

IPC in Kenya

Lessons Learned: Short Rains Assessment 2007¹

1. Introduction

The **purpose** of the study is to examine *lessons learned* from the initial adaptation of the Integrated Food Security and Humanitarian Phase Classification (IPC) in Kenya².

The paper considers how key institutional and technical challenges have been met since the IPC was incorporated into the Short Rains Assessment 2007. Based on issues identified during an International Technical Review in March 2007, the study examines the following challenges: (i) National ownership and buy in (ii) Adaptation of the IPC framework (iii) Data and analysis.

The **target audience** includes practitioners and decision makers at national, regional and global levels involved in improving decision making and response interventions through better analysis. The lessons are designed to inform the further development of the IPC outside of the original Somalia context.

Key Lessons Learned

The involvement of existing food security institutional structures was critical for identifying appropriate government and partner agency support.

Awareness raising and training efforts helped to identify shortcomings which the IPC could address e.g. consistency of terminology, cut offs for various indicators.

The IPC provided a platform for a broad based partnership amongst diverse food security actors including government, international and donor representatives.

IPC helped to identify information gaps and streamline existing information into a consistent situation analysis.

Opportunities to decentralize IPC analysis at the district level exist and will require continued capacity development and the identification of safeguards for technical neutrality.

The incorporation of 'chronic food insecurity' aspects requires further attention. Proposals to increase the sensitivity of the lower end of the crisis scale should be tested.

Linkages between IPC situation analysis and response planning could be facilitated and possibly institutionalised in future processes.

Continued awareness raising is required to sensitise practitioners and decision makers to the distinctions between IPC meta analysis and needs assessment.

¹ The following document draws on the proceeding of a Lesson Learning Workshop conducted in Nairobi 26-29 April. Compiled by Colin Andrews (ESAF, FAO). Contributions gratefully acknowledged from Mr. Calum McClean, Mr. Thomas Awuor and Mr. Nick Haan.

² Further information: Integrated Food Security & Humanitarian Phase Classification (IPC) Technical Manual (FAO, FSAU, 2006).

2. Background

In March 2007, a field based team in Kenya completed the first adaptation of the IPC outside of Somalia. The adaptation of the IPC involved an initial development phase of sensitization, awareness raising and training exercises which was facilitated by the Arid Land Resource Management Project (ALRMP), FAO, FEWSNET and WFP. This was followed by the incorporation of the IPC in the Short Rains Assessment of March 2007.

Preparatory exercises included:

- Three sensitisation exercises conducted for stakeholders over 2 months;
- Participation of technical experts in 2 regional events over the previous 18 months;
- Endorsement from major food security actors including the national government, ALRMP, UN and international agencies;
- Identification of IPC working group to undertake IPC analysis through the Data and Information Subcommittee (DISK) of the Kenya Food Security Steering Group (KFSSG); and
- Training of 13 professionals from 5 government and partner agencies.

Figure 2 illustrates the IPC cartographic map from the Short Rains assessment, covering 32 districts. The analysis classified many areas as generally foods secure (Phase 1, colour green). The good performance of the short rains resulted in improved food security across the country, representing the start of recovery in most areas that had been affected by drought for several previous seasons. The classification was also applied to the eastern marginal agricultural areas.

The remainder of the pastoralist areas were considered to be in recovery mode, but still chronically food insecure (Phase 2, colour yellow) and requiring subsequent good seasons to replenish assets.

Areas identified as being in Acute Food and Livelihood Crisis (Phase 3, colour orange) included Lake Victoria Basin, due to floods and the Mount Elgon area due to conflict. Most of North Eastern Kenya had received excessive rain that resulted in flooding in the river basins and an outbreak of Rift Valley Fever. This delayed recovery and had an impact on livelihoods in terms of mobility and ability to sell livestock. This area was therefore classified as being in an acute food and livelihood crisis.

Key Facts
<ul style="list-style-type: none">• Population (2005): 34.3 m• GDP (PPP) per capita (2004): US\$ 1,140• Population below poverty line (1990-2003): 52.0%• Total Land area: 580,400 Km², bordering Ethiopia, Somalia, Tanzania, Uganda and Sudan.• Total arable land: 46.3%• Life expectancy: male: 48.5 years; female: 46.5years• Literacy rate: male: 77.7%; female: 70.2%• Human Development Index: 0.491/rank:152

Figure 1: (Source: UN; WB)

3. Rationale of Study

The rationale for reviewing lessons learned is to inform further development of the IPC within and outside of Kenya.

- Within Kenya, the IPC is being looked at to inform the biannual assessment process under the ALRMP. Stakeholders have identified the IPC as a potential tool for enabling consensus at the district and national level.
- Within East and Central Africa, the IPC is being prioritised in a number of other countries with financial support from CIDA, EC and DFID. The Kenya experience can help inform these preliminary activities and ensure that experiences are shared with the regional Food Security and Nutrition Working Group, which plays an important coordinating function.
- At the International level a number of agencies have committed to developing a common approach for IPC development and implementation based on iterative lesson learning from

country level activities including Kenya. Committed agencies include Care International, EC Joint Research Centre, FAO, FEWSNET, Care International, Save the Children UK and US, Oxfam GB and WFP.

3. Methodology of Study

This study is based on the results of a lesson learning workshop hosted by FAO from April 23-26, 2007. The workshop was attended by fifteen experts including core members of the original analysis team that undertook the Short Rains Assessment. Participants included technical officers from the Ministries of Agriculture, Livestock, Health, Water and Education; UNICEF, WFP (Kenya/Regional); FAO (Kenya/Somalia/HQ); FEWSNet, LINKS/ILRI and World Vision Kenya.

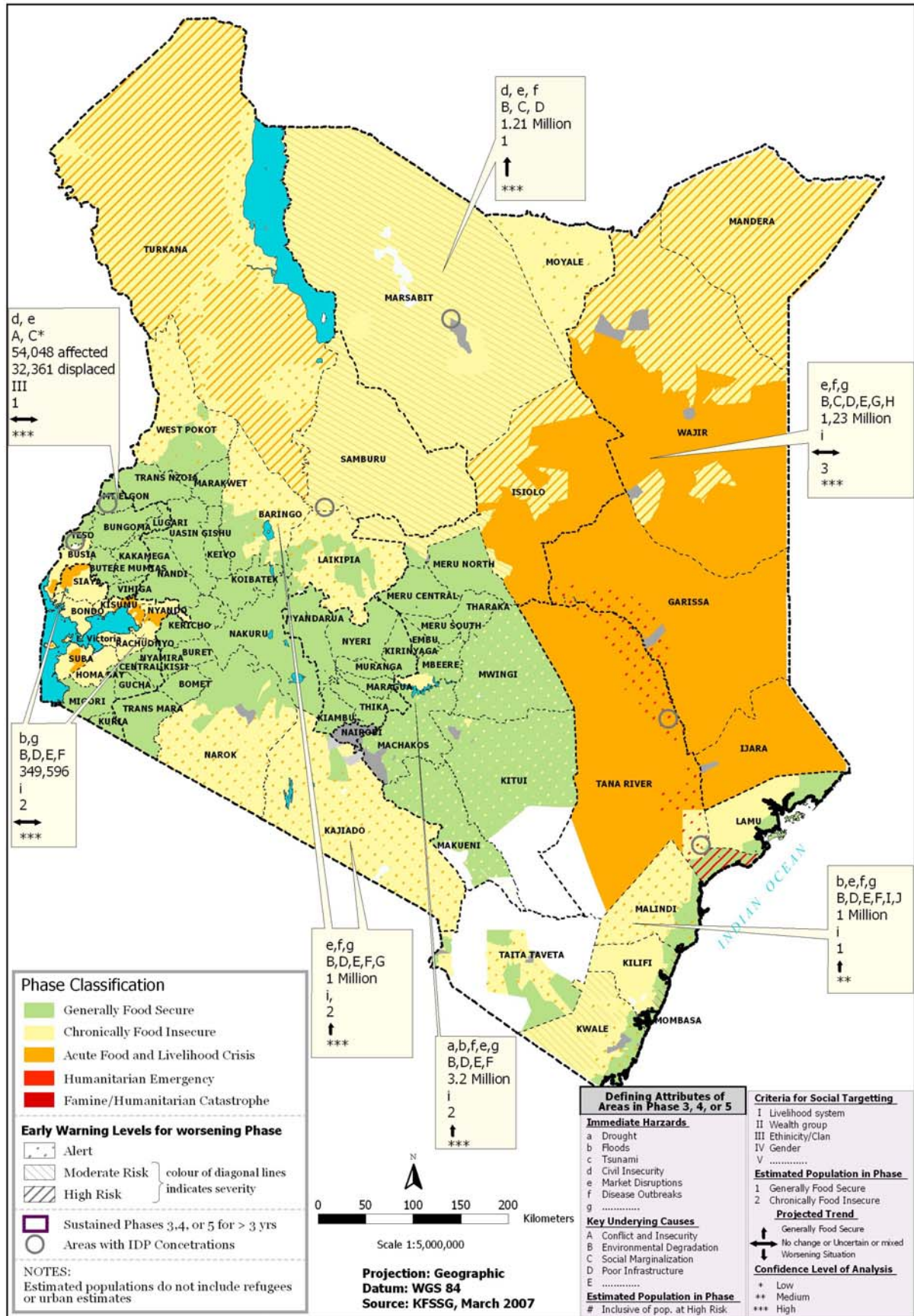
The study examines how key technical and institutional challenges, identified during an international technical review, of the IPC are being met in the context of Kenya (FAO, 2007)³. Key implementation challenges include⁴:

1. National Ownership and Buy In: The IPC aims at facilitating a consensus based approach amongst a range of stakeholders including government authorities and international agencies. Appropriate ownership and buy in is critical to the inclusion of relevant information and the participation of decision makers, and to ensure that the IPC complements rather than duplicates existing information and institutional structures.
2. Adaptation of the IPC Framework: The adaptation of the IPC Framework outside of the Somalia context raises a number of technical issues including:
 - *Chronic factors*: The inclusion of chronic factors has led to a number of difficulties regarding interpretation and comparability. Within the classification system, there is a risk that severity and temporal components of a crisis could be mixed and therefore difficult to compare. Furthermore, the term 'chronic' relates to the *duration* of food insecurity and the degree to which this is can be captured through a single phase classification has emerged as an area for substantive clarification
 - *Analysis-Response Continuum*: The link between the IPC and subsequent response analysis and planning has also been an area for debate. The IPC Technical Manual proposes that the IPC should focus on situation analysis to safeguard technical neutrality. While the IPC provides a strategic response framework for orienting response, its adequacy requires testing.
 - *Early Warning Aspects*: The combination of both early warning and severity functions under the IPC framework raises methodological and conceptual challenges that need to be clarified. For example, the link between **outcome and process outcomes** needs to be clarified.
3. Data and Analysis: The adequacy and general availability of recommended reference outcome indicators are recurring concerns. Related to this, the 'convergence of evidence' analytical approach raises a number of challenges such as identifying measures and safeguards to ensure credible analysis, interpretation and judgement.

³ The IPC technical review involved an online consultation of over 125 experts during a four week period (from national governments, UN, NGO, academic and donor community) followed by an international meeting with thirteen leading agencies involved in IPC development (FAO, 2007).

⁴ The study notes some of the key opportunities already associated with the IPC. This includes: (i) the strategic value of the IPC in providing transparent and evidence based analysis (ii) the role of the IPC in streamlining information requirements and identifying information gaps (iii) the institutional value of the IPC in providing a common platform for multi-sectoral actors.

Figure 2: Kenya Food Security Situation Analysis: March to June 2007



4. Main Findings of the Study

The initial phase of IPC development and implementation has been welcomed by a range of stakeholders from government, international and donor agencies (KFSSG, 2007). The added value of the IPC is seen to address a number of information and institutional short-comings recognised by the national authorities (FAO, 2007b). These include enabling consistency in terminology and technical consensus; providing a framework for integrating early warning information and situation analysis to capture dynamic aspects of a crisis and defining the relevance and cut offs of various outcome indicators related to food security, nutrition and livelihoods.

Initial adaptation has focussed mainly on sensitisation, training and undertaking an IPC analysis at the national level. The broad applicability of the IPC framework has been recognised, despite a number of technical concerns that are explored below. Moving forward the aim is to incorporate lessons learned and improve meta-analysis in the next long-rains assessment. The longer term vision may include further decentralisation of the process. This would involve building the capacity of district steering groups and a stronger need for monitoring and quality control at the national level.

The following sections consider the main implementation challenges to date and will determine the next most appropriate steps.

4.1 National Ownership and Buy In

Kenya has detailed institutional structures to support food security requirements (See Box 1). Within these structures, in February/March 2007, an IPC analysis was conducted through the Data and Information Subcommittee (DISK) of the Kenya Food Security Steering Group (KFSSG).

The process that followed involved the establishment of an analytical team led by a project manager (FAO) and supported by staff from three agencies including the Arid Lands Resource Management Project (ALRMP), FEWS and WFP. The analytical team was also composed by representatives from the Ministries of Health, Agriculture, Livestock and Fisheries Development, and Water and Irrigation.

Box 1: Kenya Food Security Institutional Structure

Kenya's food security institutional structure includes (i) the Kenya Food Security Meeting (KFSM): the main coordination body which acts as an open forum for high level representatives from a wide group of organizations at the national level with an interest in food security (ii) the Kenya Food Security Steering Group (KFSSG) a restricted group of stakeholders which acts as a technical 'think tank' and advisory body to all relevant stakeholders on issues of drought management and food security (iii) Data and Information Subcommittee of the KFSSG (DISK) which focuses on improving the quality, quantity and timeliness of food security and disaster management information through increased data sharing, coordinated investments in developing capacity and systems, and through continuous improvements in methodologies and techniques. The institutional structure points to advanced information collection and early warning analysis, also under the Arid Lands Resource Management Project (ALRMP).

Key lessons emerging from the Kenyan IPC adaptation include the following:

1. *The value of existing structures and broad based stakeholder support:* Existing institutional structures within Kenya provide advanced information collection and early warning analysis, evidenced by regular food security outlook bulletins and bi-annual assessments. The IPC was introduced to complement these structures and fulfil a number of shortcomings recognised by stakeholders. These include technical consistency and a framework for integrating early warning and situation analysis. Implementation was particularly enabled by the presence of an FAO technical support office within the Office of the President/Ministry of State for Special Programmes/ALRMP since 2005. This facilitated the identification of appropriate structures to facilitate transparency and consensus; the identification of modalities for data collection and analysis; and the customisation of data and information to existing context.

The broad based nature of stakeholder support should also be noted. The analytical team included representatives from the five ministries and the participation of the following international agencies: FAO, FEWSNET, WFP and World Vision. This ensured that the multiple dimensions of food security were assessed and different information sources utilized. The involvement of agencies leading the international development of the IPC is a positive factor that will ensure linkages between country, regional and global activities.

2. *The need to strengthen links with line ministries:* The links with line ministries need to be maintained and strengthened to ensure the retention of trained ministry staff and to ensure that future implementation is supported at the appropriate level. To date, significant time has been spent in the selection and training of suitable government representatives to participate in the IPC analysis. Moving forward it will be important to retain such trained focal points. Additionally, specialized consultations and training should be provided to senior decision makers to ensure appropriate project support, particularly as activities are decentralized in the future.
3. *The potential to decentralise analysis:* There is a strong potential to decentralise IPC analysis at the district level. The current analysis was applied to 32 districts and led by an analytical team at the national level. As detailed under Section 4.3, the process of analysis pointed to a number of functions that could be better undertaken at a decentralized level including data collation, triangulation and eventually analysis by region. The role of national teams would eventually be restricted to providing technical support and monitoring quality. Longer term planning will be required to ensure appropriate capacity support and to put measures that ensure neutrality of analysis in place.

4.2 Adaptation of the IPC Framework

The adaptation of the IPC framework in the Kenyan context informs discussions under the following three areas: (i) chronic factors (ii) response analysis (iii) early warning.

Chronic Factors

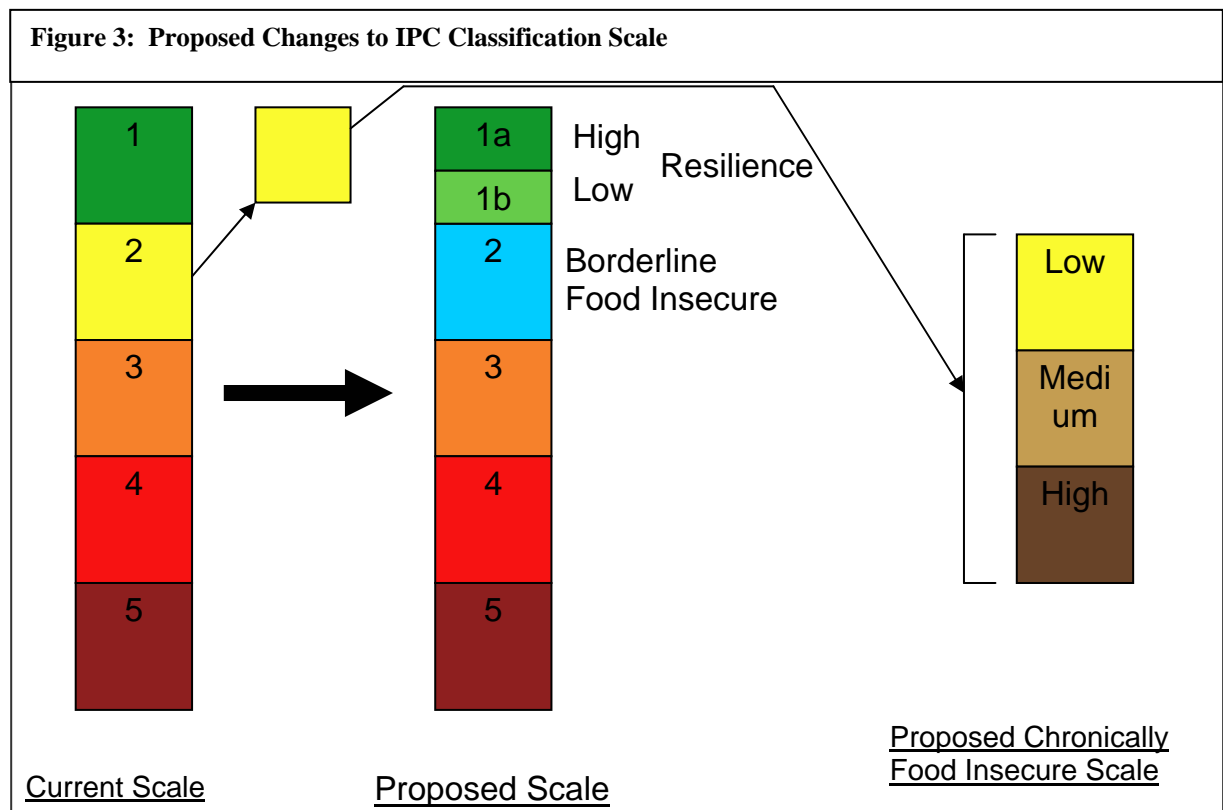
The degree to which chronic factors were incorporated particularly at the lower end of the severity scale was considered an area that required further attention. For example, the eastern marginal agricultural areas were classified as generally food secure, although it was felt that this phase did not adequately reflect the underlying vulnerability of this livelihood zone.

In the current IPC framework, beyond the labeling in Phase 2 chronic factors are accounted for in (i) the purple hatch lines on the cartographic protocol (where a crisis has persisted for more than three years in a given livelihood or administrative zone) and (ii) the third analysis template which examines underlying structural problems.

Given the widespread classifications in phases 1 and 2, further ways to make chronic aspects more prominent were considered. This included the following proposals:

1. Increase sensitivity at the non-crisis end of the scale by:
 - Substituting the 'chronic' phase label with 'borderline food insecurity'. This makes the framework more consistent in classifying severity along a linear progression. The degree of severity – as distinct from its duration - is more relevant in emergency programming contexts (Deveraux, 2006).
 - Dividing phase 1 into two components measuring the degree of resilience. This could be subdivided into a high and low classification based on a number of indicators including literacy levels, poverty levels, market integration and gender development (See Figure 2).

2. Introduce a 'chronically food insecure scale' as a breakdown of the second phase classification divided into three sub-categories, mapped separately and/or indicated in call out boxes
 - The scale could be based on a simple categorization of high, medium and low levels of chronic food insecurity (See Figure 2) according to the present indicators adopted in the framework and possibly by combining poverty levels, chronic malnutrition and dietary diversity.
 - A further option could be to introduce a ranking indicating the number of years all phases have been in a given crisis e.g. <3 years, 4-7 years, 8-10 years. This could be applied more widely across the entire classification.



Situation and Response Analysis

The Kenyan Short Rains Assessment included a response analysis by phase and livelihood zone. This featured a food sector response with beneficiary numbers and food requirements developed by the Government and WFP through the Food Estimates Sub-committee of the KFSM.

This brings into question the scope of the IPC and its role in informing response options and response analysis. According to the IPC manual (FAO, FSAU, 2007) situation analysis and response analysis are purposely delineated to ensure technical neutrality. The situation analysis involves estimating only the severity and magnitude of a given problem. Response analysis and planning may be a more negotiated process depending on resources, capacity, political influences etc.

Initial lessons emerging from the Kenya experience include:

1. Early Warning non-prescriptive response options analysis is useful for identifying and prioritizing appropriate responses and can be conducted as part of the IPC analysis.
2. The linkage and boundaries between situation analysis and wider elements in the response analysis and planning process need clarification. One possible option is to ensure that a response planning meeting is convened under the FKSSG framework once the ICP situation analysis is complete. This could include staff involved in analysis and programming and should also be an institutional part of the assessment to appeal process.

Early Warning Aspects:

Analysis suggests that the IPC provides a framework for integrating early warning information and situation analysis as a means of capturing the dynamic aspects of a crisis. Kenya is in a good position to do this with the strong engagement of ALRMP (who run the EWS) in the IPC implementation process. What is less clear at this stage is how the early warning phases align and relate to the IPC phases. Given that contingency plans and funding mechanisms are linked to the early warning phases, this is an important aspect of the overall early warning – assessment – response system.

4.3 Data and analysis

The following concerns related to data availability and analysis have been raised:

Data Coverage and Availability

The *Short Rains Assessment* followed the key reference outcome indicators recommended in the IPC technical manual. A data review and gap analysis was undertaken and results are summarised in Table 1.

Key lessons related to the data review and gap analysis follow:

1. The recommended reference outcome indicators have a broad level of applicability for describing the severity of food insecurity in the Kenyan context. The identification of and adherence to a core set of indicators allowed stakeholders to streamline data towards a food security analysis with broad-buy in. Additional variables that were relevant in the Kenyan context and not explicit in the reference table included education and water quality.
2. The IPC framework highlighted a number of ‘upstream issues’ related to the use of data. For example (i) There were a number of data gaps concerning food access and availability e.g. markets (prices, food stocks); livestock and cross border information. Some data gaps could be addressed through improved data triangulation (ii) A lack of harmonization between some indicators raised difficulties in data selection and interpretation e.g. dietary diversity and coping strategy indices.
3. Further work is required to estimate the magnitude of food insecure population estimates. This is an area of priority for the next phase of the IPC roll out in Kenya. Linking food security analysis and IPC phases to poverty statistics is one area of suggested enquiry, as opposed to wealth ranking techniques used in Somalia for the same purpose.

Table 1: IPC Data Review and Gap Analysis for Kenya

Reference Outcome Indicator ¹	Data Availability & Coverage	Specific Data Gaps Analysis
<i>Mortality/Morbidity</i>	Availability: Good. Level of Inquiry²: D, P Frequency: Annual Main Sources³: H/N SWG, MOH, ALRMP, UNICEF	Constraints: MOH/UNICEF data not accessible, inconsistent reporting, timing Gaps: Data on 'Top 10' diseases at district level, Cause of death
<i>Nutrition / Health</i>	Availability: Good. Level of Inquiry: H, F, D Frequency: Monthly Main Sources: H/N SWG, MOH, ALRMP, UNICEF	Constraints: MOH/UNICEF data not accessible, inconsistent reporting, timing Gaps: MUAC thresholds are needed, which should trigger Wt/Age surveys; Wt/Age data is facility based, limited survey data; confirm documented immunization and vitamin A supplementation
<i>Dietary Diversity</i>	Availability: Good at H Level Level of Inquiry: H, D Frequency: Adhoc Main Sources: FAO, WFP,	Constraints: Different indexes need to be harmonised Gaps: incorporation of daily requirement food pyramid into index
<i>Food availability and Access</i>	Availability: Variable. Level of Inquiry: H, D, N, Frequency: Weekly (price data), monthly (production etc) Main Sources: MOA, WFP, MoLFD, FEWSNET, ALRMP	Constraints: Unreliable point data (e.g. yield estimates); inconsistency in estimates (e.g. livestock) Gaps: Consistent database of commodities at D level; long term average yield information; fertilizer usage; income and expenditure data; limited cross border trade data for livestock; livestock estimates to be clarified
<i>Water & Sanitation</i>	Availability: Variable Level of Inquiry: Districts, communities Frequency: Monthly Main Sources: MOW, WESCOORD	Constraints: Poor reporting and organisation of data Gaps: Proxies for water quality required (e.g. health and diarrhoea); rainfall sampling water point); mineral and solid matter content; data on waiting time for water collection required in addition to distance from water point
<i>Coping Strategies</i>	Availability: Insufficient Level of Inquiry: HH, 29 ASAL Districts Frequency: Quarterly, on request Main Sources: WFP, ALMRP	Constraints: PDM is tailored to national assessment, harmonization between PDM, ALMRP Gaps: Categorisation of coping could be clearer, possible adaptation from FSAU
<i>Livelihood Assets</i>	Availability: Mixed Level of Inquiry: H Frequency: Regular, depends on asset Main Sources: WFP, ALMRP, MOA, MOFLD	Constraints: Broad range of potential indicators that could be incorporated Gaps: Simplified and cheaper way to approximate some assets required e.g. livestock, infrastructure

¹ Table considers Key Reference Outcome indicators from FAO FSAU (2006). Additional indicators that featured in short rains assessment and not detailed above include education, rainfall. Hazard information not

² Household (H), District (D), National (N); Facility Based (F), Provincial (P)

³ Health and Nutrition Steering Working Group (HN SWG); Ministry of Health (MOH), Ministry of Agriculture (MOA), Ministry of Forestry, Livestock and Defence (MOFLD), Ministry of Water (MOW)

Analytical Process

During the short rain assessment a core analytical team had responsibility for undertaking the IPC analysis. The short rain assessment was then disseminated widely in report format as well as on CD-ROM to major stakeholders.

Key lessons related to the IPC analytical process include:

1. Continued awareness raising is required to sensitize stakeholders to the process of meta analysis and to understand how this can be more effectively integrated into the short and long rain assessment process. The distinctions between meta-analysis and needs assessment raise some complications, even for practitioners. Senior decision makers should be targeted to ensure appropriate support.
2. Guidance for data interpretation is required. The IPC analysis is based on a convergence of evidence approach, drawing a number of different indicators together. This raises some complications given, for example, the inconsistency between different indexes and the reliance on indirect evidence where direct data does not exist.
3. Terms of reference for the project leader and code of conduct for the core analytical team should be developed to ensure optimum participation in process. Continued logistical arrangements with partners are required to ensure efficient implementation at district and national level.

5. Future Recommendations

The introduction and implementation of the IPC tool in Kenya has been a largely successful experience in terms of its application during the Short Rains Assessment, and has brought out a number of key issues that are likely to inform the development of the IPC outside of the Kenya context.

Key conclusions were as follows:

- Existing food security structures were critical for identifying appropriate institutional mechanisms for IPC development through the Kenya Food Security Steering Group (KFSSG). The joint support of leading international agencies (e.g. FAO, FEWS and WFP) ensured adequate awareness raising and sensitization in advance of the initial application. This application highlighted the potential for decentralizing IPC analysis at the district level. Future decentralization will require the involvement of senior officials from line ministries as well as continued international support to ensure appropriate capacity building and safeguards for technical neutrality.
- The IPC framework had applicability, even outside of the Somalia context. A key area for future technical clarification is the incorporation of chronic factors, particularly given the widespread classification of areas as generally food insecure (Phase 1) and chronically food insecure (Phase 2). Future technical adaptation could examine the sensitivity of the lower end of the severity scale classification e.g. re-labelling phase classifications; introducing a separate scale for chronic food insecurity. Other areas for technical development include the estimation of population groups and the clarification of situation analysis vis-à-vis response analysis and planning.
- Concerning data and analysis, a core set of reference indicators allowed stakeholders to streamline data towards an agreed upon food security analysis with broad buy in. The IPC framework highlighted 'upstream' issues e.g. data is often underutilised, is sometimes of poor quality or not readily available, and in some cases the methodologies are not harmonised.

From an analytical perspective, greater sensitisation and guidance is required to ensure credible, transparent and neutral analysis. One concern is the need for continued awareness raising to sensitize stakeholder on the distinctions between IPC meta-analysis and needs assessment

Moving forward, the following recommendations could be considered at the country, regional and global level.

Kenya

There is a strong potential for decentralizing the IPC process in the medium to longer term within Kenya. This will require continued capacity building and safeguards to ensure technical neutrality. At the national level, IPC activities would then focus on maintaining quality control, verification of data and filling data gaps as required. Key recommendations include:

- Maintain technical working group within the Data and Information Subcommittee (DISK) of the Kenya Food Security Steering Group (KFSSG).
- Strengthen links with line ministries to support future decentralization efforts and to ensure the retention of trained IPC experts from ministries. This will also include the facilitation of high level awareness and training events for Ministry Directors and senior staff within partner agencies.
- Incorporate, test and review technical changes proposed in the Long Rains Assessment 2007, including chronic factors and the emphasis on meta-analysis.
- Establish a technical working group and ensure collaboration with global and regional technical working groups focussed on IPC development.
- Follow up on a number of data and analytical shortcomings identified in the Short Rains Assessment and follow up workshops, in parallel with dedicated focal points across technical agencies.

Regional level

The experiences of Kenya play an important role in informing the wider application of the IPC and activities of the regional Food Security and Nutrition Working Group. Key recommendations include:

- Support the adaptation of the IPC within Kenya by providing technical advice when requested.
- Disseminate analytical output and learning materials to relevant stakeholders.
- Feed lessons learned and experiences from Kenya into regional training exercises, in collaboration with country and regional technical groups.
- Incorporate Kenya IPC products into regional analyses through FSNWG proceedings, particularly concerning cross border issues.
- Contribute to the technical dialogue on the review of the IPC framework through established review mechanisms.

Global Level

A number of agencies are working towards a common approach for IPC development and implementation, including Care International, FAO, FEWSNET, EC Joint Research Centre, Save the Children UK, Oxfam GB and WFP. It is recognized that the development of the IPC will involve iterative lesson learning and refinement at the country level. Accordingly, major recommendations from the Kenya experience include:

- Explore implications of proposed technical revisions through established review mechanisms and by working with the Kenya country team.
- Ensure that agency focal points at the country level are engaged / updated in the IPC process.
- Follow up on substantive technical areas that are likely to require clarification across other countries and contexts in the medium term e.g. population estimation, delineation of situation and response analysis, and the possible incorporation of resilience factors within IPC framework.