

EVALUATION OF WFP'S POLICIES ON HUMANITARIAN PRINCIPLES AND ACCESS IN HUMANITARIAN CONTEXTS

Inception Report – Final

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1. Introduction

1.1. Evaluation features

1. **Rationale and objectives.** WFP's policies on humanitarian principles and access cover closely related aspects that are central to WFP's work in emergencies. The 2016 World Humanitarian Summit reaffirmed the core humanitarian principles of humanity, neutrality, impartiality and independence as the foundational principles for humanitarian action. Adhering to the principles is widely seen as crucial for getting access, especially over the longer-term. Access constraints, in turn, are one of the most significant challenges for effective humanitarian response. Negotiating access may involve making compromises regarding humanitarian principles. Access and principles are therefore closely related. Despite their political and operational relevance, humanitarian principles and access have been poorly reflected in the UN's evaluation practice to date.¹ Following WFP's evaluation policy which foresees that policies adopted before 2011 are evaluated depending on their continued relevance, WFP's Office for Evaluation (OEV) therefore decided to conduct a combined evaluation of these policy documents to strengthen accountability and learning.

2. **Approach.** A scoping and evaluability assessment conducted in 2016 found broad agreement within the organization that humanitarian principles and access were of the utmost importance for WFP's operations and standing in the international system.² Discussions about access negotiations and decisions that can involve compromises or trade-offs with respect to the humanitarian principles can be highly sensitive. The scoping and evaluability assessment therefore warned that conducting a regular policy evaluation on these subjects would entail significant risks, including security risks for beneficiaries, WFP employees and cooperating partners; operational risks for WFP; reputational and related financial risks; as well as the risk that the evaluation would not be considered credible as it does not publish information about certain particularly sensitive aspects. WFP decided to conduct an evaluation that – in addition to creating accountability and including the regular learning elements of a policy evaluation – includes a strictly confidential, internal learning component based on a model developed by the International Committee of the Red Cross (ICRC) and used by the Joint Centre of Competence on Humanitarian Negotiation³ to mitigate these risks and at the same time enable as much learning on these critical issues as possible.

3. The evaluation will focus on the following issues:

- The quality and coherence of the policy and associated guidance documents, also compared to similar policies of other humanitarian organizations;
- WFP's overall standing regarding humanitarian principles and access (staff awareness and capacity, reputation, level of access, reflection of principles in WFP's operations as a whole);

¹ United Nations Evaluation Group (2016). *Reflecting Humanitarian Principles in Evaluation*. Working Paper. New York. United Nations Evaluation Group, 2016.

² Steets, Julia, *Scoping Report and Evaluability Assessment for the Evaluation of WFP's Policies on Humanitarian Principles and Access in Humanitarian Contexts*, GPPI, 2016.

³ The ICRC developed a methodology to confidentially capture and share negotiation experiences among ICRC practitioners for its Humanitarian Negotiation exchange (HNx) Platform. WFP participates in a Joint Centre of Competence on Humanitarian Negotiation together with UNHCR, MSF, the Centre for Humanitarian Dialogue and the ICRC that aims to facilitate the sharing of experience among humanitarian professionals engaged in frontline negotiations. Members of the Centre are encouraged to develop processes for capturing and sharing negotiation experiences.

- WFP’s ways of addressing the most important enablers and constraints for humanitarian principles and access.

4. Building on the approach developed by the Joint Centre of Competence on Humanitarian Negotiation, the subsequent **internal learning component** aims to strengthen WFP’s capacity to apply humanitarian principles and negotiate access. The learning component will begin once the evaluation report has been finalized to guarantee that no sensitive information disclosed during the learning process can be included in the evaluation. The learning component will include the following elements:

- Conducting strictly confidential⁴ interviews with individuals at all levels of the organization who are directly involved in negotiating access and/or taking decisions relating to humanitarian principles (“negotiators and decision-makers”) about the dilemmas they face, the trade-offs their decisions entail, and how they deal with them to strengthen self-reflection. Please see section 3.4. for a description of the confidentiality measures.
- Building a restricted-access, internal database of decontextualized and anonymized negotiation and decision-making cases based on the interviews and authorized by the interviewees to strengthening institutional memory.
- Facilitating confidential peer-learning workshops based on decontextualized and anonymized case examples. The workshops will intend to create a safe space for negotiators and decision-makers to exchange on their experiences and offer peer support.
- Up to six decontextualized thematic briefing papers will summarize findings relating to key issues identified by participants in the learning component and make them accessible to a wider audience.

5. **Users.** The main users of the policy evaluation and the learning component are WFP employees involved in negotiating access and/or making decisions relating to humanitarian principles and access at country and regional level; the Advisory Group and the Operational Cell on Access; the Policy and Programme Division; the Emergency Preparedness and Support Response Division; the Field Security Division; the Supply Chain Division; the Gender Office; WFP’s senior management; and WFP’s Executive Board. External users will include other members of the Joint Center of Competence on Humanitarian Negotiation, cooperating partners and the academic and research communities (access to public documents only).

6. **Inception Report.** This Inception Report provides background information about WFP’s policies on humanitarian principles and access. It analyzes the relevant global context for humanitarian principles and access, and assesses where the policies are situated within WFP’s broader normative and policy context. It develops a logic model for the policies and provides an overview of the measures taken to date to implement the policies. This analysis informs the proposed approach, scope, guiding questions and methods, including ways of considering gender in the analysis (see sections 2.2 and 3.5). The inception report was discussed with key stakeholders and the data gathering tools tested and refined during a pilot evaluation mission to Amman, Jordan, to agree on the focus, approach, and work steps of the evaluation.

⁴ This report uses the term “strictly confidential” to separate the special confidentiality measures applied to learning interviews and peer-learning workshops from the standard confidentiality measures applied to evaluation interviews. **Confidential** means that interviews are not for attribution, but on the record (unless otherwise requested by the interviewee for parts of the information shared). **Strictly confidential** means that the information collected is not for attribution, and only information explicitly agreed by the interviewee will be recorded in the write-up. For more information about the confidentiality measures, see 3.4.

7. The inception report builds on a prior scoping and evaluability assessment, which involved a review of key documents and consultations with 47 key informants. In addition, a more detailed document review was conducted during the inception phase (see Annex 1 for a list of consulted documents) and interviews with 46 WFP employees at headquarters, regional and country level, as well as 17 partners and external observers were conducted (see Annex 2 for an overview of consulted stakeholders). As a result of the inception consultations, this inception report contains some changes compared to the terms of reference and the team's initial proposal:

- Rather than implementing the evaluation and the learning component in parallel, as initially suggested, they will now be conducted consecutively, with the learning component starting once the evaluation report has been finalized. This will ensure that no information shared under the strict confidentiality protocols of the learning component will be included in the evaluation report.
- This, as well as evolving plans to conduct other evaluations in some relevant countries, have made changes to the proposed fieldwork schedule necessary. Most missions will now be conducted by a single team member and the schedule includes visits to five (rather than four) regional hubs and six (rather than eight) countries.
- The schedule of field visits for evaluation interviews has also been compressed to allow for an earlier finalization of the evaluation reports.
- A larger number of affected population surveys will be conducted as the commercial provider submitted a proposal that is more cost efficient than anticipated. In addition, a larger number of responses per country will be collected to ensure the responses include a statistically significant sample of female respondents. Potential opportunities for further enlarging the number of countries surveyed will be explored with WFP's mobile Vulnerability Analysis and Mapping (mVAM) service.
- Additional research has shown that the social media analysis that was initially proposed would require significantly more resources and that only limited analytical insights could be expected from it. The team therefore suggests not to conduct a social media analysis.
- Cooperating partners remain central stakeholders of the evaluation and will be included in evaluation interviews and surveys. However, following consultations with WFP and some partner organizations, the team proposes not to conduct learning interviews with cooperating partners as the utility of writing up a small number of decontextualized negotiation or decision-making cases for partners would not be clear. The team will explore the possibility of involving partners in the learning workshops and to share relevant findings through the evaluation reports and the decontextualized thematic briefings, as well as related dissemination events.
- The team suggests to use and present the more detailed global context analysis in conjunction with the decontextualized thematic briefs, as a 'chapeau' situating the debate and the themes chosen for the thematic briefs, rather than as a stand-alone paper. A shorter version of the context analysis will also be included in the evaluation reports.

1.2. The changing context for humanitarian principles and access

8. Humanitarian principles and access are fundamental to the effectiveness of international humanitarian action. When states developed international humanitarian law to limit the effects of war, they included provisions that allow relief organizations access to territory, but also require their non-interference in military and political matters (i.e., action according to the humanitarian principles). Accordingly, an impartial and neutral approach is critical to creating the necessary acceptance among states and non-state armed actors.⁵ Unimpeded access, in turn, is a precondition for impartial humanitarian action as it allows organizations to work where the needs are greatest.

9. Acting in accordance with the humanitarian principles and negotiating access has become more complex over the past decades. The nature of warfare changed after the end of the Cold War. Most conflicts today are internal and many of them protracted. Non-state armed groups, which are more numerous, more fragmented and also pursue economic interests, control important territories.⁶ In parallel, the definition of “humanitarian” situations expanded, evolving from “catastrophic, short-term, acute and highly visible events to more structural, longer-term and protracted situations.”⁷ Some armed actors therefore do not see humanitarian action as neutral and independent.

10. This section provides more information about the historical origins of the humanitarian principles and the legal basis for access, as well as relevant changes to the context. The next chapter analyzes the WFP policies on the humanitarian principles and access, including their relationship to other policies and normative documents, such as WFP’s protection and gender policies.

The humanitarian principles

11. The humanitarian principles are derived from international humanitarian law, which recognizes the role of the International Committee of the Red Cross (ICRC) “or any other impartial humanitarian organization” to aid civilians during war.⁸ They were later codified in different international instruments, including the Geneva Conventions.⁹ Many observers distinguish between the main principles of humanity and impartiality (embodying the “ethical goal of humanitarian action”) and the principles of neutrality and independence, which are seen as a means to achieving this goal by managing perceptions and gaining acceptance.¹⁰

12. The principle of **humanity** enshrines the fundamental value of “kindness towards others” that follows from a shared appreciation for human life.¹¹ In the definition of the Red Cross, humanity seeks “to prevent and alleviate human suffering

⁵ Katherine Haver and William Carter, *What It Takes: Principled pragmatism to enable access and quality humanitarian aid in insecure environments*. SAVE Final Report 2016. (New York: Humanitarian Outcomes, 2016).

⁶ Peter Maurer, “Humanitarian Diplomacy and Principled Humanitarian Action” (speech, Geneva, Switzerland, 2 October 2014).

⁷ Food and Agricultural Organisation, International Fund for Agricultural Development, and World Food Programme, *The State of Food Insecurity in the World 2015. Meeting the 2015 international hunger targets: taking stock of uneven progress* (Rome: 2015).

⁸ The Geneva Conventions of August 12 1949, I-III: Arts. 8, 9, 10; IV: 9, 10, 12; AP.I: 5

⁹ Fundamental Principles of the Red Cross (1965), Code of Conduct for International Red Cross and Red Crescent Movement and NGOs in Disaster Relief (1992), UN General Assembly Resolutions in 1998 and 2003, and the Sphere Standards in 1999 and the Core Humanitarian Standard in 2015.

¹⁰ Hugo Slim, *Humanitarian Ethics, A Guide to the Morality of Aid in War and Disaster* (London: Hurst & Company, 2015), p. 65; Labbé, Jérémie, “How do humanitarian principles support humanitarian effectiveness?”, CHS, On the to Istanbul, Accountability Report, 2015

¹¹ Slim, *Humanitarian Ethics*, p. 45. Jean Pictet, *The Fundamental Principles of the Red Cross: commentary*, 1979.

wherever it may be found” with the purpose “to protect life and health and to ensure respect for the human being.”¹² The focus on respect or dignity is important as it “keeps recipients of humanitarian assistance from being reduced to their needs.”¹³ Section 2.1. discusses WFP’s definition of humanity and the other principles in more detail.

13. **Impartiality** entails that aid organizations should make “no discrimination as to nationality, race, religious belief, class or political opinions” and should give “priority to the most urgent cases of distress.”¹⁴ Impartiality requires agencies to target those most in need, according to their need. Restricting the access of aid agencies to certain areas therefore compromises impartiality; a compromise accepted by most aid agencies who will deliver as access allows, prioritizing humanity over impartiality.¹⁵ Restricting access to certain groups – or privileging some groups for reasons that are not directly related to their level of need – also compromises impartiality. Globally, impartiality requires that funds are distributed according to needs, which may mean that large aid organizations use their flexible or core funds to counter-balance potential donor attention bias.¹⁶

14. **Neutrality** serves to ensure that all parties have confidence in and accept humanitarian organizations.¹⁷ It requires that aid organizations do “not take sides in hostilities or engage at any time in controversies of a political, racial, religious or ideological nature.”¹⁸ WFP adds to this principle that it will not provide aid to active combatants. Neutrality is the most contested of the principles. Some organizations understand it as “being quiet when to say anything would inflame passions (...) without doing any good to the victims.”¹⁹ Others criticize neutrality as “complicity in underlying crimes.”²⁰ This “anxiety of the grey zone” – balancing tacit engagement and speaking out – continues to shape debates today.²¹ Neutrality was not included in the 1994 Code of Conduct.²² When organizations adopted the Core Humanitarian Standard in 2014, they included neutrality only after a long debate, and qualified that it would not preclude them from advocacy.²³

¹² Pictet, *The Fundamental Principles of the Red Cross: commentary*. See section 2.1 for a discussion of WFP’s definitions of the humanitarian principles and access.

¹³ Jérémie Labbé and Pascal Daudin, “Applying the humanitarian principles: Reflecting on the experience of the International Committee of the Red Cross,” *International Review of the Red Cross* 97, no. 897/898 (2016): 186.

¹⁴ Pictet, *The Fundamental Principles of the Red Cross: commentary*.

¹⁵ Haver and Carter, *What It Takes*, 37.

¹⁶ WFP takes “global and regional attention” into account as one factor for deciding the allocation of multilateral (un-earmarked) funds, see WFP, *WFP’s Use of Multilateral Funding Fighting Hunger Worldwide 2015 Report*, 2015, 6. Oxfam understands impartiality as “between crises as well as within them”, Oxfam, *Oxfam’s Role in Humanitarian Action*, 2013, 2. Hugo Slim estimates that WFP, UNHCR and ICRC may be the only individual agencies big enough to achieve impartiality across an emergency, but does not address the question of global impartiality. Slim (2016), 64. For a recent discussion on global impartiality, see also: HERE, 2015, *The Universality and Application of Values and Principles Underpinning Humanitarian Action*. Report on the Working Meeting held on 13 October 2015. Geneva: HERE-Geneva: 6.

¹⁷ Pictet, *The Fundamental Principles of the Red Cross: commentary*.

¹⁸ *Idem*

¹⁹ Marion Harroff-Tavel, ‘Neutrality and Impartiality—The importance of these principles for the International Red Cross and Red Crescent Movement and the difficulties involved in applying them’, *International Review of the Red Cross*, 29(273), 532

²⁰ Stuart Gordon and Antonio Donini, “Romancing principles and human rights: Are humanitarian principles salvageable?,” *International Review of the Red Cross* 97, no. 897-898 (2016): 91.

²¹ Slim, *Humanitarian Ethics*, 18.

²² See Jérémie Labbé, “How do humanitarian principles support humanitarian effectiveness?,” *CHS, On the to Istanbul, Accountability Report*. See also International Federation of the Red Cross and Red Crescent Societies, Norwegian Refugee Council, *Conference Report Equipped to meet tomorrow’s humanitarian challenges? 20th anniversary of the Code of Conduct Geneva, 5th December 2014*. (Geneva: Norwegian Refugee Council, 2015).

²³ For detailed arguments for and against neutrality, read Anne de Riedmatten and Nigel Timmins in *Groupe URD*, “Contrasting views – including ‘Neutrality’ in the CHS”, 2015

15. **Independence** aims at giving humanitarian organizations “freedom to act in line with a purely humanitarian goal and methodology” thanks to an absence of “political interference”.²⁴ Since the United Nations (UN) is governed by member states, some observers see it (including its specialized agencies) as not fully independent of the political agendas of member states.²⁵ The UN General Assembly only introduced the principle of independence after debates in 2004 with resolution 58/114.²⁶ WFP uses the term “operational independence” to stress that its operations (as opposed to its governance) remain independent, but uses almost identical language to describe what the principle entails. In the commitments that WFP made at the World Humanitarian Summit, however, WFP uses the term “independence” (see Annex 3 for a list of all commitments related to humanitarian principles and access). UNICEF does not include independence among its principles. Dependence on donor funding from specific governments can also run counter to the perception of some humanitarian organizations as independent.²⁷

16. The humanitarian principles provide a frame of reference that organizations must operationalize on an ongoing basis, including by addressing trade-offs between the different principles and with other normative goals. The literature on humanitarian principles does not (yet) provide a systematic overview of these trade-offs or how they are typically dealt with. Box 1 provides an initial synthesis of types of trade-offs frequently mentioned as examples.

Box 1: Potential trade-offs between humanitarian principles and with other normative goals

Humanity (and access) vs. impartiality: The principle of humanity requires aid organizations to prevent and alleviate human suffering wherever it may be found. In practice, aid agencies often face obstacles in reaching those in need. Addressing these obstacles can require compromises.²⁸ An aid organization may, for example, not have sufficient access to implement a detailed needs assessment. This would be necessary to enable the organization to target those most in need, as required by the principle of impartiality. In deciding whether or not to deliver assistance regardless, the organization therefore faces a trade-off between humanity and impartiality.

Humanity vs. independence: Many aid organizations depend on contributions by donor governments to be able to deliver assistance. Some donors at times link their contributions to specific demands.²⁹ In deciding whether or not to accept these donor funds, the organization thus faces a trade-off between humanity and independence.

Humanity vs. impartiality and neutrality: Some host governments or armed groups controlling a territory may only allow aid organizations access to people in need if they adjust their targeting criteria or to include or exclude certain groups

²⁴ Slim, *Humanitarian Ethics*, 72

²⁵ Schenkenberg van Mierop, Ed. “Coming clean on neutrality and independence: The need to assess the application of humanitarian principles.” *International Review of the Red Cross* 97, no. 897/898 (2016): 295–318, 308–309.

²⁶ UN General Assembly, *Resolution adopted by the General Assembly on 17 December 2003, 58/114. Strengthening of the coordination of emergency humanitarian assistance of the United Nations, 2003.*

²⁷ See, for example: Michael N. Barnett, “Humanitarianism Transformed”, *The International Humanitarian Order*, London: Routledge, 2005, 187–188, and Andrea Binder and Claudia Meier, “Opportunity knocks: why non-Western donors enter humanitarianism and how to make the best of it” *International Review of the Red Cross* 93, no. 884 (2011).

²⁸ These compromises are well documented and many examples discussed in: Katherine Haver, “Tug of war: Ethical decision-making to enable humanitarian access in high-risk environments”, *HPN Network Paper*, 2016.

²⁹ See e.g. Daniela Nascimento, “One step forward, two steps back? Humanitarian challenges and dilemmas in crisis settings”, *The Journal of Humanitarian Assistance*, Feb, 2015, for an analysis of the instrumentalization of humanitarian assistance.

from the list of beneficiaries. This represents a trade-off between humanity and impartiality and could also affect neutrality, if changes to the targeted population unilaterally benefit one party to a conflict.

Humanity vs. neutrality: An agency may use military escorts to enable deliveries or operations in areas with high security risks. This entails compromises on the principle of neutrality. Not delivering in high risk areas, however, would compromise the principles of humanity and impartiality.

Humanity vs. no corruption: Armed groups or other actors may also ask for payments, for example to let humanitarian deliveries pass through check-points. In this case, the trade-off is between humanity and anti-fraud/anti-corruption policies.

Impartiality vs. perceived neutrality: It can occur that needs are more acute in areas controlled by one particular party to a conflict and that needs assessment data are disputed. Organizations delivering according to the principle of impartiality, prioritizing those with the most acute needs, may therefore not be perceived as neutral.

Neutrality vs. other normative goals: Neutrality requires not only not to take sides in hostilities, but also not to engage in controversies of a political, racial, religious, or ideological nature. Promoting other normative goals may therefore create tensions with the principle of neutrality. Speaking out against human rights abuses perpetrated by a specific party, for example, can be seen as compromising neutrality, as can promoting gender equality and women's empowerment in societies where women's rights are subject to political or ideological disputes.³⁰

17. While most organizations rhetorically commit to the humanitarian principles, only few have an organizational culture that supports their practical application.³¹ Because the principles are portrayed as sacrosanct, there is often a “culture of silence”³² around the compromises and trade-offs the principles might require. To address this, organizations committed to translating the principles into practice have done research and encouraged discussion about the practical application of the principles.³³ They have also studied external perceptions of principled action, finding that one organization's approach affects the perception of others as well.³⁴

³⁰ A report by the World Bank found that 155 of the 173 assessed economies had at least one law in place that impedes women's economic opportunities. This includes for example law obliging women to obey their husbands; law restricting what kinds of jobs women can do; and laws requiring the permission of husbands for women applying for a passport. World Bank Group, *Women, Business, and the Law 2016: Getting to Equal*, 2015.

³¹ Haver and Carter, *What It Takes*, 10

³² Katherine Haver, “Tug of war: Ethical decision-making to enable humanitarian access in high-risk environments”, *HPN Network Paper*, 2016: 11.

³³ The ICRC, for example, analyzed the internal application of the principles and facilitated debate around this (see Labbé and Daudin, “Applying the humanitarian principles”, 183-210); Ashley Jackson, *In Their Words: Perceptions of armed non-State actors on humanitarian action*. (Geneva: Appel de Genève, 2016); MSF found that even staff in the same location had very varying definitions of the principles and their application (Caroline Abu-Sada, (ed.), *In the Eyes of Others: How People in Crisis Perceive Humanitarian Aid* (New York: MSF USA, 2012), 27; NRC studied its application of the principles together with Handicap International (and is currently building up an online space with ALNAP where staff from different organization can discuss dilemmas they face with peers; Action Contre La Faim conducted a similar study. (Yulia Dyukova and Pauline Chetcuti, *Humanitarian Principles in Conflict: Ensuring humanitarian principles are respected in armed conflicts and other situations of violence: ACF's experience and position*, Policy Paper. (Paris: ACF International, 2013); and the Humanitarian Evaluation Interest Group is currently developing guidance for evaluating humanitarian principles, an effort the present evaluation and learning process seeks to feed into (United Nations Evaluation Group, *Reflecting Humanitarian Principles in Evaluation*. Working Paper. (New York. United Nations Evaluation Group, 2016)).

³⁴ Caroline Abu-Sada, (ed.), *In the Eyes of Others: How People in Crisis Perceive Humanitarian Aid* (New York: MSF USA, 2012)

18. As mentioned above, the changing nature of warfare following the end of the Cold War and growing number and type of contexts where humanitarian responses are triggered have made the practical application of the humanitarian principles more difficult. In recent years, other trends have also added complexity:

- Humanitarian objectives are increasingly conflated with other international agendas. For the UN's humanitarian agencies, formal integration with UN peace keeping or peace building missions is one of the most visible and most problematic links to other agendas.
- Another important link is to development contexts. The humanitarian principles were explicitly designed for emergencies. WFP, however, sees the principles as applicable to all its operations, including those in development contexts.³⁵ In these contexts, cooperation with host governments is key – an aspect that was also emphasized at the World Humanitarian Summit and with the Sustainable Development Goals. In situations where the government is party to a conflict, however, cooperation with the host government may be in conflict with humanitarian principles.
- Non-state armed actors, some of which have categorically rejected humanitarian action as foreign intervention, exert de facto control over territory in a growing number of countries.³⁶ Their prominence in recent crises creates new access challenges (discussed further below). In some cases, they may represent fundamentalist religious interests. This has also triggered a particular interest in studying Islamic interpretations of the humanitarian principles in an effort to define common ground.³⁷
- The increasing reliance on national and local partner organizations for access adds another layer of complexity to maintaining a principled approach. National organizations face a delicate balance between their commitment to the principles and the fact that they are part of the local context, and contracting agencies only have limited control over their actions. This debate has gained traction at the World Humanitarian Summit³⁸ and is particularly relevant for WFP which implements 75 percent of its projects with cooperating partners, many of which are local organizations.³⁹

19. In response to these challenges, humanitarian actors have made efforts to agree on how to implement the principles at inter-agency level. The IASC Reference Group on Principled Humanitarian Action, for example, seeks to define common approaches to dealing with issues such as civil-military coordination, UN integration, counter-terrorism measures and overall risk management.⁴⁰ At the operational level,

³⁵ See, for example, page 5 of WFP's Strategic Plan 2017-2021: "WFP's actions will **at all times** be guided by the humanitarian principles of humanity, impartiality, neutrality and independence." (emphasis added)

³⁶ Gordon and Donini, "Romancing principles and human rights".

³⁷ Labbé and Daudin, "Applying the humanitarian principles"; Ronald Offeringer, "The Dialectics of Perception, Acceptance, and Meaningful Action," in *the Eyes of Others: How People in Crisis Perceive Humanitarian Aid*, ed. Caroline Abu-Sada.

³⁸ E.g. with the Grand Bargain commitment to increase support and funding tools for local and national responders. On the debate, see International Federation of the Red Cross and Red Crescent Societies, Norwegian Refugee Council, *Conference Report Equipped to meet tomorrow's humanitarian challenges? 20th anniversary of the Code of Conduct Geneva, 5th December 2014*. (Geneva: Norwegian Refugee Council, 2015).

³⁹ Wake, Caitlin, Veronique Barbelet and Christina Bennett (2016), Capacity strengthening of national and local non-governmental organisations: opportunities and challenges for WFP.

⁴⁰ Inter-Agency Standing Committee, "IASC Reference Group on Principled Humanitarian Action" accessed February 24, 2017, <https://interagencystandingcommittee.org/revitalizing-principled-humanitarian-action>

the Joint Operating Protocols for Syria in 2015 represent one of several attempts to define collective red lines for operations based on the humanitarian principles.⁴¹

⁴¹ See William Carter and Katherine Haver, *Humanitarian access negotiations with non-state armed groups: Internal Guidance Gaps and Emerging Good Practice*. SAVE Resource Paper. (New York: Humanitarian Outcomes, 2016), 28-31.

Humanitarian access

20. Humanitarian access entails “both the ability of humanitarian organizations to reach populations affected by crisis and the ability of affected populations to access humanitarian services”.⁴² The relevant provisions in international humanitarian law concern the requirement that relief actions are subject to “the consent of the State concerned”⁴³ and that states are required to facilitate “unimpeded passage” once consent is granted.⁴⁴

21. States must not withhold consent arbitrarily. Denying food assistance, for example, can amount to the war crime of starvation.⁴⁵ However, the Geneva Conventions do not define what “arbitrary” means. Humanitarian organizations are promoting a broad, rights-based view on access.⁴⁶ The UN Security Council has recently followed this interpretation. In 2014, it authorized UN humanitarian agencies and their partners to cross borders into Syria, despite the fact that the Syrian government had not consented to this.⁴⁷ Some scholars, however, characterize this as an “assumed ‘right of interference’.”⁴⁸

22. Another important gap in the Geneva Conventions is that they do not solve the question of consent of non-state actors for access to territories they control. While non-state armed actors are often central in today’s armed conflicts, the legal provisions about their rights and responsibilities regarding access are unclear.⁴⁹

23. Over the past years, humanitarian organizations have experienced growing **restrictions in accessing affected populations**. The SAVE research programme, for example, found that fewer organizations work in highly volatile environments such as Afghanistan, Somalia, Syria and South Sudan than in other emergencies.⁵⁰ However, different factors influence the presence of humanitarian actors, and externally imposed access restrictions are only one among several.⁵¹ It is equally difficult to determine to what extent restrictions are a reaction to a more ambitious humanitarian agenda geared towards social transformation.⁵²

⁴² Office for the Coordination of Humanitarian Affairs, “OCHA on Message: Humanitarian Access” (2010).

⁴³ Article 70(1) of Additional Protocol I of 1977 and article 18(2) of Additional Protocol II of 1977. Additional Protocol II suggests that humanitarian and impartial relieve actions “shall be undertaken subject to the consent of the High Contracting Party concerned.” The requirement of state consent was a subject of discussion during the negotiations for the Additional Protocols in the 1970s - the initial draft did not contain any reference to state consent, something states were unable to agree to. Felix Schwendimann, “The legal framework of humanitarian access in armed conflict,” *International Review of the Red Cross* 93, no. 884 (2011): 998.

⁴⁴ Art 70(1) of Additional Protocol I

⁴⁵ Schwendimann, “The legal framework of humanitarian access in armed conflict”, 998.

⁴⁶ Sarah Collinson and Samir Elhawary, *Humanitarian space: a review of trends and issues*. Humanitarian Policy Group Report 32. (London: Overseas Development Institute, 2012); Julia Steets, Urban Reichhold, and Elias Sagmeister, *Evaluation and review of humanitarian access strategies in DG ECHO funded interventions*. (Berlin: Global Public Policy Institute, 2012), 23-24.

⁴⁷ The Security Council has called upon states to grant humanitarian access frequently before, but has not waived the right of consent before. Emmanuela-Chiara Gillard, “The law regulating cross-border relief operations,” *International Review of the Red Cross* 95, no. 890 (2013): 351-382.

⁴⁸ Nicholas Leader, *The Politics of Principle: the principles of humanitarian action in practice*, HPG Report 2. (London: Overseas Development Institute, 2000). The Sphere Standards, for example, stress the “right to receive humanitarian assistance” as a “necessary element of the right to life with dignity”. See also Naz K. Modirzadeh, “Strong Words, Weak Arguments – A Response to the Open Letter to the UN on Humanitarian Access to Syria (Part 1 and 2),” *Opinio Juris*, May 12, 2014, Dapo Akande and Emanuela-Chiara Gillard, *Oxford Guidance on the Law Relating to Humanitarian Relief Operations in Situations of Armed Conflict*. Commissioned by OCHA. (Oxford, Oxford Institute for Ethics, Law and Armed Conflict, 2016).

⁴⁹ Akande and Gillard, *Oxford Guidance*, 16-17.

⁵⁰ Abby Stoddard and Shoaib Jillani, *The Effects of Insecurity on Humanitarian Coverage*. SAVE Final Report. (London: Humanitarian Outcomes, 2016).

⁵¹ Stoddard and Jillani, *The Effects of Insecurity on Humanitarian Coverage*.

⁵² See Collinson and Elhawary, *Humanitarian space: a review of trends and issues* for an excellent overview of the different arguments relating to humanitarian space.

24. Among the most common access restrictions⁵³ are **bureaucratic impediments** by host governments. Governments only rarely deny consent to humanitarian work on their territory outright, but rather use more subtle ways to restrict access. This can involve conditions and delays for registering organizations, for granting visas or security clearances for key personnel, taxation, import and transportation permissions for specific humanitarian goods, as well as permissions to carry specific goods or cash to project locations.⁵⁴

25. **Insecurity** also constrains access in important ways, as aid operations are at risk of collateral damage from ongoing hostilities or direct attacks by military or criminal actors seeking to control or divert assistance. Obtaining reliable security guarantees has become more challenging as armed groups become more fragmented. The number of security incidents involving humanitarian workers has remained steady over the past five years in most operations, with the exception of Afghanistan, Somalia, South Sudan, Syria and Yemen, where attacks and kidnappings have been on the rise.⁵⁵

26. **Logistical constraints** are of particular importance to WFP given its responsibilities as lead of the global logistics cluster and an important logistics service provider. Damaged or (seasonally) inaccessible roads and infrastructure, as well as the presence of landmines or unexploded ordinance, all challenge access. These weigh particularly heavy when the affected population is mobile, or is spread thinly across a large territory.

27. In the aftermath of 9/11, some donors have started to apply **counter-terrorism legislation** to funding. No major humanitarian donor prohibits contact with groups designated as terrorist as part of humanitarian negotiations; the UN Security Council clearly indicated that humanitarian assistance does not fall under the sanctions regime; and no case has gone to court so far.⁵⁶ Yet, the lack of clarity about what constitutes material support to terrorist groups has led many organizations to adopt a risk-averse approach.⁵⁷ Furthermore, humanitarian organizations are required to provide detailed information to some donor governments about partner organizations and their staff as part of vetting processes, which restricts their independence in developing partnerships.⁵⁸

28. Other access constraints relate to **organization-internal** policies like security and risk management, or policies related to UN integration. In 2011, the UN security system introduced the concept of program criticality to better determine which UN programs are lifesaving and therefore critical and worth accepting a level of residual risk to deliver them. Despite these efforts, recent research still notes a tendency to “more readily raise the assessed risk level in response to new incidents

⁵³ There are different ways of categorizing access constraints. This overview is based on WFP’s categorization in the *Draft WFP Operational Guidance on Humanitarian Access*, but divides the “political constraints” category into two for analytical clarity: those relating to state consent, and one relating to donor policies.

⁵⁴ Examples from South Sudan and Afghanistan, see Lindsay Hamsik, *A thousand papercuts: the impact of NGO regulation in South Sudan*. (London: Humanitarian Policy Group of the Overseas Development Institute, 2017), and Haver and Carter, *What It Takes*.

⁵⁵ Aid Worker Security, “Aid Worker Security Report Figures at a glance 2016” (2016).

⁵⁶ Kate Mackintosh and Patrick Duplat, *Study of the Impact of Donor Counter-Terrorism Measures on Principled Humanitarian Action*. (New York: Office for the Coordination of Humanitarian Affairs, Oslo: Norwegian Refugee Council, 2013); Katie King, Naz K. Modirzadeh, and Dustin A. Lewis, *Understanding Humanitarian Exemptions: U.N. Security Council Sanctions And Principled Humanitarian Action*. Working Group Memorandum. (Harvard: Harvard Law School Program on International Law and Armed Conflict, 2016).

⁵⁷ Mackintosh and Duplat, *Study of the Impact of Donor Counter-Terrorism Measures on Principled Humanitarian Action* and King, Modirzadeh and Duplat, *Understanding Humanitarian Exemptions: U.N. Security Council Sanctions And Principled Humanitarian Action*; see also SAVE, presence

⁵⁸ See ICVA, *Joint Statement on the Humanitarian Principles*, 2015.

than lower it in their absence.”⁵⁹ In integrated missions, researchers found that access for humanitarian actors can increase, however with unclear effects on (perceptions of) impartiality, neutrality and independence.⁶⁰ Some fear that the forthcoming reform of the UN peace and security functions, announced by UN Secretary-General Guterres in February 2017, will increase pressure on the humanitarian arm of the UN to integrate in larger peacebuilding agendas.

29. The main **mandate and responsibility** for facilitating and coordinating efforts to establish humanitarian access lie with the Emergency Relief Coordinator at global level and the Humanitarian Coordinator supported by the Office for the Coordination of Humanitarian Affairs (OCHA) at country level. WFP defines its role as advising the Humanitarian Coordinator on needs, WFP’s specific operational requirements, and options for obtaining access. In its role as lead organization of the global logistics cluster, WFP also provides coordination, information management and common logistics services that can affect the access of the broader humanitarian community.

30. To overcome access obstacles, **recent and ongoing initiatives** of humanitarian actors and researchers focus primarily on understanding and negotiating with non-state armed actors.⁶¹ Geneva Call found that non-state armed groups support the humanitarian principles, but that their understanding of the nuances relating to access is limited where humanitarian organizations do not engage them.⁶² This is an issue because only few organizations maintain a dialogue with non-state armed groups.⁶³ There is a heightened interest among humanitarian agencies to collaborate and share humanitarian negotiation experience with governments and non-state armed actors among each other. OCHA led the establishment of an Access Monitoring & Reporting Framework, which is used in different countries, and maintains access units in some countries, including the State of Palestine and South Sudan.⁶⁴ In addition, access constraints are tracked through various thematic UN reporting mechanisms, including the Monitoring and Reporting Mechanism (MRM) on grave violations of children’s rights in situations of armed conflict, Security Council Resolutions 1325, and specific regional resolutions (e.g. the UN Security Council Monitoring Group on Somalia). In 2016, ICRC, WFP, the Office of the UN High Commissioner for Refugees (UNHCR), Médecins Sans Frontières (MSF) and the Centre for Humanitarian Dialogue launched a Centre of Competence on Humanitarian Negotiation to create a peer-learning and exchange space among frontline negotiators. This evaluation will build on and feed into the Centre of Competence’s work.

⁵⁹ Stoddard and Jillani. *The Effects of Insecurity on Humanitarian Coverage*, 24, 2016.

⁶⁰ Metcalfe, Giffen, and Elhawary, *UN Integration and Humanitarian Space, An Independent Study Commissioned by the UN Integration Steering Group*.

⁶¹ See Carter and Haver, *Humanitarian access negotiations with non-state armed groups*, for a comprehensive literature review. ODI is currently researching non-traditional humanitarian actors’ access strategies, also exploring who influences access decisions.

⁶² Ashley Jackson, *In Their Words: Perceptions of armed non-State actors on humanitarian action*. (Geneva: Appel de Genève, 2016).

⁶³ Ashley Jackson, *In Their Words*; Stoddard and Jillani. *The Effects of Insecurity on Humanitarian Coverage*.

⁶⁴ Available on:

https://www.humanitarianresponse.info/system/files/documents/files/One_page_guidance_note_on_AMRF_roll-out_revised_May2012.pdf

2. Subject of the Evaluation

2.1. WFP's policies on humanitarian principles and access in humanitarian contexts

31. This evaluation focuses on two WFP policy documents: A document on humanitarian principles submitted to the Executive Board for information in 2004 and a note on humanitarian access and its implications for WFP submitted for the Board's consideration in 2006.

32. A "Statement of Humanitarian Principles of the World Food Programme" constitutes the core of the document on humanitarian principles, which also provides an overview of external normative reference points such as international legal provisions, the Sphere standards and the Good Humanitarian Donorship initiative. The Statement includes and defines three "core humanitarian principles" (humanity, impartiality and neutrality, see box 2), along with five "foundations of effective humanitarian action" (respect, self-reliance, participation, capacity-building, coordination) and two "standards of accountability and professionalism" (accountability, professionalism). Only the part on "core humanitarian principles" was reinforced and at the same time updated through WFP's Strategic Plan 2014-2017. The Strategic Plan specifies that WFP will pursue its strategic objectives (including the objectives that have a longer-term, more developmental orientation) in line with the core humanitarian principles and adds the principle of operational independence. This evaluation will focus on the expanded list of four core humanitarian principles.

33. As elaborated in section 1.2 on context, it is widely acknowledged that there can be tensions and potential trade-offs between the humanitarian principles. In a situation where a party to the conflict restricts access for humanitarian organizations, for example, it may not be possible to conduct the needs assessment that is necessary to ensure impartiality. Research acknowledges that organizations need to make difficult decisions whether to deliver assistance regardless, accepting a compromise regarding impartiality in order to follow the principle of humanity.⁶⁵ The statement on principles, however, does not acknowledge possible tensions or trade-offs between the principles, nor does it establish an explicit hierarchy among them. Rather, it declares that "WFP will adhere to the principles."⁶⁶

34. The statement of humanitarian principles is not called a "policy" and was only submitted to the Board "for information", rather than "for approval" as other policies are. It is also different from other WFP policy documents in that it does not

Box 2: WFP's definition of core humanitarian principles

Humanity: WFP will seek to prevent and alleviate human suffering wherever it is found and respond with food assistance when appropriate. It will provide assistance in ways that respect life, health and dignity.

Neutrality: WFP will not take sides in a conflict and will not engage in controversies of a political, racial, religious or ideological nature. Food assistance will not be provided to active combatants.

Impartiality: WFP's assistance will be guided solely by need and will not discriminate in terms of ethnic origin, nationality, political opinion, gender, race or religion. In a country, assistance will be targeted to those most at risk, following a sound assessment that considers the different needs and vulnerabilities of women, men and children.

Operational independence (added in the Strategic Plan 2014-17): WFP will provide assistance in a manner that is operationally independent of the political, economic, military or other objectives that any actor may hold with regard to areas where such assistance is being provided.

(WFP Strategic Plan 2014-17)

⁶⁵ Haver and Carter, *What It Takes*, p. 37.

⁶⁶ WFP (2004). *Humanitarian Principles*, p. 9.

define any specific measures or responsibilities for implementing the policy. Nevertheless, it has been included in WFP’s policy compendium.

35. The note on humanitarian access and its implications for WFP is also not called a “policy” and was only submitted to the Board “for consideration,” rather than for approval. However, it goes further than the statement on principles in identifying areas of work or activities that are considered crucial for access. They include situation analysis; security awareness and management; international law, humanitarian principles and minimum operational requirements; coordination; civil-military relations; advocacy; partnerships and alternative approaches; and learning and training. This list does not lay out an explicit agenda for corporate investments to further strengthen access. But it identifies what areas are important for access and therefore presumably important for the implementation of the policy on access.

36. The policy document defines access as the access of humanitarian organizations and their personnel to people in need (see box 3). In doing so, it does not address the other commonly acknowledged dimension of access, namely the ability of affected populations to access humanitarian assistance and services (which is part of WFP’s protection policy).⁶⁷ This evaluation will follow WFP’s narrow definition of access when assessing the policy’s implementation and effects.

Box 3: WFP’s definition of humanitarian access

“Humanitarian access involves the free and unimpeded movement of humanitarian personnel to deliver relief services, or the free and safe movement of humanitarian agencies to reach civilians who are trapped, unable to move or detained because of armed conflict, natural disasters and other difficult access situations. Humanitarian access allows impartial assessment of the needs of populations at risk and the delivery of assistance to respond to those needs.”

(Note on humanitarian access, § 5)

However, the analysis of policy quality and coherence will examine critically how relevant and appropriate WFP’s existing definition of access is.

2.2. The broader legal and policy context

37. WFP’s policy documents on humanitarian principles and access in humanitarian contexts are embedded in a broader context of relevant legal, policy, and guidance documents. The timeline (illustration 1) provides an overview of key internal and external milestones for policy development. Following that, table 1 provides an overview of relevant documents and highlights crucial areas that relate to the documents on humanitarian principles and access.

⁶⁷ See e.g. OCHA (2010). *OCHA on Message. Humanitarian Access*, available at https://docs.unocha.org/sites/dms/Documents/OOM_HumAccess_English.pdf (last accessed February 2017).

Illustration 1: Timeline of relevant developments in the broader legal and policy context

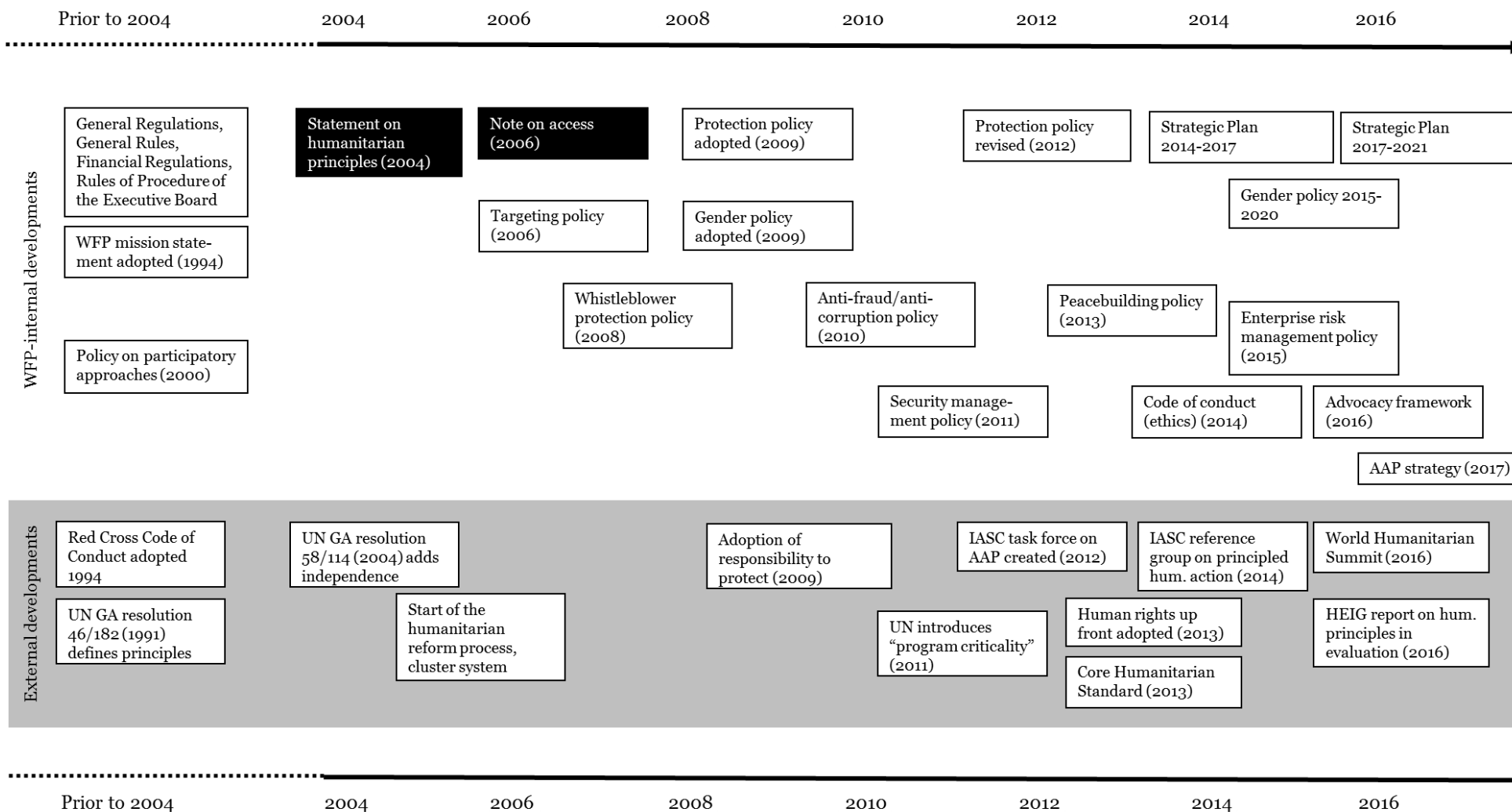


Table 1: Overview of relevant legal, policy and guidance documents and their relationship to the documents on humanitarian principles and access

Documents	Main aspects relating to humanitarian principles and access
General Regulations, General Rules, Financial Regulations, Rules of Procedure of the Executive Board (no date)	<p>Emphasize that WFP concentrates its “efforts and resources on the neediest people and countries” (Art. II.2), i.e. in accordance with the principle of impartiality.</p> <p>Specify that agreements with host governments shall “safeguard WFP’s right to monitor all phases of programme and project operations” (General rule XI.1), i.e. enshrine WFP’s right to access at least to monitor programs.</p> <p>General regulation X requires FAO’s Director-General to authorize emergency operations where they exceed the limits of the WFP Executive Director’s delegated authorities. Protracted relief and recovery operations and development operations, by contrast, require authorization by the Executive Board, which is composed of member states.</p> <p>General regulation XII ascribes host governments with the primary responsibility for executing programs and assigns WFP and its Executive Director responsibility for supervision and assistance in execution.</p> <p>General regulation VII gives the Executive Board a key role in the appointment of WFP’s Executive Director.</p>
Mission statement (1994)	<p>Reiterates the focus on “the neediest people and countries” and thereby refers implicitly to the principle of impartiality.</p> <p>Alludes to the principle of neutrality by emphasizing that WFP “provides a neutral conduit for assistance in situations where many donor countries could not directly provide assistance”.</p>
Strategic plan 2014-2017 (2013), WFP/EB.A/2013/5-A/1 Strategic plan 2017-2021 (2016), WFP/EB.2/2016/4-A/1/Rev.2	<p>Refer to the importance of securing and maintaining humanitarian access.</p> <p>Make explicit reference to “core humanitarian principles” and detail them in an annex (earlier strategic plans only included a generic reference to the humanitarian principles).</p> <p>Compared to the statement on humanitarian principles, the annexes to the strategic plans add the principle of (operational) independence (corresponding to changes introduced through the UN General Assembly in 2004 in resolution A/RES/58/114). The annexes also switch the order of the principles, now naming neutrality before impartiality.</p>
Protection policy (2012), WFP/EB.1/2012/5-B/Rev.1	<p>Includes explicit references to the humanitarian principles.</p> <p>Covers the aspect of the affected population’s access to assistance. Explicitly recognizes that WFP’s access negotiations can contribute to protection.</p> <p>Defines protection as ways of delivering assistance that contribute to the “safety, dignity, and integrity of vulnerable people” – which is closely aligned to the principle of humanity and its provision to provide assistance in ways that respect life, health, and dignity. It also describes WFP’s role in advocating for humanitarian principles and suggests measures for strengthening WFP’s capability to conduct context and risk analyses.</p> <p>Emphasizes WFP’s role in advocating on protection gaps.</p>
Targeting policy (2006), WFP/EB.1/2006/5-A	<p>Explicitly refers to humanitarian principles and acknowledges that there may be trade-offs between meeting immediate needs and the costs of perfect targeting.</p>
Enterprise risk management policy (2015),	<p>States that WFP’s decisions need to weigh risks and opportunities, and acknowledges that WFP needs to accept some residual risk.</p>

WFP/EB.A/2015/5-B, updated with a new risk appetite statement (2016), WFP/EB.1/2016/4-C	
Gender policy (2009; 2015)	Pursues the goal to “integrate gender equality and women’s empowerment into all of its [WFP’s] work and activities”. The policy’s objectives are to adapt food assistance to different needs; enable equal participation; increase the power of women and girls in decision-making; and to strengthen protection / do no harm.
Policy on participatory approaches (2000), WFP/EB.3/2000/3-D	Provides more detail on avoiding discrimination and providing assistance according to needs, including to “the poorest and the marginalized.” Aims to strengthen the representation of the poorest and marginalized in community structures and foresees a role for WFP in advocating for the right for people’s voices to be heard (also beyond WFP’s programs).
Policy on WFP’s role in peace-building (2013), WFP/EB.2/2013/4-A/Rev.1	Establishes the primacy of humanitarian principles in cases where they might conflict with other objectives, such as following national priorities or participating in a highly visible form of UN integration.
Security management policy (2011)	Establishes that WFP works under the security risk management model and umbrella of the United Nations Department for Safety and Security (UNDSS).
Anti-fraud and anti-corruption policy (2010), WFP/EB.2/2010/4-C/1	States that WFP shall not tolerate any fraud and corruption in the course of its operations and does not provide guidance on how to address cases in which the principle of humanity and requests for payments or other concessions may conflict.
Code of conduct (2014), Executive Director Circular OED2014/016	Includes references to impartiality and independence of individuals working for WFP.
“Whistle-blower” protection policy (2008), Executive Director Circular ED2008/003	Supports the application of the anti-fraud and anti-corruption policy by providing protection against retaliation for individuals who report misconduct.
Advocacy framework (2016)	Contains an advocacy message on access and references WFP’s commitment to upholding the humanitarian principles, but includes no guidance on how the humanitarian principles affect advocacy efforts.
Strategy for Accountability to Affected Populations (AAP) (2017)	Outlines WFP’s strategy for strengthening accountability to affected populations, which supports the principle of humanity by helping to ensure that assistance is delivered in a way that respects life, health, and dignity.

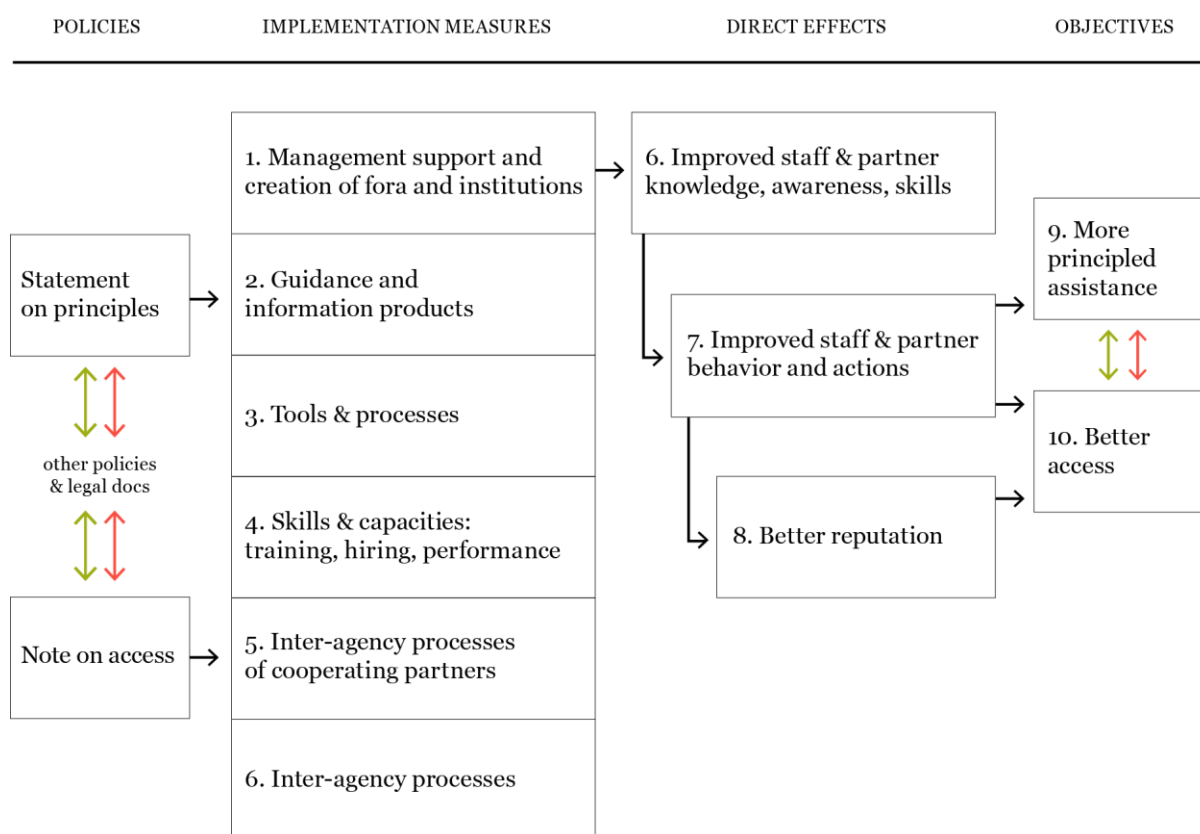
38. The policy documents on humanitarian principles and access both include references to gender. The policy on humanitarian principles references commitments made at the inter-agency level to gender. In addition, the principle of impartiality requires that there is no discrimination based on gender and the section on capacity building references a gender perspective. The note on access also highlights the importance of access for addressing the specific needs of women and children and includes a reference to WFP’s gender policy.

2.3. Logic model and WFP activities for policy implementation

39. To date, WFP has not formulated explicit theories of change outlining how the policies would contribute to specific objectives. As described above, the note on access identifies action areas deemed important for maintaining or strengthening WFP’s access. The statement on humanitarian principles, by contrast, does not explore what activities or measures would be important to translate the statement into action.

40. The evaluation team attempted to reconstruct a basic logic model for both policy documents (see illustration 2). It is based on document analysis and interviews with staff involved in drafting and/or implementing the policies. The purpose of this reconstructed logic model is to inform the evaluation’s design. It therefore focuses on explaining the main causal pathways. Reconstructing a more complete theory of change, outlining specific assumptions and detailed causal mechanisms, was not possible based on available information. The proposed evaluation approach is therefore not to test assumptions and trace specific causal links or to assess WFP practice against a pre-defined list of policy implementation measures, but to enquire in an open ended way what factors and policy implementation measures are seen as most important for enabling decisions appropriately based on humanitarian principles, as well as effective access negotiations.

Illustration 2: Logic model



Source: Evaluation team

41. The logic model assumes that the policies serve two main objectives: To ensure that humanitarian action is, as far as possible, in accordance with the humanitarian principles, and to improve WFP’s access to people in need.

42. To achieve these objectives, the logic model assumes that certain measures are necessary to implement the policies. Implementation measures can include the

following types of measures – please see Annex 4 for a more detailed overview of implementation measures:

- Expressing management support for the policies and/or creating relevant fora or institutions to support implementation and follow-up;
- Operationalizing the policies through guidance and information products (e.g. guidance documents on enabling access);
- Creating or adapting relevant tools or processes (e.g. including the principles in needs assessment tools);
- Ensuring WFP has adequate skills and capacities for implementing the policies, for example through trainings, the hiring of experts, or changes to WFP’s staff performance management system;
- Ensuring WFP’s cooperating partners know of and adhere to the policies, for example by reflecting policy content in agreements or briefings, including partners in trainings, or changing the criteria and processes for partner selection;
- Influencing relevant inter-agency processes.

43. These implementation measures are intended to have several direct effects. First and foremost, they are intended to affect the knowledge, awareness, and skills of WFP’s employees and its cooperating partners. Improved knowledge, awareness, and skills, in turn, are expected to have a positive effect on behavior and actions. Improved actions and behavior are intended to contribute to the policy objectives of ensuring that humanitarian action is in accordance with the humanitarian principles and improving WFP’s access to people in need. They are also meant to bolster WFP’s reputation as a principled actor, which can in turn increase the organization’s access.

2.4. Stakeholder analysis

44. Humanitarian principles and access are not only central to WFP’s work, but also politically and operationally highly sensitive. The planned evaluation and its learning component are therefore relevant for a large number of different stakeholder groups. Annex 5 provides an overview of these stakeholder groups, identifies how the evaluation affects them and outlines how they will be involved. It is based on a stakeholder matrix analysis (influence / interest).

45. Key internal and external evaluation stakeholders are represented in two evaluation reference groups. The internal reference group includes WFP Executive Management, representatives of the different sections in headquarters (incl. the Logistics and Food Security Cluster), the liaison offices in New York and Geneva, as well as regional directors and relevant country office representatives. The external reference group includes representatives of the ICRC, OCHA, UNHCR, UNICEF, WHO, and NRC, as well as an independent evaluation specialist. Both groups will be briefed and consulted at critical points of the evaluation, and invited to comment on all evaluation outputs.

3. Evaluation Approach and Methods

46. As mentioned in section 1.1. above, the approach for this evaluation includes a policy evaluation that – in addition to creating accountability and including the regular learning elements of a policy evaluation – includes a strictly confidential, internal learning component. This chapter introduces the guiding questions, describes the scope and outputs, and details the methods that will be employed for the evaluation and the internal learning component. The terms of reference discuss the delineation between this evaluation and the protection policy evaluation (Annex 18).

3.1. Guiding questions

47. The evaluation will be guided by the following questions (see Annex 6 for an evaluation matrix, showing how each of these questions will be assessed and what data sources will be used). Findings relating to these questions will be reported in the evaluation reports:

EQ 1: What is the quality of the policies and associated guidance?

- 1.1. To what extent are the policies clear, coherent and consistent, including with other policies and WFP's broader legal and normative frameworks?
- 1.2. Do the policies and related implementation measures adequately identify and address potential tensions and trade-offs between humanitarian principles or between principles and access?
- 1.3. How do the policies and implementation measures compare to those of other humanitarian organizations (UN and international NGOs)?
- 1.4. How relevant are the policies in a changing global context?
- 1.5. Was the design of the policy documents informed by adequate research and analysis, to the extent relevant?
- 1.6. Has WFP defined a relevant set of measures to implement the policies, to the extent relevant? (e.g. relating to institutions, guidance, tools, processes, capacity strengthening, inter-agency processes)

EQ 2: Where does WFP currently stand regarding humanitarian principles and access?

- 2.1. To what extent do WFP's operations and advocacy efforts as a whole reflect the core humanitarian principles?
- 2.2. What is WFP's current level of access in countries experiencing challenges relating to access?
- 2.3. How do employees, partners, donors, host governments, and affected populations perceive WFP's implementation of the humanitarian principles and its comparative level of access (compared to other organizations)?
- 2.4. Are the policies well known and understood by WFP employees and cooperating partners?
- 2.5. To what extent do employees of WFP and cooperating partners feel enabled to deal with potential tensions or trade-offs between the principles and have the necessary skills for negotiating principled access?
- 2.6. Have the policies had any unintended effects, for example on persons of concern, partners, and the collective humanitarian response?

EQ 3: What are the most important enablers and constraints?

- 3.1. Which internal and external factors are most important and how do they enable or constrain:
 - a) WFP's ability to negotiate access
 - b) Cooperating partners' ability to negotiate access
 - c) WFP's capability to act according to the humanitarian principles

d) Cooperating partners' capability to act according to the humanitarian principles

3.2. What measures has WFP implemented to strengthen the most important enablers and address constraints and how effective have these measures been?

48. While the evaluation will thus explore the quality and results of the policies, as well as what WFP has or has not done to address the most important enablers and constraints in detail, it will not assess any individual or country-specific access negotiations or decisions relating to humanitarian principles and/or access.

49. The confidential, internal **learning component** will address as additional questions what dilemmas individuals encountered during access negotiations or in decisions relating to humanitarian principles and/or access; how they dealt with these dilemmas; and how they would assess these negotiations or decisions in retrospect. Findings related to these additional questions will remain strictly confidential and will not be included in the evaluation reports (see section 3.4. for a more detailed discussion about confidentiality measures).

3.2. Outputs

50. The policy evaluation will generate the following main outputs:

- Inception report;
- Progress updates for the Executive Board;
- Stakeholder workshops in Rome;
- Evaluation report (full and short versions), including a global context analysis.

51. The confidential, internal learning component will generate the following additional outputs:

- Extended, strictly confidential learning interviews with individuals negotiating access or taking decisions relating to humanitarian principles and/or access;
- Restricted access, internal knowledge database of decontextualized and anonymized negotiation and decision-making cases;
- Confidential peer-learning workshops;
- Decontextualized thematic briefs on relevant topics identified through the evaluation and learning interviews, including a 'chapeau' situating the themes in a broader global context analysis.

3.3. Scope

52. **Geographic scope:** A detailed analysis of humanitarian principles and access conditions in any specific country could put communities, humanitarian workers, and the operations of WFP and its cooperating partners at risk. This evaluation will therefore not conduct specific country case studies. Instead, all emergency contexts in which WFP faces challenges regarding humanitarian principles and / or access are considered relevant.

- The staff, cooperating partner, and external stakeholder surveys will be conducted in all 65 countries in which WFP currently has humanitarian operations (see paragraph 71 below).
- The quantitative analysis of WFP's coverage and the correlation to various explanatory factors will focus on 23 countries in which WFP currently experiences significant access constraints. The following operations were identified as relevant through an analysis of WFP's operations world-wide and

the interviews conducted for the scoping and inception phases: (1) Afghanistan; (2) Bangladesh; (3) Cameroon; (4) Central African Republic; (5) Chad; (6) Colombia; (7) Democratic Republic of the Congo; (8) Iraq; (9) Libya; (10) Mali; (11) Myanmar; (12) Niger; (13) Nigeria; (14) Pakistan; (15) Philippines; (16) Somalia; (17) South Sudan; (18) Sri Lanka; (19) State of Palestine; (20) Sudan; (21) Syria; (22) Ukraine; (23) Yemen.

- Field visits will focus contexts experiencing challenges relating to both access and humanitarian principles in order to focus on the contexts with the most complex challenges and in order to enable as many face-to-face interactions with individuals dealing with issues relating to access and/or humanitarian principles as possible. In consultation with OEV, the Advisory Group and Operational Cell on Access, as well as some WFP regional and country directors, the team proposes to visit operations in the Democratic Republic of Congo, Mali, Myanmar, Bangladesh, Yemen, Somalia, and Iraq, as well as the regional hubs of Amman, Bangkok, Dakar, Nairobi, and Djibouti. See also Annex 7 for the detailed timeline and Annex 8 for the proposed schedule of visits and draft field work agenda.
- In addition to field visits, the team will, as far as possible, use opportunities such as workshops or other meetings at which many relevant actors convene in the same location to enable more in-person meetings and complement in-person meetings with evaluation interviews conducted via skype.

53. **Temporal scope:** The evaluation reference period is between 2004, when the statement on humanitarian principles was adopted, and 2017. The evaluation will focus on the present situation, as well as the recent past (i.e. the past three to five years) due to challenges in accessing historical data and due to an expected limited institutional memory. The learning component is expected to also include more historical negotiation and decision-making cases (2004-2017), depending on what cases participants choose to focus on.

3.4. Ethical considerations, confidentiality and information security

54. In developing the approach and methods to conduct this evaluation, the evaluation team has placed close attention to ethical considerations in line with UNEG guidance and the principles of ‘do no harm’. Specific measures are detailed below. Should issues arise during the evaluation process that are beyond its scope but warrant management attention, these will be dealt with through the existing WFP channels.

General confidentiality measures

55. As elaborated above, information about access negotiations and decisions based on the humanitarian principles is highly sensitive. To enable the evaluation to gain access to relevant information, special confidentiality and information security measures are necessary to ensure the trust of the respondents in the interview process.

56. The team will explain confidentiality and data protection measures and seek the informed consent of each interviewee through an introductory opt-in/opt-out question (see Annex 9). Interview subjects will also be given the option to suspend the interview, or opt-out of specific questions for any reason they feel necessary.

57. General evaluation interviews will be considered “on the record, but not for attribution,” meaning specific individuals will not be named against their opinions and quotes, but with their permission will be listed as interview subjects in the evaluation reports. Any key informant interviewee wishing to remain anonymous for security or other reasons will be offered the opportunity to be included as “No Name / NN” in the

list of interviewees. All surveys, including the online survey of WFP employees and cooperating partners, as well as the affected population surveys implemented as automated phone surveys, will also be done anonymously. Results will only be made public in the aggregate.

58. The evaluation team will keep written, digital records of in-person evaluation interviews to ensure accuracy and enable systematic analysis. Notes will not, however, be shared outside the five-person evaluation team, and will be kept secure in an encrypted folder, only accessible by the five-person team.

59. For evaluation interviews with key stakeholders that cannot be conducted in-person, the evaluation team will offer skype-to-skype interviews to potential interviewees. Skype is preferred to the ordinary phone network because skype-to-skype voice or video calls are encrypted.

Specific strict confidentiality measures for learning interviews

60. Beyond the above protocols, the learning interviews will involve additional, strict confidentiality measures. The names of interviewees will be stored separately from the interview transcript, and all interview transcripts will be number-coded. Interview notes will be written up electronically in situ (not handwritten) and immediately stored in an encrypted folder accessible only by the team member conducting the learning interview in question.

61. Following the interviews, short, decontextualized, and anonymized write-ups of each negotiation or decision case will be created. Already during the conversation, the interviewer will explore what information the interviewee feels can and cannot be included in the write-up. Interviewees will then be asked to authorize the draft write-up - which will be shared as an encrypted file - and only authorized information will be included. A consent form will be utilized to establish consent for the interview and for the final write-up (see Annex 9). The evaluation team will transfer authority over the write-ups (after they have been authorized by the interviewees) to WFP's Emergencies and Transitions Unit (OSZPH), which will maintain a protected, internal database on Teamworks and authorize access to the write-ups to a restricted group of WFP staff.⁶⁸ Since learning interviews will take place only after the evaluation report has been finalized, no information disclosed through the learning interviews will be used in the evaluation report.

62. Where the interviewee would feel more comfortable speaking through an interpreter, he or she will be encouraged to bring a translator of their confidence. The translator will have to sign a confidentiality protocol, which requires that no information discussed during the interview is discussed outside the interview room (see Annex 9).

3.5. Consideration of gender and other factors of marginalization

63. The evaluation will address questions relating to gender and other factors of exclusion or marginalization at several levels:

- The policy quality analysis will assess to what extent the various policies and normative frameworks are coherent and consistent and explore what synergies exist between policies relating to gender and other factors of marginalization and the policies on access and humanitarian principles; as well as what tensions exist and how they are dealt with.

⁶⁸ To be determined with WFP OEV and OSZPH. The evaluation team suggests authorizing access to the write-ups for heads of country and regional offices, regional humanitarian advisers, senior management, members of the director-level access group, and the access cell.

- The assessment of WFP’s current level of access, as well as of the impartiality of the assistance it provides will seek to establish whether there are any systematic differences in coverage relating to gender and other relevant social groups such as age, disability, or minority status and therefore limitations to WFP’s ability to deliver on its own and on system-wide gender objectives. The ability to implement this analysis will depend on the availability of disaggregated data from WFP.
- The analysis of WFP’s adherence to the principle of neutrality will explore whether there are any tensions between WFP’s women’s equality and empowerment agenda⁶⁹ and neutrality in practice.
- As far as possible, the team will seek to involve men and women in equal proportion in surveys, interviews, and peer-learning workshops. Since the planned phone-based perception surveys with affected populations are anticipated to have a gender bias (typically receiving a significantly lower number of responses by female respondents), targets for the overall number of respondents will be set at a level high enough to ensure that the sample includes a representative number of female respondents. The team will analyze male and female responses separately and weigh both groups equally.
- All data gathering instruments will record the respondents’ sex, so that potential differences between different groups of respondents can be identified. For example, this will allow for an analysis on whether or not female and male respondents set different priorities on what are the most important factors enabling and constraining the ability of WFP’s employees and partners to negotiate effectively for access and/or take decisions that are appropriately based on the humanitarian principles.

3.6. Evaluation data gathering methods and instruments

64. The evaluation will employ both qualitative and quantitative methods and instruments to gather and analyze data in order to provide answers to the evaluation questions listed above. The evaluation will start with a desk-based context analysis and a comparative policy analysis. An initial field visit to Amman was conducted in May to test interview approaches and data gathering instruments, and gather a first set of data relating to the questions guiding this evaluation. Data of this visit, as well as a second field visit in June 2017 will enable the team to identify a preliminary list of factors considered as priorities for enabling access negotiations and appropriate decision based on the humanitarian principles. The team will carry out additional research on these factors at headquarters level between July and August 2017.

65. Surveys and the media analysis will be tested and rolled out between May and August 2017 so that a preliminary analysis of findings can take place before the second round of field visits between September and October 2017. These field visits will allow triangulating earlier findings and exploring priority themes emerging from the early phase of the research in more depth.

⁶⁹ WFP’s current gender policy (2015) explicitly defines the scope of the gender policy as including gender equality and women’s empowerment: “This policy defines WFP’s goals, objectives and operational strategy for the gender equality and women’s empowerment that will help end global poverty and hunger.” (§1)

3.6.1. Key informant evaluation interviews

66. The evaluation team will conduct semi-structured key informant evaluation interviews with the following stakeholder groups (approximate number of interviewees indicated in brackets):

- WFP employees at global (~20), regional (~3-5 per region), and country level (~10-20 per country visited);
- Cooperating partner staff at global (~10), regional (~3-5 per region), and country level (~10-20 per country visited);
- Representatives of other humanitarian organizations: UN, ICRC, NGOs at global (~8), regional (~2-3 per region), and country level (~3-5 per country visited);
- Donor representatives at global (~5-10) and country level (~2-3 per country visited);
- Government officials of countries where the evaluation team conducts visits (~2 per country visited, depending on availability);
- (Academic) experts on humanitarian principles and access (~10);
- In addition, the evaluation team will explore with WFP country directors whether it might be possible to conduct interviews with representatives of non-state armed groups.

67. Where the evaluation team has to select a subset of organizations, or a subset of staff sharing the same functional responsibilities, the selection will be based on diversity considerations (adequate representation of male and female interviewees, adequate mix of national backgrounds, UN and NGO backgrounds). The evaluation team will discuss the interviewee list with WFP, and would also highly appreciate WFP's support to obtain the contact details.

68. The interviews will be guided by the evaluation questions and related indicators as laid out in the evaluation matrix (Annex 6), following semi-structured interview guides. Draft interview guides are included in Annex 10. They were piloted during the first field visits and adapted accordingly.

69. To analyze interview data, the team will rely on a descriptive and interpretative approach, focusing on thematic content analysis. The evaluation team will interpret interview results jointly and in an iterative manner. Following each field research phase, the three researchers conducting evaluation interviews will read all evaluation interview notes and jointly identify main findings, as well as issues requiring further research. Interview data will be coded for certain, select questions, namely for the factors enabling or hindering effective access negotiations and appropriate decisions based on humanitarian principles.

3.6.2. Surveys

70. The evaluation team will conduct online surveys with WFP employees, cooperating partners, and with external stakeholders. The staff and cooperating partner surveys will explore the level of understanding of the humanitarian principles and access, capture perceptions of how well WFP handles decisions relating to principles and access, factors enabling or hindering good decisions, as well as a network analysis to identify who influences related decisions.⁷⁰ The external

⁷⁰ The network analysis requires participants to state their full name and location. To protect the anonymity of survey responses, the network analysis will therefore be conducted in a separate survey. For details, see Annex 11.

stakeholder survey will assess WFP's reputation with regards to humanitarian principles among other humanitarian partners, UN entities, and donors, and explore perceptions of joint access negotiation efforts. The draft survey for WFP staff, as well as a preview link to all surveys, can be found in Annex 11. The staff survey was tested during the first field mission. All surveys will be piloted and adapted before being rolled out between June and August 2017.

71. The surveys will be administered by the evaluation team. They will be sent to WFP employees and cooperating partners working in all countries in which WFP currently has humanitarian (i.e. emergency or protracted relief and recovery) operations. Please see Annex 12 for the full list of relevant countries. The team will ask WFP country offices for contact lists of staff, partners, and donors, and complement the external stakeholder lists with other available sources. Members of the external reference group will also be requested to share the survey with their staff in the relevant countries. Surveys will be made available in English, French, and Arabic and take approximately 10 minutes to complete. The surveys will take into account the 2015 Global Staff Survey results. The 2017 WFP Partnership Survey will be considered for the evaluation if results are available by November 2017.

72. To analyze survey data, the team will use relative frequency statistics and systematically compare responses across various types of respondents, e.g. male and female employees; long-terms and new employees; national and international staff; staff and consultants; WFP employees and partners; etc..

3.6.3. Affected population surveys

73. The perceptions of affected populations regarding WFP programming are important to assess whether assistance is impartially delivered and commensurate to the severity of needs. The evaluation will design and field a mobile telecoms survey for affected populations. The surveys will either be conducted using the Short Message System (SMS) available on mobile phones or using Interactive Voice Response (IVR), working with recorded voice messages. SMS surveys would be implemented by the provider GeoPoll. IVR surveys would be implemented by GeoPoll or another provider.

74. With well-established networks and partners in many relevant countries, GeoPoll is best placed among polling entities to deliver the desired response results for SMS surveys, and has a proven track-record of successful collaboration with the researchers and with WFP. GeoPoll will be able to run the survey via SMS over a two-week period in each country between May and July 2017.

75. The survey will be sent by SMS or IVR to a random sample of respondents in relevant geographical areas of the country. It is designed to elicit the respondents' familiarity with WFP, the quality of the assistance received, and perceptions of WFP's presence, responsiveness, coverage, impartiality, neutrality, and independence. The survey will take approximately three minutes to complete. Respondents will be offered a small monetary incentive (phone credits) to participate in the survey. A draft questionnaire is attached as Annex 13.

76. As part of the GeoPoll contract, the survey will be piloted (50 responses) to see if any modifications in the questionnaire will be needed. GeoPoll will also provide the translations for the questionnaires. In countries where multiple different languages and dialects are spoken, the survey will be in the "official" language or that which is most commonly shared across the different linguistic groups (e.g. French for DRC). How many countries the survey covers will depend on the modality chosen. If SMS questionnaires are used, the survey will be run in ten countries currently facing challenges regarding humanitarian principles and/or access in humanitarian contexts (see table 2). SMS surveys allow for the greatest response rate, given they are cheaper

to run and do not require constant connectivity. However, because they are text-based, they require literacy and skew to a more educated demographic. The use of SMS can also be complicated in countries using non-Latin scripts. IVR surveys enable individuals with poor or no literacy to be involved in the survey, but are costlier and would therefore require a significant reduction in the number of countries covered.

Table 2: Indicative country list for affected population surveys

SMS surveys	Potential additional IVR surveys
Burundi	Afghanistan
Colombia	Bangladesh
DRC - to be verified with GeoPoll	Ethiopia
Nigeria	Myanmar
Philippines	Sri Lanka

77. Although cell phone ownership and network coverage are not yet extensive enough in many of these countries to achieve perfect randomization of respondents through this method, target responses will nevertheless be set at 400 per country minimum, in order to achieve a significant sample size vis-à-vis the overall population (at 95% confidence, with a confidence interval of 5).

78. One drawback of remote telecoms surveys is that they tend to be gender imbalanced due to patterns of cell phone ownership and usage in many of the countries of interest. Both GeoPoll and mVAM report upwards of 60-70% male respondents for many surveys. However, remote surveying nevertheless allows for a wider geographical reach for hard-to-access populations that would not be logistically possible or affordable via in-person surveying. To limit the gender bias, the team has requested GeoPoll to monitor the gender balance of the incoming responses and intervene as necessary to ensure that women are adequately represented. This will be done by excluding some portion of male respondents at the initial identification phase of the survey and running the survey longer to capture more females' responses. This will need to be done carefully, as the survey does not want to achieve gender balance at the expense of geographical diversity (i.e. in the case where a large portion of female responses are coming from the capital city). The target will be as close to a 50/50 split as possible, but in the case of a 60/40 or greater imbalance (quite common in surveys in these contexts), this will be addressed by disaggregating men's and women's responses in the analysis. Results will also be triangulated against data received through WFP's feedback and complaints mechanisms.

3.6.4. Feedback & complaints data analysis

79. The analysis of data from WFP's complaint and feedback mechanisms aims at providing additional insight into WFP's reputation among recipient communities (and different groups within them) and recurrent issues relevant to principled action. The analysis of available complaint and feedback data thereby responds to several aspects of evaluation question 2.

80. Complaint and feedback data is not available centrally, but has to be requested from country offices. This evaluation will coordinate closely with the protection policy evaluation that will take the lead regarding the assessment of feedback and complaints systems and data to take advantage of synergies and limit the burden on country offices, cooperating partners, and affected populations. Thus, this evaluation will schedule its analysis of available feedback and complaints data after data gathering for the protection policy evaluation is complete and will request access to feedback data made available to the protection policy evaluation team.

81. Nevertheless, the possible depth and significance of such an analysis is difficult to anticipate at the current stage. It will likely be defined by three constraining factors. First, the general availability of feedback data is limited to those countries where a complaint and feedback mechanism exists (applies to at least 17 among the countries of interest, according to a global baseline survey by the Humanitarian Crises and Transitions Unit in 2015).⁷¹ Second, its accessibility depends on its individual setup (in-house vs. outsourced, level of maintenance, confidentiality regulations, and availability of raw and aggregate data). Third, the analysis of raw data will be limited to countries with local languages that are accessible to the team or that are translated into English, French, or Arabic (if necessary); summary reports will be analyzed for the remaining countries if available.

82. Provided that adequate data can be obtained, the analysis will focus on issues recurring across multiple country contexts (rather than more situation-specific issues) relevant to principled action, such as discrimination in food assistance, collaboration with parties to the conflict, or discontent with the handling of previous complaints. Since complaint and feedback mechanisms are themselves an important component of principled humanitarian action, the evaluation will also take into account the results of the assessment of such mechanisms conducted by the protection policy evaluation.

3.6.5. Potential interviews with affected populations

83. To provide further depth to the perceptions among affected populations, the evaluation team has been exploring possibilities for conducting face-to-face interviews with affected populations, in addition to the phone-based surveys and the analysis of feedback data discussed above. Questions relating to access and humanitarian principles can be politically highly sensitive and could expose participants to personal risks. No group discussions will therefore be organized for this evaluation. However, the team will explore with WFP's country directors for Mali and Myanmar or Bangladesh whether it would be possible and advisable to conduct face-to-face interviews with individual members of affected communities on these countries.

84. Should the country directors support this approach, the evaluation team will sub-contract local researchers to conduct the interviews. The original proposal and budget for conducting this evaluation did not include interviews with affected populations. Implementing the consultations would therefore be dependent on additional resources being made available by OEV.

3.6.6. Media analysis

85. Media citations of WFP could potentially prove useful as additional evidence of organizational intentions and external perceptions regarding access and principles. For instance, articles that speak favorably or unfavorably of WFP's ability to reach hard-to-access areas, or claims involving association with political actors or perceived partiality in delivery. Media scraping platforms such as Meltwater (a contractor of WFP) use Boolean keyword searches to gather relevant articles from global, national, and local media sources. Generally, such media analysis aims for broad analysis of tone (i.e. favorable or unfavorable). The team will use available reports from Meltwater and Carma and in addition run a limited, separate media analysis, adapting a media search tool by GDELT currently used by Humanitarian Outcomes.

3.6.7. Access and coverage analysis

86. The team will collect and analyze data on WFP's access and coverage, as well as on a range of factors that are assumed to influence access and coverage. The analysis

⁷¹ WFP, Accountability to Affected Populations in WFP Baseline Survey 2015, 2015

seeks (1) to determine the current level of WFP's access and coverage of need through a detailed mapping at provincial/district level in 23 countries, as far as possible based on available WFP data disaggregated by sex- and age, and (2) to provide a quantitative analysis of how various external factors contribute to constraining WFP's coverage of food assistance needs. It thereby responds to various aspects of evaluation questions 2 and 3.

87. WFP's coverage is defined as the percentage of people in need it is able to serve within a given geographical area. The analysis will be conducted for the 23 countries identified in section 3.3, contingent on data being available. Indicators will be assessed at provincial level for most countries and at district level for some countries, depending on the local logic of delimitation and the level of analysis used by WFP at country level.

88. The analysis is designed as a snapshot examination of WFP's access and coverage in these countries in the period between July and September 2016. There are three reasons for selecting a three-months period, (1) data is available on a quarterly basis for WFP's people in need assessment and number of beneficiaries covered in most countries; (2) it is necessary to ensure consistency in the measurement of factors that are bound to change over time (such as weather conditions and territorial control); and (3) the team seeks to limit data requests to country offices to a manageable minimum.

89. The major constraints in the data collection for the access and coverage analysis consist in the availability of data, the necessity of cooperation by various stakeholders, and the level of confidentiality of some of the data. In order to review data availability, external and internal sources for the various variables have been identified and examined in close cooperation with OEV. Annex 14 provides an overview of the required data, the respective sources, as well as the current status of data collection. A preliminary enquiry into what data is available centrally within WFP suggests that the team will have to rely on WFP country offices to provide data on critical issues. A draft data request form for country offices is therefore enclosed in Annex 15. To test the form and gather initial data, the data request has been submitted to WFP's office coordinating the regional response to the Syria crisis. Data requests will be sent to country offices in May 2017 together with an endorsement letter by senior WFP management, allowing for up to two months for follow-up and to compile the data before the team will clean and analyze the data in July-August 2017. To ensure that potentially sensitive data is protected, OEV will invite country offices to upload data to Teamworks. The evaluation team will subsequently communicate directly with country offices to follow-up on the request. To respect confidentiality, country offices will be requested to share aggregate or index data where possible. Any analysis of the data conducted as part of the evaluation will be restricted to aggregate and/or less sensitive data.

90. Strategies to analyze the collected data include both descriptive and inferential statistical methods. On a descriptive level, the extensive database will allow for a detailed mapping of both WFP coverage of food assistance needs in 23 countries and the presence/absence of multiple factors believed to be enabling or constraining humanitarian access and coverage. It should be noted that the analysis will be restricted to WFP data and will not provide comparative data with other organizations' access and coverage.

91. The descriptive mapping will be complemented by a multilevel regression analysis, provided that the collected data will have an acceptable level of completeness and reliability. If data provided by WFP is not complete and reliable enough, the team will only use the data for descriptive mapping. WFP coverage data will be used as the

dependent variable to be examined against various contextual factors to identify any significant relationships. While it is notoriously difficult to demonstrate casual relationships with observational data, the team will run regressions on a wide range of variables to explore potentially important correlations, and their relative impact on coverage. The structure of the data of interest suggests the use of a *multilevel* regression model, in order to include, in addition to the provincial level, variables that are present at country level (such as import restrictions or funding availability) without introducing potential bias by disaggregating such data to the provincial level. The precondition for the applicability of a multilevel design is that the assumed variance at country level is indeed statistically relevant. Whether the data meets this condition can be verified through intra-class correlation coefficients, which indicate the share of the overall variance that can be explained by variables at the macro level. In a second step, country-specific differences in the error terms have to be taken into consideration in order to determine the specific model suiting the data.

3.6.8. Literature and document review

92. The evaluation will include a review of relevant documents (e.g. policies, strategy documents, reports, workshop and meeting notes, previous related evaluations) and secondary literature on humanitarian principles, access and related issues.

3.6.9. Stakeholder workshop

93. The evaluation will include a global stakeholder workshop to discuss the evaluation's findings and recommendations in Rome. The workshop is tentatively scheduled for January or February 2018.

3.7. Methods for the learning component

94. The learning component will be implemented in close cooperation with WFP's Emergencies and Transitions unit (OSZPH), as well as the inter-divisional director-level advisory group on access and the operational cell on access. The learning component will start after the evaluation report has been finalized and accepted by OEV - expected for February/March 2018. Building on the approach developed by the Joint Center of Competence on Humanitarian Negotiation, the team will then conduct strictly confidential learning interviews with WFP employees involved in negotiating access and/or taking decisions relating to humanitarian principles. These negotiation or decision-making examples will be written up as anonymized and decontextualized case examples. Peer-learning workshops conducted in the period between June and September 2018 will use these case examples to facilitate peer learning and exchange. Decontextualized thematic briefs will develop priority topics for a broader audience.

3.7.1. Strictly confidential learning interviews

95. The team will conduct approximately 50 strictly confidential learning interviews with WFP negotiators and decision-makers. Participants will be identified using a network approach, starting with a small number of highly experienced negotiators in WFP. This first group will be asked to refer the team to other individuals with experience in decisions on access and the humanitarian principles. In addition to the referrals from the network, the team will also use evaluation interviews to identify suitable candidates. In total, the team strives for a balanced group of employees of various hierarchical positions; international and national employees; and employees engaged at country office, as well as sub-office level. The final list of participants in the confidential learning interviews likely includes:

- The small number of highly experienced access negotiators in WFP;

- A selection of WFP employees from program, protection, access, contracting, procurement, security and logistics units at national and sub-national level;
- Country Directors and heads of sub-offices, as well as staff involved in negotiating and/or taking relevant decisions at sub-national level where possible.

96. Opportunities for meeting with interviewees at accessible locations will be sought on an ongoing basis, including when staff are travelling to attend access meetings and related trainings in Rome or at regional level. The team will also seek to interview former or retired staff members, as well as current staff members with long-term experience in the organization.

97. Each interview will follow an interview template (see Annex 10) which will involve the interviewee selecting an important situation in which they were involved either in negotiating access or in making decisions that relate to humanitarian principles (and access), and reflect on the process from beginning to end. Interviews are envisaged to take approximately 3 hours in total, allowing time for general background and familiarity between the interviewer and the interview participant.

98. A summary of each interview will be written up as a decontextualized and anonymized negotiation or decision-making case to support institutional memory and serve as the basis for the peer-learning workshops. The content of each write-up needs to be authorized by the interviewee (see above under 3.2 Confidentiality measures and information security for more details). After authorization, the negotiation and decision-making cases will be stored in an internal database administered by the Policy and Programme Division (OSZ) on Teamworks, who will grant access to the database to a selected, internal audience.

3.7.2. Peer-learning workshops

99. As part of the learning component and in coordination with WFP's advisory group and operational cell on access and, as far as possible, the joint Centre of Competence on Humanitarian Negotiation, the team will facilitate peer-learning workshops for WFP employees involved in negotiations or decisions related to the humanitarian principles and/or access at the country and sub-national level. The goal of the peer-learning workshops is to provide a protected space where humanitarian workers can share their experiences and support each other based on a discussion of decontextualized and anonymized case examples. Discussions like this are expected to have an immediate learning effect and to contribute to a more consistent application of humanitarian principles and approach to access negotiations within the organization. If WFP staff feel this would be conducive to learning, the workshops could also involve representatives of partner organizations.

100. The exact format for the peer-learning workshops will be developed jointly with participants in the learning process to create a conducive environment for all involved to exchange sensitive information and learn from each other. The initial idea – subject to further discussion – is that 10-15 participants per region will convene for two days either in an easily accessible country of operation in the region or in the regional hub. The two days will be structured around different case examples of decisions involving the humanitarian principles and/or access negotiations. The participants will divide into smaller peer-learning sub-groups to discuss specific cases, drawing on their own, similar experiences, which can also be presented in a decontextualized way. It is expected that every case will take about one and a half hours, allocating enough time for in-depth discussion. Ideally, the confidential learning interviews and the peer learning format will be continued beyond the

evaluation period, for example as part of the activities of the operational cell on access and/or WFP's engagement in the Joint Centre of Competence on Humanitarian Negotiation.

3.7.3. Decontextualized thematic briefs

101. During the evaluation and learning interviews, the team, in cooperation with consulted stakeholders, will identify common priority issues that could benefit from further analysis. Up to six such issues will be selected and the team will draw on additional research, as well as anonymized and decontextualized information from the evaluation and learning process to produce short, practice-oriented thematic briefing notes on them in mid-2018. The briefing notes will be in the public domain. They will be made available to all participants in the learning process, as well as other interested parties. In close cooperation with OEV, the team will identify additional opportunities for disseminating these findings. Initial suggestions made by individuals consulted during the inception phase include events of the Joint Centre of Competence on Humanitarian Negotiation, the NRC-ALNAP community of practice on humanitarian principles, the IASC Reference Group on Humanitarian Principles, the humanitarian liaison working group in New York, and individual briefings to the organizations represented on the evaluation reference group.

3.8. Quality assurance

102. GPPi conforms to the United Nations Evaluation Group (UNEG) standards, the OECD/DAC quality standards and Evaluation Quality Proforma of the Active Learning Network for Accountability and Performance (ALNAP), of which GPPi is a member. We are committed to principles of quality, integrity and learning. WFP has developed an Evaluation Quality Assurance System (EQAS) based on the UNEG norms and standards and good practice of the international evaluation community (ALNAP and DAC). It sets out process maps with in-built steps for quality assurance and templates for evaluation products. It also includes checklists for feedback on quality for each of the evaluation products. EQAS will be systematically applied during the course of this evaluation and relevant documents have been provided to the evaluation team.

103. GPPi will apply its rigorous internal peer review practice to this policy evaluation and the learning component. For this evaluation, special arrangements will apply due to the sensitivity of the learning component. The anonymized, decontextualized negotiations and decision cases will not be reviewed by any other team member or peer reviewer until they have been authorized by the interviewee. After authorization, they will be reviewed by another member of the three-person team conducting the learning interviews (Julia Steets, Adele Harmer, and Claudia Meier), but not by an external peer reviewer.

104. All evaluation products and public outputs, including the evaluation reports and the thematic briefing papers, will be subject to normal peer review. GPPi non-resident fellow Urban Reichhold will act as a peer reviewer. Urban has first-hand experience applying principles and access in complex environments as a former ICRC delegate, worked on several projects related to access for ECHO as former GPPi staff member, and is currently conducting academic research on non-state armed groups. These products and public outputs will also be copy-edited by a professional native English speaking editor.

3.9. Risks and limitations

105. The terms of reference for this evaluation included a detailed analysis of risks and suggested mitigation measures, based on an analysis prepared during the scoping

exercise and evaluability assessment. The analysis remains valid, and the proposed design of the evaluation incorporates the suggested mitigation measures. WFP management and employees at headquarters, regional and country level consulted during the inception phase did not raise any concerns regarding the proposed approach, but strongly welcomed it and stated that they believed risks were well addressed.

106. Additional risks and limitations emphasized during the inception phase concern the availability of data and capacity of regional and country offices to support data collection and learning (see table 3).

Table 3: Risks and risk mitigation measures

Risk	Mitigation measures	Risk Rating										
<p>WFP is currently implementing the ‘integrated roadmap’, a significant internal reform process that has been given status equivalent to that of a level 3 emergency. Implementing the integrated roadmap will absorb significant capacities at all levels of the organization and may limit the ability of the team to visit regional bureaus and country operations either entirely or at the point in time that would be best for the evaluation. Country offices and their employees may also not be able to invest sufficient time in the learning interviews and workshops.</p>	<p>The evaluation team has started to and will continue to consult concerned regional and country directors to find suitable timeframes for country visits, avoiding overlap with the integrated roadmap processes.</p>	<table border="1"> <thead> <tr> <th colspan="2">Risk Rating</th> </tr> </thead> <tbody> <tr> <td>Frequency of mention</td> <td>Medium</td> </tr> <tr> <td>Impact</td> <td>High</td> </tr> <tr> <td>Likelihood</td> <td>High</td> </tr> <tr> <td>Ability to mitigate</td> <td>High</td> </tr> </tbody> </table>	Risk Rating		Frequency of mention	Medium	Impact	High	Likelihood	High	Ability to mitigate	High
Risk Rating												
Frequency of mention	Medium											
Impact	High											
Likelihood	High											
Ability to mitigate	High											
<p>During the first and second quarter of 2017, major staff reassignment is taking place within WFP. When country and field missions for the evaluation and the learning component take place, many relevant access negotiators and decision-makers are therefore likely to have recently left their positions.</p>	<p>The team will try to counter the effects of the reassignment by seeking location-independent opportunities for face-to-face meetings with relevant employees.</p>	<table border="1"> <thead> <tr> <th colspan="2">Risk Rating</th> </tr> </thead> <tbody> <tr> <td>Frequency of mention</td> <td>Medium</td> </tr> <tr> <td>Impact</td> <td>Medium</td> </tr> <tr> <td>Likelihood</td> <td>High</td> </tr> <tr> <td>Ability to mitigate</td> <td>High</td> </tr> </tbody> </table>	Risk Rating		Frequency of mention	Medium	Impact	Medium	Likelihood	High	Ability to mitigate	High
Risk Rating												
Frequency of mention	Medium											
Impact	Medium											
Likelihood	High											
Ability to mitigate	High											
<p>Important positions within WFP’s executive management are becoming vacant, including the position of the executive director and other senior positions. Incoming officials may not share the same level of buy-in and support for the evaluation and the learning component.</p>	<p>In close cooperation with OEV the team will offer briefings about the processes and, once available, emerging findings, to incoming senior managers.</p>	<table border="1"> <thead> <tr> <th colspan="2">Risk Rating</th> </tr> </thead> <tbody> <tr> <td>Frequency of mention</td> <td>Medium</td> </tr> <tr> <td>Impact</td> <td>Medium</td> </tr> <tr> <td>Likelihood</td> <td>High</td> </tr> <tr> <td>Ability to mitigate</td> <td>Medium</td> </tr> </tbody> </table>	Risk Rating		Frequency of mention	Medium	Impact	Medium	Likelihood	High	Ability to mitigate	Medium
Risk Rating												
Frequency of mention	Medium											
Impact	Medium											
Likelihood	High											
Ability to mitigate	Medium											

107. In addition to these risks, the evaluation faces the following limitations (see also the evaluation matrix in Annex 6):

- The ability of the team to implement a regression analysis will depend on the quantity and quality of data made available by WFP. The desk review and discussions during the inception phase indicated that the probability that sufficient data for the regression analysis will be made available is high.

However, if insufficient data or data of insufficient quality is made available, the regression analysis will not be conducted. Instead, the available data will be used for descriptive analysis and mapping.

- During the inception phase, only few consultations with WFP regional directors took place. It was therefore not possible to take all regional plans and priorities into account when designing the schedule of field visits. The team will seek to accommodate regional and country-specific preferences as much as possible when further refining or adapting the schedule of field visits.

108. None of the evaluation team members or the institutions they represent have a conflict of interest resulting from this evaluation.

4. Organization of the Evaluation

109. **Team composition.** The team consists of five evaluators: Julia Steets (GPPi, team leader), Claudia Meier (GPPi), Janika Spannagel (GPPi), Adele Harmer (Humanitarian Outcomes) and Abby Stoddard (Humanitarian Outcomes). The team will be supported by a senior academic adviser (Hugo Slim) who will provide inputs on humanitarian ethics and inform evaluation design, context, and interpretation of data; as well as a designated internal peer reviewer at GPPi (Urban Reichhold). The main responsibilities, work plans and related outputs of each team member are detailed in Annex 16.

5. Issues to be Agreed with OEV

110. All changes proposed through this inception report as compared to the evaluation's terms of reference and/or the initial proposal have been discussed and agreed with OEV.

111. There are different options for conducting affected population surveys via telephone: using SMS or IVR. As discussed jointly with WFP's VAM team and OEV, SMS surveys are possible in Burundi, Colombia, the Philippines, and Nigeria. In the Democratic Republic of Congo, there may be some issues related to the upcoming elections. The evaluation team will explore the current situation with GeoPoll and take a decision accordingly. For the remaining countries discussed in the relevant section, the evaluation team will explore alternative delivery options via IVR and cover as many contexts as possible within the given budget line.

112. In order to build on the lessons from the ICRC's Humanitarian Negotiations (HNx) project, the team would like to review the HNx questionnaires and protocols. To get access to those internal documents, WFP would need to send a request to the ICRC (Julie Billaud, with Claude Bruderlein in copy). We would like to discuss with OEV how to facilitate that request, ideally through OSZPH.

113. At the time of writing this inception report, information about additional opportunities for conducting face-to-face interviews, for example at the margins of relevant training events or missions of the Joint Centre of Competence and/or WFP's access cell, as well as information about planned events that would be suitable for disseminating outputs was not yet available. The team proposes to develop these plans in close cooperation with OEV when and as additional information becomes available.

Annexes

Annex 1: Overview of documents consulted

WFP Sources

Evaluation documents

WFP OEV, 2015, Evaluation Quality Assurance System (EQAS)
WFP, 2016, WFP Evaluation Policy 2016-2021
WFP OEV, 2017, Terms of Reference, Evaluation of Humanitarian Principles and Access in Humanitarian Contexts
Steets, Julia, 2016, Scoping Report and Evaluability Assessment for the Evaluation of WFP's Policies on Humanitarian Principles and Access in Humanitarian Contexts, GPPI.

Strategy documents

WFP, 2016, Corporate Results Framework
WFP, 2016, Financial Framework Review
WFP, 2016, Policy on Country Strategic Plans
WFP, 2016, Strategic Plan 2017-2021
WFP, Strategic Plan (2008-2013; 2014-2017; 2017-2021)
WFP, Strategic Results Framework (2008-2011; 2014-2017)
WFP, 2013-2016, Management Plans
WFP, 2015, Emergency and Transition Programming Framework

Policies

WFP, 2004, Humanitarian Principles
WFP, 2006, Humanitarian Access and its Implications for WFP
WFP, 2010, 2012, 2016, WFP's Role in the Humanitarian Assistance System & Updates
WFP, 2015, Enterprise Risk Management Policy.
WFP, 2011, Security Management Policy
WFP, 2010 & 2015, Anti-fraud and anti-corruption policy
WFP, 2012 & 2014, WFP Humanitarian Protection Policy & Update
WFP, 2013 & 2014, Peace-building Policy & Update
WFP, 2015, Gender Policy, 2015-2020

Access and Principles

WFP, 2000, Compilation of WFP Past Practice on Access
WFP, 2000, Consultation on Humanitarian Issues - Reaching People in Situations of Displacement
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WFP, 2016, Advisory Group on Access & Access Cell - Strategy & ToR & NFR
WFP, 2016, Access strategies and mapping reports (several documents)
WFP, 2016, Operational Guidance on Humanitarian Access (Draft)
WFP, 2016, Directive - Use of WFP Armoured Vehicles
WFP, 2004-2008, Protection Project & Case studies
WFP, 2009-2016, Protection Guidance
WFP, 2015, Security Risk Management (SRM) Manual
Various training, conference and workshop documents

Other WFP documents

WFP, 2016, Capacity Strengthening of NGOs
WFP, 2014, WFP Corporate Partnership Strategy (2014 -2017)
WFP, 2016, Mapping 2015 Partnerships at Country Office Level
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WFP, 2012-2016: Corporate Risk Registers, Global Risk Reports
Various MoUs, Field Level Agreement template and annexes
Different datasets (access, risk management, security)
WFP, 2016, WFP's Use of Multilateral Funding Fighting Hunger Worldwide 2015 Report

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Annex 2: Overview of stakeholders consulted

WFP

Abdulla, Amir. Deputy Executive Director
Acharya, Pushpa. Senior Programme Policy Officer, Global Food Security Cluster
Anderson, Stephen. CD Yemen
Arroyo, Cesar. Deputy Director OSC
Baalcke, Florian. Head of Security Analysis, RMQ
Bauer, Jean-Martin. Senior Programme Policy Officer (VAM), OSZAF
Bocci, Luigi. Security Officer, Afghanistan CO
Bogart, Brian. External Relations Officer, NYC
Brown, Denise. Director, Emergency Preparedness and Support Response Division (OSE)
Buratto, Francois. Chief, OSPF (commodity procurement)
Burrows, Sally. Deputy Director, OEV
Cook, Andrea. OEV Director
Dee, Matthew. Regional Supply Chain Coordinator, RBC
Defraye, Ann. Regional Humanitarian Advisor, RBN
Galli, Antonio. Access Focal point, Emergency Programme and Policy Unit (OSZPH)
Grudem, Sheila. Deputy Director, Emergency Preparedness and Support Response Division (OSE)
Guderian, Marika. Regional Humanitarian Advisor, RBD
Heines, Edith. Somalia Deputy Country Director
Hourihan, Colin. Head of Civil-Military Coordination, OSE
Howe, Paul. Chief, Emergency Programme and Policy Unit (OSZPH)
Husain, Arif. Chief Economist & Deputy Director of Program & Policy Division, OSZA
Karim, Ahmareen. Chief, RMPS
Kelley, Mark. Regional Security Officer, RBN
Korus, Agnes. Regional Humanitarian Advisor, RBB
Lander, Brian. Senior Liaison Officer, GVA
Lombardo, Nadine. Consultant Information Mgt & Reporting, OSEP
Lorentzen, Mick. Afghanistan Country Director
Luma, Joyce. South Sudan Country Director
Luvisotto, Sandra. Consultant, Access Security Advisor for TAC, Security, RMQ
Makhlouf, Omneya. Emergency Preparedness and Response Officer, RBC
McIlvenna, Matthew. Regional Programme Officer, RBN
Meygag, Abdirahman. Syria Deputy Country Director
Milisic, Zlatan. Deputy Director, Direct Implementation Programme Service, OSZP
Mortreuil, Auriane. Assistant to the RD, RBB
Nichelle, Tara. Consultant, RBC
Nieto, Anna. CO Yemen, Partnerships Officer
Nikoi, Chris. Regional Director, Johannesburg
Nyeko, Willy. Regional Security Officer, RBD
Opiyo, Francis. Regional EPR Officer
Paul, Jacqueline. Senior Gender Adviser, GEN
Pattugalan, Gina. External Relations Officer, New York
Prades, Lara. Info & Knowledge Management Officer, OSEP
ScalPELLI, Domenico. Myanmar Country Director
Skovbye, Rebecca. Programme Policy Officer (Protection), OSZPH
Vacca, Giovanna. Media Consultant, Communications Division, PGM
Vrbos, Domagoj. Info & Knowledge Management Officer, RMPS

External

Adam, Segolene. UNICEF, Chief of Emergency Programmes
Anderson, Gerald. Save the Children, Associate Vice President, Humanitarian Response
Barbelet, Veronique. ODI HPG, Research Fellow
Bonino, Francesca. UNHCR, Senior Evaluator
Boutant-Willm, Clémence. NRC, Humanitarian Principles Advisor
Brüderlein, Claude. Director, Centre of Competence for Humanitarian Negotiation
Buchanan-Smith, Margie. Independent, Senior Evaluator
Buffler, Aurelien. OCHA, Humanitarian Affairs Officer, OCHA
Eke, Ayda. UNICEF, Humanitarian Policy Specialist
Greve, Betsy. Director Evaluation, UNHCR
Krummacher, André. ACTED, Director of Operations
Labbé, Jérémie. ICRC, Head of Project 'Principles Guiding Humanitarian Action'
Luzot, Anne Claire. WHO, Chief Evaluation Officer
Maphosa, Thabani. World Vision International, Partnership Leader, Food Assistance
Munn, James. NRC, Director NRC Geneva
Perrin, Karen. OCHA, Policy Advice and Planning Section, OCHA
Robe, Nicolas. ACTED, Security Director

Annex 3: WFP's WHS commitments on humanitarian principles and access

The following commitments made by WFP at the World Humanitarian Summit⁷² relate to the humanitarian principles and access:

- WFP commits to lead and facilitate interagency analysis and early warning, share methodology and, while upholding humanitarian principles, reinforce its capacity to enable effective linkages between IASC early warning and information and analysis available to peace, human rights and development - including in support of analysis presented to the UN Security Council.
- WFP commits to work together with relevant partners, in alignment with commitments for humanitarian action outlined in the WHS "Peace Promise", across silos and at the peace-humanitarian-development nexus in addressing the drivers of violent conflict, delivering humanitarian assistance and developing institutions, resilience and capacities in a complementary and synergetic way in order to end humanitarian needs, in a context-specific manner that safeguards humanitarian principles.
- WFP commits to continue upholding the principles of humanity, impartiality, neutrality and independence in humanitarian action.
- WFP commits to enable principled, rapid and efficient response to humanitarian crises, including through common services that WFP manages, such as UNHAS and other logistical services.
- WFP commits to negotiate humanitarian access in accordance with the humanitarian principles.
- WFP commits to support impartial humanitarian actors' engagement with non-state armed groups for the purpose of negotiating humanitarian access, and their right to provide humanitarian assistance in areas controlled by non-state armed groups.
- WFP commits to work with humanitarian partners to share experience and build the capabilities of WFP staff to conduct effective humanitarian negotiations, including through supporting the foreseen Centre of Competence for Humanitarian Negotiations.
- WFP commits to work with national and international partners to extend access to education in emergencies, leveraging deep field footprint and operational reach at scale.

⁷² Accessed from: <http://www.agendaforhumanity.org/stakeholder/291>

Annex 4: Policy implementation measures

Management support and creation of fora or institutions

Principles and access

- General responsibility for the policies on humanitarian principles and humanitarian access lies with the policy and programme division (OSZPH)
- WFP did not avail any core funding to finance policy implementation measures when the policies were adopted. Instead, implementation and dissemination activities were funded through the protection project, a trust fund created for this purpose, and by relying on standby-partner support

Access

- An inter-divisional, director-level advisory group and an operational access cell were created at headquarters (HQ) (2015)
- Several country offices created access teams and developed access strategies
- Several regional bureaus have access groups and/or humanitarian advisors focusing on issues related to principles and access, and provide country offices with guidance, support missions and trainings
- A working group on situation and conflict analysis was created, but is no longer active (2016)
- WFP created a civil-military division to strengthen work on access after the adoption of the policy

Principles

- Country offices can elevate complex decisions relating to humanitarian principles to the regional bureau; which can consult executive management on the issue through the Strategic Task Force (in some cases supported by a dedicated analysis of dilemmas and options)

Guidance and information products

Access

- Operational guidance on access is available as a draft (access cell, OSZPH, 2017)
- Information products were created, e.g. a poster on legal principles relevant for access and an information brochure on the type of support available from the access advisory group and operational cell (access cell, OSZPH, 2016)
- A review of access practices was conducted, resulting in a compilation of best practice (2014). An earlier review in 2004 resulted in a book on humanitarian diplomacy (published by UNU)
- A position paper on divisional & field security approaches for humanitarian access is available as draft (Field Security Division (RMQ), 2016)
- The civil-military cooperation strategy of the logistics cluster includes a component on access (Deputy Executive Director, 2013)

Principles

- A section on humanitarian principles was included in the draft operational guidance on access
- A poster and pocket cards on humanitarian principles were developed (2016, access cell, OSZPH)
- A short document introducing the humanitarian principles was developed (2016, access cell, OSZPH)
- References to humanitarian principles were included in guidance and information on protection and accountability to affected people

Tools and processes

Access and principles

- A consultant was hired to support the development of guidance on situation and conflict analysis (2016)
- References to principles and access were included in WFP's advocacy framework (2016)

Training, hiring, peer-support, performance

Principles and access

- WFP has strengthened its capacity for security analysis, for example by hiring regional security analysts and designating focal points for security analysis / security risk management at country level and adapting recruitment criteria
- The humanitarian principles and access were included in other trainings, e.g. the protection training (2005 onwards); the Emergency Response Preparedness training (ERP) from 2005 until it was discontinued; and the online training that replaced the ERP.

- WFP has hired regional humanitarian advisors focusing on issues related to principles and access (2016 onward)
- The policy unit, and later the access cell, has been providing remote support to country offices to reflect principles and address access in their strategic planning
- Upon request from country offices, the policy unit trained cooperating partners and government on the humanitarian principles and access (from 2005 onwards), for example government officials in the south of Sudan, local partners in Myanmar, partners in Sri Lanka and different stakeholders in several locations in West Africa.

Access

- A training for access negotiations was developed with Harvard's Humanitarian Policy and Conflict Research (HPCR) department in 2006 and is being implemented; an access negotiation training is under development and is piloted in cooperation with UNICEF (access cell, OSZPH, 2016)
- Access elements were included in additional trainings, e.g. joint simulation exercise with UNICEF, the logistics training (LRT), and a component on conflict analysis in training for emergency reporting officers
- A Conference on Humanitarian Assistance in Conflict and Complex Emergencies was convened by WFP (including access and principled access) (2009)
- Access workshops were held at HQ and in selected country offices
- The access cell has served as a support function for regional bureaus and country offices, conducting country visits and advising country and regional offices in developing access strategies and addressing access issues (since 2015, access cell (OSZPH))
- The access cell has taken first steps to create a community of practice on access (2016, access cell (OSZPH))

Principles

- The protection training is considered highly relevant for humanitarian principles. Over 4.000 individuals have been trained (since 2005, OSZPH)
- The recently developed "learning journeys" include components on the humanitarian principles, including dilemmas they may create (OSZPH)
- The access training includes a session on humanitarian principles

Collaboration with and management of partners (cooperating partners, standby partners)

Principles and access

- WFP brought in standby partners from NRC, ProCap, and the Swiss Agency for Development and Cooperation to support its work on principles and access at the operational level (e.g. in DRC, Myanmar, Nairobi (regional role))

Access

- Partners have been involved in some access trainings, as well as some support missions by the access cell
- Global annual partnership consultations at times discuss relevant aspects, such as field security in 2015.

Principles

- The 2016 annual partnership consultation included a discussion on "development coherence and implications for humanitarian principles"
- The Field Level Agreement includes references to the humanitarian principles, and that the cooperating partner shall be guided by the SPHERE standards and the Red Cross/Red Crescent Code of Conduct.

Inter-agency processes

Access

- Engagement and advocacy with UNDSS at country level; plans for engagement at global level through the Inter-Agency Security Management Network (IASMN) in cooperation with UNHCR
- WFP participates in the Joint Centre of Competence on Humanitarian Negotiation with ICRC, UNHCR, MSF and the HD Centre (OSZPH, since 2016)
- WFP participates in the IASC reference group (formerly task team) on revitalizing principled action and used to co-lead the working group on corporate risk
- WFP participates in the bi-annual UN policy seminar on civil-military coordination

Annex 5: Stakeholders

Stakeholder group	Way the evaluation affects the stakeholder group	Involvement in the evaluation
WFP and cooperating partners		
WFP staff involved in decisions relating to humanitarian principles and/or in access negotiations (all levels)	<ul style="list-style-type: none"> • Potential operational and personal risk posed by the evaluation • Potential benefit from participating in the learning exercise • Significant time investment required • Evaluation depends on active participation and facilitation of this group • Evaluation could result in relevant changes to the policies and support measures 	<ul style="list-style-type: none"> • Consult when developing confidentiality arrangements • Consult when designing learning events • Confidential learning interviews • Peer-learning events
Cooperating partner staff involved in decisions relating to humanitarian principles and/or in access negotiations (all levels)	<ul style="list-style-type: none"> • Potential operational and reputational risk posed by the evaluation (incl. fear of legal or contractual consequences) • Evaluation could result in relevant changes to policies and support measures 	<ul style="list-style-type: none"> • Consult headquarters during inception phase • Involve in evaluation interviews and surveys • Present evaluation results and thematic briefing notes
Policy and Programme (OSZ) (incl. past members and staff members seconded to the Centre of Competence)	<ul style="list-style-type: none"> • Work is subject of the evaluation • Evaluation will generate recommendations on the policies and implementation measures • In charge of cooperation with the Centre of Competence 	<ul style="list-style-type: none"> • Consult during inception phase • Consultation for the design of the learning component • Interviews with current policy holders and past members • Participation in global stakeholder workshop • Participation in Reference Group
Divisions involved in the Director-Level Advisory Group on Access and the Access Cell (Policy & Programme (OSZ), Field Security (RMQ), Emergency Preparedness & Support Response (OSE), and Supply Chain Division (OSC)	<ul style="list-style-type: none"> • Work is subject of the evaluation • Potential inputs for the draft Operational Guidance on Humanitarian Access, as well as the work plan of the access cell 	<ul style="list-style-type: none"> • Consultation for design of the learning component • Participation in Reference Group • Interviews, data collection • Participation in global stakeholder workshop
WFP Executive Management	<ul style="list-style-type: none"> • Evaluation results can impact standing in the executive board • Accountable for work of different divisions, regions, countries • Responsible for evaluation management response 	<ul style="list-style-type: none"> • Consult during inception and update throughout the process • Participation in Reference Group • Global stakeholder workshop
WFP's Executive Board	<ul style="list-style-type: none"> • Accountability for key areas of WFP work • Risk of backlash from domestic audiences 	<ul style="list-style-type: none"> • Briefings on the evaluation • Receive and discuss evaluation reports
Office of Evaluation (OEV)	<ul style="list-style-type: none"> • Opportunities and risks of the new 	<ul style="list-style-type: none"> • Involved in all steps of the evaluation

	evaluation/learning approach on a highly sensitive issue	
Performance Management and Monitoring (RMP)	<ul style="list-style-type: none"> Responsible for consolidating and coordinating inputs to the management response 	<ul style="list-style-type: none"> Consulted on recommendations
Other WFP units: Gender Office, New York Office, Geneva Office, Ethics Office, Legal Office; oversight offices	<ul style="list-style-type: none"> Involved in WFP's work on access and principles 	<ul style="list-style-type: none"> Interview, part of the internal Reference Group Consulted on dissemination
External stakeholders		
Crisis-affected women, men, boys and girls with diverse social and economic status, age, and diversity profiles	<ul style="list-style-type: none"> Interest in improved access of WFP Interest in assistance being provided according to the humanitarian principles Indirect influence on access by advocating with non-state armed groups Key role in influencing the perception of WFP on principles and access Survey fatigue 	<ul style="list-style-type: none"> Affected population surveys Analysis of feedback data Possible additional results from the media analysis
Host government stakeholders	<ul style="list-style-type: none"> Risk of exposing negative practices Tension between state sovereignty and principles/access 	<ul style="list-style-type: none"> Interviews at country level
Non-state armed groups	<ul style="list-style-type: none"> Risk of exposing negative practices 	<ul style="list-style-type: none"> Secondary data from existing research (SAVE, AWSD, ODI, Geneva Call)
Diplomatic community, including donors to WFP programmes	<ul style="list-style-type: none"> Evaluation concerns accountability of major humanitarian agency Risk of backlash from domestic audiences 	<ul style="list-style-type: none"> Interviews at country level Survey
Centre of Competence on Humanitarian Negotiation	<ul style="list-style-type: none"> Results from the learning component can inform part of WFP's contribution to the Centre Risk of duplication between Centre's workshops and peer-learning workshops conducted as part of this evaluation 	<ul style="list-style-type: none"> Consult Centre of Competence on Humanitarian Negotiation on the design of the learning component Offer briefings on findings (e.g. on thematic briefs) to the Centre and its partners (to be agreed with OSZPH) Another member of the centre, UNHCR, will serve as a comparator (i.e. its policies and implementation measures for humanitarian principles and access will be analyzed to compare them to those of WFP) Participation of ICRC in the reference group
ERC, RC/HC, HCT, Other UN organizations (UNHCR, UNICEF, OCHA, FAO, UNDSS)	<ul style="list-style-type: none"> Collective reputation of UN organizations Possible peer pressure to also evaluate policies on principles and access 	<ul style="list-style-type: none"> Participation of UNHCR, UNICEF and OCHA in the external reference group UNICEF and UNHCR as comparator organization for

	<ul style="list-style-type: none"> • Learning from the evaluation findings about collaborative approaches to principles/access • Potentially relevant findings on role of UNDSS 	<p>the comparative policy analysis (tbc)</p> <ul style="list-style-type: none"> • Potential dissemination events in Geneva and New York as agreed with OEV • Interviews at country level • Survey
IASC	<ul style="list-style-type: none"> • Possible input to the discussions on principled humanitarian action 	<ul style="list-style-type: none"> • Participation of OCHA and NRC (co-chairs of the IASC reference group on principled action) in the reference group
Other humanitarian NGOs and Red Cross/Red Crescent movement	<ul style="list-style-type: none"> • Learning on methodology 	<ul style="list-style-type: none"> • NRC and Oxfam as comparator organization for the comparative policy analysis (tbc) • NRC and ICRC part of the external reference group • Country level interviews • Survey • Dissemination of thematic briefs
Academic community, evaluation community (incl. UNEG HEIG)	<ul style="list-style-type: none"> • Interest in the evaluation/learning approach and aggregate data 	<ul style="list-style-type: none"> • Interviews • Share thematic briefs • Possible presentation of the approach or results in collaboration with UNEG/HEIG (tbd) • Dissemination events

Annex 6: Evaluation matrix

Evaluation questions and sub-questions	Indicator / way to assess performance and related ALNAP/DAC criteria	Method / sources of information	Data availability, incl. potential limitations
1. What is the quality of the policies and associated guidance?			
<p>1.1. To what extent are the policies clear, coherent and consistent, including with other policies and WFP's broader legal and normative frameworks?</p> <p><i>a) Clarity of the policy</i> <i>b) Internal policy coherence</i> <i>c) Coherence between the two policies</i> <i>d) Coherence with other legal, policy and strategic frameworks</i></p>	<p># absence or existence and severity of conflicts or tensions within and between relevant policy, legal and normative documents</p> <p>(Coherence)</p>	<ul style="list-style-type: none"> • WFP policy and legal / normative documents • Interviews with WFP staff involved in drafting and/or implementing relevant policies • Interviews with WFP employees, cooperating partners and external stakeholders 	<p>Available</p>
<p>1.2. Do the policies and related implementation measures adequately identify and address potential tensions and trade-offs between humanitarian principles or between principles and access?</p>	<p># level of recognition of potential tensions and trade-offs # clarity of guidance on how to address potential tensions and trade-offs</p> <p>(Coherence)</p>	<ul style="list-style-type: none"> • WFP policy documents and documents related to implementation measures (e.g. strategies, work plans, training materials, communication materials) • Interviews with WFP staff involved in drafting and/or implementing the policies on humanitarian principles and access • Interviews with WFP employees, cooperating partners and external stakeholders 	<p>Available</p>
<p>1.3 How do the policies and implementation measures compare to those of other humanitarian organizations (UN and international NGOs)?</p>	<p>n/a (findings influence assessment of other questions)</p> <p>(Coherence)</p>	<ul style="list-style-type: none"> • Policy and policy implementation materials of comparator organizations (UNHCR, UNICEF, NRC) • Interviews with comparator organizations 	<p>Pending final agreement from UNHCR, UNICEF, NRC (who indicated general willingness during inception phase) and Oxfam (consultation pending)</p>
<p>1.4 How relevant are the policies in a changing global context?</p>	<p># number and importance of policy aspects that no longer seem</p>	<ul style="list-style-type: none"> • Literature review on changing global context conditions 	<p>Available</p>

	<p>relevant due to changing context conditions # importance of changing context conditions that are not yet reflected in the policy</p> <p>(Appropriateness, coherence)</p>	<ul style="list-style-type: none"> Interviews with humanitarian researchers 	
<p>1.5 Was the design of the policy documents informed by adequate research and analysis, to the extent relevant?</p>	<p># presence or absence of relevant research and analysis # level to which research and analysis demonstrably influenced policy design</p> <p>(Appropriateness, coherence)</p>	<ul style="list-style-type: none"> WFP policy documents Relevant research reports Interviews with drafters of the policies 	Available
<p>1.6 Has WFP defined a relevant set of measures to implement the policies, to the extent relevant? (e.g. relating to institutions, guidance, tools, processes, capacity strengthening, inter-agency processes)</p> <p>a) What implementation measures were foreseen? b) What other measures were defined afterwards? c) How relevant are the measures? d) How effective were the measures? e) How well were the implementation measures funded?</p>	<p># existence of defined implementation measures # relevance of implementation measures # effectiveness of implementation measures # adequacy of priorities given to different implementation measures # completeness of implementation measures # adequacy of resources provided for various implementation measures</p> <p>(Appropriateness, coherence)</p>	<ul style="list-style-type: none"> WFP policy documents and documents related to implementation measures Interviews with WFP staff involved in policy implementation Most important enabling and constraining factors identified by staff and partners in learning interviews, surveys and through quantitative analysis Analysis of funding for implementation measures 	Available, but there may be gaps for early implementation years because of staff turnover.
2. Where does WFP stand regarding humanitarian principles and access?			
<p>2.1. To what extent do WFP's operations and advocacy efforts as a whole reflect the core humanitarian principles?</p> <p>a) <i>Humanity</i> b) <i>Neutrality</i> c) <i>Impartiality</i> d) <i>Operational independence</i></p>	<p>Humanity⁷³ # extent to which WFP's coverage corresponds to needs # extent to which communities (and different groups within them) do or do not perceive WFP's assistance as respecting life, health and dignity</p>	<ul style="list-style-type: none"> Needs assessment data, disaggregated by sex and age where possible (Humanitarian Needs Overview, Integrated Phase Classification; WFP Vulnerability Analysis and Mapping) 	Available. Potential gaps in WFP coverage data at provincial and district level ⁷⁴

⁷³ Suggested indicators relating to humanitarian principles build on good practices outlined in UNEG (2016) *Reflecting Humanitarian Principles in Evaluation*, pp. 30-31.

⁷⁴ Inception interviews suggest that data should be available.

	<p># extent to which WFP engages in effective advocacy for access</p> <p>(Appropriateness, coherence, timeliness, impact)</p>	<ul style="list-style-type: none"> • Country strategic plans • WFP coverage data at provincial / district level (disaggregated, where possible) • Data on allocation of WFP's flexible funding • Affected population surveys • WFP community feedback data • Interviews with WFP employees, cooperating partners and external stakeholders 	
	<p>Neutrality</p> <p># number and severity of reports on active combatants receiving WFP food assistance</p> <p># statistical significance of predominant state control over territory as an explanatory variable for WFP's coverage</p> <p># degree to which WFP staff, partners and external stakeholder perceive WFP as neutral, disaggregated by sex</p> <p>(Coherence)</p>	<ul style="list-style-type: none"> • WFP press statements • Speeches and other communications (e.g. tweets) by members of WFP's senior management • Interviews with WFP employees, cooperating partners and external stakeholders • Surveys • Country strategic plans • Media analysis • Affected population surveys • Regression analysis for coverage 	<p>Available. Potential gaps in WFP coverage data at provincial and district level.</p> <p>Media analysis tools may not be sufficiently adaptable and results may therefore be of limited relevance (see section 3.8.)</p> <p>The quality and quantity of data provided by WFP may not be sufficient to allow for a regression analysis (see section 3.8.)</p>
	<p>Impartiality</p> <p># extent to which WFP's coverage corresponds to severity of needs, prioritizing the most vulnerable, disaggregated by sex and age</p> <p># level of corporate priority and investment in increasing access to all groups</p> <p># number and severity of complaints relating to impartiality, disaggregated by sex of the complainant where possible</p>	<p>As above (humanity), in addition:</p> <ul style="list-style-type: none"> • Funding analysis (policy implementation measures) 	<p>As above.</p>

	(Coherence, appropriateness, coverage)		
	<p>Operational independence: # number and severity of examples where WFP decisions were influenced by external interests # degree to which WFP staff, partners and external stakeholder perceive WFP as operationally independent, disaggregated by sex</p> <p>(Coherence)</p>	<ul style="list-style-type: none"> • Surveys • WFP community feedback data • Media analysis • Interviews with WFP employees, cooperating partners and external stakeholders 	<p>Available. Survey response rates may be limited. Only limited community feedback data may be available. See above for potential limitations of the media analysis.</p>
2.2. What is WFP's current level of access in countries experiencing challenges relating to access?	<p># degree of WFP's coverage of priority needs # presence of WFP staff and partner organizations in areas with high food security needs</p> <p>(Appropriateness, coverage, effectiveness)</p>	<ul style="list-style-type: none"> • Needs assessment data (sex- and age-disaggregated if possible) • WFP coverage data (sex- and age-disaggregated if possible) • WFP (and partner) presence data 	<p>Available. Potential gaps in WFP coverage data at provincial and district level (see above).</p>
2.3. How do staff, partners, donors, host governments and affected populations perceive WFP's implementation of the humanitarian principles and its comparative level of access (compared to other humanitarian organizations)?	<p># ratio of positive to negative perceptions per stakeholder group (including as compared to other humanitarian organizations)</p> <p>(Appropriateness, coordination)</p>	<ul style="list-style-type: none"> • Surveys of WFP staff, partners, donors, communities • WFP community feedback data • Media analysis • Interviews with staff, partners and host governments • Secondary data on non-state actor perceptions of WFP 	<p>Available, but potentially limited survey responses and inability to conduct surveys with non-state actors and host governments. See above on potential limitations of community feedback and media analysis. Only few secondary data on non-state actor perceptions may be available.</p>
2.4. Are the policies well known and understood by WFP staff and cooperating partners? a) Dissemination to staff and cooperating partners b) Awareness of the existence of the policies c) Understanding of the policy content	<p># share of relevant staff and partners who are aware of the policy on humanitarian principles # share of relevant staff and partners who understand the humanitarian principles # share of relevant staff and partners who are aware of the policy on access</p>	<ul style="list-style-type: none"> • Surveys of staff and partners (disaggregated by sex) • Interviews with staff, partners and external stakeholders 	<p>As above.</p>

	<p># share of relevant staff and partners who understand the policy on access # Level of priority participants in learning interviews accord to awareness and operationalization as a relevant enabling or hindering factor</p> <p>(Coherence, efficiency)</p>		
<p>2.5. To what extent do employees of WFP and cooperating partners feel enabled to deal with potential tensions or trade-offs between the principles and have the necessary skills for negotiating principled access?</p> <p><i>a) Self-assessment of capabilities and skills</i> <i>b) External perceptions of skills</i></p>	<p># share of relevant WFP employees who feel enabled and believe they have the necessary skills to apply the humanitarian principles # share of relevant WFP employees who feel enabled and believe they have the necessary skills to negotiate access # share of partners and external stakeholders who believe WFP employees have the necessary skills to apply the humanitarian principles # share of partners and external stakeholders who believe WFP employees have the necessary skills to negotiate access # level of priority participants in learning interviews accord to skills as a relevant enabling or hindering factor</p> <p>(Coherence, efficiency)</p>	<ul style="list-style-type: none"> • Surveys of WFP employees and cooperating partners • Interviews with WFP employees, cooperating partners and external stakeholders 	Available.
<p>2.6. Have the policies had any unintended effects, for example on persons of concern, partners and the collective humanitarian response?</p> <p><i>a) Positive effects</i> <i>b) Negative effects</i></p>	<p>n/a</p> <p>(Effectiveness, coherence)</p>	<ul style="list-style-type: none"> • Interviews with WFP and cooperating partner staff • Interviews with external partners and donors 	Available.

3. What are the most important enablers and constraints?			
<p>3.1. Which internal and external factors are most important and how do they enable or constrain:</p> <p>a) WFP's ability to negotiate access b) Cooperating partners' ability to negotiate access c) WFP's capability to act according to the humanitarian principles d) Cooperating partners' capability to act according to the humanitarian principles</p> <ul style="list-style-type: none"> • <i>Internal factors include, for example: capacities, contracts, systems, processes, incentives, type of programmes, transfer modalities, security arrangements, risks management strategies, etc.</i> • <i>External factors include, for example: country context, counterterrorism clauses, partnership agreements, coordination among aid agencies, etc.</i> 	<p># top 3-5 enablers # top 3-5 constraints</p> <p>(Coherence, effectiveness, impact, coordination)</p>	<ul style="list-style-type: none"> • Aggregated and decontextualized data on factors and priorities from learning interviews • WFP staff and cooperating partner surveys, external stakeholder surveys. • Staff and partner interviews • Regression analysis on correlation between different factors and WFP's coverage • Literature review to identify hypotheses 	<p>Available, but potentially limited survey responses (see above) and potential limitations on regression analysis (see above)</p>
<p>3.2. What measures has WFP implemented to strengthen the most important enablers and address constraints and how effective have these measures been?</p> <p>a) <i>Measures to address constraints</i> b) <i>Measure to strengthen enablers</i> c) <i>Effectiveness of the measures</i></p>	<p># number of most important enablers and constraints that have corresponding WFP policy implementation measures # number of WFP policy implementation measures addressing most important enablers and constraints # effectiveness rating of these measures by WFP staff and partners</p> <p>(Coherence, efficiency)</p>	<ul style="list-style-type: none"> • WFP documents relating to policy implementation measures • WFP staff and cooperating partner interviews 	<p>Available.</p>

Annex 7: Detailed timeline

	2017												2018										
	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11
Inception phase																							
Desk review																							
Inception consultations																							
OEV review of 0-draft of inception report																							
Review of 1-draft by internal and external reference group																							
Final inception report																							
Progress briefing to the Executive Board																							
Evaluation field visits																							
<i>First round of evaluation field visits</i>																							
Amman																							
Dakar																							
Democratic Republic of Congo (Goma, Bunia, Bukavu)																							
<i>Second round of evaluation field visits</i>																							
Mali																							
Myanmar (Yangon, Rakhine state)																							
Bangladesh (Cox' Bazar)																							
Bangkok																							
Yemen (Sana'a)																							
Djibouti																							
Nairobi																							
Somalia (Mogadishu, Puntland)																							
Iraq																							
Other evaluation implementation activities																							
Comparative policy analysis																							
Context analysis																							
Collection and analysis of quantitative data																							
Remote interviews																							
Surveys with staff, partners and external stakeholders																							
Media analysis																							
Affected population surveys																							
Analysis of available affected population feedback data																							
Research on priority enablers and constraints																							
Reporting & dissemination																							
Team reflection with input from senior academics																							
Evaluation report writing																							
OEV review of 0-draft of evaluation report																							
Stakeholder workshops Rome, 1-draft report																							
External review of 2-draft																							
Final report and short evaluation report																							
Presentation to Executive Board																							
External dissemination of findings (with OEV and OSZPH)																							
Learning process																							
DRC (learning interviews)																							
Mali (learning interviews)																							
Iraq (learning interviews)																							
Amman (learning interviews)																							
Somalia (learning interviews)																							
Nairobi (learning interviews)																							
Writing (cases for database, thematic briefs)																							
Regional peer-learning workshop: Nairobi																							
Regional peer-learning workshop: Dakar																							
Regional peer-learning workshop: Amman																							
Regional peer-learning workshop: Bangkok																							

Annex 8: Schedule of visits and draft field work agenda

The team proposes the following schedule of field visits:

Visits	Timing	Rationale	Team members
Country visits for evaluation interviews			
Democratic Republic of Congo (RBJ) Goma, Bunia, Bukavu	Between June 12 th and June 20 th or June 25 th - July 4 th , 2017 (joint mission with protection policy evaluation) 8 days	Long-term presence of WFP (since 1973) Access restrictions due to security situation in conflict areas in Eastern DRC Suspension of operations in 2016 linked to abductions of humanitarian workers Protracted relief and recovery operation	Steets, Meier
Mali (RBD)	September 2017 10 days	Conflict and natural disaster (climate change). Security issues and very limited access of humanitarian actors to the Northern areas of the country. Emergency operation and protracted relief and recovery operation	Meier
Myanmar and Bangladesh (RBB) Yangon, Cox's Bazar, and Rakhine state	September 2017 9 days	Natural disasters, conflict and mixed humanitarian/development setting Challenges for access and humanitarian principles relating to the Rohingya response Protracted relief and recovery operation	Harmer
Yemen (RBC) Sana'a	September 2017 5 days	Acute L3 emergency Very serious and complex access constraints	Steets
Somalia (RBN) Mogadishu, Puntland	October 2017 8 days	Long-term complex emergency with serious access challenges Recurring famines, current threat of famine Integrated UN mission	Steets
Iraq (RBC)	October/November 2017 7 days	Complex emergency; L3 Long-term presence by WFP since 1991 Challenges to access and humanitarian principles due to insecurity, presence of a designated terrorist organisation and other agendas of donor governments. Complex actor landscape. Emergency operation and protracted relief and recovery operation	Harmer
Visits of regional hubs and headquarters			

Amman	May 1 st – 7 th , 2017 7 days	Presence of staff and partners working on Syria and Yemen Opportunity to conduct first interviews jointly	Harmer, Steets, Meier
Dakar	June 2017 5 days	Important regional access initiatives Potential presence of staff working on Nigeria, Mali and Lake Chad	Meier
Bangkok	September 2017 3 days	Regional hub for a variety of contexts, including Afghanistan, Pakistan, Myanmar, Bangladesh, and Nepal	Harmer
Djibouti	September 2017 3 days	Regional hub for Yemen	Steets
Nairobi	October 2017	Important regional stakeholders; Presence of staff and partners working on Somalia and potentially South Sudan	Steets
Rome	Tbc	To conduct evaluation interviews with global-level stakeholders	Steets, Meier
Presence at workshops / trainings			
Annual logistics and procurement meeting (and/or similar workshop/training opportunity), Rome	Tbc	Logistics and procurement staff with exposure to issues relating to humanitarian principles and/or access	Steets or Meier
Negotiation skills training, Rome	July or September 2017	Employees with experience in conducting access negotiations	Steets
Results workshop of the protection evaluation, Rome	Late September 2017	To ensure synergies with the protection evaluation, the team proposes to schedule interviews with Rome-based stakeholders around the protection evaluation results workshop	Steets, Meier
Learning interviews			
Democratic Republic of Congo	March-May 2018	Contexts representing diverse and severe principles/access challenges	Meier
Mali	March-May 2018	Contexts representing diverse and severe principles/access challenges	Meier
Iraq	March-May 2018	Contexts representing diverse and severe principles/access challenges	Harmer
Amman	March-May 2018	Contexts representing diverse and severe principles/access challenges	Harmer
Somalia	March-May 2018	Contexts representing diverse and severe principles/access challenges	Steets
Nairobi	March-May 2018	Contexts representing diverse and severe principles/access challenges	Steets
Peer-learning workshops			

Amman	June-September 2018	Easier to convene relevant stakeholders for Syria and Yemen in Amman than in Cairo	Harmer, Meier
Dakar	June-September 2018	Regional hub and RB	Steets, Meier
Bangkok	June-September 2018	Regional hub and RB	Harmer, Meier
Nairobi	June-September 2018	Regional hub and RB	Steets, Meier
Global briefings and workshops			
Progress briefing Executive Board	November 2017		Steets
Stakeholder workshop Rome	February 2018		Steets, Harmer, Meier, Spannagel
Other dissemination events	June-September 2018		Tbc

Below is a summary evaluation fieldwork agenda (applicable to all countries) for visits conducted by one team member (for two team member visits, the team will conduct interviews in parallel). The split between the days will vary depending on the availability of key staff. The team proposes to define the details for each country (e.g. the relevant NGO partners involved in principles/access) with the country director and OEV prior to each visit.

Duration of the visit: 4-5 days in the capital, 1-3 days in field location where possible:

Day 0 (arrival)
Day 1
Introductory meeting with the WFP country director
4 evaluation interviews (individual interviews) with relevant WFP staff (international and national staff from programmes, protection, access, procurement, communication, national staff, other staff as relevant)
Day 2
3 evaluation interviews with WFP staff (continued) 2 evaluation interviews with national and international cooperating partners (directors and/or staff implementing WFP programmes)
Day 3
5 evaluation interviews with cooperating partners (continued)
Day 4
2 evaluation interviews with government officials 1 interview with head of UNDSS 1 interview with logistics cluster coordinator 1 interview with UNHCR
Day 5
Travel to field location Several individual evaluation interviews with relevant subset of WFP staff, cooperating partners, and other humanitarian actors Travel back

Day 6
1 interview with UNICEF 1 interview with OCHA 1 interview with ICRC 1 interview with MSF 1 interview with other relevant stakeholders (context-specific)
Debrief with the WFP country director and relevant WFP team members (tbc)
Day 7 (departure)

Annex 9: Informed consent and confidentiality forms

a) Informed Consent Form

Learning Interviews on Humanitarian Principles and Access in Humanitarian Contexts

- Participants** Learning interviews involve WFP employees who are involved in negotiating access or who take part in decisions relating to the humanitarian principles.
- Purpose** The interviews aim to support reflection about the dilemmas and trade-offs negotiations or decisions can entail and how they are dealt with. An internal database of decontextualized and anonymized cases will be developed based on the interviews to strengthen institutional memory.
- Participation** Participation in the interview is voluntary. You are free to withdraw from the interview at any time and to refuse to answer any specific questions.
If you agree to participate, you will be asked to select an important situation in which you were involved either in negotiating access or in making decisions that relate to humanitarian principles and reflect on the process from beginning to end.
- Confidentiality** All information shared during the interview will be treated confidentially:
- Notes will be taken digitally and stored securely in an encrypted file.
 - Only the person conducting the interview will have access to the notes.
 - Your name will not be recorded in the notes.
- Write-up** The interviewer will prepare an anonymized and decontextualized summary of the case discussed. You will be required to authorize this draft. No information will be included in the draft that is not explicitly authorized by you. Nobody apart from the interviewer and you will see the draft before it is authorized. Once authorized, it will be stored in an internal database (on Teamworks) managed by WFP's policy and programme division and may be used as an abstract example in internal learning workshops.

I understand the nature of this learning exercise and agree to participate.

Participant signature _____

Print your name _____

Date _____

I agree to keep all information shared during the interview confidential as outlined above

Interviewer signature _____

Printed name _____

Date _____

b) Confidentiality Form for interpretation

Evaluation of WFPs Policies on Humanitarian Principles and Access in Humanitarian Contexts

Task Your task is to translate the questions of the interviewer, as well as the answers provided by the participants consecutively from English (French) to your local language and vice-versa to the best of your ability.

Confidentiality All information shared during the interview is confidential. You may not share any information discussed during the interview with anybody, including other WFP staff.

I understand the sensitive nature of this learning exercise and agree to maintain the strictest confidence with all information discussed during the interview.

Translator Signature _____

Translator name (print) _____

Date _____

Annex 10: Draft learning and evaluation interview guides

a) Draft guide for confidential learning interviews

All confidential learning interviews will be on a strict not-for-attribution basis. Interviewee names and affiliations will be recorded in a separate document. Interview notes will remain confidential. Notes will be taken electronically and stored on an encrypted file. Only the interviewer will have access to the encrypted file.

The interviewer will prepare an anonymized and decontextualized summary of the case discussed. You will be required to authorize this draft. No information will be included in the draft that is not explicitly authorized by you. Nobody apart from the interviewer and you will see the draft before it is authorized. Once authorized, it will be stored in an internal database (on Teamworks) managed by WFP's policy and programme division and may be used as an abstract example in internal learning workshops.

Each interview will take approximately 3 hours. Biographic data (sex, age, national or international staff) will be recorded to enable a disaggregated analysis.

Background

1. How long have you been working for WFP?
2. How long have you been working in this context?
3. What other countries have you worked in?
4. What are your responsibilities in this context?
5. What have been your responsibilities over the course of your career/working life?
6. Any other important background information?

Access negotiations or decision-making case

We'd like each interviewee to select an important situation in which they were involved either in negotiating access or in making decisions that relate to humanitarian principles and reflect on the process from beginning to end.

7. What was the context you were working in, and the timeframe?
8. At what level was the negotiation or decision taking place?
9. Who was involved?
10. What was WFP's role in the process? What was your role in the process?
11. What was being negotiated or decided?

For access negotiations:

12. Was it a direct or indirect negotiation (by engaging a third party (e.g. embassy, community elders)? And was it into a new area and/or besieged area/cross line?
13. Was there a strategy developed in advance of starting negotiations? Based on what analysis? Was it specific to the type of actor you were negotiating with?
14. Who did you negotiate with? And were there actors you didn't talk to? Why? And did that matter?
15. Did it involve any compromises or concessions that had to be made? Who was affected by the compromises and how?
16. How were decisions made? By whom?
17. What role did WFP's policies and/or your understanding of humanitarian principles and access play in the decision-making?
18. What was the result of the negotiation?
19. Was the case documented at all, and if so, how and where?

For decisions based on the humanitarian principles:

20. What courses of action were conceivable? Based on what analysis?
21. Who was involved in the decision?

22. Did it involve any compromises or concessions that had to be made? Who was affected by the compromises and how?
23. How were decisions made? By whom?
24. What role did WFP's policy and/or your understanding of humanitarian principles play in the decision-making?
25. What was the result of the decision?
26. Was the decision documented at all, and if so, how and where?

Reflections

27. In hindsight, and reflecting on what worked and why; and where it failed and why, how successful was the negotiation / decision-making process, and the outcome?
28. Were there aspects that were well founded and appropriate? Why?
29. What aspects were unclear or undecided about or problematic?
30. How did the negotiation / decision influence the humanitarian assistance that has been provided and protection measures? (scale, sector / activity, focus on assistance v. protection, transfer modality, partnerships, beneficiaries, etc.)
31. Would you or do you feel the organization would make the same decision again?

Learning events and thematic briefs

Explore with the interviewees preferences for the learning events, including the format, type of participants, venue, length etc. And explore topic ideas for the decontextualized thematic briefing papers.

b) Draft evaluation interview guide: WFP employees (country, regional)

Introduction (same for all)

This interview forms part of an Evaluation of WFP's Policies on Humanitarian Principles and Access in Humanitarian contexts. The interview will be on the record but not for attribution. Interview notes will remain confidential to the evaluation team.

The evaluation focuses on WFP's overall standing with respect to principles and access, on WFP's reputation, and on what measures WFP has and has not taken and should take to strengthen the capability of staff to take appropriate decisions based on humanitarian principles and to effectively negotiate humanitarian access.

The evaluation does not assess any individual decisions or negotiations and it does not include country case studies.

Any specific examples shared with the evaluation team will not be used in the report and will not be communicated to anybody in any way to protect aid recipients, operations, staff, and partners. Interviewees are free to opt out of answering any specific question, if they wish.

Following the evaluation, there will be a confidential, internal learning process.

(Each interview will be adapted to the individual's specific position and area of responsibility.)

Background

- 0) Background of the interviewee (gender, position, responsibilities, length of employment with WFP (in this context, which other contexts))

Access

- 1) How well do you know WFP's approach to access? Could you explain briefly what it is? Do you know the policy? Did you receive briefings / training or other targeted information on the policy? If respondent knows the policy document: How do you assess the policy (is it relevant, clear, coherent...)?
- 2) What is WFP's approach to facilitating and negotiating access?
 - How are negotiations strategies developed?
 - Do you personally play a role in negotiating or facilitating access? Who else is involved / how are responsibilities divided between different parts in WFP? Who makes the decisions?
 - Can you get support or advice from somewhere within WFP? Are there any important skills or capacities you or the office here are lacking?
 - Has WFP engaged in any public or private advocacy on access? What were the results? Has WFP's approach to advocacy been monitored over-time (in this context), and if so do you have any reflections on what has worked and what has not worked?
- 3) Has WFP been involved in inter-agency initiatives on access?
 - What is WFP's role? What other actors are usually involved? Is WFP playing the right role?
 - Are joint efforts successful? Why (not)?
 - What role do cooperating partners play when negotiating access?
 - Do you agree with others on common red lines or ground rules (e.g., requirements to use armed escorts)? What effect did those have? Can you give an example?
- 4) Are WFP and its partners able to operate in the areas with the highest needs in Syria / Yemen / Berm? Why, why not?
- 5) How does this compare to the level of access and ability to address highest needs of other organizations (UN; Red Cross, INGOs) - assuming similar levels of funding?

Humanitarian principles

- 6) How well do you know WFP's approach to humanitarian principles? Could you explain briefly what it is? Do you know the policy? Did you receive briefings / training or other targeted information on the policy?

- If respondent knows the policy document: How do you assess the policy (is it relevant, clear, coherent...)?
- 7) In your setting, does WFP engage in any public or private advocacy on the humanitarian principles? What were the results? Do you have a sense of what has worked or not worked in advocating for a principled response?
- 8) How do the humanitarian principles apply in your own work?
- Have you had any experience where you or your colleagues face a difficult trade-off when applying the humanitarian principles, particularly where it might not be possible to uphold each simultaneously? How severe/critical are the trade-offs usually?
 - What happens in such situations: Who is involved in the decision-making? Is there anybody / anything you can turn to for help or guidance? Are there any crucial skills / capacities you / the office is lacking? Is there any exchange / coordination with partners and other humanitarian actors?
 - With hindsight, how appropriate were the decisions that you have witnessed regarding managing the application of humanitarian principles? Why?
 - Which of the principles (humanity, neutrality, impartiality, independence) does WFP adhere to best in this setting? Why?
 - Which of the principles does it adhere to least? Why?
- 9) How does this compare to other humanitarian organizations - how would you rank (higher / similar / lower) WFP in terms of its adherence to the humanitarian principles compared to
- Other UN agencies? Why?
 - Compared to RC/RC? Why?
 - Compared to INGOS? Why?

Measures to strengthen principles / access internally

- 10) What have been the 2-3 most important things / measures / factors that help you implement the humanitarian principles appropriately in practice?
- How helpful / effective have these measures been? Why / why not?
- 11) What have been the 2-3 most important things / measures / factors that help you better negotiate access?
- How helpful / effective have these measures been? Why / why not?
 - *Prompts on policy implementation measures:*
 - 5- *Policy: What role did the policies play? (In case interviewee was already with WFP before 2004/2006: What changed with the introduction of the policy?)*
 - 6- *Management support: Do you receive adequate management support?*
 - 7- *Institutions and guidance: How are decisions made? From where do you receive guidance? Is it clear?*
 - 8- *Tools: Were relevant tools adapted or created? (e.g. needs assessment tools)*
 - 9- *Capacities: Existence and relevance of training, hiring of experts, staff performance measurement*
 - What else can WFP do? What would be your most important priority for what WFP should do going forward?

Cooperating partners

- 12) How are principles applied to programmes implemented with cooperating partners?
- How principled do you think WFP's cooperating partners are in this context?
 - What happens when a partner encounters a difficult trade-off decision relating to humanitarian principles? Do they consult with / seek guidance or support from WFP?
 - Are partners selected based on a criterion of being able to uphold WFP's approach to humanitarian principles? Can you give an example?
 - Are partners monitored and assessed on how well this is carried out?
 - Do partners receive training on WFP's policy? What other types of support are provided that could enable principled action?

- What else should WFP do?

[Unintended effects]

13) Have the policies on humanitarian principles and/or access and implementation measures related to them had any unintended effects? If so, which and why?

Closing

- Do you have suggestions of other relevant stakeholders or documents for the evaluation team?
- Explain the planned learning component.
 - Preferences for the peer-learning workshop: participants; focus; format; length; location
 - Interested in participating in learning interview? Recommended other participants?

c) Draft evaluation interview guide: cooperating partners

Background

- 1) Background of the interviewee (gender, position, responsibilities, length of employment with organization (in this context, which other contexts))

What type of projects does your organization implement with WFP in this context? What percentage (roughly) of your organization's in Syria/Yemen are WFP projects?

Access

- 2) How well do you know WFP's approach to access? Could you explain briefly what it is? Do you know the policy? Did you receive briefings / training or other targeted information on the policy?
 - If respondent knows the policy document: How do you assess the policy (is it relevant, clear, coherent...)?
- 3) How do you and WFP approach access in joint projects?
 - How are responsibilities divided between your organization and WFP? Who makes what decisions?
 - Do you develop joint negotiation or advocacy strategies? How are they implemented, and are they successful? Do you agree with others on common red lines or ground rules (e.g., requirements to use armed escorts)? What effect did those have? Can you give an example?
 - When you face a difficult issue, do you approach WFP for guidance and support? Why/not?
 - Are partners selected based on a criterion of being able to gain and maintain access?
 - Does WFP monitor your access patterns?
- 4) Are WFP and its partners able to operate in the areas with the highest needs in Syria / Yemen / Berm? Why, why not?
- 5) How does this compare to the level of access and ability to address highest needs of other organisations (UN; Red Cross, INGOs) - assuming similar levels of funding?
- 6) Have you been involved in inter-agency initiatives on access with WFP?
 - What is your organization's role?
 - What is WFP's role? What other actors are usually involved? Is WFP playing the right role?
 - Are joint efforts successful? Why (not)?

Humanitarian Principles

- 7) How well do you know WFP's approach to humanitarian principles? Could you explain briefly what it is? Do you know their policy? Did you receive briefings / training or other targeted information on the policies?
 - If respondent knows the policy document: How do you assess the policy (is it relevant, clear, coherent...)?
- 8) In your relationship with WFP, what role do the humanitarian principles play?
 - Do you discuss the principles with WFP?
 - What importance are they given, compared to other issues?
 - Are partners selected based on a criterion of being able to uphold WFP's approach to humanitarian principles? Can you give an example?
 - Does WFP monitor your application of the humanitarian principles?
 - There are often trade-offs when applying the humanitarian principles, particularly where it might not be possible uphold each simultaneously. Do you consult or seek guidance from WFP in such situations?
- 9) From an external perspective on WFP's work, how effectively does WFP take the humanitarian principles into account?

- Which of the principles (humanity, neutrality, impartiality, independence) does WFP adhere to best in this setting? Why?
 - Which of the principles does it adhere to least? Why?
- 10) How does this compare to other humanitarian organisations - how would you rank (higher / similar / lower) WFP in terms of its adherence to the humanitarian principles compared to
- Your own organization? Why?
 - Other UN agencies? Why?
 - Compared to RC/RC? Why?
 - Compared to INGOS? Why?

Measures to strengthen principles / access internally

- 11) What have been the 2-3 most important things / measures / factors that help you implement the humanitarian principles appropriately in joint projects?
- How helpful / effective have these measures been? Why / why not?
 - What else can WFP do? What would be your most important priority for what WFP should do going forward?
- 12) What have been the 2-3 most important things / measures / factors that help you better negotiate access in joint projects?
- How helpful / effective have these measures been? Why / why not?
 - What else can WFP do? What would be your most important priority for what WFP should do going forward?

[Unintended effects]

- 13) Have the policies on humanitarian principles and/or access and implementation measures related to them had any unintended effects? If so, which and why?

Closing

- Do you have suggestions of other relevant stakeholders or documents for the evaluation team?

d) Draft evaluation interview guide: host government (country)

[This interview guide will be contextualized for the relevant host country. Biographic data (sex, age) will be recorded to enable a disaggregated analysis]

- 1) Background of the interview partner
- 2) What triggered the request for WFP's engagement in your country? When did this occur? How has it changed over-time – nature of programme / geographic areas?
- 3) What type of work have you been involved in with WFP? Can you please give an example?

Access

- 4) Is WFP operating in the areas with the highest food/nutrition needs of your country? If not, why not?
- 5) In your view, what factors determine WFP's ability to access the most vulnerable populations?
 - What are the main enabling and constraining factors?
- 6) How does WFP compare to other humanitarian organizations when it comes to working in the neediest areas of your country? Can you provide an example?
- 7) Have there been instances where the government was against granting WFP and its partners' access to certain areas? For what reasons?
- 8) How can WFP improve access to the most vulnerable?

Humanitarian principles

- 9) What role do the humanitarian principles play in your relationship and work with WFP?
- 10) From an external perspective on WFP's work, how effectively does WFP take the humanitarian principles into account?
 - Which of the principles (humanity, neutrality, impartiality, independence) does WFP adhere to best in this setting? Why?
 - Which of the principles does it adhere to least? Why?
- 11) How does this compare to other humanitarian organizations - how would you rank (higher / similar / lower) WFP in terms of its adherence to the humanitarian principles compared to
 - Other UN agencies? Why?
 - Compared to RC/RC? Why?
 - Compared to INGOS? Why?
- 12) In your view, which factors influence how WFP approaches the humanitarian principles? (Can be internal to WFP, external)
- 13) Do you have any recommendation for WFP on its approach to the humanitarian principles?

Annex 11: Draft survey

The draft survey for WFP staff (pending field testing) is pasted below. The surveys for cooperating partners and other respondents (other organisations, donors, etc.) feature slightly adapted versions of the questions for WFP staff. For a full preview of all surveys, see:

https://www.surveymonkey.net/r/Preview/?sm=lnHfaEDZE2q9rl7k4Ebi_2FaT8BN2vrA1263l_2FEQPIHicXPJkYRONYGR1iSsuJetA1

About (all)

This survey is part of an independent evaluation of World Food Programme's policies on the humanitarian principles and humanitarian access. It is conducted by the Global Public Policy Institute (GPPI), an independent think tank.

The evaluation focuses on WFP's overall standing with respect to principles and access, on WFP's reputation, and on what measures WFP has and has not taken to translate the policies into effective practice.

This survey gathers insights and perceptions from WFP employees, cooperating partners and external partners (UN entities, other humanitarian organizations, donors) at the global, regional and country levels.

Your submission will be treated anonymously, and individual responses will not be shared with WFP. In order to protect affected people, operations, and staff, no information about specific country situations or individual decisions will feature in the evaluation report.

The team greatly appreciates your participation by *DATE*. It will take about 10 min to fill in the survey. For questions or comments, please write to Claudia Meier at emeier@gppi.net. You can fill in the survey in English click "Next" below or in other languages (see below).

Definitions (all)

Humanitarian access refers to the free and unimpeded movement of humanitarian personnel to deliver relief services. If you would like to read the WFP note on access before taking the survey, please click [here](#) (link to policy).

WFP subscribes to the humanitarian principles of humanity, impartiality, neutrality and operational independence. The policy document can be found [here](#) (link to policy).

Background of the respondent

* 1. Where are you based?

- Headquarters
- Regional level
- National level
- Sub-national level

2. (Optional) In which country do you work? (This is optional, please feel free not to answer this question)

*** 3. How long have you been working with your current organization?**

- Less than 3 years
- 3-5 years
- 6-10 years
- More than 10 years

*** 4. Please specify your gender**

- Male
- Female
- Non-binary

*** 5. Which organization do you work with?**

- World Food Programme (WFP)
- UN organization (other than WFP)
- A cooperating partner of WFP (=my organization implements WFP programs)
- A different humanitarian organization (=my organization does not implement WFP programs)
- Donor government
- Other (please specify)

*** 6. What is your staff category?**

- D1 and above
- P4-P5
- P1-P3
- NOD
- NOA-NOC
- SC (Service Contract)
- G6-G7
- G1-G5
- Consultant or other temporary contract

Humanitarian principles

*** 7. How well do you understand the humanitarian principles?**

- I do not know what they are
- I know what they are, but I don't know how to apply them
- I can confidently apply them to some decisions
- I can confidently apply them to most decisions
- The humanitarian principles are not applicable to my work because:

*** 8. In your view, how well do other WFP staff understand the humanitarian principles?**

- They do not know what they are
- They know what they are, but seem not to know how to apply them
- They seem to confidently apply them to some decisions
- They seem to confidently apply them to most decisions
- I am unable to answer based on my experience

* 9. In which contexts should WFP apply the humanitarian principles?

- In all countries of operation
- Only in emergency contexts

Comment (optional)

To what extent do you agree or disagree with the following statements?

* 10. The humanitarian principles are an institutional priority for WFP

Fully disagree Neutral Fully agree

* 11. WFP's approach to the humanitarian principles is clear

Fully disagree Neutral Fully agree

* 12. WFP's understanding of the humanitarian principles is different in each context, it depends on staff and management

Fully disagree Neutral Fully agree

* 13. The humanitarian principles are an important criterion for selecting WFP's cooperating partners

Fully disagree Neutral Fully agree

Humanitarian principles

* 14. In your experience, how important are other criteria than severity of need for determining who receives WFP assistance?

- Not important at all
- Somewhat important
- Important
- Very important
- I am unable to answer based on my experience

* 15. In your experience, how independent is WFP of the political, economic, military or other objectives of other actors?

- Highly independent: WFP's humanitarian programmes are not at all influenced by external objectives
- Somewhat independent: WFP's humanitarian programmes are sometimes influenced by external objectives
- Not independent: WFP's humanitarian programmes are always influenced by external objectives
- I am unable to answer based on my experience

16. Do you have any comments on the above? (optional)

* 17. **Internal factors:** which of the following has the most important positive effect on WFP's ability to implement the humanitarian principles? Please choose the three most important.

- Factor 1 (to be determined after DRC interviews)
- Factor 2 (to be determined after DRC interviews)
- Factor 3 (to be determined after DRC interviews)
- Factor 4 (to be determined after DRC interviews)
- Factor 5 (to be determined after DRC interviews)
- Other (please add)

(The same question will be added for: negative internal factors, positive external factors, negative external factors. Hypotheses on factors will be finalized with the visit to D.R. Congo).

21. What should WFP improve to make it easier for you to apply the humanitarian principles to your own work?

Humanitarian access

Definition: WFP defines access as “the free and unimpeded movement of humanitarian personnel to deliver relief services, or the free and safe movement of humanitarian agencies to reach civilians who are trapped, unable to move or detained because of armed conflict, natural disasters and other difficult access situations.”

To what extent do you agree or disagree with the following statements?

* 22. WFP treats access as an institutional priority

Fully disagree Neutral Fully agree

* 23. Responsibilities for negotiating access are clearly defined between WFP and its cooperating partners

Fully disagree Neutral Fully agree

* 24. WFP's approach to negotiating access is incoherent across operations

Fully disagree Neutral Fully agree

* 25. Cooperating partners talk openly to WFP when they face difficult trade-offs related to access

Fully disagree Neutral Fully agree

* 26. The way WFP's negotiates access has a negative effect on other organizations' ability to gain access

Fully disagree Neutral Fully agree

* 27. WFP is not allowed to talk to all armed groups to negotiate access

Fully disagree Neutral Fully agree

* 28. WFP does everything it can to reach populations in hard-to-access areas

Fully disagree Neutral Fully agree

* 29. It is difficult for WFP employees to talk openly about difficult access trade-offs to colleagues and management

Fully disagree Neutral Fully agree

30. Do you have any comments on the above? (optional)

* 31. **Internal factors:** which of the following has the most important positive effect on WFP's ability to gain and maintain access? Please choose the **three** most important.

Factor 1 (to be determined after DRC interviews)

Factor 2 (to be determined after DRC interviews)

Factor 3 (to be determined after DRC interviews)

Factor 4 (to be determined after DRC interviews)

Factor 5 (to be determined after DRC interviews)

Other (please add)

(The same question will be added for: negative internal factors, positive external factors, negative external factors. Hypotheses on factors will be finalized with the visit to D.R. Congo).

35. In case you are directly involved in access negotiations: **What should WFP improve to make it easier for you to negotiate or facilitate access?**

Thank You

36. **Do you have any remaining comments?**

37. After completing the evaluation report, the team will conduct strictly confidential learning interviews with WFP employees to capture their experience negotiating access or making complex decisions based on the humanitarian principles. **Would you like to recommend yourself or another WFP employee for such an interview?** Please provide their full name, location and email address.

This evaluation conducts a **network analysis** to understand who influences access decisions in WFP. To protect the anonymity of your survey responses, the network analysis questions are asked in a different survey (2 minutes maximum). Please **click [here](#)** to continue.

The network analysis will open in a separate survey, see next page:

Evaluation of WFP's policies on humanitarian principles and access in humanitarian contexts

Network analysis

This evaluation uses network analysis to understand who shapes decisions on access in WFP. For this purpose, we require you to state your full name and current location. This information will be kept strictly internal to the evaluation team in a separate encrypted files, and names will not be shared with WFP. In case you are identified as a key influencer, we may approach you to ask if you are prepared to give us permission to mention your name in the report.

* 1. Please state your full name and the country you are currently based in: (e.g. Firstname Lastname; Japan)

* 2. When you face a tricky issue related to humanitarian access, whom do you contact in WFP for advice? Please list up to five (5) WFP colleagues with their full name and country they are currently based in: (e.g. Firstname Lastname; Country)

Person 1	<input type="text"/>
Person 2	<input type="text"/>
Person 3	<input type="text"/>
Person 4	<input type="text"/>
Person 5	<input type="text"/>

* 3. What is your staff category?

- D1 and above
- P4-P5
- P1-P3
- NOD
- NOA-NOC
- SC (Service Contract)
- G6-G7
- G1-G5
- Consultant or other temporary contract

* 4. Please specify your gender

- Male
- Female
- Non-binary

* 5. How long have you been working with WFP?

- Less than 3 years
- 3-5 years
- 6-10 years
- More than 10 years

Annex 12: List of relevant countries

WFP currently provides humanitarian assistance in the following countries, either through an emergency operation or a protracted relief and recovery operation (or a combination of the two). These countries are therefore considered relevant for the evaluation of WFP's policies on humanitarian principles and access in humanitarian contexts and the staff, partner and external stakeholder surveys will be disseminated in those contexts. Additional information from past operations will be considered as part of the confidential learning interviews should interviewees choose these operations as examples.

1. Afghanistan	EMOP
2. Algeria	PRRO
3. Bangladesh	EMOP, PRRO, DEV
4. Bolivia	EMOP, DEV
5. Burkina Faso	EMOP, PRRO, DEV
6. Burundi	PRRO, DEV
7. Cameroon	EMOP, PRRO, DEV
8. Central African Republic	EMOP
9. Chad	EMOP, PRRO
10. Colombia	PRRO
11. Congo	PRRO, EMOP, DEV
12. Côte d'Ivoire	PRRO, DEV
13. Cuba	EMOP, DEV
14. Democratic People's Republic of Korea	PRRO
15. Democratic Republic of the Congo	PRRO
16. Djibouti	PRRO, DEV
17. Ecuador	EMOP, PRRO
18. Egypt	EMPO, PRRO, DEV
19. El Salvador	PRRO, DEV
20. Ethiopia	PRRO
21. Gambia	EMOP, PRRO, DEV
22. Ghana	PRRO, DEV
23. Guatemala	PRRO, DEV
24. Guinea	EMPO, PRRO, DEV
25. Guinea-Bissau	PRRO, DEV
26. Haiti	EMPO, PRRO, DEV
27. Honduras	PRRO, DEV
28. Iran (Islamic Republic of)	PRRO
29. Iraq	EMOP, PRRO
30. Jordan	EMOP, PRRO, DEV
31. Kenya	PRRO, DEV
32. Lebanon	EMOP, PRRO
33. Lesotho	EMOP, PRRO, DEV
34. Liberia	EMOP, PRRO, DEV
35. Libya	EMOP
36. Madagascar	PRRO, DEV
37. Malawi	PRRO, DEV
38. Mali	EMOP, PRRO
39. Mauritania	EMOP, PRRO, DEV
40. Mozambique	PRRO, DEV
41. Myanmar	PRRO
42. Nepal	EMOP, PRRO, DEV
43. Nicaragua	PRRO, DEV
44. Niger	EMOP, PRRO
45. Nigeria	EMOP
46. Pakistan	PRRO
47. Palestine	PRRO
48. Philippines	EMOP, PRRO
49. Rwanda	EMOP, PRRO, DEV
50. Senegal	PRRO, DEV

51. Sierra Leone	PRRO, EMOP, DEV
52. Somalia	PRRO
53. South Sudan	EMOP
54. Sri Lanka	EMOP, DEV, PRRO
55. Sudan	PRRO, EMOP
56. Swaziland	EMOP, DEV
57. Syrian Arab Republic	PRRO, EMOP
58. Tajikistan	PRRO, DEV
59. Tanzania	PRRO, EMOP, DEV
60. Timor-Leste	EMOP, DEV
61. Turkey	EMOP, PRRO
62. Uganda	EMOP, PRRO, DEV
63. Ukraine	EMOP, PRRO
64. Yemen	EMOP, PRRO
65. Zimbabwe	PRRO, DEV

Annex 13: Draft affected population survey

Q #	Q Name	English
NA	Opt In	You have been selected to take a survey about the World Food Program, WFP, and its activities in your country. Reply 1 to answer 15 questions and earn [phone credits] No cost to reply. For help, reply HELP.
NA	Eligibility	To answer these questions you must be familiar with the work of the World Food Programme, either as a recipient of their assistance yourself, or knowing people who have received food or cash assistance from WFP.
NA	Refusal	Thank you for your time, you will be removed from our system. For more information or to register for future surveys please visit GeoPoll.com.
NA	Ineligible	You are ineligible for this survey. Thank you for your time, and please look out for future GeoPoll surveys! For more information visit GeoPoll.com.
1	Age	In what year were you born? [Reply with a four-digit number like 1980]
2	Sex	Are you a man or a woman?
3	City/Town	What City, Town or Village do you currently live in? [Reply with the name of your City or Town]
4	Quality/Humanity	Is the quality of the assistance provided by WFP satisfactory? [Reply with a number] 1)Yes 2)No
5	Feedback/Humanity	Were community members able to give their opinion on WFP's program, make complaints, and suggest changes? [Reply with a number] 1)Yes 2)No 3)Don't know
6	Access	How well is WFP managing to provide assistance in the places in your country with the most severe needs? 1) Well 2) Somewhat 3) Poorly 4) I don't know
7	Obstacles	In parts of your country where it is difficult for organizations like WFP to provide assistance, what is the biggest obstacle? 1) Road conditions 2) Conflict/fighting 3) Crime 4) Government restrictions 5) Corruption 6) Other 7) I don't know
8	Impartiality	In your opinion does WFP provide assistance to those who need it most, without favouritism and discrimination? 1) Yes 2) No
9	Neutrality	In your opinion is WFP working to help one side of the conflict? 1) Yes 2) No
10	Independence	In your view is WFP acting mostly in the interests of its donor governments? 1) Yes 2) No 3) Don't know
11	Public perceptions	In your view, how positively is WFP perceived in your country as a principled humanitarian actor? 1) Very positively 2) Somewhat positively 3) Somewhat negatively 4) Very negatively 5) I don't know
NA	Close-Out Message	Thank you for participating! You will receive [PHP 25] airtime credit to your account within 7 days!

Annex 14: Data for access and coverage analysis

Variable	Operationalization / Data description	Data request at HQ level	Data request at CO level	External data
WFP coverage	Number of people in need of food assistance per province, breakdown by sex, age, severity if possible. Data for QIII 2016 (or September 2016 if updated monthly).		M&E and VAM team	IPC, HNO
	Number of beneficiaries covered by WFP per province, breakdown by sex, age, severity if possible. Data for QIII 2016 (or September 2016 if updated monthly).		M&E and Program	
Availability of funding	WFP total needs per country per year and total funded by operation, disaggregated by donor and country. Data for 2016.	[data already collected]		
Security concerns	UNDSS rating per province, breakdown by different types of security threats (criminal vs. conflict-related). Data for September 2016.	Security		
	SIMSAS data on WFP-related security incidents. Data for 2016.	[data already collected]		
	AWSD data for incidents affecting humanitarian personnel, and GTD data for generalized violence per location			Humanitarian Outcomes; Global Terrorism Database
Obstruction by government	Data on difficulty of getting visa approvals and travel clearance per country; rating of difficulty level on scale 1-5. Data for QIII 2016.		Administration	
	Import restrictions on humanitarian goods per country; rating of difficulty level on scale 1-5. Data for QIII 2016.	Supply chain / Administration		
	Government-imposed travel restrictions for staff and relevant equipment within host country, per province; rating of restriction level on scale 1-5. Data for QIII 2016.		Logistics / Security	
Obstruction by non-state actor	Non-state actor-imposed travel restrictions for staff and relevant equipment within host country, per province; rating of restriction level on scale 1-5. Data for QIII 2016.		Administration	
Logistical constraints	Rating of level of logistical constraints on scale 1-5 in access per province by logistics expert (including road infrastructure, landmines, weather/seasonal conditions, remoteness, density of population in need etc.). Data for QIII 2016.		Logistics team	

State control over territory	Predominant control over territory per province (effective control): state / non-state actor(s) / contested, including name of actor(s) in control. Data for QIII 2016.		Security	UNDSS; Actor mappings by other organizations
External restrictions	Organization listed as 'terrorist' in control over (parts of) territory (per province). Data for QIII 2016.			US terror list ; US sources
	Sanction on host country yes/no. Data for 2016.			Security council/US/EU sanctions lists
	Major donor(s) per country & their involvement in conflict. Data for 2016.	[data already collected]		
Internal factors	Number of WFP staff present per province; breakdown by type of contract. Data for 2016.	[data already collected]		
	Rating of availability of cooperating partners on scale 1-5 per province. Data for QIII 2016.		Program	
	Part of integrated UN mission: yes/no, per country. Data for 2016.	Civil-military coordination		
Coverage by other actors	Presence and substantial activities by other food assistance organizations per province; rating on scale 1-3. Data for QIII 2016.		Program	Food security cluster

Annex 15: Draft data request for country offices

The 23 country offices identified as relevant for the quantitative data collection effort will receive data requests for the data listed below. To ensure data protection when transferring documents including potentially sensitive information, OEV will send requests and follow-up as and when necessary.

(1) People in need

Number of people in need of food assistance per province, breakdown by sex, age and severity of needs if possible. Please provide data for the 3rd quarter of 2016 (July-September 2016). If data is collected not on quarterly but monthly basis, please provide data for September 2016. You can either fill out the table of provinces below or send relevant documents/spreadsheets.

(2) Recipients covered

Number of recipients covered by WFP per province, breakdown by sex, age and severity if possible. Please provide data at least for the 3rd quarter of 2016 (July-September 2016). If you don't have quarterly data, please provide data for September 2016. You can either fill out the table of provinces below or send relevant documents/spreadsheets.

(3) Travel restrictions within country (government)

Data on government-imposed travel restrictions for staff and relevant equipment within country per province. Please fill out the table of provinces below for this purpose, by rating the level of travel restrictions on a scale 1-5 as described, for the period July-September 2016.

- 1: No restrictions for travelling to this province at all,
 - 2: Travel to this province needs to be reported to government,
 - 3: Travel to this province needs to be approved by government; occasional difficulties,
 - 4: Travel to this province needs to be approved by government; recurrent difficulties,
 - 5: Government does not allow staff to travel to this province at all.
- N/A: WFP does not send staff to this province for other reasons: _____ (please detail in comments).

(3) Restrictions imposed by non-state actor(s)

Severity of non-state actor-imposed access restrictions per province (e.g. refusal of security guarantees, taxation, refusal to transport goods). Please fill out the table of provinces below for this purpose, by rating the level of restrictions on a scale 1-5 as described, for the period July-September 2016.

- 1: No restrictions for operating in this province at all,
 - 2: Programme implementation in this province needs to be reported to non-state actor(s),
 - 3: Programme implementation in this province needs to be approved by non-state actor(s); occasional difficulties,
 - 4: Programme implementation in this province needs to be approved by non-state actor(s); recurrent difficulties,
 - 5: Non-state actor does not allow WFP to work in this province at all.
- N/A: WFP does not send staff to this province for other reasons: _____ (please detail in comments).

(5) Logistical constraints on access

Rating of the level of logistical constraints on access, per province. Please fill out the template with the list of provinces below by rating the level of logistical constraints on a scale 1-5 as described, including considerations on road infrastructure, landmines, weather/seasonal conditions, remoteness, density of population in need etc., but

disregarding direct/acute security threats or government-imposed restrictions as far as possible (these will be analyzed separately).

From a purely logistical viewpoint, access to population in need in this province in the period July-September 2016...

- 1: ...was no problem at all.
- 2: ...was rather easy, with small obstacles.
- 3: ...was average, with some challenges.
- 4: ...was difficult, with major challenges.
- 5: ...was extremely challenging and/or costly (please detail in comments why).N/A: I do not know / logistical constraints on access are unclear.

(6) Control over territory

Predominant control over territory, per province. Predominant control is understood as effective control over more than half of the territory (formal or informal authority). Please fill out the template with the list of provinces below according to the categories described, for the period July-September 2016.

Government:	predominantly government-controlled area in July-September 2016
Non-state actor:	predominantly non-state actor-controlled area in July-September 2016 (please detail name(s) of rebel group(s) in comments insofar as possible)
Contested:	both government and non-state actors had significant control over the territory in July-September 2016 (please detail name(s) of rebel group(s) in comments insofar as possible)
Unknown:	it is unclear who controlled the territory in this period.

(7) Availability of cooperating partners

Rating of the availability of cooperating partners per province. Please fill out the table of provinces below for this purpose, by rating the level of travel restrictions on a scale 1-5 as described, for the period July-September 2016.

- 1: In this province, finding cooperating partners was not a problem in July-September 2016.
- 2: In this province, finding cooperating partners was somewhat difficult in July-September 2016.
- 3: In this province, it was very challenging/impossible to find cooperating partners in July-September 2016.
- N/A: There was no need for implementing partners in this province in July-September 2016, because: _____ (please detail in comments).

(8) Activity of other organizations

Rating of the presence and activity of food assistance providers other than WFP and its implementing partners, per province. Please fill out the table of provinces below for this purpose, by rating the level of travel restrictions on a scale 1-3 as described, for the period July-September 2016.

- 1: In July-September 2016, there were no or very little food assistance activities by other organizations in this province.
- 2: In July-September 2016, there were some significant food assistance activities by other organizations in this province, but WFP was the largest provider.
- 3: In July-September 2016, other organizations provided food assistance in this province on an equal or higher level than WFP (please detail name(s) of those organizations in comments).
- N/A: In July-September 2016, there were no food assistance activities in this province at all.

(9) Visa approvals

Difficulty of getting visa approvals and travel clearance for staff preparing to travel to COUNTRY. Please give an overall assessment for 2016, using the scale 1-3 below.

Getting visa approvals and travel clearance from the government of COUNTRY for staff preparing to visit in 2016...

1: ...was not a problem.

2: ...required some efforts but didn't impose major operational restrictions.

3: ...was a significant challenge and imposed important operational restrictions.

(10) Complaints & feedback data

Data on feedback and complaints received by WFP in 2016. If a complaint and feedback mechanism exists in COUNTRY, please provide, as far as possible, raw data and/or summaries of feedback and complaints received in 2016.

Example of template for data entry with list of provinces (Afghanistan)

Province Name	Your Rating (see individual questions)	Comment
Badakhshan		
Badghis		
Baghlan		
Balkh		
Bamyan		
Daykundi		
Farah		
Faryab		
Ghazni		
Ghor		
Hilmand		
Hirat		
Jawzjan		
Kabul		
Kandahar		
Kapisa		
Khost		
Kunar		
Kunduz		
Laghman		
Logar		
Nangarhar		
Nimroz		
Nuristan		
Paktika		
Paktya		
Panjsher		
Parwan		
Samangan		
Sar-e-Pul		
Takhar		
Uruzgan		
Wardak		
Zabul		

Annex 16: Team roles, responsibilities, work plans and competencies

Julia Steets, Team Leader

Role and responsibilities

- Guide and manage the team throughout the evaluation process
- Represent the team towards OEV and in meetings with key stakeholders
- Ensure appropriate, credible and ethical methodology and approach
- Ensure and assume responsibility for the quality of all deliverables
- Lead evaluation process in several countries / regional hubs
- Lead learning component in several countries / regional hubs
- Responsibility for inception and evaluation reports
- Responsibility for individual thematic briefs (shared with other team members)
- Responsibility for peer-learning workshops, the global stakeholder workshop and additional dissemination efforts

Work plan

- Lead inception HQ briefings and interviews with WFP stakeholders
- Lead method development and report writing
- Conduct policy quality analysis
- Conduct evaluation interviews with WFP staff, partners and external stakeholders in several countries / regional hubs (please see table in Annex 8 and the timeline in Annex 7 for the proposed schedule of field visits)
- Conduct learning interviews and facilitate peer-learning workshops in several countries / regional hubs
- Draft authorised negotiation or decision-making cases based on the confidential interviews
- Facilitate peer-learning workshops in two regions
- Conduct document review and interviews on selected factors
- Conduct research and write decontextualized thematic briefs
- Conduct global stakeholder workshop and lead dissemination of general learnings to other fora
- Lead the drafting of the evaluation report and short evaluation report

Most important related expertise⁷⁵

- Long-term experience in leading policy and strategic evaluations (head of GPPi's monitoring and evaluation practice)
- Management experience (director of GPPi, frequent team leader positions)
- Experience with WFP
- Regional experience in Asia, the Middle East, East Africa and West Africa (various research and evaluation assignments)
- Analytical, writing, facilitation and presentation skills

Claudia Meier, Evaluator

Role and responsibilities

- Responsibility for global context analysis
- Responsibility for drafting individual chapters of the inception and evaluation reports

⁷⁵ For further details, please refer to the Proposal.

- Responsibility for individual thematic briefs
- Support the elaboration of the peer learning workshop methodology

Work plan:

- Participate in inception HQ briefings and interviews with WFP stakeholders
- Lead inception and evaluation interviews with external stakeholders and academics at the global level
- Lead on global literature review of primary and secondary data
- Consolidate global context analysis
- Develop and implement staff, partner and external stakeholder surveys
- Contribute to analysis of survey data
- Lead evaluation process in several countries / regional hubs
- Lead learning component in several countries / regional hubs
- Support the design and implementation of learning workshops
- Conduct document review and interviews on selected factors
- Conduct research and write decontextualized thematic briefs
- Contribute to dissemination of general learnings to other fora
- Draft specific chapters of and contribute to the evaluation report

Most important related expertise:

- Regional programme management expertise based on in-depth context analysis (East Africa)
- Experience in conducting and managing policy and strategic evaluations
- Facilitation expertise and experience
- Protection expertise and expertise in IHL

Janika Spannagel, Evaluator / Quantitative Expert

Role and responsibilities

- Responsible for developing the quantitative research methods for the evaluation
- Responsible for the collection and analysis of quantitative data for the evaluation
- Responsible for drafting individual chapters of the inception and evaluation reports

Work plan:

- Conduct inception HQ briefings and interviews with WFP stakeholders
- Gather and analyze quantitative data
- Contribute to survey analysis

Most important related expertise

- Quantitative research methods and statistics
- Experience in processing and interpreting large amounts of data
- Experience in handling sensitive data, e.g. with OHCHR complaints procedure

Adele Harmer, Deputy Team Leader

Role and responsibilities

- Co-lead development of methodology and approach

- Lead evaluation process in several countries / regional hubs
- Lead learning component in several countries / regional hubs
- Responsibility for individual chapters of the inception and evaluation report
- Responsibility for individual thematic briefs
- Co-lead workshops and dissemination efforts

Work plan

- Conduct evaluation interviews with WFP staff, partners and external stakeholders in several countries / regional hubs
- Conduct learning interviews and facilitate peer-learning workshops in several countries / regional hubs
- Draft authorized negotiation and decision-making cases relating to those confidential interviews
- Facilitate peer-learning workshops in two regions
- Conduct document review and interviews on selected factors
- Conduct research and write decontextualized thematic briefs
- Contribute to global context analysis
- Draft sections of the evaluation reports

Most important related expertise:

- Long-term experience leading research on principled response, insecurity, access, civil-military relations and operational security
- Relevant research on system-wide performance and reform
- Experience leading policy and strategic evaluation
- Regional experience in Asia-Pacific, Middle East and East Africa (various research and evaluation assignments)

Abby Stoddard, Senior Academic

Role and responsibilities

- Advise team on quantitative and qualitative method development
- Lead affected population survey development and implementation
- Lead media analysis

Work plan

- Conduct inception HQ briefings and interviews with WFP stakeholders
- Develop the evaluation and learning methods
- Oversee quantitative data gathering and analysis
- Lead affected population survey development and implementation
- Lead media analysis
- Conduct document review and interviews on selected factors
- Peer review the evaluation's public outputs
- Draft sections of the evaluation reports

Most important related expertise:

- Long-term experience leading research and evaluations on humanitarian action
- Co-leads the Aid Worker Security Database
- Expertise on operational security issues
- Led quantitative research on presence and coverage with the SAVE project

Annex 17: Acronyms

CO	Country Office
DG ECHO	European Commission Directorate General for Humanitarian Aid and Civil Protection
EB	Executive Board
EMOPs	Emergency Operations
GPPi	Global Public Policy Institute
HEIG	Humanitarian Evaluation Interest Group
HQ	Headquarters
ICRC	International Committee of the Red Cross
MSF	Médecins sans Frontières
OCHA	Office for the Coordination of Humanitarian Affairs
OEV	Office of Evaluation
OSE	Emergency Preparedness and Support Response Division
OSZPH	Emergency Programme and Policy Unit
PRRO	Protracted Relief and Recovery Operations
RMP	Performance Management and Monitoring Division
RB(x)	Regional Bureau(x)
SAVE	Secure Access in Volatile Environments
UN	United Nations
UNDSS	United Nations Department on Safety and Security
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
WFP	World Food Programme
WHS	World Humanitarian Summit

Annex 18: Terms of reference



EVALUATION QUALITY ASSURANCE SYSTEM

Office Of Evaluation
Measuring Results, Sharing Lessons

TERMS OF REFERENCE [FINAL] EVALUATION OF WFP'S POLICIES ON HUMANITARIAN PRINCIPLES AND ACCESS IN HUMANITARIAN CONTEXTS

1. Background

1.1. Introduction

1. Policy Evaluations focus on a WFP policy, guidance, associated arrangements and activities that are in place to implement it. They evaluate the quality of the policy, its results, and seek to explain why and how these results occurred.
2. The Office of Evaluation (OEV) is launching the evaluation of WFP's Policies on Humanitarian Principles and Access at the same time as an evaluation of WFP's Protection Policy. In view of the potential thematic overlaps, OEV commissioned an external scoping exercise and evaluability assessment to clarify the scope of both evaluations, including a careful delineation of the respective evaluation questions.
3. The Terms of Reference (TOR) were prepared by the WFP Office of Evaluation (OEV) evaluation manager, Gaby Duffy, based on a document review, consultations with key stakeholders and an independent scoping exercise and evaluability assessment.
4. The purpose of these TOR is to provide key information to stakeholders about the proposed evaluation, to guide the evaluation team (EvT) and specify expectations that the EvT should fulfil. The TOR are structured as follows: Section 1 provides information on the context; Section 2 presents the rationale, objectives, stakeholders and main users of the evaluation; Section 3 presents an overview of WFP's policy and its implementation, and defines the approach and scope of the evaluation; Section 4 spells out the evaluation questions and methodology; Section 5 indicates how the evaluation will be organized.
5. The annexes provide additional information on the detailed evaluation timeline (Annex 1), the Evaluation Communication and Learning Plan (Annex 2), the delineation of the scope of the evaluation of WFP's Protection Policy and the evaluation of WFP's Policies on Humanitarian Principles and Access (Annex 3), the definitions of core humanitarian principles in key UN Agencies (Annex 4), the composition of the Internal Reference Group (IRG) and External Advisory Group (EAG) (Annex 6), a risk analysis (Annex 7) and a list of references (Annex 8).

1.2. Context

6. WFP Strategic Plan (2017-2021) approved by the Executive Board in November 2016 re-affirms the primacy of humanitarian principles stating that "WFP is committed to the highest standards of integrity and its actions will at all times be guided by the humanitarian principles of humanity, impartiality, neutrality and operational independence" (see definition in section 3.1).⁷⁶ Humanitarian principles were first agreed upon by the Red Cross and Red Crescent Movement in 1965.⁷⁷ In 1991 (resolution 46/182), the United Nations General Assembly (UNGA) agreed on a set of 12 principles that guide the United Nations in providing humanitarian assistance.⁷⁸ Those included the principles of humanity, neutrality and impartiality. The principle of independence was added by UN General Assembly resolution 58/114 in 2004.⁷⁹ Consistent with the UNGA resolution 46/182, WFP Executive Board

⁷⁶ WFP/EB.2/2016/4-A/1

⁷⁷ 20th International Conference of the Red Cross. Vienna. October 1965

⁷⁸ UNGA A/RES/46/182. Strengthening of the coordination of humanitarian emergency assistance of the United Nations. December 1991.

⁷⁹ UNGA A/RES/58/114. Strengthening of the coordination of humanitarian emergency assistance of the United Nations. February 2004.

endorsed in 2004 a Statement of WFP's humanitarian principles as a framework to guide WFP's humanitarian action, which lists as core values the principles of humanity, impartiality and neutrality.⁸⁰ WFP 2004 statement also laid out seven standards as "Foundations of effective humanitarian action" (see section 3 and annex 5). In its Strategic Plan (2014–2017), WFP adopted operational independence as another core principle.⁸¹

7. More than a theoretical set of norms, humanitarian principles are meant to provide a framework guiding humanitarian agencies in their decision-making processes on a wide range of operational decisions. Humanitarian action should be motivated by the sole aim of helping other human beings affected by conflicts or disasters (humanity); exclusively based on people's needs and without discrimination (impartiality); without favouring any side in a conflict or engaging in controversies where assistance is deployed (neutrality); and free from any economic, political or military interest at stake (independence). Humanitarian principles are often invoked to build trust, create greater acceptance and secure access from both state and non-state actors. Agencies may also use the humanitarian principles to advocate against diversion of aid as well as provide a transparent criteria for geographical and individual targeting, the type of assistance to be delivered, the choice of partners to work with, the selection of staff.
8. In practice, however, humanitarian organisations are frequently challenged in their adherence to the humanitarian principles both in sudden onset emergencies and protracted crisis. A study commissioned by the Norwegian Refugee Council and Handicap International identified a set of challenges that make principled humanitarian action difficult:⁸²
 - **Politicization:** the "politicization of aid" (i.e., the blurring of lines between political and humanitarian goals) can be observed notably on post-conflict settings, when there is a tendency to emphasise development and long-term issues (state building) at the expense of humanitarian. Integrated missions and agendas also pose constraints due to alignment between the political and humanitarian actors (notably on risk tolerance and risk mitigation measures), neutrality and coherence of messaging.
 - **Donor pressures:** Often relying on voluntary contributions, the ability of humanitarian organizations to make independent decisions on the provision of assistance is undermined by the overall level of funding available as well as donors' conditions and earmarking.
 - **Engagement with state and non-state actors:** State and non-state actors may reject humanitarian assistance denying the existence of needs or attempt to interfere with the implementation of humanitarian activities in areas under their control. In some instances, they may perceive humanitarian agencies as self-serving, importing 'foreign' values or as a threat to state sovereignty. To gain acceptance as well as contribute to a coordinated humanitarian response, humanitarian agencies attempt to maintain a constructive relationship with local actors; defining the right degree of cooperation with those actors is key to maintain humanitarian agencies' ability to deliver assistance in an impartial manner.
 - **Counterterrorism clauses:** the counterterrorism clauses adopted by some donors to prevent the diversion of humanitarian assistance to groups designated as "terrorists" involves severe legal repercussions for humanitarian agencies and their staff. As a result, some agencies may choose not to operate in specific areas controlled by those groups.
 - **Access – Insecurity and restrictions:** the multiple security restrictions to which humanitarian organizations are confronted to (ongoing hostilities between warring parties, targeted or collateral violence against humanitarian workers, breakdown of law and presence of landmines and unexploded ordnance) represent a primary impediment to humanitarian presence and result in reduced access to populations in need. Humanitarian organizations perceived as abiding by humanitarian principles were found to have better access to affected populations.
9. In light of those challenges, member states committed through the Agenda 2030 to "resolve to take further effective measures and actions, in conformity with international law, to remove obstacles and constraints, strengthen support and meet the special needs of people living in

⁸⁰ WFP/EB.A/2004/5-C

⁸¹ WFP/EB.A/2013/5-A/1

⁸² NRC and Handicap International "Challenges to Principled Humanitarian Action: Perspectives from Four Countries", July 2016. P.9

areas affected by complex humanitarian emergencies”.⁸³ In his report for the 2016 World Humanitarian Summit “One humanity: shared responsibility”, the Secretary General emphasized that “ensuring that all humanitarian assistance is impartial, neutral and independent from military interventions or political agendas is critical for humanitarian organizations to earn trust and acceptance among State and non-State armed groups and to gain and maintain access and operate in safety”⁸⁴. The report of the Secretary General “Outcome of the World Humanitarian Summit” calls on Member States, non-State armed groups and humanitarian organizations to ensure full respect for humanitarian principles.⁸⁵

2. Reasons for the Evaluation

2.1. Rationale

10. The WFP’s Evaluation Policy (2016-2021) states that corporate policies relevant to the Strategic Plan should be evaluated between 4 and 6 years after start of implementation. Policies adopted before 2011, such as WFP’s policies on humanitarian principles and access (respectively approved in 2004 and 2006), are progressively included in OEV’s work plan based on assessment of their continued relevance to WFP’s work or potential to contribute to new policy development. OEV included this evaluation in its work plan for 2016 based on a number of considerations.
11. The critical importance of Humanitarian Principles as the foundational principles of effective humanitarian response was emphasized during the 2016 World Humanitarian Summit. These issues are likely to remain high on the international agenda over the coming years as member states and humanitarian agencies focus on the implementation of commitments made. Recent studies called for further internal reflection by humanitarian agencies and for an inclusive exchange of good practices and lessons on the practical use of humanitarian principles in their decision making processes.⁸⁶
12. The inter-connectedness and relationships between humanitarian principles and access negotiations should also be noted. Applying humanitarian principles contributes to securing access; yet, some strategies to overcome access constraints and reach population in need may entail some trade-offs or prioritization between the humanitarian principles. As noted recently by the Centre of Competence on Humanitarian Negotiation, “the highly contextual, confidential and personal nature of frontline negotiations limits opportunities to learn from the experience and perspective of other frontline negotiators”.⁸⁷ In a period of increasing numbers of simultaneous humanitarian crises, the challenge linked to humanitarian principles and access is multiplied, while experienced staff are stretched even more thinly. In such a context, learning support becomes even more important.
13. Despite their political and operational relevance, humanitarian principles and access have been very poorly reflected in the evaluation practice of the UN’s humanitarian agencies to date. This was confirmed by the review done early 2016 by the Humanitarian Evaluation Interest Group (HEIG) which concluded that “agencies are (...) rarely addressing evaluation against Humanitarian Principles”⁸⁸. Reasons for this are multiple including the sensitivity of the topic, operational challenges in applying principles, methodological challenges and lack of guidance. Among the recommendations, individual agencies were encouraged to commission evaluations that specifically focus on humanitarian principles.
14. Finally, as mentioned earlier, WFP has explicitly re-affirmed its commitment to the humanitarian principles of humanity, impartiality, neutrality and operational independence in its new Strategic Plan (2017-2021). The organization’s willingness to reflect and learn through the sharing of experience around humanitarian negotiations (underpinned by humanitarian principles) was also recently evidenced by WFP’s contribution to the establishment of a Center of Competence on Humanitarian Negotiation (CoC) in collaboration with ICRC, UNHCR, MSF

⁸³ UNGA A/RES/70/1. Transforming our world: the 2030 Agenda for Sustainable Development. 21 October 2015. para. 23

⁸⁴ UNGA A/70/709. Report of the Secretary General for the World Humanitarian Summit. One humanity: shared responsibility. 2 February 2016. p.15.

⁸⁵ UNGA A/71/353. Report of the Secretary General “Outcome of the World Humanitarian Summit” 23 August 2016. p.6.

⁸⁶ NRC and Handicap International “Challenges to Principled Humanitarian Action: Perspectives from Four Countries”, July 2016. P.9

⁸⁷ Centre of Competence on Humanitarian Negotiation. Concept Paper. 2016. p.1

⁸⁸ UNEG. Reflecting Humanitarian Principles in Evaluation. April 2016. p.43

and the Centre for Humanitarian Dialogue in October 2016. Through the scoping exercise that preceded the development of this TOR, consulted WFP staff confirmed that humanitarian principles and access were of the utmost importance for WFP's operations and standing in the international system and identified a range of benefits and added values in conducting this evaluation contributing both to organizational learning and greater accountability (see section 2.2).

2.2. Objectives

15. All evaluations serve the dual objectives of accountability and learning. As such, the evaluation will:

Accountability to affected populations, members states and donors

- Assess the level of awareness and understanding among staff members of WFP core humanitarian principles and principled access as well as determine whether WFP has appropriate capacities and processes for supporting complex decisions that may involve trade-offs or compromises; external perceptions of WFP's current commitment to humanitarian principles and ability to preserve a principled approach; and possible relationships between WFP's adherence to humanitarian principles, access level and staff and beneficiaries' exposure to security risks.
- Demonstrate whether and how WFP proactively addresses difficult and sensitive issues and follows up on its commitments to humanitarian principles.
- Assess the quality of WFP's policy framework relating to humanitarian principles and access and their adequacy taking into account changes in the humanitarian landscape.

Learning

- Strengthen WFP's ability to adhere to humanitarian principles and preserve principled action and access by enabling exchange and peer learning among field staff involved in critical decisions and frontline negotiations; by identifying internal enablers and constraints and suggesting measures to address them.
- Inform WFP's advocacy strategies by analysis of external enablers and constraints to principled humanitarian action and access.
- Refine operational guidance on humanitarian principles and access, training and corporate support processes.
- Generate contributions to inter-agency learning and global debates and the Centre of Competence on Humanitarian Negotiations.

2.3. Stakeholders and Users of the Evaluation

16. A number of stakeholders both inside and outside of WFP have interests in the results of the evaluation and many of these will be asked to play a role in the evaluation process (see further details on the composition of evaluation reference and advisory groups in Annex 6). The evaluation team will undertake a full stakeholder analysis during the inception phase of the evaluation. Internal and external stakeholders have initially been identified as follows:
17. **Internal stakeholders.** The Emergencies and Transitions Unit (OSZPH) within the Policy and Programme Division carries the main responsibility for designing the policies on humanitarian principles and access, supporting their operationalization and providing guidance to regional bureaux and country offices. In October 2015, an Advisory Group on Access was established to facilitate cross-divisional collaboration and promote a systematic and coherent approach to access. This group is composed of the Programme Policy Division, the Field Security Division, the Emergency Preparedness and Response Division and the Supply Chain Division. These groups will play a major role in the evaluation process in terms of helping to focus the evaluation, providing access to records and information, actively take part to and support the learning component and serving as key informants. Of paramount importance are country offices which are responsible for the country level planning and operations implementation, and are directly involved as frontline negotiators as well as the regional bureaux responsible for the oversight and support to country offices. Finally, WFP Management and the Executive Board are a key audience to the evaluation as key decision makers on risk management. They will be expected to inform the evaluation throughout its process.
18. **External stakeholders.** At global level the Inter-agency Standing Committee (IASC) Reference Group on Principled Humanitarian Action, the UN Emergency Relief Coordinator (ERC) and OCHA are key stakeholders considering their roles in facilitating access on behalf of

humanitarian organizations. In addition, other UN agencies facing similar challenges and constraints such as UNHCR and UNICEF are likely to be interested in this evaluation. The Center of Competence on Humanitarian Negotiation jointly established by ICRC, MSF, UNHCR and WFP would have an interest in learning from the results of the evaluation to strengthen its efforts to capture the diversity of approaches and methods for negotiation and inform practice. The evaluation approach and deliverables have been conceived to be highly complementary with the activities planned by the Center. Similarly at country level the HC/RC, OCHA and the partner agencies in the humanitarian response are the key stakeholders. As the ultimate recipients, affected populations have a stake in the evaluation and their perspectives on WFP's ability to preserve a principled approach will be sought. WFP key donors will certainly have a keen interest in the evaluation findings. All these external stakeholders will also be key informants to the evaluation and will be expected to contribute their perspective on how they perceive WFP's commitment to humanitarian principles and its ability to preserve a principled approach compared to other organisations. Finally, the UNEG Humanitarian Evaluation Interest Group (HEIG) may also contribute to and benefit from this evaluation from a methodological point of view as it embarks on the development of guidance on the evaluation of humanitarian principles.

19. **Expected users.** The primary expected users are: i) WFP management, Advisory Group on Access and the Policy and Programme Division who will be responsible for taking action, on the basis of the evidence and recommendations provided by the evaluation, to further improve WFP organizational frameworks, systems, guidance, processes and capacities; ii) WFP Executive Board, who will have the opportunity to review and discuss the evaluation conclusions and recommendations as well as the corresponding Management Response; iii) Donors supporting WFP, who will be informed in a transparent and credible manner on WFP's principled action and may benefit from the evaluation by understanding the impact of some donors' legislations and policies on WFP's ability to reach populations in need; and iv) United Nations Humanitarian Country Teams as well as the IASC Reference Group on Principled Humanitarian Action at corporate level may draw from the evaluation findings, conclusions and recommendations to improve harmonized action.

3. Subject of the Evaluation

3.1. WFP's Policies on Humanitarian Principles and Access in Humanitarian Contexts

20. In line with the UNGA resolutions, WFP defined its core humanitarian principles as follows:⁸⁹
 - a) **Humanity.** WFP will seek to prevent and alleviate human suffering wherever it is found and respond with food aid as appropriate. It will provide assistance in ways that respect life, health and dignity.
 - b) **Impartiality.** WFP's assistance will be guided solely by need and will not discriminate in terms of ethnic origin, nationality, political opinion, gender, race or religion. In a country, assistance will be targeted to those most at risk from the consequences of food shortages, following a sound assessment that considers the different needs and vulnerabilities of women, men and children.
 - c) **Neutrality.** WFP will avoid taking sides in a conflict and will not engage in controversies of a political, racial, religious or ideological nature. Aid will not be provided to active combatants.
 - d) **Operational Independence:** WFP will provide assistance in a manner that is operationally independent of the political, economic, military or other objectives that any actor may hold with regard to areas where such assistance is being provided.⁹⁰
21. WFP's 2004 Policy Statement on Humanitarian Principles also includes seven standards for WFP's humanitarian action: respect for the sovereignty, territorial integrity and unity of the State in which WFP is working; self-reliance; participation; capacity-building; coordination; accountability; and professionalism (see definitions in Annex 5). These principles and standards constitute normative and moral obligation for WFP, cooperating partners and staff. Their objective is to ensure more positive humanitarian outcomes and, at a minimum, to prevent assistance from causing further harm to affected populations.

⁸⁹ These definitions have evolved over time. As such, the concept of "food aid" has been replaced by "food assistance". Under impartiality, the reference to "from the consequences of food shortages" has been taken out.

⁹⁰ While operational independence is not one of the core humanitarian principles listed in WFP's policy, it has been affirmed by the organisation in the [2014-2017 and 2017-2021 Strategic Plans](#) and is consistent with UNGA Resolution 58/114 (see para 6 of this ToR).

22. The 2006 Policy Document “Note on Humanitarian Access and its Implications for WFP” defines access as follows: “the free and unimpeded movement of humanitarian personnel to deliver relief services, or the free and safe movement of humanitarian agencies to reach civilians who are trapped, unable to move or detained because of armed conflict, natural disasters and other difficult access situations. Humanitarian access allows impartial assessment of the needs of populations at risk and the delivery of assistance to respond to those needs. Access is therefore a precondition to humanitarian action”.⁹¹ The state has the primary responsibility for meeting the needs of crisis-affected civilians. If it cannot respond, its government or the United Nations Secretary-General may ask for WFP’s assistance in the form of food assistance or logistics support. The note does not prescribe a standard WFP approach to access: every case is situation-specific and demands flexibility and creativity to balance needs and safety issues. Ensuring safe access requires sound situation analysis and security-risk management, adherence to international law and humanitarian principles of humanity, impartiality, neutrality and operational independence, coordination and partnerships among stakeholders, and advocacy at various levels. It also describes the responsibilities within the UN system: Humanitarian Coordinators lead strategic and high-level advocacy and negotiations for access; simultaneously, WFP often negotiates permission for its own operations to ensure that timely assistance can be delivered across borders and conflict lines, especially when food insecurity is a major element of the crisis or when WFP is working on behalf of other humanitarian actors, for example, as the logistics cluster lead. Where there are peacekeeping or special political missions, WFP approach to securing access should be coherent with the policy of UN integration. In all cases, WFP ensures that governments and other parties are informed of and in agreement with its activities.
23. WFP’s Protection Policy approved in 2012 further stipulates that “WFP’s food assistance processes – including negotiations for humanitarian access, advocacy, partnerships, and delivery mechanisms – will be pursued in accordance with humanitarian principles and international law. WFP food assistance will be provided in ways that aim to support the protection of conflict- and disaster-affected populations and, at the very least, will not expose people to further harm.”⁹²
24. A 2014 ECHO evaluation assessed the extent to which the implementation of the European Consensus on Humanitarian Aid had contributed to promoting and upholding the fundamental humanitarian principles, promoting international humanitarian law (IHL) and respecting the distinct nature of humanitarian aid.⁹³ The evaluation concluded that “overall the EU – and DG ECHO in particular – was widely perceived as a principled humanitarian actor in compliance with IHL. The implementation of the European Consensus was cited as one factor among others that helped to encourage and increased focus on humanitarian principles among Member States. Application of the principles in the field varied between EU actors, most notably in crises that created tension between access to those in need and the principle of neutrality.” Some interlocutors questioned the feasibility of the principles in complex emergencies, citing the example of the 2010 floods in the Federally Administered Tribal Areas of Pakistan, where assistance could only be channelled through the Pakistani government. The concentration of aid to newly liberated zones from Al Shabaab in Somalia, or to areas of Syria controlled by President Assad, were also provided as examples where humanitarian needs conflict with the principle of neutrality.
25. The 2012 thematic evaluation and review of humanitarian access strategies in DG ECHO-funded interventions concluded that there are no simple solution for increasing access. “What works to increase access in one context can be counterproductive in another.”⁹⁴ However, important lessons were identified and should be systematically considered: i) how to avoid risk transfer to field staff, partners and beneficiaries, ii) how to build acceptance, iii) how to ensure that field staff have the necessary skills and experience, iv) what to do when access deteriorates, v) how to adapt monitoring to remote management, and vi) how to deliver outputs as directly as possible and locate senior staff as close as possible to the area of intervention.

3.2. Overview of WFP Arrangements and Activities for Policy Implementation

26. Table 1 below outlines the key milestones that led to and informed the formulation and approval of the policy documents on Humanitarian Principles (2004) and the Note on Humanitarian

⁹¹ WFP/EB.1/2006/5-B/Rev.1

⁹² WFP/EB.1/2012/5-B/Rev.1

⁹³ ECHO/Analysis for Economic Decision, Evaluation of the implementation of the European Consensus on Humanitarian Aid, Final Report. June 2014. P 55.

⁹⁴ GPPI, Thematic evaluation and review of humanitarian access strategies in DG ECHO-funded interventions, June 2012. p.9

Access and its implications (2006), as well as the arrangements put in place to guide and support their implementation.

Table 1: Key milestones in WFP’s normative and guidance framework supporting adherence to humanitarian principles and enabling access

When	What	Description
1999-2000	Internal review composed of a series of country case studies on access negotiation	Aimed to analyse WFP approaches to overcoming access constraints, feed into interagency discussions on this topic and provide broad parameters and guidance for staff.
Sept 2001	Food Aid in Conflict workshop	Aimed to better understand the key issues faced by staff when planning and implementing programmes in complex emergencies.
May 2002	WFP info pack on Access negotiation	Included background information on humanitarian access, broad parameters to guide WFP's approach to access issues and suggested strategies to address difficulties accessing vulnerable people or areas in emergency and protracted relief and recovery operations.
2003	WFP's Experience in Working with the Military	Collated examples of WFP's experience in working with the military; and aimed to generate ideas to further WFP's internal and inter-agency discussions on developing policy and operational guidelines for interacting with the military.
1999-2004	UN-CM Coord/ Civil-Military Exercises/ Training	Aimed to further increase WFP staff's understanding of respective principles, mandates and structures of the civil and military communities
Feb 2004	Approval of Policy on Humanitarian Principles	Principles and standards constitute normative and moral obligation for WFP, other humanitarian agencies and their staff to ensure more positive humanitarian outcomes and, at a minimum, to prevent assistance from causing further harm to affected populations
2004-2005	Research work on access	Debrief of staff who have extensive experience with humanitarian access in order to consolidate lessons and practices and feed into approaches in other regions and countries. Publication of WFP/UNU/Tufts University book on humanitarian diplomacy
2005- Ongoing	Training on access negotiations	As part of WFP's emergency response, protection, Logistics Cluster (in Brindisi) and Leadership (for CDs) trainings.
2005 – 2008	Protection Project	Included global training of staff on International Law and access negotiations
2006	EB Policy - Note on Humanitarian Access and its implications	Aimed to explain the challenges faced by WFP in securing humanitarian access in conflict and non-conflict emergencies and to describe WFP's role and approach, within the wider UN and humanitarian community, in ensuring safe and secure access
November 2007	WFP Strategic Plan (2008-2013)	Re-affirmed WFP's commitment to the humanitarian principles as defined in the 2004 Statement.

When	What	Description
2009 (developed in 2008)	Training Manual on Protection in WFP Operations	Aimed to provide trainers with the necessary guidance materials to conceptualise, organise and deliver a training workshop on protection in the context of WFP's work.
June 2009	Conference on Humanitarian Assistance in Conflict and Complex Emergencies	Convened by WFP, the conference on Humanitarian Assistance in Conflict and Complex Emergencies gathered WFP senior staff and country directors, other UN officials, academics, thinkers and practitioners to consider how WFP can meet the needs of vulnerable communities in the shifting humanitarian context of conflicts and complex emergencies. Critical areas of engagement were discussed, including: (i) United Nations and integrated missions, and their impact on humanitarian space; (ii) non-state actors and security, and their impact on humanitarian space; and (iii) protection, the rights agenda, principled humanitarian action and advocacy.
Feb 2012	Approval of WFP humanitarian protection policy	Outlined what humanitarian protection means for WFP, and proposed directions for sustainable engagement aimed at making WFP's presence safer and its assistance safer and more dignified. Based on the principle that WFP's food assistance processes should be pursued in accordance with humanitarian principles and international law.
Nov 2013	WFP Strategic Plan (2014-2017)	Reaffirms WFP's commitment to the humanitarian principles of humanity, neutrality, impartiality and operational independence.
Nov 2013	EB Policy - WFP Peacebuilding Policy	Established the parameters of WFP's engagement in peacebuilding, reaffirming the Do No Harm principle and supporting national priorities where possible, but following humanitarian principles where conflict continues
Dec 2013	Operational Guidance on Civil-Military Coordination	To provide WFP personnel at all levels with a basic knowledge of the global civil-military environment to assist in their preparation for, and response to, natural disasters and/or man-made emergencies where military forces are deployed.
May 2014	Approval of the Update on Implementation of the Protection Policy	Focused on achievements and lessons learned across WFP in each of the six elements of the policy: i) staff capacity development; ii) context and protection risk analysis; iii) integration into programme design and implementation; iv) incorporation into programme tools; v) protection information management; and vi) partnerships.
Oct 2015	Update on WFP Peacebuilding Policy	Focused on early results in: i) conducting risk analysis, ii) using conflict-sensitive programming and iii) engaging with peacebuilding partners; to continue to ensure that WFP's food assistance programmes avoid to do harm
Sept-Dec 2014	Summary report/review on "Perspectives on Humanitarian Access: Summary of Interviews"	Included interviews with over 75 WFP staff in COs, RBs and HQ on access challenges faced in providing principled humanitarian assistance, the approaches adopted, and lessons.
Feb 2015	Access workshop	Held in Rome, gathered 16 WFP staff involved in access negotiations to share recent experience in emergency settings.

When	What	Description
June 2015-current	Director-Level Advisory Group on Access	Establishment of an inter-functional group with three objectives: (1) promote a more systematic, comprehensive and coordinated approach on access vertically and horizontally across divisions and functional areas; (2) serve as a support cell for targeted requests from RBs and COs, and; (3) lead efforts to strengthen WFP's knowledge and capabilities on access.
Sept 2015 - current	Technical Access Cell	<p>Aimed to assist in developing strategies for Director-Level Advisory Group on Access initiative and support activities, including among other others:</p> <ul style="list-style-type: none"> - inclusion of access related issues in WFP Emergency Preparedness and Response Package. - Set up of an informal professional network on access : to review and contribute to the development of initiatives on access, provide an additional pool of support to personnel and country offices seeking advice and guidance on access challenges and dilemmas, and to share experiences - In-country support field mission on access. Conducted in collaboration with the Centre of Competence on Humanitarian Negotiations. 4 COs now have developed an access strategy, one CO has produced an actor mapping report and 4 COs have developed a power-broker map. Remote advice provided to 6 COs/RB and direct field support to 3 COs. - Finalization of WFP Operational Guidance on Humanitarian Access (draft available) - Training on Access: Inter-active training package on access and negotiations developed to build the capacities of WFP and partner personnel to develop and effectively implement access strategies. Delivered in 2016 in 4 locations. In total, trained over 100 WFP and partner staff on access strategies and 48 WFP and UNICEF staff on humanitarian access negotiations.
2016-ongoing	Establishment of a professional network and Community of Practice	Through the Centre of Competence on Humanitarian Negotiations, aimed to be used as a central hub where humanitarian practitioners can share experiences and lessons, develop joint tools and initiatives and provide mutual support

3.3. Potential Risks Associated with the Evaluation

27. Conducting an evaluation of WFP's policies framing such politically and operationally-sensitive areas as principled humanitarian action and access entails risks. These, together with associated mitigating actions were identified and consulted on during the scoping and evaluability assessment for this evaluation. These risks include:
- Increase security risks for staff, partners and communities and threaten WFP's license to operate in certain countries or areas
 - Increase reputational and related financial risks due to 'zero tolerance' donor policies
 - Trigger overly restrictive rules
 - The evaluation may not be perceived as credible.

28. Equally, the reputational and operational risks involved in not conducting this evaluation were considered, together with the potential missed opportunities: WFP could be exposed to reputational risk by failing to proactively evaluate the increasingly prominent issues around principled humanitarian action and access; operationally, ongoing efforts to improve WFP’s capacities and processes for handling decisions involving humanitarian principles, including access negotiations, would not benefit from the evidence and insights provided by independent evaluation, thus undermining WFP’s ability to preserve a principled humanitarian action in the medium- to long-term. This evaluation was found to be highly relevant in the present context, and the vast majority of consulted stakeholders saw many potential uses and important added values in the exercise. These opportunities would be missed if no evaluation would be conducted. A full risk analysis is available in annex 7.

3.4. Evaluation Approach and Scope

29. To manage and mitigate the risks summarised in section 3.3, and achieve the expected evaluation uses listed in section 2.3, this evaluation will follow a phased approach, starting with a confidential research and learning component. Described in table 2, component 1 will enable staff involved in critical programmatic decisions and frontline access negotiations to exchange experiences and lessons in a safe and highly confidential environment. It will also create a pooled (and decontextualized) evidence base from which to examine factors enabling and constraining principled humanitarian action and access. Drawing from the detailed learning, Component 2 will systematically address the 3 main evaluation questions and contribute to WFP’s internal and external accountability. This approach is deemed essential to achieve the objectives of the evaluation listed in section 2.2. Table 2 also provides an overview of the respective outputs, key evaluation questions, key stakeholders and users and timeframe of the two components.

Table 2: Proposed Approach

Component 1: Confidential research and learning	Component 2: Evaluation
Outputs In-depth global context analysis Highly confidential interviews with current and former WFP and partner staff; Learning events for WFP’s frontline negotiators and decision makers; Restricted and confidential knowledge bank on approaches to securing access and implications for principled actions; Anonymized and decontextualized summary briefs (focussing on specific sub-themes)	Outputs 35. Reconstructed theory of change; 36. Inception report covering both components 37. Evaluation report including findings, conclusions and recommendations
Main guiding questions What trade-offs and dilemmas did you encounter relating to humanitarian principles and access? To what extent did humanitarian principles guide your decision-making and how? How adequate were WFP’s processes, guidance and capacities for handling the situation?	Key evaluation questions 43. What is the quality of the policy framework? 44. What are the results of the policy framework with respect to influencing and guiding relevant decisions, perception and reputation, encouraging principled humanitarian action as well as influencing WFP’s level of field access?

What enablers and constraints for taking principled decisions were present? What advice would you give to other staff whether frontline negotiators or senior managers?	45. What are the most important enabling and constraining factors for principled humanitarian action and access?
Stakeholders and users 46. Current and former WFP staff involved in critical programmatic decisions and access negotiations.	Stakeholders and users WFP senior management, current and former staff, government and NGO partners, donors, Board members, other UN partners, academia, civil society and affected populations
Geographic focus Complex emergencies with strong to severe challenges for humanitarian principles and access	Geographic focus Decontextualized data on enablers and constraints from the research and learning component. Global level data
Evaluation Reference Period <ul style="list-style-type: none"> • Between 2004 (adoption of the humanitarian principles policy document) and 2017. • The learning component is expected to include historical negotiation cases (2004 to 2017). • The evaluation component is expected to have a stronger focus on the past three to five years due to challenges in accessing historical data and limited institutional memory. 	

51. To ensure that the evaluation delivers the greatest possible benefits while mitigating the identified risks, the overall scope of the policy evaluation will focus on WFP organizational frameworks, systems, guidance, processes and capacities.
52. The evaluation will:
- Assess the quality of WFP's policy framework including implementation measures for humanitarian principles and access (Question 1);
 - Establish the extent to which WFP's approach to and application of the humanitarian principles affects its reputation; level of access; and staff and beneficiaries' exposure to security risks (Question 2);
 - Identify factors within and beyond the control of WFP that enable or constrain principled humanitarian action and access (Question 3).
53. The following will not be considered as in-scope of this evaluation:
- While the confidential research and learning component will reflect on individual negotiations or case-specific decisions, those will not be assessed under Component 2 in order not to compromise the security of staff, partners and affected communities, or put WFP's operations at risk.
 - The evaluation is not intended to facilitate the identification of universally applicable "red lines" or similar guidance, considering the appropriateness of decisions is to a great extent specific to each operational context.
 - Without prejudice to findings emanating from the evaluation process, the evaluation will not conduct a specific analysis of the risks involved in mobile data collection; this will be covered in a forthcoming WFP strategic evaluation of remote management approaches scheduled to start in 2017.
54. To avoid duplication and maximize complementarities, the respective scopes of the evaluation of WFP's policies on humanitarian principles and access in humanitarian contexts and the evaluation of WFP's protection policy have been carefully delineated during the scoping exercise. The following thematic overlaps were identified: i) staff's analytical capacity; ii) the principle of impartiality / non-discrimination; iii) level of staff and partner awareness of the humanitarian principles and key concepts; iv) advocacy; and v) partnerships.

For each of them, the respective focus of the two evaluations is set out in Annex 3. The two evaluations are distinct in their approaches and timelines and will be conducted separately. However, synergies between the two processes will be ensured through management by a single evaluation manager, some common membership of the reference groups, and close coordination between the two independent evaluation teams. It is expected that the findings of the evaluation of WFP's protection policy may inform this evaluation.

4. Evaluation Questions and Methodology

4.1 Evaluability Assessment

Evaluability is the extent to which an activity or a programme can be evaluated in a reliable and credible fashion. It necessitates that a policy, intervention or operation provides: (a) a clear description of the situation before or at its start that can be used as reference point to determine or measure change; (b) a clear statement of intended outcomes, i.e. the desired changes that should be observable once implementation is under way or completed; (c) a set of clearly defined and appropriate indicators with which to measure changes; and (d) a defined timeframe by which outcomes should be occurring.

55. A preliminary evaluability assessment is provided below and will be deepened during the inception phase to inform selection of appropriate methods and ensure that the evaluation questions and sub-questions are systematically addressed. The main limitations relate to the lack of an existing, explicit theory of change for the policy documents under investigation, as well as gaps in the availability of certain data as follows:
- Staff and partners involved in negotiations and in decisions potentially involving trade-offs between different principles or between principles and access may not be willing to share relevant information or data for fear of negative consequences for their security, the projects they are responsible for, or their career.
 - The results of any perceptions surveys applied in the evaluation will need to be analysed with caution due to the likelihood of incomplete data, data gaps, respondent and temporal bias. To be fully inclusive and engage with national cooperating partners, affected populations as well as state and non-state actors, country visits will be required to complement and triangulate any electronic survey-based data.
 - Datasets with relevant data, e.g. on WFP's current level of field access, may not be accessible and/or not complete. The team will explore the potential use of the database generated by the 2014-2016 Secure Access in Volatile Environments research programme by Humanitarian Outcomes and GPPi.⁹⁵ The potential use and suitability of other databases (e.g. UNDSS incident database and OCHA access database) by the evaluation team is being investigated as part of the preparation for this evaluation; even where access is granted, available data may be incomplete, not disaggregated by agency and/or not fully comparable.
 - Comparisons with the policies and practices of other organisations may be limited as only few comparable assessments have been carried out (including for example a 2012 evaluation of OCHA's role in humanitarian civil-military coordination and a 2012 thematic evaluation and review of humanitarian access strategies in DG ECHO-funded interventions). In addition, other

⁹⁵ GPPi and Humanitarian Outcomes, Secure Access in Volatile Environments (SAVE), 2014-2016.

agencies may not be willing to provide relevant documents to the evaluation team and, given the sensitivity of the topics, might offer either partial or biased information.

- While a theory of change has not yet been made explicit, the objectives of the relevant policy documents are fairly clearly defined. On this basis, as well as selected interviews, it should be possible to reconstruct a plausible theory of change. In addition, the evaluation focuses strongly on the results level (EQ2) and complements this with an open-ended enquiry into the factors key stakeholders deem as most important for enabling or constraining positive results. These assessments can be carried out in a credible fashion even if a theory of change is absent or imperfect.
- The evaluation will include a confidential research and learning component, which is deemed essential in creating a safe space allowing involved staff and partners to provide sensitive data and information. Special confidentiality measures, going beyond standard procedures for policy evaluations, will be put in place.
- The gaps and other limitations in external data sources are most pertinent to EQ2 (what are the results of the policies). The sub-questions for EQ2 cover multiple parallel indicators or proxy indicators for those results. Even if it may not be possible to credibly answer all sub-questions, the evaluation should be in a position to answer the overall question of where WFP stands with respect to principles and access.

4.2 Evaluation Questions

56. Drawing on available evidence, the evaluation will address the following three questions as outlined in table 3. They will be further detailed in an evaluation matrix to be developed by the evaluation team during the inception phase. Collectively, the questions aim to generate evaluation insights and evidence that will support the successful application of UN humanitarian principles by WFP; help the organization secure access; and thereby maximize its humanitarian contribution.

Table 3: Evaluation questions

<p>Question 1. What is the quality of the policies and associated guidance?⁹⁶</p>	<p>(1) Are the policies and their provisions coherent and consistent, including with other policies notably on risk management and normative frameworks? (2) How are tensions and potential trade-offs between norms and principles addressed in the policies and guidance? (3) Was the design of the policy documents informed by adequate research and analysis? (4) How does WFP’s policy framework in this area compare to that of other humanitarian organisations? (5) How relevant are the policy documents and the principles they embody in a changing global context?</p>
<p>Question 2. What are the results of the policies?</p>	<p>(1) To what extent are staff members aware of the humanitarian principles, and share a common understanding of them? (2) To what extent do staff feel empowered, capable and supported to operationalise them? (3) To what extent have WFP organizational frameworks, systems, guidance, processes and capacities supported the operationalization of the policies and encouraged principled action?</p>

⁹⁶ The evaluation team may consider additional criteria for evaluating the quality of the policy framework.

	<p>(4) How do staff, partners, donors, host governments, non-state actors and affected populations perceive WFP's commitment to the humanitarian principles and its ability to preserve a principled approach compared to other organisations?</p> <p>(5) Is there any evidence of a relationship between WFP's adherence to humanitarian principles, access levels and staff and beneficiary exposure to security risks?</p> <p>(6) Has the policy framework had any unintended effects?</p>
Question 3. What are the most important enablers and constraints?	<p>(1) Which internal factors enable or constrain principled humanitarian action and access (e.g. capacities, systems, processes, incentives, type of programme and transfer modality, security arrangements, and risks management strategies)?</p> <p>(2) Which external factors enable or constrain principled humanitarian action and access (e.g. country context, overall level of funding, donor flexibility, counterterrorism clauses in contribution or partnership agreements, coordination among aid agencies...)?</p> <p>(3) What measures has WFP implemented to maximize enablers and address constraints and how effective were they?</p> <p>(4) What can the organization learn from these enabling and constraining factors to improve its application of humanitarian principles and access?</p>

57. These evaluation questions will form the basis of a comprehensive evaluation matrix including further sub-questions as appropriate, data-sources and proposed analysis, to be developed by the evaluation team during the inception phase. Gender and other relevant socio-economic factors will be addressed in each line of inquiry where appropriate.

4.3 Methodology

Amongst other issues, this evaluation will examine the extent to which gender and equity dimensions are integrated into WFP's policies, systems and processes.

58. The evaluation will employ relevant internationally agreed evaluation criteria including those of relevance, coherence (internal and external), effectiveness and connectedness.

59. **Methodology.** At the inception stage, the evaluation team will articulate a theory of change to facilitate further development of the evaluation matrix and tools. Based on this, the evaluation team will develop the most appropriate and credible methodology to address the above evaluation questions in a way that serves the dual objectives of accountability and learning, while managing the risks identified in 3.3. The methodology should:

- Specify how gender and other structural socio-economic factors will be addressed;
- Take into account the limitations to evaluability pointed out in 4.1 as well as budget and time constraints.
- Review the key risks, mitigation measures and confidentiality arrangements identified and further refine appropriate management measures.

60. The methodology should demonstrate impartiality and absence of biases by relying on a range of information sources (from various stakeholder groups) and using a mixed methodological approach (e.g. quantitative, qualitative and participatory) to ensure triangulation of information through a variety of means.

61. **Benchmarking.** It will be used to situate WFP's policy framework within those of other UN humanitarian agencies, focusing on the identification of commonalities and differences and on the extraction of learning and good practices.

4.4 Quality Assurance

62. WFP’s evaluation quality assurance system (EQAS) is based on the UNEG norms and standards and good practice of the international evaluation community (ALNAP and DAC). It sets out processes with in-built steps for quality assurance and templates for evaluation products. It also includes quality assurance of evaluation reports (inception, full and summary reports) based on standardised checklists. EQAS will be systematically applied during the course of this evaluation and relevant documents provided to the evaluation team. The evaluation manager will conduct the first level quality assurance, while the Director of Evaluation will conduct the second level review. This quality assurance process does not interfere with the views and independence of the evaluation team, but ensures the report provides the necessary evidence in a clear and convincing way and draws its conclusions on that basis.
63. The evaluation team will be required to ensure the quality of data (validity, consistency and accuracy) throughout the analytical and reporting phases.
64. To enhance the quality and credibility of this evaluation, an External Advisory Group (EAG) composed of key experts in evaluation and the subject matter will provide further quality assurance to the evaluation, will comment on the draft inception and evaluation reports and provide inputs at key stages in the evaluation process (see Annex 6 for more information on the EAG membership).

5. Organization of the Evaluation

5.1. Phases and Deliverables

Table 4: Timeline summary of the key evaluation milestones

Main Phases	Timeline	Tasks and Deliverables
1. Inception	Dec 2016- April 2017	Literature and document review Briefing and consultations Inception Mission Inception report (draft and final) Platform for confidential knowledge bank set up
2. Confidential Research and Learning	May 2017 – August 2018	Global context analysis Confidential Staff Interviews Regional learning workshops Set up and population of restricted access knowledge database Thematic summary briefs
3. Evaluation	May 2017 – Feb 2018	Media and social analysis Perception surveys Country field visits Research on enablers and constraints External stakeholders interviews Learning events and workshop
4. Reporting	Feb – Aug 2018	Draft Evaluation Report and matrix of comments Stakeholders workshops Final Evaluation Report Summary Evaluation Report for presentation to EB2/18

5.2. Evaluation Team

85. The evaluation will be conducted by a team of external consultants, expected to include around 4 members with an appropriate balance of expertise in

evaluation methodologies and relevant contextual and technical skills as detailed below.

86. The Team Leader will report to OEV's Evaluation Manager. S/he will have strong evaluation experience of humanitarian response in complex environments, humanitarian principles and access negotiations, as well as the ability to undertake and effectively communicate credible strategic analysis.
87. His/her responsibilities include: ensuring appropriate, credible, and ethical methodology and approach; conducting the confidential interviews with WFP staff and partners, guiding and managing the team during each phase of the evaluation process; consolidating and quality assuring team members' contribution to the evaluation deliverables; representing the evaluation team in meetings with stakeholders; contact point between the team and designated OEV Evaluation Manager; delivering the reports to the standards and expectations set out in this TOR and further confirmed in the approved inception report, in compliance with associated quality assurance systems operated by OEV (EQAS).
88. Other team members will include: i) a high profile and experienced academic who will be responsible for carrying out a global context analysis as well as providing advice/ on the methodology as part of the inception report, summary brief and draft evaluation report; and ii) a researcher with very good quantitative data analysis skills.
89. Team members will report to the Team Leader. Together they should present strong expertise in humanitarian principles and access negotiations; ability to process large amount of qualitative and quantitative data; good interpersonal skills in order to generate confidence in the confidentiality and approach for the evaluation; very strong facilitation experience and skills to deliver success learning workshops/ events; team working; excellent analytical and writing skills; fluency in English and French (knowledge of Arabic would be an asset). The report will be written in English.
90. Members of the team will act impartially and respect the code of conduct of the profession notably the 2005 UNEG norms and Standards and the 2007 UNEG ethical guidelines. Strict adherence to special confidentiality measures will be crucial.

5.3. Roles and Responsibilities

91. This evaluation is managed by OEV. Gaby Duffy, Evaluation Officer, has been appointed as evaluation manager. The evaluation manager has not worked on issues associated with the subject of evaluation in the past. She is responsible for drafting the TOR; selecting and contracting the evaluation team; preparing and managing the budget; setting up the review group; organizing the team briefing in HQ; identifying the list of WFP staff for confidential interviews; facilitating the set up of the confidential knowledge bank; assisting in the preparation of the field missions; conducting the first level quality assurance of the evaluation products and consolidating comments from stakeholders on the various evaluation products. She will also be the main interlocutor between the evaluation team, represented by the team leader, and WFP counterparts to ensure a smooth implementation process.
92. WFP stakeholders at CO, RB and HQ levels are expected to provide information necessary to the evaluation; be available to the evaluation team to discuss the programme, its performance and results; facilitate the evaluation team's contacts with stakeholders in selected countries; set up meetings and field

visits, organise for interpretation if required and provide logistic support during the fieldwork. A detailed consultation schedule will be presented by the evaluation team in the Inception Report.

93. The active engagement of WFP's Emergencies and Transitions Unit in the learning component will be sought. However, to ensure the independence of the evaluation, WFP staff will not be part of the evaluation team or participate in meetings where their presence could bias the responses of the stakeholders. An Internal Reference Group (IRG) will be established to ensure key internal stakeholders are involved throughout the evaluation process and provide inputs at key stages.

5.4. Communication

It is important that Evaluation Reports are accessible to a wide audience, as foreseen in the Evaluation Policy, to ensure the credibility of WFP – through transparent reporting – and the usefulness of evaluations. The dissemination strategy will consider from the stakeholder analysis who to disseminate to, involve and identify the users of the evaluation, duty bearers, implementers, beneficiaries, including gender perspectives.

94. The communication plan is articulated around the following elements (See more details in Annex 2):
95. **Briefs.** To facilitate communication about the evaluation process, briefs on the TOR and inception report will be prepared and shared with relevant stakeholders for information prior to visits or interviews.
96. **Briefings and debriefings.** These will be organised all along the evaluation process especially at the inception stage as well as at the start and end of each country visit; to internal and external reference groups, and senior management as appropriate
97. **Regional learning events:** These will be organised following the confidential staff interviews to allow COs staff to share their experience. Key members of the Technical Access Cell would participate.
98. **Final global workshop.** In order to elicit feedback on the findings and exchanges around the conclusions and draft recommendations emerging from the data analysis, a workshop will be organised with the Internal Reference Group.
99. **Dissemination of the findings.** a SER and an evaluation brief will be prepared to enhance the dissemination of the findings. The ER, SER, the Management Response and the evaluation brief will be public and posted on the WFP external website (www.wfp.org/evaluation).

5.5. Budget

100. The evaluation will be financed from OEV's Programme Support and Administrative budget.

Annex 1: Detailed Evaluation Timeline

		16	2017												2018											
		12	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	
Phase 1 - Inception																										
Desk review	Team																									
Interviews with selected HQ, RB, CO staff and key	EM&Team																									
HQ Briefing in Rome	EM&Team																									
Submit Draft Inception Report (IR) to OEV	TL																									
OEV quality assurance and feedback	EM																									
Submit revised draft IR (D1) to OEV.	TL																									
OEV quality assurance and Share IR with IRG for their feedback. OEV consolidate all comments in matrix and share them with team	EM																									
Submit revised IR	TL																									
Circulate final IR to WFP key Stakeholders for their information + post a copy on intranet.	EM																									
Platform for confidential knowledge bank set up	EM&Team																									
Phase 2 - Confidential Research and Learning Component																										
Highly confidential interviews with key WFP staff at CO and RB level	Team																									
Development and population of restricted confidential knowledge bank	Team																									
Regional learning workshops	Team																									
Anonymized and decontextualized thematic briefs	Team																									
Phase 3 - Evaluation Phase																										
Media and social media analysis	Team																									
Perception surveys	Team																									
Affected population surveys	Team																									
Fieldwork. Internal briefings with CO and RB	Team																									
Phase 4 - Reporting																										
Submit draft 0 Evaluation Report (ER) to OEV (after company's quality check)	TL																									
OEV quality feedback sent to the team	EM																									
Submit revised draft 1 ER to OEV	TL																									
DoE clears draft ER and shares it with WFP stakeholders (IRG) for comment	EM/DoE																									
OEV consolidate all WFP's comments (matrix), and share them with team	EM																									
Stakeholder workshop on overall findings and recommendations	EM / TL																									
Submit revised draft 2 ER to OEV based on the WFP's comments, and team's comments on the matrix of comments.	TL																									
Review matrix and ER, share D2 with EAG. OEV consolidate comments received from EAG and share with evaluation team	EM																									
Submit revised draft 3 ER and draft Summary Evaluation Report (SER)	TL																									
Seek DoE's clearance and send the SER to WFP Executive Management Group for comment	EM																									
OEV consolidates comments on SER from WFP's Executive management Group and shares with the team	EM																									
Submit final draft 4 ER (with the revised SER) to OEV. Seek Final approval by DoE. Clarify last points/issues with the team	EM / TL																									
Approve final ER and SER	DoE																									
Executive Board (EB) and follow-up phase																										
Submit SER/recommendations to RMP for management response + SER for editing and translation	EM																									
Tail end actions, OEV websites posting, EB Round Table Etc.	EM																									
Presentation of SER and Management Responseto the EB	D/OEV & D/RMP																									

Note: TL=Team Leader; EM=Evaluation Manager; OEV=Office of Evaluation; RMP = Performance Management and Monitoring; DoE=Director of Evaluation

Annex 2: Evaluation Communication and Learning Plan

Internal (WFP) Communications Plan

When Evaluation phase with month/year	What Communication product	To whom Target group or individual	What level Organizational level of communication	From whom Lead OEV staff with name/position	How Communication means e.g. meeting, interaction, etc.	Why Purpose of communication
Preparation (Oct 2016) TOR (Dec 2016)	Full TOR TOR Summary	OEV, CO, RB, HQ, EAG	Conceptualization & Strategic	Evaluation Manager (EM)	Consultations, meetings and written exchanges	Draft TOR for comments / Final for information
Inception (Dec 2016-Apr 2017)	HQ Briefing + Inception Mission & Report	CO, RB, HQ, EAG, stakeholders	Operational & Informative	EM + Evaluation Team Leader (TL)	Written exchange and presentations	IR final for information
Research and Learning (May 2017 – Aug 2018)	Thematic summary briefs Regional learning events	CO, RB, HQ	Operational & Informative	TL	Meeting Thematic briefs	For information and verbal feedback
Field work, debrief (May/Oct 2017)	PPT	CO, RB, HQ, CO stakeholders	Operational	TL	Meeting / Teleconference	For information and verbal feedback
Reporting (Feb 2018/ Aug 2018)	Draft and Final ER Learning events	EAG, EMG, CO, RB, HQ, stakeholders	All	EM + Director of Evaluation + TL	Written exchanges (+ matrix of comments on request) and presentations	Draft ER for written comments / Final ER for information Workshop for verbal feedback
Dissemination/EB (sept- Nov 2018)	Evaluation Brief	EMG, CO, RB,HQ	Informative	EM + Director	Written exchange	Dissemination of evaluation findings and conclusions

External Communications Plan

When Evaluation phase	What Communication product	To whom Target org. or individual	What level Organizational level of communication	From whom	How Communication means	Why Purpose of communication
TOR, Dec 2016	Final TOR	Public, UNEG	Strategic	OEV	Websites	Public information
Inception report, April 2017	Final TOR	Public, UNEG	Strategic	OEV	Websites	Public information
Formatted ER/Translated SER, Oct 2018	Final Report (incl. SER)	Public, UNEG	Strategic & Operational	OEV, EB Secretariat	Websites	Public information
Evaluation Brief, Oct 2018	2-page Ev Brief	Board Member & wider public	Strategic	OEV	Website	Public information
EB, Nov 2018	SER & Mgt Resp	Board Member	All	OEV & RMP	Formal presentation	For EB consideration

Annex 3: Delineation with the Protection Policy Evaluation

Analysis: Strengthening the analytical capacity of WFP staff is an important step for improving WFP's protection performance (where an analysis of the context and protection risks are key) and is very likely to emerge as one of the critical factors affecting WFP's ability to negotiate access while respecting humanitarian principles in an adequate way.

- The protection policy evaluation will select a distinct set of country case studies. It should explore the quality and usability of the context and protection analysis in each of these cases. In addition, it should explore corporate measures to strengthen WFP's analytical capacity and, since it should reach this stage of implementation earlier than the principled action and access evaluation, share findings with it.
- In addition to using (and, if necessary, further deepen) the findings on corporate measures for strengthening WFP's analytical capacity, the principled action and access evaluation should provide indications of how adequate current analysis levels are for the purpose of enabling access negotiations and decisions (e.g. exploring in how many negotiation cases analytical ability was a key constraint; analysing differences between cases in which analytical capacity was a constraint as compared to where it was not).

Impartiality / non-discrimination: As one of the key humanitarian principles, impartiality will be at the core of the evaluation of principled action and access. At the same time, the protection policy specifies that effectively integrating protection in programmes would entail ensuring no discrimination.

- The evaluation of principled action and access should focus on internal and external factors that enable or constrain WFP's ability to handle access negotiations and take adequate decisions regarding trade-offs, including with respect to the principle of impartiality.
- The protection policy evaluation should adopt a more micro level perspective, exploring whether / how WFP and its partners take potential threats to different groups into account and to what extent it creates accountability equally to different gender, age, ethnic (etc.) groups. As part of the analysis of WFP's do no harm practices, the protection policy evaluation would also explore what measures WFP has in place to ensure it is not complicit in denying rights to specific groups of people.

Mind-set change / level of staff and partner awareness: For both cases, the current level of understanding and awareness of key concepts and their operational significance are important indicators for policy results. Relevant data on these aspects could be generated through an (ideally broad) staff and partner survey, complemented by staff and partner interviews.

- Each evaluation should assess the effectiveness of the training measures relevant to its own policy areas and conduct complementary interviews.

Advocacy: Similarly, advocacy is an important aspect of both policy areas, although it is not yet clear whether advocacy will emerge as a central factor enabling or constraining access and therefore whether the principles and access evaluation will focus on this issue in greater detail.

- The protection policy evaluation will conduct country case studies and is expected to do so before the evaluation on humanitarian principles and access will implement more in-depth analyses of the most important factors enabling or inhibiting principled access. The protection policy evaluation can therefore share its results on country-level advocacy efforts and processes with the evaluation on humanitarian principles and access.
- At the global level, both evaluations are likely to explore the same advocacy channels, each with a different, but related focus. Here, the evaluation teams should coordinate closely, e.g. by conducting a joint interview with the Executive Director and sharing the results of related document analysis.

Partnerships: Relationships with cooperating partners are central to the successful implementation of both policy areas. However, the focus of the two evaluations would differ:

- With respect to protection, the evaluation should assess how partners at country and field-level were selected; how they are encouraged to strengthen protection considerations in their work;

whether / what kind of capacity enhancing measures WFP provides; and what role standby and other partners play in supporting WFP's protection capacity.

- Regarding principled action and access, likely factors that could emerge from the initial, open-ended enquiry could include for example processes for selecting and monitoring partners in remote management situations, as well guidance and support to them.

Annex 4: Definitions of core humanitarian principles in key UN Agencies

	Humanity	Neutrality	Impartiality	Independence
OCHA	Human suffering must be addressed wherever it is found. The purpose of humanitarian action is to protect life and health and ensure respect for human beings	Humanitarian actors must not take sides in hostilities or engage in controversies of a political, racial, religious or ideological nature	Humanitarian action must be carried out on the basis of need alone, giving priority to the most urgent cases of distress and making no distinctions on the basis of nationality, race, gender, religious belief, class or political opinions	Humanitarian action must be autonomous from the political, economic, military or other objectives that any actor may hold with regard to areas where humanitarian action is being implemented.
UNHCR	The singular motivation of humanitarian action is to save lives and alleviate suffering in a manner that respects and restores personal dignity. Accordingly, humanity is the principal driver for any response to a crisis, whether caused by conflict, violence or natural or man-made disaster	The neutrality of humanitarian action is furthermore upheld when humanitarian actors refrain from taking sides in hostilities or engaging in political, racial, religious or ideological controversies.	At the same time, humanitarian actors distinguish themselves from other actors responding to a crisis by their impartiality. This means that humanitarian action is based solely on need, with priority given to the most urgent cases irrespective of race, nationality, gender, religious belief, political opinion or class.	Independence requires autonomy on the part of humanitarian actors, who are not to be subject to control or subordination by political, economic, military or other non-humanitarian objective
UNICEF	The humanitarian imperative: Human suffering must be addressed wherever it is found, with particular attention to the most vulnerable in the population, such as children, women, the displaced and the elderly. The dignity and rights of all those in need of humanitarian assistance must be respected and protected. The humanitarian imperative implies a right to receive humanitarian assistance and a right to offer it. At times, humanitarian access to civilian populations is denied by authorities for political or security reasons. Humanitarian agencies must maintain their ability to obtain and sustain access to all vulnerable populations and to negotiate such access with all parties to the conflict.	Humanitarian agencies must not take sides in the hostilities or in controversies based on political, racial, religious or ideological identity (non-partisanship/independence). Transparency and openness are key issues to keep neutrality. Neutrality for an organization that has taken on a rights-based approach must not, however, be an obstacle to tackling human rights violations. Neutrality is not a justification for condoning impunity or turning a blind eye to egregious human rights abuses. It does not negate the need for some form of action, whether through strategic advocacy, simple presence, political demarches, local negotiations, etc. Neutrality also requires that humanitarian actors be clear about the specific and limited circumstances in which military assets can be used: only as a last resort (where there is no comparable civilian alternative); the operation as a whole must remain under the overall authority and control of the responsible humanitarian organization; and any use of military assets should be clearly limited in time and scale. The military and civil defence assets of belligerent forces should never be used to support humanitarian activities.	Aid is delivered to all those who are suffering; the guiding principle is only their need and the corresponding right. Human rights are the basis and the framework for an assessment of needs. This principle includes both the proportionality to need (where resources are not sufficient, priority is always given to those most affected) as well as the principle of non-discrimination (no one should be discriminated against based on their sex, age, ethnicity, identity, etc.). It is crucial to emphasize state responsibility in ensuring that aid is delivered in an impartial way	No definition

Annex 5: WFP's Foundations of Humanitarian Action

FOUNDATIONS OF EFFECTIVE HUMANITARIAN ACTION	
Respect	WFP will respect the sovereignty, territorial integrity and unity of the state in which it is working. WFP will respect local customs and traditions, upholding internationally recognized human rights. WFP will act in accordance with the United Nations Charter and consistent with international humanitarian law and refugee law. WFP will also take into account the Guiding Principles on Internal Displacement, when applicable.
Self-reliance	WFP will provide humanitarian assistance with the primary objective of saving lives, in ways that support livelihoods, reduce vulnerability to future food scarcities and support durable solutions. WFP will work to ensure that food aid does not undermine local agricultural production, marketing or coping strategies, or disturb normal migratory patterns or foster dependency. WFP's programmes will be planned and implemented in ways that facilitate the link from relief to development.
Participation	WFP will involve women and men beneficiaries wherever possible in all activities and will work closely with governments at the national and local levels to plan and implement assistance.
Capacity-building	Within its own capacity and resources, WFP will strengthen the capacity of affected countries and local communities to prevent, prepare for and respond to humanitarian crises. WFP will ensure participation by women's organizations and will integrate a gender perspective in capacity-building activities.
Coordination	WFP will provide assistance with the consent of the affected country and, in principle, on the basis of an appeal by the affected country. All States Members of the United Nations or Members or Associate Members of any specialized agency or of the International Atomic Energy Agency (IAEA) are eligible to submit requests for consideration by WFP. WFP may also provide emergency food aid and associated non-food items and logistics support at the request of the Secretary-General of the United Nations. WFP will work within established United Nations coordination structures at the global and field levels. This will include working with other humanitarian actors such as NGOs and the International Red Cross and Red Crescent Movement.
STANDARDS OF ACCOUNTABILITY AND PROFESSIONALISM	
Accountability	WFP will keep donors, host country governments, beneficiaries and other relevant stakeholders informed of its activities and their impact through regular reporting.
Professionalism	WFP will maintain the highest standards of professionalism and integrity among its international and national staff to ensure that its programmes are carried out efficiently, effectively, ethically and safely. All staff will adhere to the Standard Code of Conduct for the International Civil Service and the Secretary-General's Bulletin on Sexual Abuse and Exploitation in Humanitarian Crises and Other Operations.

Source: WFP's 2004 Policy Statement on Humanitarian Principles

Annex 6: Key stakeholder groups membership

Internal Reference Group	
Amir Abdulla	Deputy Executive Director
Ramiro Lopes da Silva	Assistant Executive Director
Stanlake Samkange	Director, Policy and Programme Division
Denise Brown	Director, Emergency Preparedness and Support Response Division
Erika Jorgensen	Director, New York Liaison Office
Gordana Jerger	Director, Geneva Liaison Office
Bonnie Green	Director, Ethics Office
Arnhild Spence	Director, Partnership, Policy Coordination and Advocacy Division
Zlatan Milisic	Deputy Director, Policy and Programme Division
David Kaatrud	Regional Director, RBB
Valerie Guarnieri	Regional Director, RBN
Abdou Dieng	Regional Director, RDD
Muhannad Hadi	Regional Director, RDC
Chris Nikoi	Regional Director, RBJ
Miguel Baretto	Regional Director, RBP
Laurent Bukera	Country Director, Somalia CO
Jakob Kern	Country Director, Syria CO
Mick Lorentzen	Country Director, Afghanistan CO
Joyce Luma	Country Director, South Sudan CO
Matthew Hollingworth	Country Director, Sudan CO
Bienvenu Djossa	Country Director, CAR CO
Sally Haydock	Country Director, Iraq CO
Claude Jibidar	Country Director, DRC CO
Fatai Adegboye	Country Director, Yemen CO
Deborah Hines	Country Director, Colombia CO
Silvia Caruso	Country Director, Mali CO
Mutinta Chimuka	Country Director, Nigeria CO
Stephen Cahill	Chief, Global Logistics Cluster
Paul Howe	Chief, Emergencies & Transitions Unit
Antonio Galli	Policy Officer, Emergencies & Transitions Unit
James Lattimer	Chief, Monitoring Unit
Ahmareen Karim	Chief, Strategy Implementation & Risk Management Branch
Brian Lander	Senior Liaison Officer, Geneva Office
Gina Pattugalan	External Relations Officer, New York Office
Sandra Luvisutto	Consultant, Field Security Division
Marcus Prior	Programme Officer, Partnership, Policy Coordination and Advocacy Division
Andreas Hansen	External Relations Officer, Partnership, Policy Coordination and Advocacy

External Advisory Group	
Jeremie Labbe	Policy Adviser, ICRC
Aurelien Buffler	Chief, Policy Advice and Planning Section, OCHA New York & Co-Chair of IASC Reference Group on Principled Humanitarian Action
Karen Perrin	Humanitarian Officer, Policy Advice and Planning Section, OCHA New York
Francesca Bonino	Senior Evaluation Officer, UNHCR and UNEG Humanitarian Evaluation Interest Group (HEIG) Co-convenor
Segolene Adam	Chief of Emergency Programmes, UNICEF
Anne Claire Luzot	Chief Evaluation Officer, WHO and HEIG member
Margie Buchanan-Smith	Independent Senior Evaluator
James Munn	Director NRC Geneva & Co-Chair of IASC Reference Group on Principled Humanitarian Action

Annex 7: Risk analysis

Risks involved in conducting the evaluation												
Risk	Mitigation measures	Risk analysis										
1. Increase security risks for staff, partners and communities and threaten WFP's license to operate in certain countries or areas by bringing to light agreements and arrangements that were made informally and 'under the radar screen'.	<ul style="list-style-type: none"> ☑ Refrain from assessing individual access negotiations and decisions and their compliance with humanitarian principles. ☑ Fully decontextualize information about sensitive issues and contexts when published so that it cannot be related to any specific country or individual. ☑ Select country studies very carefully to avoid countries in which negotiations are currently in a very sensitive phase or avoid conducting formal country case studies. 	<table border="1"> <thead> <tr> <th colspan="2">Risk Rating</th> </tr> </thead> <tbody> <tr> <td>Frequency of mention</td> <td>High</td> </tr> <tr> <td>Impact</td> <td>Severe</td> </tr> <tr> <td>Likelihood</td> <td>Medium</td> </tr> <tr> <td>Ability to mitigate</td> <td>High</td> </tr> </tbody> </table>	Risk Rating		Frequency of mention	High	Impact	Severe	Likelihood	Medium	Ability to mitigate	High
Risk Rating												
Frequency of mention	High											
Impact	Severe											
Likelihood	Medium											
Ability to mitigate	High											
2. Increase reputational and related financial risks . At the moment, many donors and political actors have 'zero tolerance', for example regarding diversion, payments for access, or engagement with organizations classified as terrorist. Certain donors and member states could therefore penalise WFP for publishing evaluation results that provide details about compromises made or even for acknowledging that trade-offs and compromises are commonplace.	<ul style="list-style-type: none"> ☑ Refrain from assessing individual access negotiations and decisions and their compliance with humanitarian principles. To remain credible, however, the evaluation would need to at least describe abstractly what kinds of compromises are common and how WFP's frontline negotiators and decision makers themselves assess the outcomes. While reduced, a residual reputational and financial risks therefore remains. ☑ Comply with OEV standards that require presenting findings in a balanced and forward looking way and to include good practice examples. 	<table border="1"> <thead> <tr> <th colspan="2">Risk Rating</th> </tr> </thead> <tbody> <tr> <td>Frequency of mention</td> <td>Medium</td> </tr> <tr> <td>Impact</td> <td>Medium</td> </tr> <tr> <td>Likelihood</td> <td>Medium</td> </tr> <tr> <td>Ability to mitigate</td> <td>High</td> </tr> </tbody> </table>	Risk Rating		Frequency of mention	Medium	Impact	Medium	Likelihood	Medium	Ability to mitigate	High
Risk Rating												
Frequency of mention	Medium											
Impact	Medium											
Likelihood	Medium											
Ability to mitigate	High											
3. Trigger overly restrictive rules . Donors, member states or WFP itself could react to findings describing inconsistencies in WFP's practices by imposing more rigid and restrictive rules. These rules could undermine the flexibility of country offices in operationalizing humanitarian principles and identifying the best approach for ensuring sustainable access. In addition, the evaluation could create a divide between members of the Executive Board who may have different positions regarding humanitarian principles and access	<ul style="list-style-type: none"> ☑ Be clear on the scope and limitations of the evaluation; ☑ Regularly inform and involve senior management and members of the Executive Board through participation in an external reference group and progress briefings to the Board; ☑ Provide explicit recommendations on whether or not rules should be defined. 	<table border="1"> <thead> <tr> <th colspan="2">Risk Rating</th> </tr> </thead> <tbody> <tr> <td>Frequency of mention</td> <td>Rare</td> </tr> <tr> <td>Impact</td> <td>Medium</td> </tr> <tr> <td>Likelihood</td> <td>Medium</td> </tr> <tr> <td>Ability to mitigate</td> <td>Medium</td> </tr> </tbody> </table>	Risk Rating		Frequency of mention	Rare	Impact	Medium	Likelihood	Medium	Ability to mitigate	Medium
Risk Rating												
Frequency of mention	Rare											
Impact	Medium											
Likelihood	Medium											
Ability to mitigate	Medium											

Risks involved in conducting the evaluation												
Risk	Mitigation measures	Risk analysis										
<p>4. The evaluation may not be perceived as credible. Several aspects could create this perception: (1) The evaluation team will likely face access constraints in many of the operational contexts that would be most relevant for the topic at hand and key informants may be reluctant to provide information about sensitive issues and controversial decisions. The evaluation may therefore not get sufficient access to data to present credible findings and conclusions. (2) If the evaluation adopts a reduced scope to address some of the risks described above and does not look into individual, controversial situations and decisions, the expectations of key stakeholders could be disappointed. (3) If WFP pre-determines too many aspects about how the evaluation should be conducted and how results should be presented, stakeholders may question the independence of the evaluation team and process.</p>	<p>☑ To improve the team's access to data, stronger confidentiality arrangements than usual should be defined for the evaluation and learning exercise; ☑ Well respected former WFP staff members should be involved in the team; ☑ The exercise should include the experiences of individuals that formerly held relevant positions and have either moved on or retired; ☑ Senior WFP managers, as volunteered by the Deputy Executive Director, should publicly endorse the exercise and request transparent engagement. ☑ OEV and WFP management should clearly state the purpose and scope of the evaluation early on including limitations to the scope, in accordance with OEV standards. ☑ Executive Board members should receive progress updates.</p>	<table border="1"> <thead> <tr> <th colspan="2">Risk Rating</th> </tr> </thead> <tbody> <tr> <td>Frequency of mention</td> <td>High</td> </tr> <tr> <td>Impact</td> <td>Low</td> </tr> <tr> <td>Likelihood</td> <td>Medium</td> </tr> <tr> <td>Ability to mitigate</td> <td>High</td> </tr> </tbody> </table>	Risk Rating		Frequency of mention	High	Impact	Low	Likelihood	Medium	Ability to mitigate	High
Risk Rating												
Frequency of mention	High											
Impact	Low											
Likelihood	Medium											
Ability to mitigate	High											
Risks involved in not conducting the evaluation												
Risk	Mitigation measures	Risk analysis										
<p>1. Reputational risks. Through inaction, WFP would fail to address these highly sensitive and politically relevant issues proactively. Since an evaluation on the subject was already included in OEV's work plan, WFP would have to explain the decision in front of the Executive Board. This could potentially trigger a counter-reaction by the board, leading for example to a request for an evaluation, which would leave WFP with less flexibility in shaping the design and implementation of the evaluation and thereby exacerbate the risks identified above.</p>	<p>☑ Address issues relating to humanitarian principles and access through a different mechanism, for example an internal learning exercise or a stronger contribution to the Centre of Competence on Humanitarian Negotiations. However, these would have less formal authority than an evaluation.</p>	<table border="1"> <thead> <tr> <th colspan="2">Risk Rating</th> </tr> </thead> <tbody> <tr> <td>Frequency of mention</td> <td>Medium</td> </tr> <tr> <td>Impact</td> <td>Low to medium</td> </tr> <tr> <td>Likelihood</td> <td>High</td> </tr> <tr> <td>Ability to mitigate</td> <td>Medium</td> </tr> </tbody> </table>	Risk Rating		Frequency of mention	Medium	Impact	Low to medium	Likelihood	High	Ability to mitigate	Medium
Risk Rating												
Frequency of mention	Medium											
Impact	Low to medium											
Likelihood	High											
Ability to mitigate	Medium											
<p>2. Operational risks in the longer-term. Without the impetus coming from a formal evaluation, efforts to improve WFP's capacities and processes for handling access negotiations and decisions involving humanitarian principles could remain half-hearted. Insufficient capacities and processes could undermine WFP's ability to gain principled access in the medium- to long-term.</p>	<p>☑ Alternative measures such as an internal learning exercise or strengthened executive endorsement and support for WFP's ongoing work to strengthen access and negotiation capacities would help address this risk, even though they would lack the formal authority and follow-up process of an evaluation.</p>	<table border="1"> <thead> <tr> <th colspan="2">Risk Rating</th> </tr> </thead> <tbody> <tr> <td>Frequency of mention</td> <td>Rare</td> </tr> <tr> <td>Impact</td> <td>Medium</td> </tr> <tr> <td>Likelihood</td> <td>Low</td> </tr> <tr> <td>Ability to mitigate</td> <td>High</td> </tr> </tbody> </table>	Risk Rating		Frequency of mention	Rare	Impact	Medium	Likelihood	Low	Ability to mitigate	High
Risk Rating												
Frequency of mention	Rare											
Impact	Medium											
Likelihood	Low											
Ability to mitigate	High											

Annex 8: List of References

1. Evaluation process		
1.1 EQAS	OEV	2014
1.2 Evaluability assessment & Scoping	OEV	2016
2. Integrated Roadmap to Zero Hunger (SP, FFR, CSP, SP 2017-2021)	WFP	2016
3. WFP Policies & Strategic Plans		
3.1. Access & Principles		
WFP Humanitarian Principles	WFP	2004
Humanitarian Access and its Implications for WFP	WFP	2006
3.2. Other relevant policies		
WFP's Role in the Humanitarian Assistance System & Updates	WFP	2010&2012-2016
Enterprise Risk Management Policy	WFP	2015
Security Management Policy	WFP	2011
Anti-fraud and anti-corruption policy	WFP	2010 & 2015
WFP Evaluation Policy 2016-2021	WFP	2016
WFP Humanitarian Protection Policy & Update	WFP	2012 & 2014
Peace building policy & Update	WFP	2013 & 2014
WFP Policy formulation	WFP	2011
3.3. Strategic Plans		
Strategic Plan (2008-2013; 2014-2017; 2017-2021)	WFP	2008-2016
Mid-Term Review of the WFP Strategic Plan (2014-2017)	WFP	2016
4. WFP Monitoring Framework		
Corporate M&E strategy 2014-2016	WFP	2014
Indicator compendium	WFP	2015
Strategic Results Framework (2008-2011; 2014-2017)	WFP	2008-2014
Management Plans	WFP	2013-2016
5. Other WFP Resources		
Access & Civil Military Collaboration		
Compilation of WFP Past Practice - Access project_summary of interviews	WFP	2000
Consultation on Humanitarian Issues - Reaching People in Situations of Displacement	WFP	2000
Directive - WFP's Role in Access Negotiation	WFP	2002
WFP Experience with Military	WFP	2003
Food Aid in Conflict Workshop Report	WFP	2002
Conference report - Humanitarian Assistance in Conflict and Complex Emergencies	WFP	2009
Training manual on Negotiation	WFP	2009
Position paper - WFP and IDPs	WFP	2011
Info pack - WFP role in access negotiations	WFP	2013
Directive - WFP Civil Military coordination operational guidance	WFP	2013
Access Workshop - Summary and discussion points	WFP	2015
Advisory Group on Access & Access Cell - Strategy & ToR & NFR	WFP	2016
Donor reports	WFP	2016
Access strategies and mapping reports	WFP	2016
Operational Guidance on Humanitarian Access (Draft)	WFP	2016
Discussion Paper - Humanitarian Principles	NRC	2016
WFP Training Strategy for Working with the Military	WFP	-
RMQ Position Paper - Divisional & Field Security Approaches for Humanitarian Access	WFP	2016
WFP RMQ Information Note - Professional Development for Humanitarian Access	WFP	2016
PPT on access map in Afghanistan	WFP	2016
Advocacy		
Advocacy Frameworks	WFP	2016
Clusters		
Circulars - CD's role in humanitarian country team & WFP Leadership in IASC Clusters	WFP	2013
Cluster Lead Agencies Accountability - 10 years in perspective	-	-
Emergency and Transition		
Emergency and Transition Programming Framework	WFP	2015

Logistics Cluster (GLC)		
Lessons learned reports: CAR, DRC, Mozambique, Somalia, Yemen, Nepal, Ukraine	GLC	2013 & 2016
Protection & AAP		
Protection Project & Case studies	WFP	2004-2008
Protection Guidance (manuals, ToC, TOR protection advisors, studies, strategy, implementation plan)	WFP	2009-2016
AAP (Brief, ToC, Strategy, CFM minimum standards)	WFP	2015-2016
Risk management		
Corporate Risk register - Circular & Summary	WFP	2012-2016
Risk management definitions	WFP	2015
Risk appetite statement	WFP	2016
Corporate Risk register	WFP	2016
Global Risk Profile report	WFP	2016
Crisis management - Circular	WFP	2016
Security		
Guidelines for Security Reporting	WFP	2011
Security Risk Management (SRM) Manual	WFP	2015
Global security environment and significant incidents	WFP	2016
Report - WFP Field Security	WFP	2016
Third party monitoring		
Third Party Monitoring Guidelines	WFP	2014
Third Party Monitoring Audit Report and Management Response	WFP	2016
Transformative agenda		
ED Memo - Transformative Agenda	WFP	2012
IASC Transformative Agenda_Presentation to the EB	WFP	2013
WHS		
WFP Key Messages and Presentations	WFP	2015
WFP Position Papers & Thematic Briefs	WFP	2015
WFP Commitments	WFP	2016
World Humanitarian Summit Quick Guide - July 2016	WFP	2016
6. Datasets		
AAP & Protection		
Protection cross-cutting indicators	WFP	2014-2015
AAP (baseline report, CFM summary report)	WFP	2016
Annual Performance Reports		
Country-specific		
Evaluations		
CPE ER and SER - Afghanistan, DRC, Haiti, Somalia, Sudan	WFP	2011-2014
Strategic Evaluations ER and SER - Global Food Security Cluster, Global Logistics Cluster, Pooled Funds, PREP	WFP	2012-2015
Synthesis Evaluations - EPR	WFP	2015
Policy Evaluations - Gender	WFP	2014
IAHE - Philippines, South Sudan, CAR	OCHA-WFP	2014-2015
L3 Syria	WFP	2015
Operation Evaluations reports (PRRO and EMOP) & Synthesis	WFP	2013-2016
Global Staff survey		
Maps		
Access (Constraints) maps	WFP&OCHA	2013 & 2016
Kidnapped, Detention, Killed_kidnapped_injured_assaults Maps	Aid in Danger	2015-2016
Media coverage analysis (CARMA Reports)		
OCHA Access snapshots		
Security		
WFP Security Reports	WFP	2012-2015
Worldwide Limited Aid Access	US DS	2015
Security level	UNDSS	2014-2015

Security incidents (SIMSAS)	WFP	2012-2015
Aid worker security database	Humanitarian Outcomes	2016
Quarterly Operational Briefings & SIT REPS	WFP	2016
Actor mapping analysis & Access mapping	WFP	2016
7. Contacts		
WFP Organigramme & Directory	WFP	2016
IRG & EAG	OEV	2016
8. External Documents		
ALNAP		
ALNAP - State of Humanitarian System	ALNAP	2012 & 2015
Evaluating humanitarian action using OECD-DAC criteria	ALNAP	2006
ALNAP - Rhetoric or reality - Putting affected people at the centre of humanitarian action	ALNAP	2014
Innovation more than luck	ALNAP	2016
ALNAP - Evaluation of Humanitarian Action Guide	ALNAP	2016
Center for Competence on Humanitarian Negotiations (CCHN)		
Themes and Panels outlines, summaries, case studies reports and backgrounder	CCHN	2016
CN - Centre of Competence on Humanitarian Negotiation	CCHN	2016
CHS		
Core Humanitarian Standards on Quality and Accountability	CHS	2014
CHS-Alliance-Humanitarian Accountability Report	CHS	2015
Sphere_Core_Standards_and_CHS	CHS	2015
ECHO		
ECHO - European Consensus on Humanitarian Aid	ECHO	2014
Evaluation and review Humanitarian Access strategies	ECHO & GPPI	2012
Global Protection Cluster (GPC)		
Handbook for the Protection of Internally Displaced Persons	GPC	2007
IASC		
IASC - Principles on Military-Civilian Relations	IASC	1995
IASC - Protection of Internally Displaced Persons	IASC	1999
IASC - Use of military or armed escorts for convoys	IASC	2001
IASC - Guidelines Use Military and Civil Defence Assets	IASC	2003
IASC - Civil-Military Relationship in Complex Emergencies	IASC	2004
Human Rights and Natural Disasters Operational Guidelines and Manual	IASC	2008
Humanitarian System-Wide Emergency Activation definition and procedures	IASC	2012
What Empowered Leadership looks like in practice	IASC	2012
Transformative agenda protocols	IASC	2012-2015
Guidelines-on-the-use-of-armed-escorts	IASC	2013
IASC - Multi Cluster Sector Initial Rapid Assessment_MIRA_Manual	IASC	2015
IASC Reference Module for Cluster Coordination at the Country Level	IASC	2015
Risk Management Toolkit - Counterterrorism Measures	IASC	2015
ICRC		
The legal framework of humanitarian access in armed conflict	ICRC	2011
Professional Standards for Protection Work	ICRC	2013
Coming Clean on Neutrality and Independence The Need to Assess the Application of Humanitarian Principles	ICRC	2015
Applying the Humanitarian Principles: reflecting on ICRC experience	ICRC	2016
Fundamental Principles Leaflet	ICRC	-
Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief	ICRC	-
Norwegian Refugee Council		
Tools for the Job - Supporting Principled Humanitarian Action	HPG	2012
Independent Whole of System Review of Protection in the Context of Humanitarian Action	NRC	2015

Principled Humanitarian action report	NRC	2016
NFR ECHO Evaluation-principled-humanitarian-assistance	NRC	2016
OCHA		
Guiding principles on International Displacement	OCHA	2004
Humanitarian Response Review	OCHA	2005
Field Guidelines on humanitarian negotiations with armed groups	OCHA	2006
OCHA on Message_HumPrinciples Factsheet	OCHA	2010
To stay and deliver	OCHA	2011
OCHA on Messages - Humanitarian Access	OCHA	2012
Evaluation of OCHA's Role in Humanitarian Civil-Military Coordination	OCHA	2012
Guidance on Inter Cluster Coordination	OCHA	2013
Humanitarian Access Handbook & Practitioners Manual	OCHA	2014
Humanitarian Access Monitoring and Reporting Framework (AMRF)	OCHA, Swiss FDFA, CDI	2014
Guidance - Law Relating to Humanitarian Relief Operations in Situations of Armed Conflict	OCHA	2016
Other		
Principles and Good Practice of Humanitarian Donorship	-	2003
CDA_2005_DoNoHarm_handbook	CDA	2005
Conference-report-brussels-safeguarding-humanitarian-action	SCHR	2012
HPG - Humanitarian negotiations with non-state actors - key lessons	ODI	2014
HPG - Protection in the context of humanitarian action	HPG	2016
How humanitarian action has changed	ODI	2016
Humanitarian Engagement with NSA groups	Chaham House	2016
SAVE - Secure Access in Volatile Environments		
Use of Third-Party Monitoring in Insecure Contexts - Afgh & Somalia & Syria	GPPI	2016
Monitoring_aid_in_insecure_environments	GPPI	2016
The_effects_of_insecurity_on_humanitarian_coverage	GPPI	2015
Interim reports - Mapping access and coverage trends & Enabling access and quality aid	GPPI	2015
SAVE - Improving the evidence base on delivering aid in highly insecure environments	Humanitarian Outcomes	2016
UN		
UNGA Resolution 46-182 19 December 1991 - Strengthening of the coordination of humanitarian	UNGA	1991
UNGA resolution A.59.332 Sep 2004 - safety and security of humanitarian personnel	UNGA	2004
UNGA Resolution A.RES.58.114 Feb 2004 - Strengthening coordination emergency humanitarian assistance	UNGA	2004
UNGA Resolution December 2005 - A.RES.60.124	UNGA	2005
UNGA Resolution A.70-1. Oct 2015 - 2030 Agenda for SD	UNGA	2015
UNESC - Strengthening of the coordination of emergency humanitarian June	UNESC	2015
UN Programme Criticality Framework	UN	2013
UNESC - Strengthening of the coordination of emergency humanitarian June 2015	UNESC	2015
HLP Report - Too important to fail—addressing the humanitarian financing gap	UN	2016
ECOSOC - UNDS Inter-linkages - 2 June 2016	-	2016
UN report of the Secretary-General on women and peace and security	UN	2016
HLP Report - Too important to fail—addressing the humanitarian financing gap Jan 2016	HLP	2016
UNEG Paper - Reflecting Humanitarian Principles in Evaluation	UNEG	2016
Humanitarian Financing Task Team - Looking beyond the crisis	FHF	-
UNICEF		
UNICEF - Core Commitments_for_Children_in_Humanitarian_Action	UNICEF	2010
UNHCR		
Handbook on IDP Protection	UNHCR	-
World Humanitarian Summit		
Agenda for humanity Report	UN	2015
Co-Chairs' Summary to the Global Consultation	UN	2015
Synthesis Report of Consultation Process - Restoring Humanity	UN	2015
joint statement on humanitarian principles	UN	-
Report Secretary-General for WHS - One Humanity shared Report	UN	2016
Compiled DRAFT.SG Implementation Report For Comment	UN	2016
United Nations Secretary-General's Report on the Outcome of the World Humanitarian Summit	UN	2016
Commitments to Action	UN	2016

Acronyms

CO	Country Office
CoC	Center of Competence on Humanitarian Negotiation
DG ECHO Aid	Directorate-General for European Civil Protection and Humanitarian
EAG	External Advisory Group
EB	Executive Board
ECHO	European Commission Humanitarian Aid and Civil Protection
ED	Executive Director
EQAS	Evaluation Quality Assurance System
ERC	Emergency Relief Coordinator
EvT	Evaluation Team
HCT	Humanitarian Country Team
HEIG	Humanitarian Evaluation Interest Group
HQ	Headquarters
IASC	Inter-Agency Standing Committee
ICRC	International Committee of the Red Cross
IHL	International Humanitarian Law
IRG	Internal Reference Group
MSF	Medecins Sans Frontieres
NGO	Non-Governmental Organizations
OCHA	Office for the Coordination of Humanitarian Affairs
OEV	Office of Evaluation
OSE	Emergency Preparedness and Response Division
OSPZH	Emergencies and Transitions Unit
RB	Regional Bureau
SAVE	Secure Access in Volatile Environments
TOR	Terms of Reference
UN	United Nations
UNDSS	United Nations Department of Safety and Security
UNEG	United Nations Evaluation Group
UNGA	United Nations General Assembly
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
WFP	World Food Programme

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