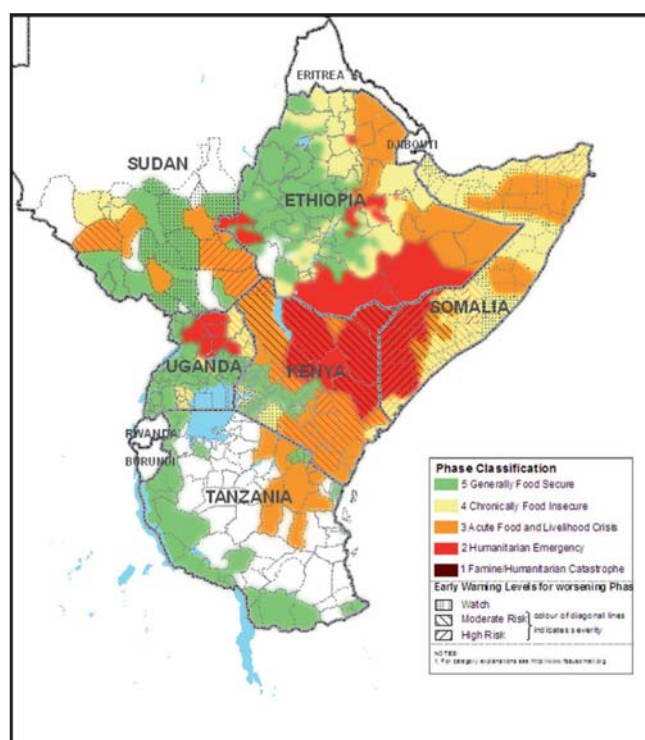
6.1 Potential for Replication and Expansion

The cross-border drought affecting Kenya, Ethiopia, and Somalia in 2005/06 necessitated comparative analysis across the region, and the IPC was used in several regional technical meetings to harmonize the analysis from each country. That analysis was widely used for proportionate funding, strategic planning, and advocacy by governments, donors, UN/NGOs, and media agencies.

Following the Greater Horn of Africa (GHA) Climate Outlook Forum, FSAU, FEWS NET, WFP, and several GHA ministry representatives used the IPC to interpret the climate predictions for the food security outlook. Although the resulting analysis is only in prototype and draft form (due to the need to seek technical consensus within each country and the need to rigorously apply the evidence-based analysis), even the draft result is telling both analytically and in terms of demonstrating the potential for the IPC to inform regional analysis and response. The map below is a prototype result of this process.

The GHA Regional Food Security and Nutrition Working Group (RFSNWG) has endorsed the IPC as a means to enable comparability and improve analytical rigour across the region. In June of 2006 FAO and FEWS NET co-sponsored a regional technical workshop on behalf of the FSNWG to generate IPC results for seven countries in the GHA. Analysts from government, UN, and NGO agencies came from each country and worked through the Analysis Templates and final Phase Classification analysis. The participants critically reviewed the process and identified three main messages: (1) that the IPC has a strong potential for adoption in the various countries, (2) that it is necessary to increase

Map 2: Greater Horn of Africa Food Security Projection July to Dec’06 based on a below normal rainfall scenario (March ’06)



¹ This Map is based on preliminary results and is yet to be officially endorsed.
Source: FSAU, FEWS NET, WFP, CARE, SC UK, OCHA, UNICEF, FAO, GOK

exposure of the IPC among national stakeholders to generate “buy-in”, and (3) that the technical use of the IPC is most effective if done at the national level first (with a more representative technical working group), and then integrated into a regional analysis.

The design of the IPC is based on internationally accepted standards, and meant to build from existing methodologies and information systems - thus the IPC can be adopted with current systems with minimal adjustment and used as an “add on” component. While the IPC brings together commonly required information for Situation Analysis, individual organizations and agencies will still want and need to tailor the end-use of the IPC results to meet their specific organization goals and interests, while using the IPC results as a common platform.

To ensure that the IPC fosters technical consensus, it is best applied at the country level and by drawing from, or creating, a forum for technical coordination and consensus building. In most countries such forums already exist (e.g., the Vulnerability Assessment Committees throughout Southern Africa, the Kenya Food Security Steering Group, the Disaster Preparedness and Prevention Agency in Ethiopia, CILSS in West Africa, the Livelihood Analysis Forum in South Sudan, and others).

6.2 Future Challenges and Way Forward

The IPC, if widely applied, has great potential to better rationalize humanitarian assistance in terms of reaching people most in need and ensuring effective use of resources. Ensuring its technical integrity however, will require adherence to a rigorous, evidence-based approach. Usage of the IPC would be undermined over time if users classify situations without appropriate substantiation (either direct or indirect evidence), and the Analysis Templates are designed to promote rigorous analysis.

Further development and revisions of the IPC is a near certainty. FAO encourages critical feedback on the IPC and anticipates that a revised version of the manual will be produced in 2009. This will occur through technical feedback on this Manual as well as further piloting and testing in different country and regional contexts.

The overall vision of the IPC is consistent with existing efforts such as the Good Humanitarian Donorship (GHD), SMART, Benchmarking, and Humanitarian Tracking System initiatives, and the Sphere Project to better harmonize food security and humanitarian analysis. The recently launched Central Emergency Response Fund (CERF) (OCHA 2006) will need some basis for making objective decisions for humanitarian assistance, and the IPC meets that need well.

In order to achieve this greater vision, the broad food security and humanitarian community must come together in forums, such as the Inter-agency Standing Committee and others, to technically review and eventually adopt a common classification system that meets international standards, is adaptable to a wide array of situations and contexts, and is practical in the field. It is hoped that the IPC will contribute to this debate and development.

APPENDIX A

Selected list of Forums at which the IPC has been presented

While the IPC's development over the past two years has been driven first and foremost by the day to day realities of applied analysis, there have also been dozens of opportunities to present the IPC at a wide range of meetings and workshops. Each of these presentations has generated considerable interest and constructive feedback, which has directly led to further development of the IPC. Listed below are just a few of these forums, which are followed by answers to some of the frequently asked questions.

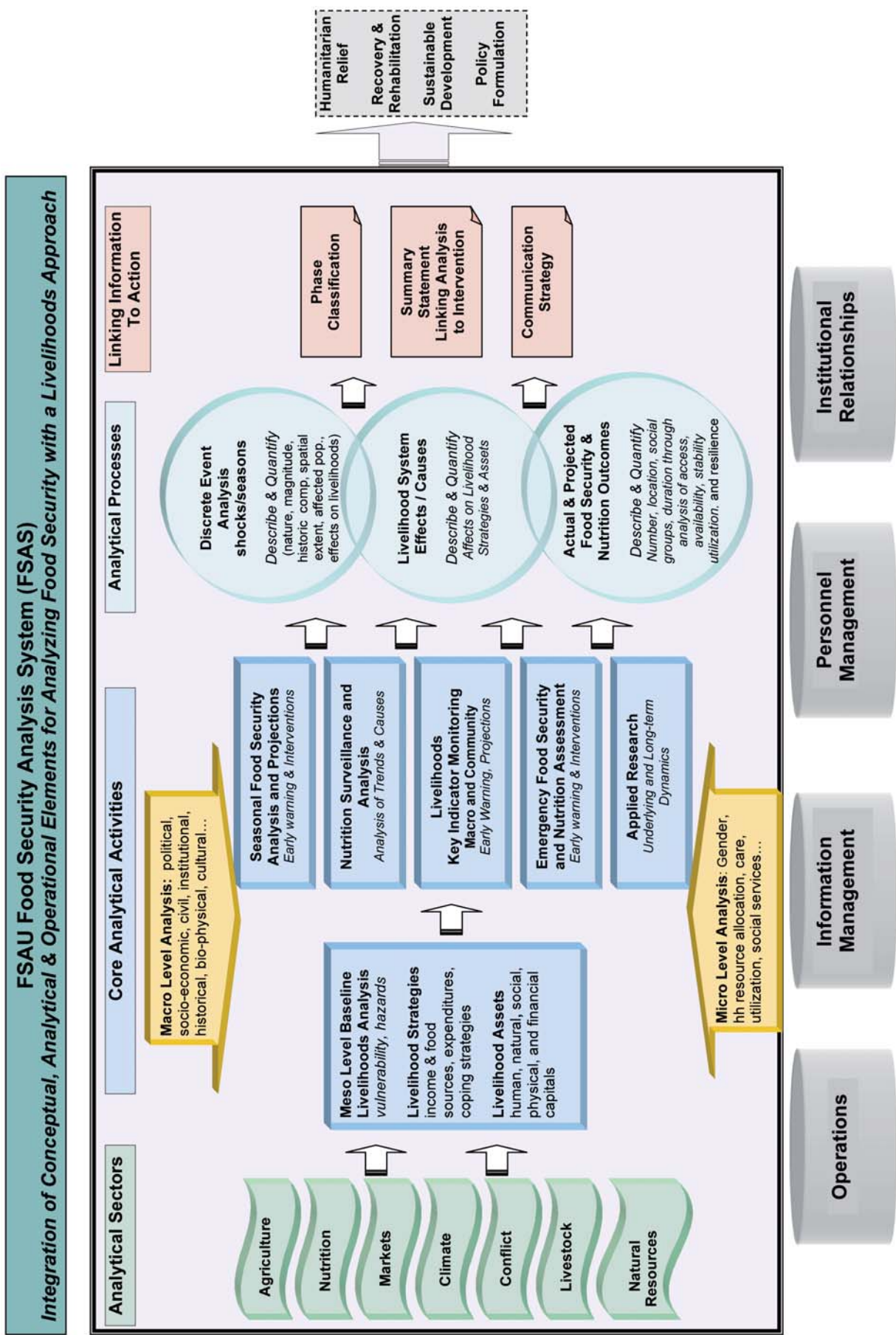
Somalia Humanitarian Response Group Meetings (Nairobi)
 Somalia Food Security and Rural Development Meetings (Nairobi)
 FSAU Analysis Workshops (Somalia)
 OCHA GHA Regional Scenario Development Workshops (Nairobi)
 OCHA GHA Regional CAP Workshops (Nairobi)
 GHA Drought Crisis Media Briefings (Nairobi)
 GHA Climate Outlook Forums (Nairobi)
 UNICEF Regional Workshop (Nairobi)
 GHA Food Security and Nutrition Working Group Meetings (Nairobi)
 Save the Children HEA Practitioners Workshop (Nairobi)
 FAO Emergency Coordinators Workshop (Nairobi)
 FAO ESAF Out posted Officers Workshop (Rome)
 FAO/WFP Needs Analysis Framework Workshop (Nairobi)
 FAO Sustainable Livelihoods Seminar (Rome)
 FAO TCE Seminar (Rome)
 FAO Emergency Needs Assessment Workshop (Nairobi)
 WFP ODAN/VAM Seminar (Nairobi)
 GHA Cross Border Analysis Workshop (Nairobi)
 FEWS NET II Workshop (Johannesburg)
 Southern Africa Vulnerability Assessment Committee Methodology Review Workshop (Johannesburg)
 Asian FIVIMS Workshop (Bangkok)
 USAID GHA Regional Analysis Workshop (Nairobi)
 IASC 64th Meeting (Rome) GHA Appeal Launch to Permanent Representatives of Donor Countries (Geneva)
 European Forum on International Disaster Response Laws, Rules and Principles (IDRL)
 RC/RC National Societies, UN and IOs, and NGOs. Senior Managers of the IFRC Federation
 WFP SENAC Board Meeting (Rome)
 ALNAP Meeting (Nairobi)
 Oxfam UK (Oxford)
 World Food Summit - Conference on Food Security (Rome)
 Technical seminar on Integration of socio-economic and remote sensing information for food security and vulnerability analyses (Ispra, Italy)

APPENDIX B

Frequently Asked Questions (FAQs)

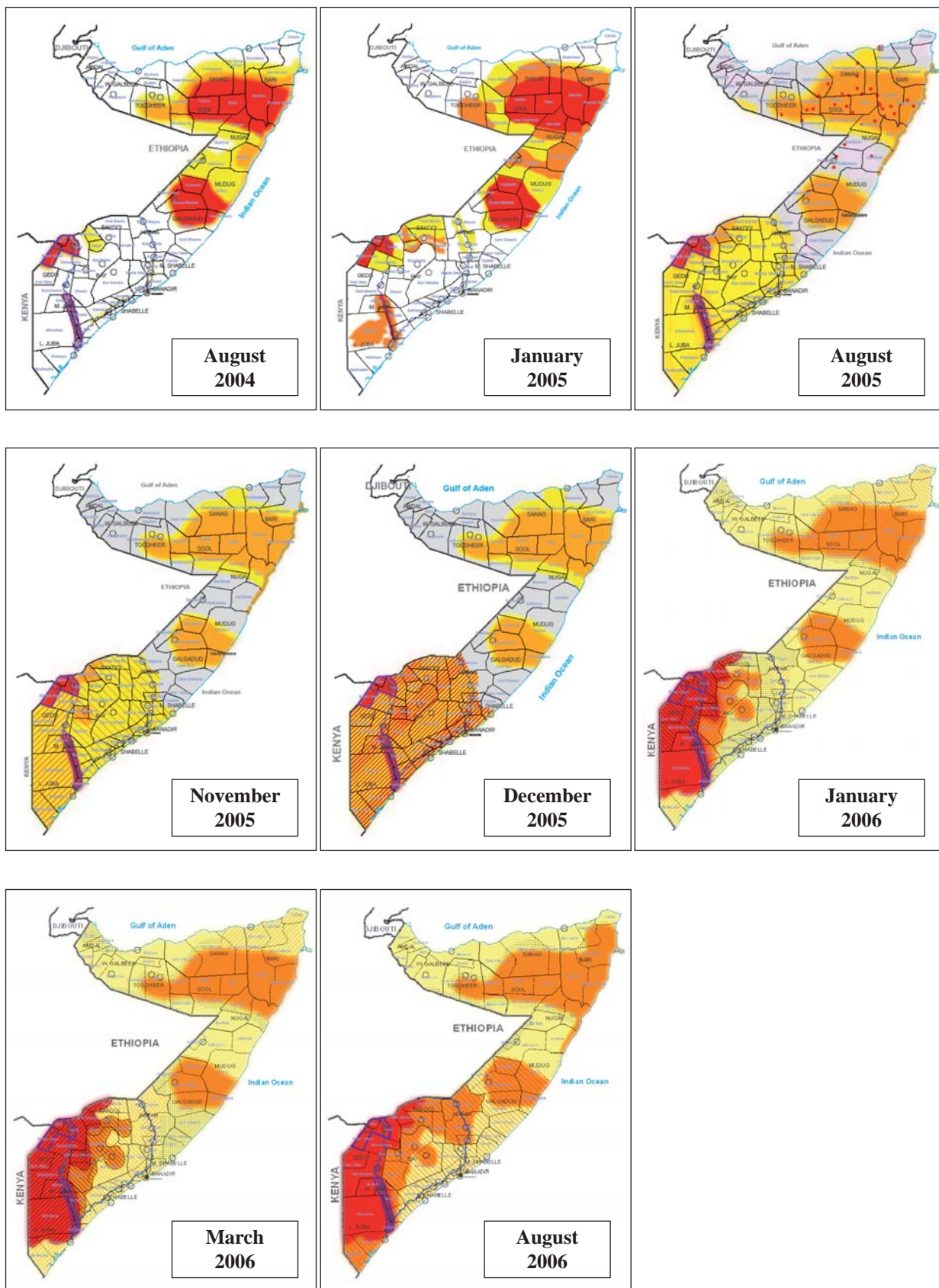
- *Is the IPC too technically complex for decision makers to understand?* While any classification system will have some degree of complexity, based on repeated experiences using the IPC (well over one hundred) describing food security situations in Somalia and the Greater Horn of Africa to a broad range of analysts and high level decision makers (including Presidents, Permanent Secretaries, Ministers, the Special Envoy, the UN Under Secretary for Humanitarian Affairs, and heads of UN, NGO, and donor agencies), this is not the case. On the contrary, without exception each of these decision makers has readily understood the main thrust of the IPC, the logic behind it, and the implications for action. Further, numerous members of the media (from Reuters, AP, BBC, VOA, CNN, IRIN, Le Monde, Financial Times, and others) have positively welcomed the IPC as a means of clear communication to mass audiences. While underpinning the IPC are layers of complex analyses, the situation analysis and implications for action are presented in a simple manner. This broad accessibility enables technical consensus not just among analysts, but with other stakeholders as well. The IPC is like a tree with a complex root structure (analysis) that forms the foundation of a much simpler trunk (the situation classification).
- *What if some of the Key Reference Outcomes “benchmarks” are reached but not others?* The overarching strategy of the IPC is not based on thresholds and benchmarks as much as it is based on analysts’ interpretation of all available evidence with clear reference to the IPC Key Reference Outcomes. This “convergence of evidence” approach is different from approaches that rely on clear cutoffs of limited indicators. While the ideal goal is to have rigorous and measurable thresholds to define Phase Classifications, from a practical and field perspective (including issues of crisis complexity, livelihoods complexity, information urgency, widely varying data availability, analysis capacity, and others) it is eminently more practical to classify overall food security situations with a convergence of evidence approach. An academic purist may insist on absolute thresholds, but this is not always feasible from a field perspective. The IPC bridges academic and internationally accepted thresholds with field practicality.
- *What if variation of severity is greater within a specified area than across areas?* The point of mapping areas is to capture the general situation in a given area for planning purposes - surely there is great variation within a given area which does pose special challenges for analysis and targeting humanitarian assistance. The IPC accommodates this to some degree by (1) identifying specific social groups within a geographic area who are at risk, and (2) identifying, where necessary, numbers of people in conditions of Humanitarian Emergency as well as in Acute Food and Livelihood Crisis if they co-exist in a given area. Even for areas that are classified as “Generally Food Secure” the IPC recognizes that pockets of food insecurity can still exist, and in the Strategic Response Framework the first action listed is to address those pockets. If small area analysis is necessary, it is equally possible to apply the IPC to limited geographic areas as small as individual villages if desired.
- *Isn’t it adequate to just monitor the outcomes as measured by nutrition indicators?* No. With regards to nutrition indicators, the IPC explicitly draws from this information, but, importantly, not exclusively. This is critical from both a practical perspective (as such nutrition data is not always available and needs to be triangulated with other food security data), as well as a conceptual perspective (it is well accepted that nutrition is a late outcome indicator of food insecurity, which means that responses that are solely based on such data are likely to either (1) be too late to save lives that could have been saved, and/or (2) miss out on the opportunity (if not imperative) to initiate appropriate responses earlier so as to prevent livelihood destruction, and thus entry into a poverty trap. Thus, the IPC draws from nutrition data, but also draws from indicators that provide both triangulation and earlier indications that crisis is imminent.
- *Can the IPC be applied in country settings where a comprehensive data collection and analysis unit like the FSAU does not exist?* Yes. FSAU operates in a context where there is no central government to maintain and provide basic statistical data sets, and for which field access is often times limited due to security restrictions. Most other countries in the world regularly collect important data that can be used to support the IPC. Further, in countries of recurrent crises, there are a plethora of UN and NGO agencies that regularly conduct surveys and have monitoring systems that would support the IPC. The challenge is to draw from existing data availability and make the best use of it, while prioritizing future data collection efforts to have the most meaningful use.
- *Since the IPC was developed in the Somalia context, isn’t it “Somalia-specific”?* No. The concepts and reference outcomes of the IPC are explicitly drawn from internationally accepted standards (e.g., the Sphere standards), which are equally applicable any where in the world. Different contexts, however, will require some flexibility, which is “built-in” to the IPC, while providing a framework for rigour and reasonable comparability.

APPENDIX C
FSAU Food Security Analysis System



APPENDIX D

Comparison of IPC Results in Somalia for Gu 2004 to Gu 2006



APPENDIX E

FEWS NET and ALRMP Alert Levels

Existing Food Security Phase Classifications

FEWSNET ALERT LEVELS

EMERGENCY
A significant food security crisis is occurring, where portions of the population are now, or will soon become, extremely food insecure and face imminent famine. Decision makers should give the highest priority to responding to the situations highlighted by this Emergency alert.
WARNING
A food crisis is developing, where groups are now, or about to become, highly food insecure and take increasingly irreversible actions that undermine their future food security. Decision makers should urgently address the situations highlighted by this Warning.
WATCH
There are indications of a possible food security crisis. Decision makers should pay increasing attention to the situations highlighted in this Watch, and update preparedness and contingency planning measures to address the situation.
NO ALERT
There are no indications of Food Security problems.

Source: <http://www.fews.net/alerts/index.aspx?pageID=alertLevelsDefined>

Arid Lands Resource Management Project, Early Warning System - Warning Stages

NORMAL:
Environmental, livestock and pastoral welfare indicators show no unusual fluctuations and remain in the expected seasonal range.
ALERT:
Environmental indicators show unusual fluctuations outside expected seasonal ranges. This occurs within the entire district, or within localised regions, OR: Asset levels of households are still too low to provide an adequate subsistence level and vulnerability to food insecurity is high.
ALARM:
Environmental and livestock/ agricultural indicators fluctuate outside the expected seasonal ranges, affecting the local economy. This condition occurs in most parts of the district and directly and indirectly threatens food security of pastoralists and/or agro-pastoralists.
EMERGENCY:
All indicators are fluctuating outside the normal range. Local production systems are collapsed as well as the dominant economy within the district. The situation affects the asset status and purchasing power of the population to an extent that welfare levels have been seriously worsened resulting in famine threat.

Source: Ministry of Health, SCF-UK and Oxfam-GB. Report of Nutrition Survey in Central Division, Wajir District North Eastern Province, Kenya, August 31 to September 4, 2000 <http://www.univ-lille1.fr/pfeda/Ethiop/Docs01/0105scf.doc>

APPENDIX F

Famine Magnitude Scale

Famine Magnitude Scale of Howe and Devereux

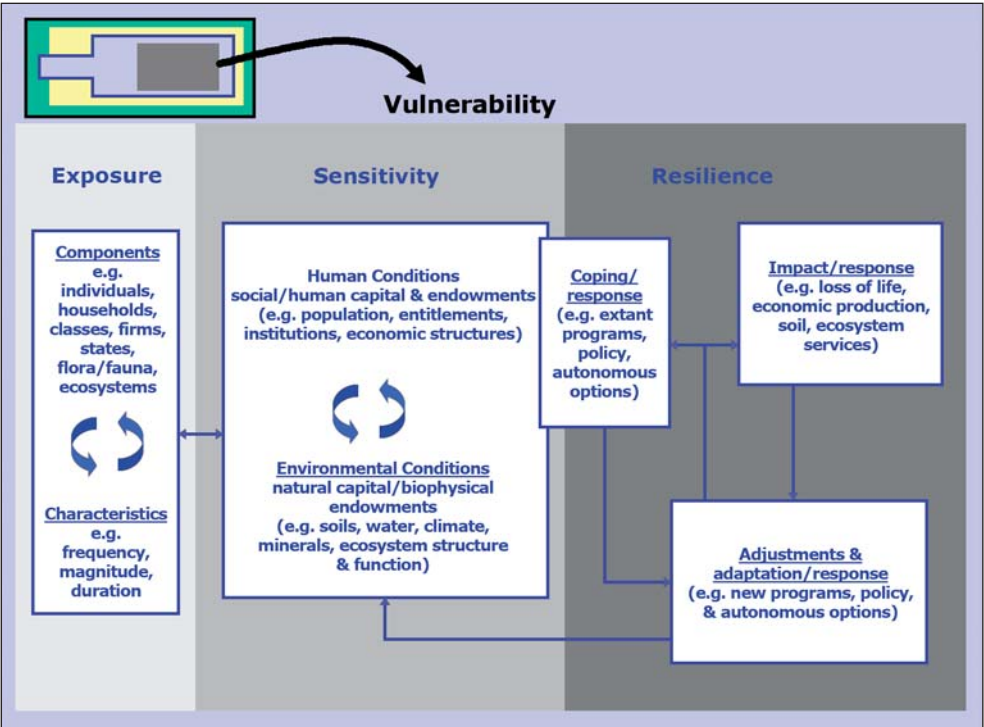
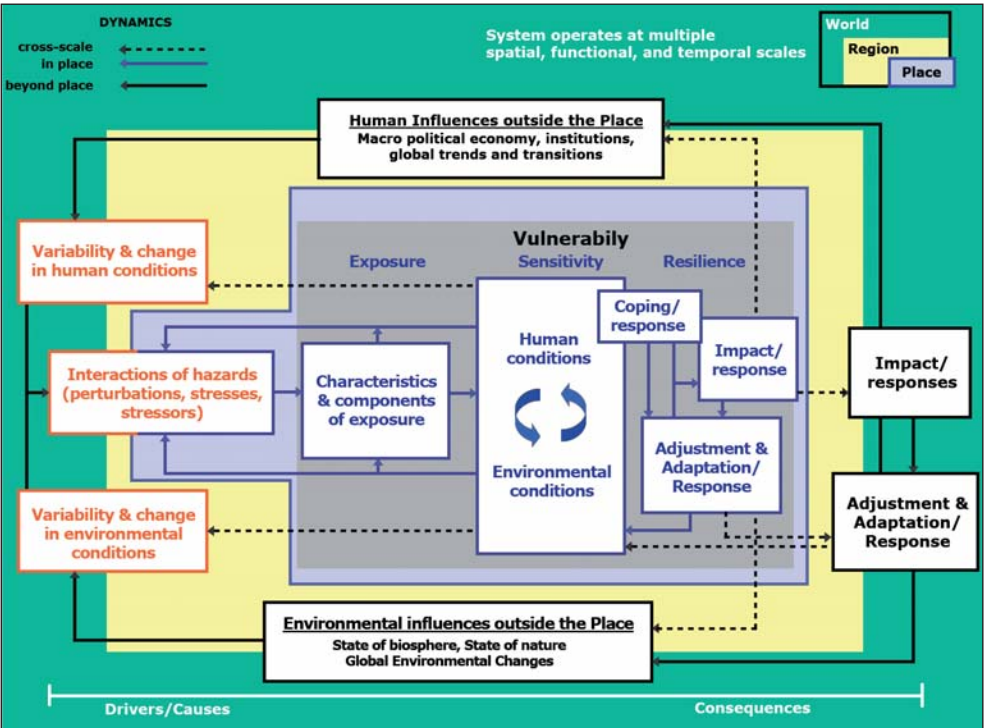
Levels	Phrase designation	“Lives”: malnutrition and mortality indicators	“Livelihoods”: food security descriptors
0	Food security conditions	CMR < 0.2/10,000/day and Wasting < 2.3%	Social system is cohesive; prices are stable; negligible adoption of coping strategies.
1	Food insecurity conditions	CMR \geq 0.2 but < .5/10,000/day and/or Wasting \geq 2.3 but < 10%	Social system remains cohesive; price instability, and seasonal shortage of key items; reversible “adaptive strategies” are employed.
2	Food crisis conditions	CMR \geq .5 but < 1/10,000/day and/or Wasting \geq 10 but < 20% and/or prevalence of Oedema	Social system significantly stressed but remains largely cohesive; dramatic rise in price of food and other basic items; adaptive mechanisms start to fail; increase in irreversible coping strategies.
3	Famine conditions	CMR \geq 1 but < 5/10,000/day and/or Wasting \geq 20% but < 40% and/or prevalence of Oedema	Clear signs of social breakdown appear; markets begin to close or collapse; coping strategies are exhausted and survival strategies are adopted; affected population identify food as the dominant problem in the onset of the crisis.
4	Severe famine conditions	CMR \geq 5 but < 15/10,000/day and/or Wasting \geq 40% and/or prevalence of Oedema	Widespread social breakdown; markets are closed or inaccessible to affected population; survival strategies are widespread; affected population identify food as the dominant problem in the onset of this crisis.
5	Extreme famine conditions	CMR \geq 15/10,000/day	Complete social breakdown; widespread mortality; affected population identify food as the dominant problem in the onset of the crisis.

Source: Howe, P. & S. Devereux. 2004. Famine intensity and magnitude scales: A proposal for an instrumental definition of famine. *Disasters* 28(4), 353-372. p 10

Objectives of Each Stage of Situation and Response Analysis

Stage	Overall Objective
Situation Analysis	To identify foundation aspects of a given situation upon which there should be technical consensus, including severity, magnitude, causes, and others.
Response Analysis	To identify the range of potential strategic responses (and their linkages) that could best mitigate short and longer term aspects of a situation, as well as the requirements to implement the response.
Response Planning	To identify and put in place operational requirements and systems, including advocacy and fund raising, to enable effective response.
Response Implementation	To implement multiple aspects of effective response including operational modalities and ensuring desired impact.
Monitoring / Evaluation	To detect any changes in the Situation Analysis and determine degrees of impact of response.

APPENDIX G Vulnerability Models



Source: Turner et al. 2003

APPENDIX H

Explanation of Revisions Introduced in Version 1.1

The revisions introduced in Version 1.1 affect the main components of the IPC, including its overall name, Reference Tables, Cartographic Protocols, and Analysis Templates. The revisions are described below. They are followed by a brief rationale (including identified problems and reason for the changes made) and give guidance on using and implementing the changes.

Name of the IPC

1. Change the name of the IPC from the “Integrated Food Security and Humanitarian Phase Classification” to the “Integrated Food Security Phase Classification”.

Rationale: The word “humanitarian” was removed from the name of the IPC to clarify that: (1) the focus of the IPC is on food security situation analysis as opposed to comprehensive multi-sectoral situation analysis; and (2) the IPC aims at informing interventions for the whole spectrum of food security situations - from the most preferable “Generally Food Secure” to the worst “Famine” - not just in crisis situations.

While the IPC Reference Table includes a number of indicators that are strongly linked to food security (e.g., conflict, water, disease, and others), the IPC is not designed to replace detailed analysis of these sectors in humanitarian situations. While the IPC remains strongly applicable in humanitarian situations, the change of the name underscores its relevance for non-crisis food security programming and policy design.

Usage: Henceforth, the IPC should be referred to as the Integrated Food Security Phase Classification.

Reference Table (See Table 1 for the revised IPC Reference Table)

2. Provisionally add an optional differentiation of Phase 1 (Generally Food Secure) into Phase 1A and 1B, which will eventually lead to the development and insertion of a new Phase between the current 1 and 2.

Rationale: As the overall name-change aims to clarify, the IPC can inform food security interventions and planning for the whole spectrum of situations. The previous IPC Phases tended to over-emphasize crisis situations and less so non-crisis situations - this was largely due to having three IPC Phases at crisis levels and only two for non-crisis levels. Feedback from a number of countries using the IPC in non-crisis situations suggested that an additional Phase between the current Phase 1 and Phase 2 would be more informative for decision making. The Kenyan Government, for example, has piloted the insertion of a new Phase and found it useful for decision making and guiding appropriate interventions in more developmentally oriented situations (see Appendix I for a sample map).

After many rounds of consultations, it is widely agreed that the IPC would benefit from inserting a new Phase on the non-crisis side of the scale. There is no broad consensus, however, on exactly how to do this - including where the Phase should be inserted, its name, and supporting reference outcomes. This requires further country experimentation and feedback to explore options and develop technical consensus, which will be a priority area for the next stage of IPC revisions which will take place in 2008.

Usage: As an interim solution, this Addendum introduces the optional differentiation of Phase 1 into Phase 1A and 1B - with the implication that 1A is more food secure relative to 1B. For the time being, however, no further guidance is provided in the form of suggested naming or supporting reference outcomes. Instead, IPC users are encouraged to implement the distinction between 1A and 1B if it makes sense in their country settings, and to provide feedback to the Global IPC Partners on the pros and cons of their pilot activities. Based on these country experiences, more definitive guidance will be given in the next IPC revision. Alternatively, users may also continue not make this distinction and revert to just using Phase 1 as it is. Either way, the classification of Generally Food Secure should still be supported by the existing Reference Outcomes in the IPC Reference Table.

Users are encouraged to visit www.ipcinfo.org to review country experiences and innovations towards the development of this new Phase and to submit their own experiences and ideas.

3. Change the name of Phase 2 from “Chronically Food Insecure” to “Moderately/Borderline Food Insecure”.

Rationale: In as much as the IPC phases are meant to indicate severity, the use of the term “chronic” in Phase 2 can imply other dimensions of food insecurity such as temporal duration, which can cause confusion. The name of Phase 2 would be clearer if it was changed to something else that is more in line with a severity scale.

Through extensive consultations, a number of solutions have been proposed including: Borderline Food Insecure, Moderately Food Insecure, Structurally Food Insecure, Generally Food Insecure, and just Food Insecure. See the table below for a summary of the pros and cons for each name.

Possible Name for Phase 2	Pros	Cons
<i>Borderline Food Insecure</i>	More in line with a severity scale than the term “chronic”. Connotes the grey area between being food secure and being in crisis.	The term “borderline” can suggest being nearly, but not yet, food insecure, whereas in fact areas meeting the criteria are already food insecure. Does not imply guidance for action.
<i>Moderately Food Insecure</i>	More in line with a severity scale than the term “chronic”, and can indicate transitions from Phase 1 to Phase 3 and vice-versa. Connotes a degree of being food insecure.	The term “moderately” is a relative term whereas the IPC aims to be a more absolute scale. Would imply a “high” and “low” food insecurity status which is not included in the IPC scale. Does not imply guidance for action.
<i>Structurally Food Insecure</i>	Draws attention to the often intractable and underlying causes of food insecurity at this level. Communicates overall guidance for action to address the structural causes of food insecurity rather than superficial actions.	While an improvement on the term “chronic”, it is still not fully in line with a severity scale. Could cause confusion for areas that are transitioning through this Phase. Can imply that it is only this Phase where structural issues are relevant.
<i>Generally Food Insecure</i>	More in line with a severity scale than the term “chronic”. Correctly connotes already being in a condition of food insecurity. Has a logical flow from Phase 1 “Generally Food Secure” to Phase 2 “Generally Food Insecure” to the subsequent crisis Phases.	Does not imply or communicate guidance for action. Language is not strong enough to draw attention to the holistic efforts required to improve food security situations at this Phase. It is not clear whether magnitude, i.e. the majority of the population, or severity are key defining criteria.
<i>Food Insecure</i>	It is brief and easy to use in written and oral communication. Has a logical flow from being “Generally Food Secure” to being “Food Insecure”	The term is already widely used in multiple contexts and can refer to the whole range of crisis and non-crisis food insecurity, which would lead to confusion in its usage.

Considering the pros and cons of each option above, both of the terms “moderately” and “borderline” capture the essence of Phase 2. Indeed, some field users are already using these terms although there is no strong consensus yet on which of the two terms should be used. As a preliminary solution, the combined name of “moderately/borderline food insecure” has been introduced in Version 1.1. Further consultations will continue with field users and other stakeholders during the development of Version 2 of the IPC Technical Manual.

Usage: The name of Phase 2 has been changed from “Chronically Food Insecure” to “Moderately/Borderline Food Insecure”. Users can choose to use either the combined name or either of the two names on their own, depending on what makes most sense in their individual country context. The reference outcomes to support the classification of Phase 2 remain the same.

4. Change the name of the accompanying reference table for early warning from “Early Warning Levels” to “Risk of Worsening Phase”.

Rationale: The projected period of analysis for the IPC Phases and their relation to early warning levels has been unclear. An IPC Phase classification is defined as the current or imminent presence of reference outcomes for the projected time period of analysis. In situations where reference outcomes are not yet present, the Phase classification itself is an early warning statement for the projected period of analysis. The term “imminent” is an essential aspect of a Phase classification emphasizing that it is more forward looking and thus useful for decision making. In short, the IPC Phase classification is a projection referenced against either current or imminently expected outcomes. For further clarification on the early warning functions of the IPC, refer to section III.

Within the projection time period, and although the Phase Classification gives current or imminent outcomes, the situation could further deteriorate into a Phase that is worse than what was projected. This can be communicated using the protocols for “Risk of Worsening Phase”.

Usage: The name “Early Warning Levels” has been changed to “Risk of Worsening Phase” on the Reference Table, Analysis Templates, and Cartographic Protocols. Users are encouraged to use these Risk protocols when the evidence suggests that there is the potential for the Phase to worsen during the time period of the projection.

Analysis Templates (See Tables 18-20 for revised Analysis Templates)

- 5. In Part 1 of the Analysis Template, combine the list of direct and indirect evidence into a single column, and highlight the distinction between direct and indirect evidence by marking direct evidence in bold.**

Rationale: Although the IPC Reference Table provides the common reference outcomes associated with each Phase, the actual evidence in support of a Phase Classification can either be direct evidence (which directly measures the outcome) or indirect (which indirectly indicates the reference outcome, for example with proxy or process indicators). While this is an important distinction, it is not necessary to have them listed in separate columns.

Usage: To increase the usability of the Analysis Templates, direct and indirect evidence are now combined into a single column (see Figure 1 below), and the user is advised to make the distinction between the two by marking direct evidence in **bold** typeface.

- 6. Insert a separate column into Part 1 of the Analysis Template that documents evidence in support of a statement on the Risk of a Worsening Phase.**

Rationale: The previous IPC Analysis Templates did not explicitly include a column to document evidence in support of a statement on the Risk of a Worsening Phase during the time period of analysis. There is a need to keep this evidence separate from that for the Phase Classification itself so that it can be evaluated independently.

Usage: The revised Analysis Templates include a separate column for documenting evidence in support of a statement on the Risk of a Worsening Phase (see Figure 1). The evidence listed should include any applicable hazard and process/leading indicators that may substantiate a further risk statement. The early warning statement can be for either a change in magnitude (number of people in crisis) or severity or both. If it is *Risk for a Worsening Phase*, the expected Phase change should be indicated along with the Risk level.

Cartographic Protocols (See Map 1 for an example of revised Cartographic Protocols)

- 7. Move “Projected Trend” from the call-out boxes to the white arrows directly on each crisis area of the map.**

Rationale: Projected trend is a critical dimension of situation analysis because it indicates if a situation is expected to improve, stay the same, worsen, or if there are mixed signals. Whereas the previous IPC protocols included this in the call-out boxes, this dimension should be given greater visibility by shifting the arrows directly onto the map.

Usage: The new protocols shift the Projected Trend into the main legend with white colored arrows directly on the map for each crisis area.

- 8. Within the key for the Defining Attributes of Crisis Areas, rearrange the order of the variables and add a basic description of the variables on the left to highlight: magnitude, depth, who, why, frequency, date, and confidence.**

Rationale: To increase the impact and logic of the cartographic protocols, the order of the variables in the Key Defining Attributes key should be rearranged. Greater prominence should be given to the basic variables of magnitude (number of people in crisis) and depth (the percentage of people in crisis) by putting them first on the list. Overall, the main dimensions of each of the variables can be highlighted by adding a basic description to the left side of the key.

Usage: The Cartographic Protocols for the Key Defining Attributes have been updated - they have a new order and a brief description on the left side of the key.

- 9. Add a new option to visually distinguish the broad categories of magnitude (i.e., numbers of people in crisis) using different font sizes for populations ranging from 0-100,000, 101,000-500,000, and >500,000.**

Rationale: Magnitude (number of people in crisis) is a basic dimension of food security situation analysis and should be given greater visual prominence in the cartographic protocols. The previous IPC protocols included magnitude as a number in the call-out boxes but did not show this in a visually distinctive manner.

Usage: The revised protocols categorize magnitude into three basic groups (0-100,000, 101,000-500,000, and >=500,000). The actual numbers in the call-out boxes - i.e. the estimates of numbers of people in Phase 3, 4, or 5 for a given area - should be in different font sizes according to which category they fall into. The font sizes should be 7 for 0-100,000, 8 for 101,000-500,000, and 12 for >=500,000. Consistent usage of these font sizes will enable easy comparison of rough magnitude both within and across countries.

10. Add a new protocol to the call-out boxes to indicate the depth of a crisis by inserting a stacked bar graph on the right side of each call-out box that displays the estimated population percentage in Phase 1 to 5.

Rationale: Along with severity and magnitude, the *depth* of a crisis is a basic dimension of situation analysis. Depth can be indicated by the percentage of the total population in a given area that is facing varying degrees of crisis, and is critical for decision making. For example, Area A could have a total population of, 500,000 people; with 100,000 of those people (20% of the total population) in Humanitarian Emergency. Area B could have a total population of 100,000 people; with 90,000 of those people (90% of the total population) in Humanitarian Emergency. While the severity and magnitude of both Area A and B are roughly equivalent, the depth of the crisis is dramatically worse in Area B than in Area A. This difference would not determine, but would most likely influence, the urgency, strategic design, and operational modalities for interventions.

This new protocol will also better communicate that a given area may be experiencing multiple “layers” of crisis for different vulnerable groups (i.e. multiple Phases for different social groups in the same area). A portion of the population could be in say, Phase 4 while others are in Phase 3, and others still in Phases 1 and 2. Although estimates of the population in each Phase are indicated in the IPC Population Tables, multiple Phase areas should be clearly indicated on the map to avoid misinterpretation. Note that in situations with multiple layers of crisis groups, the protocol is to color the area according to the worst Phase.

Usage: A new stacked bar graph has been added to the right side of each of the call-out boxes and the key (See Map 1 for an example of revised Cartographic Protocols). The graph ranges from 0% to 100%, and each stack indicates the percentage of the population in that area estimated to be in each of the IPC Phases 1-5. The calculation of percentages should be based on the total estimated number of people in each Phase for that area divided by the total estimated number of people currently resident in that same area.

11. Add a new protocol to the call-out boxes to indicate the Frequency or Recurrence of Crisis over the past ten years, with categories of Low (1-2 years), Medium (3-4 years), and High (≥ 5 years).

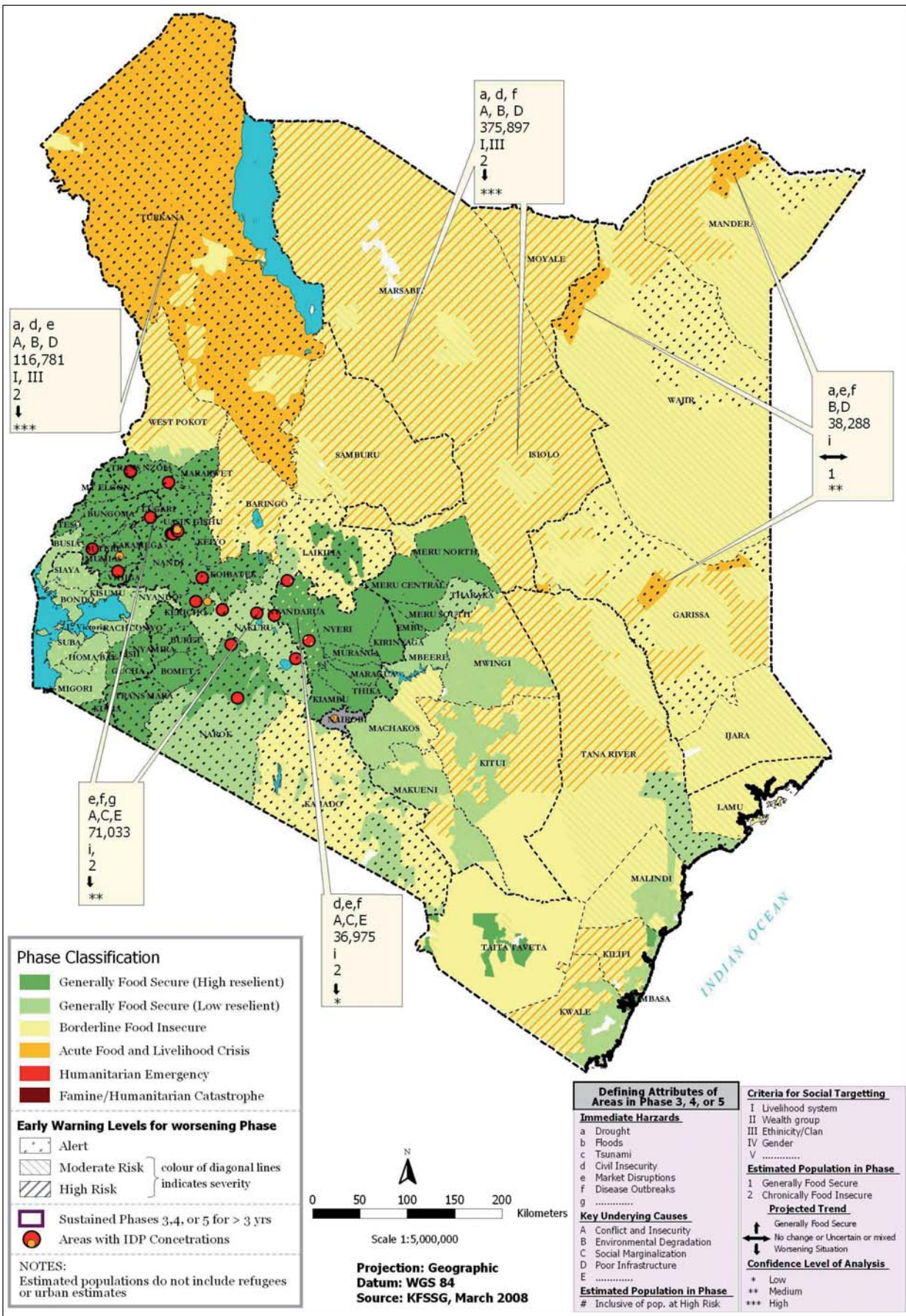
Rationale: Another key dimension of situation analysis is the degree to which a given area in crisis tends to be frequently in crisis or not. This difference should influence programme design, and put an even greater focus on addressing the underlying causes of recurrent crisis - without such efforts these areas will likely be in cyclical crisis. Also, areas that have not been, or are very rarely in crisis will most likely have a different type of institutional set-up than areas with frequent crises.

Usage: A new variable is added to the call-out boxes and the key that indicates the frequency or Recurrence of Crisis over the past ten years. This is a rolling-calculation, which means that it should include the ten years previous to and including the current analysis year. Note that the Recurrence of Crisis should not be confused with protocols to signify areas in Sustained Phase 3, 4, or 5 for >3 years - the former represents cumulative years in crisis over the past ten years, whereas the latter highlights areas that are in a drawn-out, ongoing crisis.

The key divides the number of years into three main categories: Low (1-2 years), Moderate (3-4 years), and High (≥ 5 years) (See Figure 4). The definition of a crisis would be whenever the area has been fully or partially in Phase 3, 4, or 5 according to the IPC scale. For countries beginning to use the IPC, since the IPC would not have been used in the previous ten years it will be necessary to make an initial estimate based on expert opinion and historical documents.

APPENDIX I

Kenya Food Security Situation January-June 2008-07-11



website: www.kenyafoodsecurity.org

APPENDIX J

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