EUROPEAN COMMISSION
DIRECTORATE-GENERAL HUMANITARIAN AID AND CIVIL PROTECTION - ECHO

Directorate C - Policy and coordination
Unit C/2 - Operational policies

Brussels, 1 September 2010
ECHO C2/EN D(2010)

TECHNICAL NOTE

Methodology for the Identification of Priority Countries

for the European Commission Humanitarian Aid

"GNA and FCA"

CONTENTS

1. INTRODUCTION

Humanitarian aid is a concrete expression of the values of *humanity* and *solidarity* which are the backbone of European integration. The implementation of the Commission's humanitarian policy is also based on the fundamental principles of *impartiality*, *neutrality* and *independence*.

In practical terms, applying these principles means that *European humanitarian action is dictated exclusively by the scale of the needs and the interest of the people affected*, without any ethnic, national or religious consideration and without discrimination of any kind, without bias towards any particular side in a conflict and without mixing humanitarian objectives and political, economic or military objectives. The decisions to grant aid are therefore based solely on the evaluation of the needs of the people receiving it. The principle of action based on needs also means that the Directorate-General for Humanitarian Aid and Civil Protection (DG ECHO) pays special attention to protracted crises that are neglected or even forgotten by the donors.

To implement its policy of assisting people with the greatest humanitarian needs and to define its priorities according to the principles of impartiality, neutrality and independence, DG ECHO identifies such people using a twofold approach.

(1) Humanitarian needs are evaluated at field level. These evaluations by DG ECHO's experts in the field and the country desks at headquarters, in close cooperation with the implementing partners, not only provide a first hand account of crisis pockets, they also give an insight into the nature and scale of needs.

(2) A comparative analysis of countries is conducted to identify those countries that are home to people who ought to be priority beneficiaries of DG ECHO assistance. DG ECHO has developed two tools to do this global evaluation, namely the *GNA* or Global Needs Assessment, which classifies countries according to their relative vulnerability and the existence of a crisis situation, and the *FCA* or Forgotten Crisis Assessment, which attempts to identify severe, protracted humanitarian crisis situations where affected populations are receiving no or insufficient international aid and where there is no political commitment to solve the crisis, due in part to a lack of media interest.

These GNA and FCA tools do not seek to define in what form and on what scale the Commission should intervene in response to a humanitarian crisis. Their objectives are far more modest and are confined to the identification of priority countries where humanitarian needs are likely to be greatest or most neglected and where Commission aid is most necessary. They are intended to be a common alternative reference framework to ensure consistency in the allocation of resources among the various geographical zones according to their respective needs.

These tools are also objective measuring instruments ensuring that the principle of independence is applied. In addition, they allow rapid ex post control of the allocation of resources to the most vulnerable people in countries where need is greatest. Finally, they ensure the credibility and transparency of the Commission's humanitarian aid vis-à-vis the European citizen.

2. METHODOLOGY

2.1. GNA

The methodology applied for identification of those countries that are home to people who ought to be priority beneficiaries of DG ECHO assistance comprises two stages.

→ First stage: *assessment of the relative vulnerability of countries*, identifying those countries whose population is likely to suffer more than others in the event of a humanitarian disaster. This assessment helps drawing up a list of countries we may call "under surveillance", where there is a potential need for DG ECHO intervention in the event of a crisis.

Vulnerability is measured by the *vulnerability index* (VI) which aggregates nine national indicators reflecting the weakness/strength of a country as well as the eventual lack of internal resources and capacities to cope with adversity by itself.

The vulnerability index is based on the premise that in time of crisis the need for humanitarian aid is greatest in the least developed and poorest countries where coping capacities are likely to be insufficient, and where large sections of the population are particularly vulnerable (e.g. countries with large numbers of refugees or internally displaced persons, with a poor health situation, particularly among young children, and where inequalities according to gender or in income are important).

VULNERABILITY INDEX (VI):

Category 1: general situation in the country
- *Indicator 1:* human development index
- *Indicator 2:* human poverty index

Category 2: uprooted people
- *Indicator 3:* refugees received, displaced persons and recent returnees

Category 3: health of children under five
- *Indicator 4:* malnutrition
- *Indicator 5:* mortality

Category 4: other vulnerability factors
- *Indicator 6:* access to health care
- *Indicator 7:* prevalence of HIV-AIDS, tuberculosis and malaria
- *Indicator 8:* gender-specific human development index
- *Indicator 9:* Gini Index

(for details see Annex 1)

→ Second stage: *identification of countries actually in a humanitarian crisis situation*, corresponding to the DG ECHO criteria for intervention.

This is assessed by the *crisis index* (CI).

It is assumed that, as a general rule, the humanitarian needs DG ECHO is mandated to cover decrease over time after the end of a crisis.

It should also be remembered that one of DG ECHO's priorities is uprooted people and that there are large numbers of refugees or internally displaced people in countries that are relatively vulnerable and yet not in a crisis situation or which are not listed as countries in crisis due to the low intensity of violence or due to the fact that the conflict has been resolved more that two years ago. These uprooted people may nevertheless have serious humanitarian needs that the host country is not always able - or willing - to meet. Algeria, , Bangladesh and Nepal are examples of such situations in 2010.

With these two considerations in mind, the crisis index is calculated as follows:

- a score of 3 for countries that have suffered or are still suffering a natural disaster and/or a violent conflict in the current year, or are receiving a large number of uprooted people,
- a score of 2 for countries that suffered this type of situation the previous year,
- a score of 1 for countries that suffered this type of situation two years previously.

CRISIS INDEX (CI):

Indicator 1: ongoing or recently resolved conflict
Indicator 2: recent natural disaster
Indicator 3: large number of uprooted people (refugees and/or internally displaced people)

(for details see Annex 1)

→ The combination of the two indices, i.e. CI and VI which reflect the comparative assessment of vulnerabilities and crises, together provide an indication of the priority areas for humanitarian aid.

Two additional remarks:

- For countries with a crisis index of 2 or 1, reflecting a state of crisis that occurred some time ago, decisions should in principle be of a non-urgent nature only. The only exception is when there was a crisis in the year of assessment, while the number of affected people remained below the threshold set for CI (see Annex 2).
- This crisis index must be updated if a new disaster occurs.

2.2. FCA

"Forgotten crises" are defined as severe, protracted humanitarian crisis situations where affected populations are receiving no or insufficient international aid and where there is no political commitment to solve the crisis, due in part to a lack of media interest. This refers primarily to protracted conflict situations, but can also refer to crises resulting from the cumulative effect of recurring natural disasters, or, even a combination of the two.

“Forgotten crises” almost always concern minorities within a country, groups of people whose living conditions are below the average for the country as a whole. For cases such as Sahrawi refugees in Algeria, ethnic minorities in Myanmar or the populations affected by the internal conflict in Colombia, it is clear that the national indicators used to compute the vulnerability index or the level of public aid cannot reflect their specific situation.

Accurate data reflecting the situation of populations affected by such neglected crises are usually not available since it is clear that the more a crisis is neglected the less easy it is to find reliable data on the situation.

To compensate for this lack of objective data, a qualitative evaluation needs to be done. A detailed and methodical analysis, guided by a series of questions (see form in Annex 3), is done by DG ECHO's desk officers. These individual analyses are collated centrally to ensure consistency.

The **FCA index** is thus computed for all countries that were in a conflict situation the previous calendar year and still are this year (i.e. countries with a conflict indicator of 3). The desk officers can add to the list other cases which they consider should be classified as forgotten crises.

The FCA index results from a combination of the following factors: vulnerability index, media coverage, donor interest as reflected in the level of public aid received and the qualitative assessment by the Commission's experts and geographical units.

FCA INDEX:

Indicator 1: vulnerability index
Indicator 2: media coverage
Indicator 3: public aid per capita, reflecting the degree of donor interest
Indicator 4: qualitative assessment

(for details see Annex 1)

3. CONCLUSION

The GNA and FCA tools are, inevitably, based on indicators that are subject to both historical and geographical constraints, given the length of time it takes to collect data and the fact that they are worked out on a national scale, without taking account of the specific situations of certain groups of people within a country. The results should therefore be seen in perspective, i.e. one should look only at the orders of magnitude they reflect, without attaching too much importance to where each country is ranked in each of the categories. Further, these tools give no indication of the scale of needs in absolute figures and cannot therefore be used to work out the budget allocation, since they do not take account of the number of people affected by the crisis, the capacity of the local community to take up the aid, access, other donors, the ability of partners to intervene effectively in the area, and so on.

It is therefore essential to balance this type of "top-down" approach with the "bottom-up" approach consisting of analysis by experts on the spot, who can identify humanitarian crisis pockets and back up their proposals for action with a needs assessment that is recent and as comprehensive as possible.

Despite these shortcomings, the GNA and FCA tools are invaluable for ensuring compliance with the principles of impartiality and independence and the corresponding commitment to channel humanitarian action solely on the basis of the needs of the people affected. They make it possible to identify priority countries; they ensure some consistency in the allocation of budget resources among the various geographical areas and facilitate *ex post* control of how those resources are used; they are objective measuring instruments; in short they guarantee the transparency of the Commission's humanitarian action vis-à-vis both the European taxpayer and the aid recipients.

ANNEX 1: GNA and FCA - Detailed methodology

1. SELECTION OF COUNTRIES

The list of countries included in the GNA is based on the World Bank list. From that list were removed:

- all the countries classified by the World Bank as high-income economies,
- all the Member States and candidate countries for accession to the European Union, as these are not covered by DG ECHO's legal mandate,
- some small islands with limited sovereignty (e.g. American Samoa)
- Kosovo is not included on the list as there is no common position of the European Union on the status of this region.
- As in the previous years, the list also includes Chechnya. Although not independent, Chechnya is in a very particular situation within the Russian Federation, afflicted as it has been by violent conflict and a very large number of displaced persons

For the FCA, the list of countries assessed is limited to the countries which had the previous year, and still have the current year, a conflict indicator of 3. Desk officers may add to this list other cases which they consider as relevant.

2. VULNERABILITY INDEX

The vulnerability index is based on nine indicators, divided into four categories all with equal weighting.

- **Category 1:** general situation in the country

  Indicator 1: human development index
  Indicator 2: human poverty index

- **Category 2:** uprooted people

  Indicator 3: refugees, displaced persons and recent returnees

- **Category 3:** health of children under five

  Indicator 4: malnutrition
  Indicator 5: mortality

- **Category 4:** other vulnerability factors

  Indicator 6: access to health care
  Indicator 7: prevalence of HIV-AIDS, tuberculosis and malaria
  Indicator 8: gender-specific human development index
  Indicator 9: Gini Index

The nine indicators, detailed hereunder, are graded on a scale from 0 to 3, with 0 representing very low vulnerability and 3 representing high vulnerability, except for indicator 3 which combines the data on refugees and IDPs, which is graded on a scale from 0 to 6. The thresholds for each indicator are given in Annex 2.

These indicators are then aggregated in the **vulnerability index (VI)** with each of the four categories carrying an equal weighting of 25%, which means a weighting of 12.5% for indicators 1, 2, 4 and 5, a weighting of 25% for indicator 3 and a weighting of 6.75% for indicators 6 to 9. Missing indicators, marked with an "x", are not taken into account. The 139 countries and territories on the list are then ranked in decreasing order of their scores and divided, according to the quartile rule, into three categories according to the scale of their estimated vulnerability.

Finally, a note may be added to the VI to indicate that several indicators are not available: one asterisk when three or four indicators are missing, two asterisks when five or six are missing and three asterisks when more than six are missing.

2.1. Indicator 1: Human Development Index

It is assumed that the more developed a country is the better its people will be able to respond to humanitarian needs using their own individual or national resources.

The human development index (HDI) calculated for each country by the United Nations Development Programme (UNDP) was chosen to reflect the state of these resources. Updated annually,[1] this composite index adds together the arithmetic average score for three essential criteria essential for human development:

- longevity and health, as measured by life expectancy at birth,
- education and access to knowledge, as measured by the adult literacy rate (with two-thirds weight) and the combined primary, secondary, and tertiary gross enrolment ratio (with one-third weight),
- the possibility of enjoying a decent standard of living, as measured by GDP per capita in purchasing power parity (exchange rate intended to offset price differences between countries).

2.2. Indicator 2: Human Poverty Index

While the HDI measures the average achievement of a country in terms of development, the human poverty index (HPI), also calculated and updated annually by the UNDP, focuses on the section of the population below the threshold of the basic criteria for human development. It examines the deprivations that may be observed in the three fundamental dimensions already taken into account in the human development indicator:

- longevity and health: risk of relatively early death, as measured by the probability at birth of not surviving to age 40,
- education and access to knowledge: exclusion from the world of reading and communications, as measured by the adult literacy rate,
- possibility of having a decent standard of living: impossibility of access to the provisioning of the economy as a whole, as measured by the non-weighted average of two indicators: the percentage of the population with no regular access to water supply points and the percentage of children who are underweight for their age.

[1] UNDP, *Human Development Report 2009* (http://hdr.undp.org/en/reports/global/hdr2009/)

The HPI thus measures social exclusion and the size of the most vulnerable population and is therefore of particular interest to DG ECHO in defining its priorities.

For the countries for which the UNDP gives no HPI, the indicator is estimated on the basis of the data available. For some cases, the data necessary to calculate the index can be found from other sources (UNICEF and UNDP), and so the formula for calculating the HPI can be applied. For other countries where the probability of surviving to 40 is unknown, the probability is estimated on the basis of life expectancy at birth, and in some cases the HPI is calculated on the basis of the three data available out of the four required. It is felt that, for the purposes of the GNA index, a slightly inaccurate HPI figure is better than none at all.

Finally, it should be noted that DG ECHO does not follow the approach of the UNDP, which (although lack of data prevents it from doing so in reality) provides for an HPI-2 index for the countries of eastern Europe and the CIS countries, the same as that used for the OECD countries, based on different parameters (probability of death before 60/illiteracy rate/percentage of people living below the poverty line/long-term unemployment rate). The same formula as that applied to other developing countries is used in order to allow comparison.

2.3. Indicator 3: Uprooted people

Refugees and internally displaced persons (IDPs) are among the most vulnerable people in a humanitarian crisis, the people at the heart of DG ECHO's mandate. Their importance must be taken into account when assessing global needs. Also, given that returnees initially increase the vulnerability of a country, those who returned the previous year are also taken into account.

The figures for refugees and returnees are drawn up by the United Nations High Commission for Refugees (UNHCR)[2] and by the United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA)[3]. These are people recognised as refugees under the 1951 Geneva Convention and the 1969 OAU Convention, in accordance with the UNHCR Statute, and people who have been granted a humanitarian status or temporary protection.

It is difficult to find accurate data on the number of internally displaced persons (IDPs) in a country. In many countries estimates are not reliable, for reasons of state censorship and lack of access by independent observers and also because it is not always easy to distinguish IDPs from the local population, especially if they take shelter with relatives or friends. Comparing the various data on the numbers of IDPs, it is apparent that estimates differ widely depending on the source, without any discernible trend of one source providing a more conservative or more radical estimate. It was therefore decided to use three sources: the UNHCR, the US Committee for Refugees[4] and the Global IDP Project of the Norwegian Refugees Council[5] and to adopt the "worst case scenario" by selecting the highest estimate of the three.

Given that the humanitarian needs of these three categories of persons are similar, even though they have a different status, countries are classified on the basis of the combined number of refugees, IDPs and recent returnees living in their territory, expressed as a percentage of the total population. Grading the indicator on a scale of 1 to 6 instead of 1 to 3 makes it possible to refine the categorisation in view of the importance attached to it in the VI.

---

[2] http://www.unhcr.org/globaltrends/2009-Global-Tends-annex.zip
[3] http://www.un.org/unrwa/publications/index.html
[4] http://www.refugees.org/
[5] http://www.internal-displacement.org/

2.4. Indicator 4: Malnutrition in children under five

The choice of two indicators concerning children also reflects the concern to identify the most vulnerable groups, since children certainly fall into that category.

In order to measure the first indicator concerning children, DG ECHO refers to the underweight ratios, based on the ratio between weight and age of children under five, as calculated by WHO in its World Health Statistics report. Although the weight/height ratio indicating acute malnutrition (wasting) is a better indicator for emergency situations and the weight/age ratio does not distinguish between acute malnutrition (wasting) and chronic malnutrition (stunting), it was nevertheless decided to use the weight/age ratio in the VI for two reasons: the weight/height ratio figures are not collected systematically for all countries, and by their very nature they rapidly become obsolete.

2.5. Indicator 5: Mortality in children under five

This indicator shows the probability of death between birth and the end of the fifth year per 1000 live births. It is also based on State of the World's Children Report.

2.6. Indicator 6: Access to health care

The indicator for health care is based on the non-weighted average of the following three figures:

- number of doctors per 100 000 population
- percentage of children vaccinated against measles
- per capita public and private expenditure on health care

These data are taken out of two sources, the annual report of the UNDP and WHO World Health Statistics[6], and then translated onto a scale of 1 to 3 by applying the quartile method. The weighted average of the three indicators is then in turn translated onto a scale of 1 to 3 by applying the quartile rule.

2.7. Indicator 7: Prevalence of HIV-AIDS, tuberculosis and malaria

The indicator for the prevalence of AIDS is calculated on the basis of data provided by UNAIDS[7], supplemented by data from the World Health Organisation[8], and corresponds to prevalence expressed as a percentage for the age group 15-49 years.

The data on tuberculosis and malaria also come from the WHO; for tuberculosis the figures correspond to the prevalence rate per 100 000 population and for malaria the death rate per 100 000 population.

A combined indicator was then calculated on the basis of the average of the three indicators, the one for HIV-AIDS being given double weighting in view of the impact of the epidemic not only on health but also on food security and economic and social infrastructure, giving rise to widespread vulnerability of which a drop in life expectancy is only one symptom. It should also be noted that the scale of this indicator (expressed in percent) is of an order of magnitude very different from the other two indicators (expressed in "per hundred thousand").

---

[6] http://www.who.int/whosis/whostat/2010/en/index.html
[7] http://data.unaids.org/pub/GlobalReport/2006/Annex2_Data_en.xls
[8] http://www.who.int/whosis/whostat/EN_WHS09_Table2.pdf

2.8. Indicator 8: Gender-specific Human Development Index

The composite gender-specific human development index (GSHDI) calculated by the UNDP measures the average achievement of a country using the same essential variables as the human development indicator,

- longevity and health, as measured by life expectancy at birth,
- education and access to knowledge, as measured by the adult literacy rate (with two-thirds weight) and the combined primary, secondary, and tertiary gross enrolment ratio (with one-third weight),
- the possibility of enjoying a decent standard of living, as measured by estimated income from work (in Purchasing Power Parity (PPP)),

but the results are adjusted on the basis of the sociological inequalities observed between men and women.

2.9. Indicator 9: Gini Index

The Gini index calculated by the UNDP indicates how much the distribution of income (or consumption) among individuals or households in a country diverge from perfect equality. Hypothetical perfect equality is represented by zero, and complete inequality is represented by 100.

3. CRISIS INDEX

The ***crisis index*** is calculated as follows:

- a score of 3 for countries that have suffered or are still suffering a natural disaster and/or a violent conflict in the current year, and/or are receiving a number of uprooted people above x% of the host population, where x is equal to the threshold above which the score for the uprooted persons indicator passes from 4 to 5,

- a score of 2 for countries that suffered a natural disaster and/or a violent conflict in the previous year, and/or are receiving a number of uprooted people above y% of the host population and over 50 000, where y is equal to the threshold above which the indicator score the uprooted persons indicator passes from 2 to 3,

- and a score of 1 for countries that suffered a natural disaster and/or violent conflict two years previously.

For natural disasters the data are taken from the EM-DAT database[9] kept by the Center for Research on the Epidemiology of Disasters (CRED) of the Catholic University of Leuven, which records all natural and technological disasters, a disaster being defined as "a situation or event which overwhelms local capacity, necessitating a request to the national or international level for external assistance, or is recognised as such by a multilateral agency or by at least two sources, such as national, regional or international assistance groups and the media." Only natural events affecting at least 50 000 people and half a percent of the national population are taken into account for the current year, the threshold for an event that happened two years before being 100 000 people affected and a minimum of one percent of the national population. People "affected" are those requiring immediate assistance during a period of emergency, including injured, homeless, evacuated and displaced people, corresponding to the CRED "Total Affected".

[9] http://www.emdat.be/

Although CRED recognises that the figures for people affected are not entirely reliable, since the definition leaves room for interpretation, it is nevertheless better to use this figure rather than the number of people killed, because it is the survivors who require emergency aid.

Another issue relates to droughts and famines. Data relating to droughts and famines have been collated from complementary sources, EM-DAT, FAO[10] and WFP[11] global information and early warning systems, USAID Fewsnet[12] (Famine Early Warning Systems Network) and Reuters AlertNet[13].

The humanitarian impact of a conflict is difficult to measure using quantitative data. Several, complementary, database are used to evaluate/identify the conflict situations: Uppsala Conflict Database of the University of Uppsala/Department of Peace and Conflict Research[14], Conflict Barometer Report of the Heidelberg Institute for International Conflict Research[15], Warlist of the Centre for Systemic Peace[16], Crisis Watch Reports from the International Crisis Group[17] and Reuters AlertNet. It has been agreed to take into account only conflicts that have caused 1000 deaths or more and with relatively high intensity of violence

4. FCA INDEX

The FCA index corresponded to the sum of the following four indicators:

4.1. Indicator 1: Vulnerability Index (see above)

4.2. Indicator 2: Media coverage

At DG ECHO's request, the European Joint Research Centre carries out an annual statistical analysis to assess how the press, radio and television report humanitarian disasters, be they natural or man-made. To do this analysis, four key themes relevant for humanitarian aid have been selected ("conflict", "security", "humanitarian crisis" and "food security"), each theme containing a series of relevant keywords. Researchers count the number of articles in which one or other of these themes appeared with reference to a given country. To do this they screen 600 news sites in 20 different languages for all the countries assessed under the GNA, over a six-month period from January to June. Then for each country they calculate the ratio of the number of articles counted concerning it with respect to the average number of articles per country. A result lower than 1 indicates that the media coverage for that country is below the average, while a result of more than 1 indicates higher than average media coverage. Then the ratios are re-calculated taking into consideration only the countries assessed under the FCA.

Finally, the quartile method is used to score the countries, a score of 3 for the 25% that received low coverage, 1 for the 25% that received high coverage, and 2 for all the ones in between.

4.3. Indicator 3: Public aid per capita

This indicator is calculated by adding the public development aid and the humanitarian aid. Public development aid is calculated on the basis of data provided by the OECD Development Assistance

[10] http://www.fao.org/giews/english/index.htm
[11] http://www.wfp.org/news/stories
[12] http://fews.net/Alerts/
[13] http://www.alertnet.org
[14] http://www.pcr.uu.se/database/index.php
[15] http://www.hiik.de/en/index_en.html
[16] http://www.systemicpeace.org/warlist.htm
[17] http://www.crisisgroup.org/en/publication-type/crisiswatch.aspx

Committee over the last two years[18] for which data are available. It includes all the major donors and all categories of aid (grants, loans, technical cooperation, emergency aid, public aid etc., minus repayments of principal and interest paid on loans). The humanitarian aid is calculated on the basis of data provided by the OCHA Financial Tracking System[19] over the last two years plus the year in which the exercise is done.

A score of 1, 2 or 3 is then given by applying the quartile rule, the countries with least per capita public aid receiving a score of 3.

4.4. Qualitative assessment of DG ECHO geographical units and experts

DG ECHO desk officers assess whether a humanitarian crisis has been forgotten by completing a questionnaire (see Annex 3) which attempts to cover the various points that indicate lack of response.

The completed questionnaires are then collated by the unit responsible for strategy within DG ECHO, and forgotten crises are identified on the basis of the results together with the three indicators above.

[18] http://www.oecd.org/home/
[19] http://fts.unocha.org/pageloader.aspx

ANNEX 2: Thresholds applied to indicators

24.04.06

Thresholds used until 2006

HDI

3	high need	≤	0,5
2	medium need	<	< 0,7
1	low need	<	0,8
0	no need	≥	0,8
x	no data		

HPI Quartile Rule

3	high need	>	38,8
2	medium need		
1	low need	<	11,4
x	no data		

Ref+IDP+Ret/pop Distrubition by sextiles

6	high need	>	5,05 %
5		>	1,8%
4	medium need	>	0,4%
3		>	0,17%
2	low need	>	0,06%
1		≥	0,005%
0	no need	<	0,005%

Children underweight Quartile rule

3	high need	>	26
2	medium need		
1	low need	<	7
x	no data		

‰ Child Mortality Quartile rule

3	high need	≥	125
2	medium need		
1	low need	<	24
0	no need		
x	no data		

% HIV Quartile rule

3	high need	≥	4,2
2	medium need	≥	0,2
1	low need	≥	0,1
0	no need	<	0,1
x	no data		

Tresholds revised from 2007

Threshold from 3 to 0 provided by UNDP

3	high vulnerab.	<	0,5
2	medium vulner.	≥	0,5
1	low vulnerab.	≥	0,65
0	no vulnerab.	≥	0,8
x	no data		

Quartile Rule

3	high vulnerab.	>	idem
2	medium vulner.		
1	low vulnerab.	<	
x	no data		

Fixed threshold

6	high vulnerab.	>	10%
5		>	3%
4	medium vulner.	>	1%
3		>	0,5%
2	low vulnerab.	>	0,1 %
1		≥	0,005%
0	no vulnerab.	<	0,005%

Fixed threshold

3	high vulnerab.	>	20
2	medium vulner.		
1	low vulnerab.	<	10
x	no data		

Revised quartile rule

3	high vulnerab.	>	idem
2	medium vulner.		idem
1	low vulnerab.	<	idem
0	no vulnerab.	<	10
x	no data		

Fixed threshold

3	high vulnerab.	>	10
2	medium vulner.	>	5
1	low vulnerab.	>	0,1
0	no vulnerab.	≤	0,1
x	no data		

Malaria mortality rate per 100 000 people

Fixed threshold

3	high vulnerab.	≥	100
2	medium vulner.	>	50
1	low vulnerab.	>	0
0	no vulnerab.	=	0
x	no data		

Tuberculose : prevalence per 100 000 people

Revised quartile rule

3	high vulnerab.	>	420
2	medium vulner.	>	65
1	low vulnerab.	≥	20
0	no vulnerab.	<	20
x	no data		

Physicians per 10 000 people
One-year-olds fully immunized against measles
Health expenditure per capita
Gini
GDI

Application of the quartile rule

1 event (ev.) = At least a 1000 deaths or 5% of the population affected

Natural Disaster

3	high need	than 4 ev. in the previous 12 years	People affected current year > 50 000 and >0.5% of the population
2	medium need	2 to 4 ev. in the previous 12 years	People affected previous year > 100 000 and 1% of the population
1	low need	1 ev. in the previous 12 years	People affected two years ago > 100 000 and > 1% of the population

Conflict indicator

Conflict intensity 4 or 5 according to HIIK

3	high need	1 ongoing conflict	1 (high violent conflict) this year
2	medium need	years	1 (high violent conflict) last year
1	low need	1 conflict in the last 10 years	1 (high violent conflict) 2 years ago
0	no need	No conflict in the last 10 years	3 years

Refugees and IDPs

3	number of refugees+IDPs > 3% of
2	number of refugees+IDPs > 0.5% of the total population and > 50 000
0	

ANNEX 3: Questionnaire for FCA

FCA 2010/2011	**Crisis (name + country):** **Vulnerability Index (2009/2010): [ ]** **Crisis Index (2009/2010): [ ]**
Desk officer:	Date:

1. DO YOU CONSIDER THAT THIS CRISIS IS FORGOTTEN AS PER DG ECHO CRITERIA[20]?

☐ **Yes** ☐ **No**

PLEASE JUSTIFY (e.g. explain if it is difficult to find enough donors and why, if it is difficult to find humanitarian organisations for implementation of programs and why? Other reasons?):

If your answer to section 1 is yes, please fill in the fiche (all sections) as precisely as possible. In case you are not answering to the question/providing data, kindly indicate the reasons (e.g.: data not available for the moment, data for the region does not exist, the section is irrelevant, information is provided in section... etc.).

2. DESCRIPTION OF THE CRISIS

Start date of the crisis:

Level of the crisis: Regional, national or local/specific level?
If regional other countries concerned?

Causes and historic of the crisis:

Total number of affected people: (source:)
of which IDPs:
of which refugees:

Specific situation of the affected population (access to social services/ access to the labour market/ minority issues, specific vulnerabilities etc):

3. CURRENT HUMANITARIAN AID

Aid provided (as of ../../09)

	2008	**2009**	**2010 (30/06)**
At national level (source: FTS) (x 1 000 EUR)			
of which ECHO (x 1 000 EUR)			
At crisis level (source: ……..) (x 1 000 EUR)			
of which ECHO (x 1 000 EUR)			
Estimated aid per affected person (x 1 EUR)			
CAP or other global mechanism (x 1 000 EUR)			
% coverage of CAP			

[20] *FCA* or Forgotten Crisis Assessment, attempts to identify severe, protracted humanitarian crisis situations where affected populations are receiving no or insufficient international aid and where there is no political commitment to solve the crisis, due in part to a lack of media interest.

Other appeals (IFRC? ICRC? Other?			
% coverage of CAP			

Other main donors:

Are international humanitarian organisations present (if YES, which ones? / if NO, explain why):
- UN:

- Red Cross:

- International NGO:

4. OVERALL SITUATION
Difficulties of access:

Security problems:

Attitude of the State
- towards affected population:

- towards UN agencies and NGO:

- towards other foreign stakeholders :

Important political issues?

Is this crisis subject of international debates (UN or other fora):

5. HUMANITARIAN SITUATION OF THE AFFECTED POPULATION (+ specify your sources):
Access to health care:
Maternal mortality rate:
Children under 5 mortality rate (U5MR):
U5Malnutrition rate / acute: chronic:
Prevalence of diarrhoea / measles / acute respiratory infections:

Other data:

Protection issues:

6. OTHER COMMENTS:

Other main donors:

Are international humanitarian organisations present (if YES, which ones? / if NO, explain why):
- UN:

- Red Cross:

- International NGO:

4. OVERALL SITUATION
Difficulties of access:

Security problems:

Attitude of the State
- towards affected population:

- towards UN agencies and NGO:

- towards other foreign stakeholders :

Important political issues?

Is this crisis subject of international debates (UN or other fora):

5. HUMANITARIAN SITUATION OF THE AFFECTED POPULATION (+ specify your sources):
Access to health care:
Maternal mortality rate:
Children under 5 mortality rate (U5MR):
U5Malnutrition rate / acute: chronic:
Prevalence of diarrhoea / measles / acute respiratory infections:

Other data:

Protection issues:

6. OTHER COMMENTS: