

## 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	<b>Generally Food Secure</b>	Usually adequate and stable food access with moderate to low risk of sliding into Phase 3, 4, or 5.
1B	<b>Generally Food Secure</b>	
2	<b>Moderately / Borderline Food Insecure</b>	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	<b>Acute Food and Livelihood Crisis</b>	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	<b>Humanitarian Emergency</b>	Severe lack of food access with excess mortality, very high and increasing malnutrition, and irreversible livelihood asset stripping
5	<b>Famine / Humanitarian Catastrophe</b>	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 indirect<sup>1</sup> 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  $\geq 1$  but  $< 5/10,000/day$  and  $\geq 5$  but  $< 15/10,000/day$ , 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 (>=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 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 Max-well 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
<b>Watch</b>	As yet unclear	Not applicable	Occurrence of, or predicted <i>Hazard</i> event stressing livelihoods; with low or uncertain <i>Vulnerability</i> <b>Process Indicators:</b> small negative changes	Close monitoring and analysis Review current Phase interventions
<b>Moderate Risk</b>	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> <b>Process Indicators:</b> large negative changes	Close monitoring and analysis Contingency planning Step-up current Phase interventions
<b>High Risk</b>	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> <b>Process Indicators:</b> 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:		
<b>Reference Outcomes</b> (As defined by IPC Reference Table)	<b>Direct and Indirect Evidence For Phase in Given Time Period</b> <ul style="list-style-type: none"> <li>List direct and indirect (e.g., process or proxy indicators) evidence of outcomes (note direct evidence in <b>bold</b>)</li> <li>Note source of evidence</li> <li>Note evidence Reliability Score (1= unconfirmed, 2=somewhat reliable 3= very reliable)</li> <li>Identify indicative Phase for each piece of evidence</li> <li>Note "Not Applicable" or "Not Available" if necessary</li> </ul>	<b>Projected Phase for Time Period</b> (Circle or Bold appropriate Phase)	<b>Evidence of Risk for Worsening Phase or Magnitude</b> (indicators of hazards and vulnerability) <ul style="list-style-type: none"> <li>List evidence in support of Risk statement</li> <li>Source of Evidence</li> <li>Reliability Score (1= unconfirmed, 2=somewhat reliable 3= very reliable)</li> </ul>	<b>Risk Level</b> (Circle or Bold appropriate Risk Level and expected Severity, if warranted)
Crude mortality rate	•	<ul style="list-style-type: none"> <li>Generally Food Secure 1A</li> <li>Generally Food Secure 1B</li> <li>Moderately / Borderline Food Insecure</li> <li>Acute Food and Livelihood Crisis</li> <li>Humanitarian Emergency</li> <li>Famine / Humanitarian Catastrophe</li> </ul>		<ul style="list-style-type: none"> <li>No Early Warning</li> <li>Watch</li> <li>Moderate Risk                             <ul style="list-style-type: none"> <li>o AFLC</li> <li>o HE</li> <li>o Famine / HC</li> </ul> </li> <li>High Risk                             <ul style="list-style-type: none"> <li>o AFLC</li> <li>o HE</li> <li>o Famine / HC</li> </ul> </li> </ul>
Acute malnutrition	•			
Disease	•			
Food Access / Availability	<ul style="list-style-type: none"> <li>Food Access:                             <ul style="list-style-type: none"> <li>o Food sources:</li> <li>o Income sources:</li> <li>o Expenditures:</li> <li>o Purchasing power:</li> <li>o Social Access:</li> </ul> </li> <li>Food Availability                             <ul style="list-style-type: none"> <li>o Production:</li> <li>o Supply lines:</li> <li>o Cereal balance sheets:</li> </ul> </li> <li>Other direct measure:</li> </ul>			
Dietary diversity	•			
Water access / availability	•			
Destitution / Displacement	•			
Civil Security	•			
Coping	•			
Structural Issues	•			
Hazards	•			
Livelihood Assets (5 capitals)	•			

**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"> <li>Generally Food Secure 1A</li> <li>Generally Food Secure 1B</li> <li>Moderately / Borderline Food Insecure</li> <li>Acute Food and Livelihood Crisis</li> <li>Humanitarian Emergency</li> <li>Famine / Humanitarian Catastrophe</li> </ul>							

**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"> <li>■ Generally Food Secure 1A</li> <li>■ Generally Food Secure 1B</li> <li>■ Moderately / Borderline Food Insecure</li> <li>■ Acute Food and Livelihood Crisis</li> <li>■ Humanitarian Emergency</li> <li>■ Famine / Humanitarian Catastrophe</li> </ul>		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.),

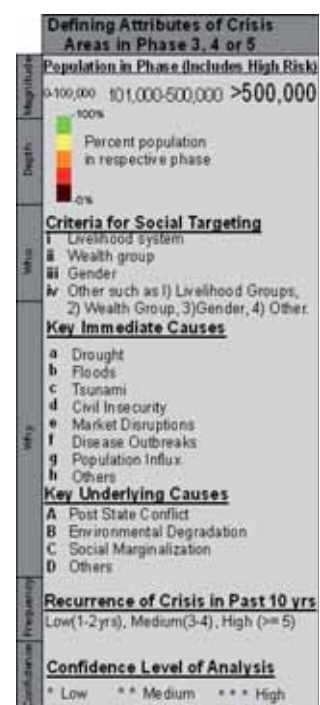
Figure 3: Spatial Delineation, Risk of Worsening Phase, and Projected Trend



**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 <sup>1</sup>	Assessed and Contingency Population in AFLC and HE		
		Acute Food and Livelihood Crisis (AFLC) <sup>2</sup>	Humanitarian Emergency (HE) <sup>2</sup>	Total in AFLC or HE as % of Region Population
<b>North</b>				
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		
<b>SUB-TOTAL</b>	<b>1.022.880</b>	<b>230.000</b>	<b>0</b>	<b>22</b>
<b>Central</b>				
Galgadud	319.735	40.000	0	13
Mudug	199.895	20.000	0	10
<b>SUB-TOTAL</b>	<b>519.630</b>	<b>60.000</b>	<b>0</b>	<b>12</b>
<b>South</b>				
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
<b>SUB-TOTAL</b>	<b>2.110.811</b>	<b>425.000</b>	<b>915.000</b>	<b>63</b>
<b>TOTAL</b>	<b>3.653.321</b>	<b>715.000</b>	<b>915.000</b>	<b>45</b>

**Table 21B: Summary Table <sup>2</sup>**

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

<sup>1</sup> 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.

<sup>2</sup> 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.

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

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

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

<sup>6</sup> 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.

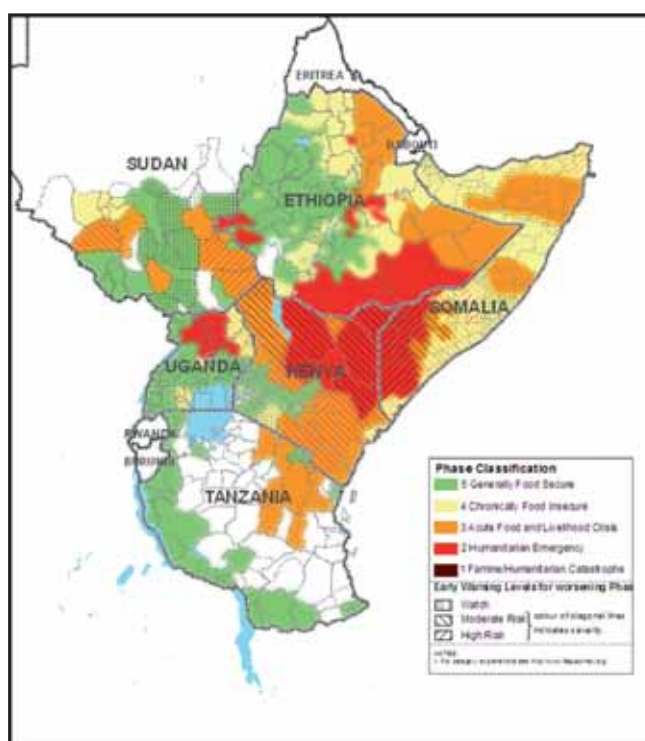
### 6.1 Potential for Replication and Expansion

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)**



<sup>1</sup> 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.