



# **MODULE 4:FUNCTION 2 - CLASSIFICATION OF SEVERITY AND IDENTIFICATION OF KEY DRIVERS**

## **SESSION 4.10 STEP 4 – POPULATION ESTIMATION**



Food and Agriculture  
Organization of the  
United Nations



Famine Early Warning Systems Network



OXFAM



Programme  
Alimentaire  
Mondial



Save the Children.



# OUTLINE

- **OBJECTIVES**
- **GENERAL PRINCIPLES OF POPULATION ESTIMATION**
- **POPULATION ESTIMATION TOOLS**
- **POPULATION ESTIMATES BY SEVERITY PHASE FOR THE CURRENT SITUATION**
- **POPULATION ESTIMATION APPROACH FOR THE PROJECTED SITUATION**
- **EXERCISE**

# OBJECTIVES

At the end of this session, participants will be able to:

- master the procedures for estimating populations in current and projected situations;
- distribute the population by phase of severity of food and nutrition insecurity;
- complete the Table 4-A and 4-B of population estimates.



# GENERAL PRINCIPLES OF POPULATION ESTIMATION

- Population estimation is a complex exercise that requires the convergence of evidence but certainly **not a mathematical formula**;
- It consists of distributing the populations of an analyzed area by level of severity (phase) of acute food and nutrition insecurity;
- It is done once the classification of the phase of the zone is determined by consensus (see step 3).

# GENERAL PRINCIPLES OF POPULATION ESTIMATION

• The basic principle is compliance with the 20% rule: this means that once the area has been phased (step 3), at least 20% of the populations in this zone are distributed in this phase or worse.

- For example, if the area is classified in phase 2 (under pressure), the sum of the population proportions of phases 3 to 5 must be less than 20% and;
- the sum of the population proportions of phases 2 to 5 must be at least 20%. See figure below for illustration

3rd administrative level	Total population	Area classification	Percentage of households affected by each phase				
			Ph1	Ph2	Ph3	Ph4	Ph5
SALEMATA	26,920	2	54%	37%	9%	0%	0%

sum of the proportions of phases 3, 4 and 5 must be less than 20%. On the other hand, by adding the proportion of phase 2 in black, the sum must be at least greater than 20%

# GENERAL PRINCIPLES OF POPULATION ESTIMATION

- To distribute the populations of an area by phase of severity of acute food and nutrition insecurity, it is necessary to start by estimating those likely to be in phase 5,
  - Then gradually evolve towards the lower phases (phases 4, 3, 2 and 1)
- and based on the description of the phases contained in the reference table of the CH manual as indicated in the figure below.

3rd administrative level	Total population	Area classification	Percentage of households affected by each phase				
			Ph1	Ph2	Ph3	Ph4	Ph5
SALEMATA	26,920	2					





# POPULATION ESTIMATION STEPS:

## Step 1: population estimation for food consumption outcome

A	B	C	D	E
<b>STEP 4-A, TABLE 4 - Population Estimates</b>				
1st Administrative Level	Ghana			
2nd administrative level	Bono			
3rd administrative level	Bono			
Cycle month:	March 2023			

- Checking data of indicators by phase
- Consideration of CF impacts
- Construction of the convergence of evidence respecting the 20% rule
- On the basis of the current situation, proceed to the distribution of the population for the projected situation while respecting the 20% rule.

STEP 4-A, Table 4: Summary of figures													
Outcomes		Current Situation: March-May					Outcomes		Projected situation: June-August				
Food Consumption	Classification outcome of food consumption indicators (FC)												
	Direct evidence												
	Indicator	Phase 1	Phase 2	Phase 3	Phase 4	Phase 5	Indicator	Phase 1	Phase 2	Phase 3	Phase 4	Phase 5	
	FCS	82,8%		17,2%	0,0%								
	HDDS	90,5%	4,3%	1,9%	2,4%	0,9%							
	HHS	72,4%	8,1%	19,5%	0,0%	0,0%							
	rCSI	52,8%	32,4%	14,8%									
	HEA	Pop with LPD	Pop with LPD	Pop with LPD or SD	Pop with SD	Pop with SD	HEA	Pop with LPD	Pop with LPD	Pop with LPD or SD	Pop with SD	Pop with SD	
	Zone 1						Zone 1						
	Zone 2						Zone 2						
	Zone 3						Zone 3						
	Zone 4						Zone 4						
	Contributive Factors	Hazards & Vulnerability	Availability	Access	Utilization	Stability	Contributive Factors	Hazards & Vulnerability	Availability	Access	Utilization	Stability	
	Impact on FC	-M	+L	+L	N/A	+L	Impact on FC	-L	+L	+L	N/A	+M	
	Phase 1	Phase 2	Phase 3	Phase 4	Phase 5		Phase 1	Phase 2	Phase 3	Phase 4	Phase 5		
Recall the Classification of FC						Recall the Classification of FC							
Conclusion on FC estimates	84%	10%	6%	0%	0%	Conclusion on FC estimates	90%	10%	0%	0%	0%		

# POPULATION ESTIMATION STEPS:

## Step 2: population estimation for livelihood change outcome



	B	C	D	E	F
1	<b>TABLE 4 - Population Estimates</b>				
2					
3	ive Level		Ghana		
4	ive level		Bono		
5	ive level		Bono		
6			March 2023		

- Verification of distribution of proportion by ELH phase
- Construction of the convergence of evidence taking into account the impacts of CF while respecting the 20% rule
- On the basis of the current situation, proceed to the distribution of the population for the projected situation while respecting the 20% rule.

Evolution of livelihoods	Classification of indicators on the evolution of Livelihoods					
	Direct evidence					
	Indicator	Phase 1	Phase 2	Phase 3	Phase 4	Phase 5
	LH-CS	77,1%	15,3%	6,2%	1,4%	
	Contributive Factors	Hazards & Vulnerability	Availability	Access	Utilization	Stability
	Impact on LH-trends	-M	+M	+F	N/A	+M
Recall the Classification of LH						
Conclusion on LH estimates	93%	7%	0%	0%		

Evolution of livelihoods	Classification of indicators on the evolution of Livelihoods					
	Direct evidence					
	Indicator	Phase 1	Phase 2	Phase 3	Phase 4	Phase 5
	LH-CS					
	Contributive Factors	Hazards & Vulnerability	Availability	Access	Utilization	Stability
	Impact on LH-trends	-L	+M	+F	N/A	+M
Recall the Classification of LH						
Conclusion on LH estimates	95%	5%	0%	0%		



# POPULATION ESTIMATION STEPS:

## Step 3: Verification of Nutrition and Mortality Outcome Data

ETAPE 4-A, TABLEAU 4 - Estimation des Populations

1er Niveau administratif	Mali
2e Niveau administratif	Tombouctou
3e Niveau administratif	Goundam
Date du cycle	Novembre 2022

- Verification of automatic reporting of nutrition and mortality data
- verification of the classification of nutritional status and mortality

ETAPE 4-A, TABLEAU 4 : synthèse des données chiffrées

Résultat		Situation Courante :						Résultat	Situation Projetée :				
Statut Nutritionnel		Classification des indicateurs de résultat de le Statut nutritionnel (Nut)					Statut Nutr		Classification des indicateurs de résultat de le Statut nutritionnel (Nut)				
		Phase 1	Phase 2	Phase 3	Phase 4	Phase 5		Indicateur	Phase 1	Phase 2	Phase 3	Phase 4	Phase 5
	Rappel de la Classification							Rappel de la Classification					
Mortalité		Classification des indicateurs de résultat de la Mortalité					Mortalité		Classification des indicateurs de résultat de la Mortalité				
		Phase 1	Phase 2	Phase 3	Phase 4	Phase 5		Indicateur	Phase 1	Phase 2	Phase 3	Phase 4	Phase 5
	Rappel de la Classification							Rappel de la Classification					

# POPULATION ESTIMATION STEPS:

## Step 4: Verifying the existence of data on contributing factors

STEP 4-A, TABLE 4 - Population Estimates

1st Administrative Level	Ghana
2nd administrative level	Bono
3rd administrative level	Bono
Cycle month:	March 2023

- Verification of the reporting of data on contributing factors
- otherwise proceed with their integration into table 4A by referring to table 2A

Hazards and Vulnerability (% or number of people affected / impacted by type of impact)			Hazards and Vulnerability (% or number of people affected / impacted by type of impact)	Recall the assumptions made
		Crop pest/disease - 37.14% Area affected by hazards - 39.2% High fuel and transport prices - 72.28% high fertilizer cost - 67.14%		
Availability		\\15_Three (3) major staple crops produced (MT)---Maize - 441,638 (+33.14%:5yr, +21.32%:2022) Cassava - 1,794,953 (+2.1%:5yr, +13.72%:2022) Plantain - 321,744 (-20.65%:5yr, -32.08%:2022)	Availability	The region is a breadbasket of the country. Favourable rainfall and early onset rain improve the production of crops and moisture content in the soil in the projected period. Support to the fishery sector and expansion of the coverage area is expected to improve fish production. Improvement in vegetation cover will contribute to livestock feed resulting in improvement nutritional security.
Accessibility		\\45_Price of 3 major staples (GHS)---Maize - 340.42 (+105%:5yr, +17%:2022) Cassava -145.98 (+91%:5yr, 2%:2022) Plantain - 21.34 (+65%:5yr, -10%:2022)	Accessibility	Prices of crops and fish may remain same or increase marginally as a result of increased fuel prices globally resulting in increase in transport fares. However, harvest from near season stocks and influx of crops from other marketing centers and farming areas in the region may reduce the prices of the produce hence favouring consumers and farmers differently.
food utilization including water		\\77_Child Care Practices---immediate/ within 1 hour:70.24%1-24 hours24.05%more than 24 hrs5.07%Don't know0.64%	food utilization including water	Percentage of household with diarrhoea may not worsen while those with fever may due to Ghana Health Services (GHS) continues outreach to the communities in the region. Child care practices may improve with the support of GHS. Improvement in educational impact of the sector will improve child care in the immediate future.
Stability		\\108_Trends in Staple crops Prices---Maize - 340.42 (+105%:5yr, +17%:2022) Cassava -145.98 (+91%:5yr, 2%:2022) Plantain - 21.34 (+65%:5yr, -10%:2022)	Stability	The region is a hub of food production. Generally, the trend in production of major crops may remain the same with favourable rainfall coupled with availability of pre-stocks of food crops. Good aquaculture practices and quality fish seed and feed coupled with low mortality may affect fish growth and production positively resulting in growth. Vegetation cover will contribute to improvement in protein intake since growth livestock will be recorded.

# POPULATION ESTIMATION STEPS:

## Step 5: Estimate the population for the area

- Build convergence of evidence based on:
  - ✓ The distribution of populations by phase for FC and ELH results
  - ✓ Data on the CF
  - ✓ Phases of classification of nutritional status and mortality
    - Compliance with the 20% rule consistent with the classification of the area.
    - Read again the description of each phase

ETAPE 4-A, TABLEAU 4 - Estimation des Populations

1er Niveau administratif	Mali
2e Niveau administratif	Tombouctou
3e Niveau administratif	Goundam
Date du cycle	Novembre 2022

ETAPE 4-A, TABLEAU 4 : synthèse des données chiffrées

Résultat	Situation Courante :					Résultat	Situation Projetée :				
Rappel de la Classification de la zone en phase courante						Rappel de la Classification de la zone					
Population estimée	73%	22%	5%	0%	0%	Population estimée	67%	26%	7%	0%	0%

ETAPE 4-B, TABLEAU 5 - Estimation des Populations

1er Niveau administratif	Mali
Date du cycle	Novembre 2022

1er niveau administratif	2 <sup>ème</sup> niveau administratif	3 <sup>ème</sup> niveau administratif	Geocode	Date du cycle	Population totale	Protocole d'analyse	Classification de la zone	SITUATION COURANTE										Classification de la zone projetée	SITUATION PROJETEE											
								Pourcentage de ménages affectés par chaque Ph					Population totale en Ph 1	Population totale en Ph 2	Population totale en Ph 3	Population totale en Ph 4	Population totale en Ph 5		Population totale en Ph 3 à 5	Pourcentage de ménages affectés par chaque Ph					Population totale en Phase 1	Population totale en Phase 2	Population totale en Phase 3	Population totale en Phase 4	Population totale en Phase 5	Population totale en Phase 3 à 5
								Ph 1	Ph 2	Ph 3	Ph 4	Ph 5								Ph 1	Ph 2	Ph 3	Ph 4	Ph 5						
Mali	Tombouctou	Goundam	ML0602	Novembre 2022	232 206	Protocole normal	2	73%	22%	5%	0%	0%	169 510	51 085	11 610	-	-	11 610	2	67%	26%	7%	0%	0%	155 578	60 373	16 254	-	-	16 254
<b>Total</b>					<b>232 206</b>								<b>169 510</b>	<b>51 085</b>	<b>11 610</b>			<b>11 610</b>		<b>67%</b>	<b>26%</b>	<b>7%</b>	<b>0%</b>	<b>0%</b>	<b>155 578</b>	<b>60 373</b>	<b>16 254</b>			<b>16 254</b>

# POPULATION ESTIMATION STEPS:

## Overall overview of table 4

ETAPE 4-A, TABLEAU 4 - Estimation des Populations

Niveau administratif: Mali  
 2<sup>e</sup> Niveau administratif: Tombouctou  
 3<sup>e</sup> Niveau administratif: Gounda  
 Date de query: November 2022

ETAPE 4-A, TABLEAU 4 - Synthèse des données chiffrées											
Situation Constatée :						Situation Projetée :					
Description des indicateurs de santé et à consommation humaine (ES)											
Passages sanitaires											
Indicateurs											
ES1											
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# POPULATION ESTIMATION IN PHASE 5



# REMINDER OF THE DESCRIPTION OF PHASE 5

**Phase 5:  
catastrophe  
/Famine**

**Households are extremely short of food and/or enough to meet their other basic needs, despite maximum use of coping strategies. Critical levels of starvation, death, destitution and acute malnutrition are evident**

**(To be classified in the Famine phase, an area must have extremely critical levels of acute malnutrition and mortality)**

# Clarification of the terminology used to define population estimated to be in Phase 5

If the area is classified in a phase lower than Phase 5, then we are talking about populations in

Catastrophe

If the area is classified as Phase 5, the area is in Famine, and we are talking about populations in

Famine

# CHARACTERISTICS OF ZONES IN FAMINE AND POPULATIONS IN CATASTROPHE

## Zones in Famine - characteristics

- Shocks: serious and external
- Very large food deficits (unusual large consumption of wild foods)
- Use of extreme coping strategies for example (entire migration of households, sale of cropland, sale of all livestock)
- GAM rate  $\geq 30\%$
- Crude mortality rate (CDR)  $\geq 2$  people per day per 10,000

## Populations in Catastrophe – characteristics

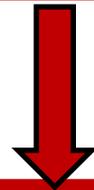
- Context: displacement/natural shocks, loss of property, no or low coverage of humanitarian assistance, often difficult access
- Use of extreme coping strategies for example (entire migration of households, sale of cropland, sale of all livestock)
- very significant dietary deficits (unusual consumption of wild foods, HHS score 5-6)

# CONDITIONS FOR ESTIMATING POPULATIONS IN PHASE 5

If the Area is classified in Famine (Phase 5)



1. Ensure, in a first step, that the minimum conditions for classifying an area in Famine are respected,
2. Proceed, in a second step, on the basis of available evidence, to the actual estimate, while respecting the principle of convergence of evidence as defined in the manual as well as the 20% rule;



Which should then lead to estimating a percentage greater than or equal to 20%

# CONDITIONS FOR ESTIMATING POPULATIONS IN PHASE 5

If the area is not classified in Phase 5 (Famine), the conditions for estimating populations in Catastrophe (Phase 5) are defined as follows:



1. Area classified in Phase 3 or Phase 4
2. Existence of populations in Phase 5 for the outcome **Food consumption**;
3. **NUTRITION outcome** is classified in Phase 4 or worse
4. If the **EVOLUTION OF LIVELIHOODS outcome** is classified, there must be populations in phase 4
5. If the **MORTALITY outcome** is classified, it must be in Phase 3 or worse

# POPULATION ESTIMATION IN PHASE 4



# REMINDER OF THE DESCRIPTION OF PHASE 4

Phase 4:  
EMERGENCY

**Households:**

**have significant food consumption deficits reflected by very high acute malnutrition and excessive mortality**

**Or**

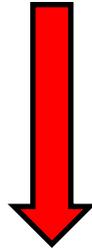
**are able to reduce the size of food deficits but only by using emergency coping strategies and liquidating their assets.**

# CONDITIONS FOR ESTIMATING POPULATIONS IN PHASE 4

If the Area is classified in **EMERGENCY (Phase 4)**



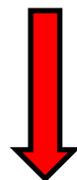
Proceed, on the basis of available evidence, to the actual estimate, while respecting the principle of convergence of evidence as defined in the manual as well as the 20% rule;



Which should then lead to estimating a percentage greater than or equal to 20% for Phase 4 at worst

# CONDITIONS FOR ESTIMATING POPULATIONS IN PHASE 4

If the area classification has not reached the emergency level (Phase 4), the conditions for estimating populations in Emergency (Phase 4) are defined as follows:



1. Area classified in Phase 2 or Phase 3
2. Existence of populations in Phase 4 for the Food consumption outcome ;
3. If the **EVOLUTION OF LIVELIHOODS outcome** is classified, it must exist populations in Phase 4
4. If the **NUTRITION outcome** is classified, it must be in Phase 3 or worse
5. If the **MORTALITY outcome** is classified, it must be in Phase 2 or worse

# **ESTIMATION OF POPULATIONS IN PHASE 3,2 AND 1**



# REMINDER OF THE DESCRIPTION OF PHASE 3

## Phase 3: CRISIS

*Households:*

- have food consumption deficits reflected by high acute malnutrition or above usual levels.*

***Or***

- manage to cover their essential food needs marginally but only by divesting their major livelihood assets or by employing crisis coping strategies.*

## POPULATION ESTIMATION IN PHASE 3

PHASE	Fundamental questions	INDICATIONS
<b>Crisis</b>	Given the available evidence, is it possible to estimate people meeting the characteristics set out in the Phase 3 description?	<ul style="list-style-type: none"><li>▪ Check the existence of population estimates made for Phase 3 of the CA and/or EME results.</li><li>▪ Check the existence of data on the prevalence of SAM.</li><li>▪ Check the existence of quantified data on the determinants (Danger and vulnerability)</li><li>▪ On this basis, a consensus estimate of a population proportion for this phase will be made.</li><li>▪ If there are no populations in phase 3, you must enter “ZERO” and move on to the next phase.</li></ul>

# POPULATION ESTIMATION IN PHASE 2



# REMINDER OF THE DESCRIPTION OF PHASE 2

Phase 2:  
UNDER  
PRESSURE

*Households have minimally adequate food consumption but cannot meet certain non-food expenses without engaging in stress coping strategies*

## POPULATION ESTIMATION IN PHASE 3

PHASE	Fundamental questions	INDICATIONS
<b>Under pressure</b>	Given the available evidence, is it possible to estimate people meeting the characteristics set out in the Phase 2 description?	<ul style="list-style-type: none"><li>▪ Check the existence of population estimates made for Phase 2 of the CA and/or EME results.</li><li>▪ Check the existence of data on the prevalence of SAM.</li><li>▪ Check the existence of the FC figures</li><li>▪ Carry out a consensus estimate of a population proportion for this phase.</li></ul>

# POPULATION ESTIMATION IN PHASE 1



# REMINDER OF THE DESCRIPTION OF PHASE 1

Phase 1:  
NONE/MINIMAL

*Households are able to cover their needs for food and non-food essentials without engaging in atypical or unsustainable strategies to access food and income*

# POPULATION ESTIMATION IN PHASE 1

PHASE	INDICATIONS
<b>NONE/MINIMAL</b>	The proportion of populations in phase 1 is obtained by deducting from 100% the sum of the proportions of populations in phases 5, 4, 3 and 2. In other words, it is the total population of the area analyzed from which we deduct the sum of the populations of the upper phases (2, 3, 4 and 5).



## **EXERCISE ON POPULATION ESTIMATION**

Based on the case study, estimate the number of people per FNI severity phase for the current and projected periods



# END

