

Guidance framework: Intervention criteria for humanitarian response in sudden onset contexts

As the complexity of events creating humanitarian needs can vary substantially these criteria are not intended to be prescriptive or absolute but rather to provide a framework of the range of factors that should be considered in making a recommendation for DFID engagement. See also the 'Guidance Note on - Intervention criteria for humanitarian response in sudden onset contexts' for a more detailed explanation on how to use this guidance framework.

Decision point: Recommendation by CHASE to MoS/SoS for DFID engagement

Decision options:	No action	No action should be required
	Consideration	The combination of any four of the 'consideration' level criteria or greater (i.e. 3 yellow + 1 red) should lead to a recommendation that DFID considers responding to a particular event.
	Action	The combination of any four of the 'action' level criteria should lead to a recommendation that DFID responds to a particular event.

Category		Factors for consideration	Recommended categorisation			Notes
			No action	Consideration	Action	
Overall recommendation		Recommendation				
		Categorisation				Do not include the description of the event in the scoring.
Description of event		i) Severity of hazard ii) Scale of geographical area affected	Low hazard severity. Small geographical area affected, rural area.	Medium hazard severity. Medium size geographical area affected or peri-urban.	Severe hazard. Extended geographical area affected or urban.	For natural hazards use standard severity classification of that hazard (e.g. cyclone category 2)
Humanitarian Impact	1	Underlying vulnerability of the affected population i) Apply vulnerability assessment of the affected country from the shared InfoRM Index (http://www.inform-index.org/) and ECHO's Global Needs Assessment (GNA).	InfoRM Index rates vulnerability at 'Low'	InfoRM Index and ECHO Global Needs Assessment rates vulnerability at 'Medium'	InfoRM Index and ECHO Global Needs Assessment rates vulnerability at 'High' or 'Extreme'	Vulnerability is determined by physical, social, economic and environmental factors or processes, which increase the susceptibility of a community to the impact of hazards.
	2	Capacity of the affected government to respond i) National level capacity to manage an event. Apply capacity ranking in the InfoRM Index. ii) Sub national/regional capacity to manage an event. Verified through conversations with DFID Country Offices/ British Embassy / personnel experienced in a particular context. iii) ODA recipient country.	InfoRM Index rates risk to national coping capacity as 'low'. Risk to sub national coping capacity assessed as 'low'. Non ODA recipient.	InfoRM Index rates risk to national level coping capacity as 'Medium'. Risk to sub national capacity assessed as medium. Lower and Upper Middle income ODA country.	InfoRM Index rates risk to national level coping capacity as 'High' or 'Extreme'. Risk to sub national capacity assessed as 'high'. Least developed or other low income country ODA country.	InfoRM Index ratings are inverse. An extreme index score (e.g 9.9) implies that the coping capacity is the lowest ranking it can be. Sub national capacity may often differ to that at national/federal level. Refer to the following link for confirmation of if a country is an ODA recipient. It may be more difficult to access funding for a non ODA country. http://www.oecd.org/dac/stats/documentupload/DAC%20List%20of%20ODA%20Recipients%202014%20final.pdf
	3	Severity and scale of impact of event i) Impact on infrastructure and basic services ii) Significant increase in incidence of violence / abuse towards children, women and other vulnerable group iii) Livelihoods are threatened iv) % of population affected	< 100 fatalities. < 1,000 people affected. <10% of the population of the concerned area affected	100 - 1,000 fatalities. 1,000 - 10,000 people affected. 10% to 20% of the population in the concerned area affected	> 1,000 fatalities. > 10,000 people affected. >20% of the population in concerned area affected	Information may be limited following an event. It is acceptable to use approximations. Where using the above criteria, if needed should be presented on a sub national level basis.
National position	4	Request for assistance by - or acceptance of - affected government / recognised authority Has the affected government / authority: i) Declared a state of disaster or calamity? ii) Made informal statements suggesting a request for assistance will be forthcoming? iii) Indicated that international assistance will be welcome?	No state of disaster declared. No request for assistance made, or indication that such a request will be forthcoming.	State of disaster or calamity issued by affected government / recognised authority.	Request for international assistance formally made, or strong indications received that this will be forthcoming, or offered.	In some contexts there may be political reasons that affected governments will not use language that formally requests assistance. It is particularly important to pay attention to the nature of language that is issued from affected governments. In situations of conflict the main interlocutor may not be a national government.
Other donor actions	5	Centralised appeals for funding i) Has the national government launched a costed and prioritised response plan? ii) Have the UN issued a flash appeal? iii) Has the ICRC launched an appeal iv) Has the Disasters Emergency Committee (DEC) launched an appeal? v) Are there existing government, UN or ICRC appeals, and to what level are they funded?	No calls for funding. Existing appeals are relatively well funded. > 70%.	National government appeal launched Existing country appeals are unfunded to some extent: between 35% and 70% funded.	UN flash appeal launched. ICRC appeal launched. DEC appeal launched. Existing country appeals are chronically unfunded: >65% of existing appeals unfunded.	In some cases the national level plan will be combined with any UN appeal. In some cases governments, UN or ICRC may have existing general appeals open for a country. In these instances new appeals may not be released, but current levels of funding may provide a useful indication of future funding.
	6	Contributions of other donors Expectation or knowledge of other donor funding i) Has the CERF been activated? ii) What are other major donors doing or considering doing (OFDA, AusAID, ECHO)? iii) Presence of country in ECHO Forgotten Crisis Index	CERF activated. ECHO is in top 3 contributors	CERF activated. Forgotten Crisis (Second quartile)	CERF not activated. No/low ECHO funding. Key donors advocating for further donor engagement. Forgotten Crisis (top quartile)	DFID core contributions account for 20.4% of CERF and 14.5% of ECHO allocations. These amounts should be considered as part of any further UK funding decision. Consider particularly those with a geographic, strategic or historic interest.
UK perspective	7	UK Government commitments i) Is the country a British Overseas Territory or Country of the Realm? ii) Is the country a DFID Priority Country? iii) Is the country a Building Stability Overseas (BSOS) priority Country? iv) National Security Council commitment v) Other		BSOS Priority Country. DFID Priority Country.	British Overseas Territory / Country of the Realm.	If affected country is a British Overseas Territory/Country of the Realm an action is immediately prompted.
	8	UK media and public interest i) Are stories relating to the event appearing in the mainstream UK media (television, radio, papers)? ii) Is there a strong diaspora from the affected country in the UK? iii) Have the press office received calls relating to the event?	No press interest. Low or weak diaspora presence.	Stories are appearing in at least one segment of mainstream UK media.	Stories are appearing in multiple segments of the mainstream UK media. Strong diaspora presence. Press office reacting to external interest.	The level of media interest will not necessarily be proportional to a proposed response, but will influence decisions around engagement. A strong diaspora presence tends to result in lobbying for action either in the media or via a constituency MP.