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# Evaluation of WFP Policies on Humanitarian Principles and Access in Humanitarian Contexts

## Annexes Volume I

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# I. Methods

1. The evaluation team used a mixed method approach to gather a broad range of qualitative and quantitative evidence over the period of the evaluation, from March to December 2017. The evaluation utilized various data collection and analysis tools to enable a large and diverse number of operational contexts to be analysed, to capture the perspectives of various stakeholders, and to triangulate different types and sources of data. The evaluation involved seven main components:

1. Documentary review and analysis
2. Field visits for interviews and direct observation
3. Stakeholder interviews, coded for selected questions
4. Surveys of staff, partners, and other external stakeholders
5. Network analysis
6. Public perceptions analysis involving affected populations' surveys, feedback and complaints data, social media analysis, and general media analysis.
7. Quantitative access and coverage analysis

2. **Ethics and confidentiality:** In developing the approach and methods to conduct this evaluation, the evaluation team paid close attention to ethical considerations in line with the United Nations Evaluation Group (UNEG) guidance and the principle of "do no harm". Information about access negotiations and decisions based on the humanitarian principles can be highly sensitive. The following measures were adopted to mitigate risks for affected people, staff, partners, and WFP operations, to ensure the trust of the respondents in the interview process, and to enable the evaluation to gain access to relevant information:

- No country case studies were conducted and interviewees were assured that no country-specific information, only decontextualized analysis, would be drawn from the interviews.
- The team explained confidentiality and data protection measures and sought the informed consent of interviewees before conducting the interview.
- General interviews were considered "on the record, but not for attribution," meaning specific individuals would not be named against their opinions and quotes, but, with their permission, would be listed as interview subjects in the evaluation reports.
- During the first set of field missions and remote interviews, the evaluation team offered interviewees the option to remain anonymous and to be included as "No Name / NN" in the list of interviewees, as laid out in the evaluation's inception report. However, the WFP Office of Evaluation raised concerns about the transparency and credibility of the process and requested the team to stop offering the option to remain anonymous. Data already gathered under conditions of anonymity were discarded.
- All surveys were conducted anonymously.
- The evaluation team kept written, digital records of interviews. These notes were stored securely in encrypted files, names of interviewees were stored separately from content, and only the three members of the evaluation team who conducted interviews (Julia Steets, Adele Harmer, and Claudia Meier) had access to these notes.

3. **Consideration of gender and other factors of marginalization:** The evaluation addressed questions relating to gender and other factors of exclusion, discrimination or marginalization at several levels:

- The policy quality analysis assessed to what extent the various policies and normative frameworks are coherent and consistent and explore what synergies exist between (i) policies relating to gender and other factors of marginalization and (ii) the policies on access and humanitarian principles. The analysis also assessed what tensions exist and how they are dealt with.
- As far as possible, the team involved men and women in equal proportion in surveys, interviews, and workshops. Since phone-based perception surveys with affected populations typically receive a significantly lower number of responses by women, targets for the overall number of men and women respondents were set. This resulted in an overall share of 43 percent of women respondents
- All data gathering instruments recorded the respondents' sex, enabling the team to identify differences between different groups of respondents.

4. **Geographic coverage:** Humanitarian principles and access are relevant to all WFP operations. The evaluation team sought to cover both breadth and depth by applying data collection and analysis tools covering different geographic scopes. In interviews, the evaluation team considered both current and previous deployments of the interviewees, hence collecting insights from across the spectrum of WFP operational experiences. The staff and partner surveys focused on WFP emergency operations in 65 countries, since humanitarian principles are particularly relevant there. The quantitative analysis focused in further by concentrating on 23 WFP emergency operations that were identified during the scoping and inception phases as experiencing challenges on access and humanitarian principles. The field visits and the phone-based surveys with affected populations also drew on this pool, each focusing on six countries, due to time and resource constraints and overlapping for three countries (Bangladesh, Burundi, and the Democratic Republic of the Congo). Table 1 provides an overview of all countries and the various data collection methods they were involved in.

**Table 1: List of countries involved in the evaluation**

	Targeted for staff and external stakeholder surveys (1)	Survey of affected people	Quantitative analysis - final sample and considered (3)	Field visits
Afghanistan	x	x	x	
Algeria	x			
Bangladesh	x	x	x(3)	x
Bolivia	x			
Burkina Faso	x			
Burundi	x	x		x
Cameroon	x		x	
Central African Republic	x		x	
Chad	x		x	
Colombia	x		x	
Congo	x			
Côte d'Ivoire	x			
Cuba	x			
DPRK	x			
DRC	x	x	x(3)	x
Djibouti	x			
Ecuador	x			
Egypt	x			
El Salvador	x			
Ethiopia	x			
Gambia	x			
Ghana	x			
Guatemala	x			
Guinea	x			
Guinea-Bissau	x			
Haiti	x			
Honduras	x			
Iran (Islamic Republic of)	x			
Iraq	x		x(3)	x
Jordan	x			x(4)
Kenya	x			x(4)
Lebanon	x			
Lesotho	x			
Liberia	x			
Libya	x		x	
Madagascar	x			
Malawi	x			
Mali	x		x	x
Mauritania	x			
Mozambique	x			
Myanmar	x		x	x(5)
Nepal	x			
Nicaragua	x			
Niger	x		x	
Nigeria	x	x	x	
Pakistan	x		x(3)	
Palestine	x		x	
Philippines	x	x	x(3)	
Rwanda	x			
Senegal	x			x(4)
Sierra Leone	x			
Somalia	x		x	
South Sudan	x		x	
Sri Lanka	x		x	
Sudan	x		x	
Swaziland	x			
Syrian Arab Republic	x	x(2)	x	
Tajikistan	x			
Tanzania	x			
Thailand				x(4)
Timor-Leste	x			
Turkey	x			
Uganda	x			
Ukraine	x		x	
Yemen	x		x	x
Zimbabwe	x			

- (1) Operations with at least one EMOP and/or PRRO  
(2) Limited number of respondents, see Annex IX  
(3) Considered but no response or no complete data  
(4) Regional hub or office  
(5) Remote interviews instead of field visit

**5. Testing:** All data collection and analysis tools were tested before they were fully applied. The interview protocols, for example, were tested during the initial mission to Amman and subsequently adapted. The staff and partner surveys were tested with field colleagues during early field missions. The affected population survey was tested in Nigeria before being fully rolled out there and in other countries. The data request to WFP country offices was also discussed with field colleagues before disseminating it more broadly. The tools for systematically analysing documentary evidence and for coding interview data were reviewed internally before roll-out.

6. **Sequencing:** Data gathering proceeded in various phases and was sequenced to allow for early findings of some components to influence the design and implementation of others. Regular exchanges among the team’s core members (Julia Steets, Adele Harmer, and Claudia Meier), as well as between the team leader and other team members or contributors were critical for this purpose. Thus, results of the first field missions (to Amman, Dakar, and the Democratic Republic of the Congo) informed the design of the surveys and also the implementation of subsequent field visits. Preliminary results from all components, including first reflections on potential conclusions and recommendations, informed interviews conducted at headquarters at the end of the data collection period in December 2017.

7. **Analysis:** In order to analyse, triangulate, and synthesize the wide range of data collected, the team produced separate analytical pieces on each of the components, which were exchanged and reviewed by other members of the evaluation team. A pre-drafting discussion, led by the team leader, was conducted to consider the key findings from the components. The various data sources were triangulated against each other, weighed in relation to their quality. Findings were organized and analysed following the main evaluation questions. Different questions relied on different components of evidence. For example, the quality and implementation of the policies (evaluation question 1) relied on the interviews and surveys with staff and partners as well as the network analysis and documentary review. The questions regarding the standing of WFP on principles and access, as well as enablers and constraints, relied on all components. However, some of the public perceptions data (specifically the media and social media as well as beneficiary feedback data) was not as heavily weighted in the analysis as the other data sources due to their more limited quality.

8. **Stakeholders:** Through the variety of methods used, the evaluation involved a broad range of stakeholders, as detailed in the following table.

**Table 2: Stakeholder groups involved in the evaluation**

Stakeholder group	Way the evaluation affects the stakeholder group	Involvement in the evaluation
<b>WFP and cooperating partners</b>		
WFP staff involved in decisions relating to humanitarian principles and/or in access negotiations (all levels)	<ul style="list-style-type: none"> <li>• Potential operational and personal risk posed by the evaluation</li> <li>• Potential benefit from participating in the learning exercise</li> <li>• Significant time investment required</li> <li>• Evaluation depends on active participation and facilitation of this group</li> <li>• Evaluation could result in relevant changes to the policies and support measures</li> </ul>	<ul style="list-style-type: none"> <li>• Selected staff consulted during the inception phase for developing the evaluation approach and methods, including confidentiality</li> <li>• In-person and remote interviews conducted, including to discuss interest in and preferences for learning component</li> <li>• Asked to participate in the staff survey</li> <li>• Debriefings at the end of field missions offered to management</li> <li>• Selected staff involved in stakeholder workshop</li> </ul>
Cooperating partner staff involved in decisions relating to humanitarian principles and/or in access negotiations (all levels)	<ul style="list-style-type: none"> <li>• Potential operational and reputational risk posed by the evaluation (including fear of legal or contractual consequences)</li> </ul>	<ul style="list-style-type: none"> <li>• Headquarters of selected partners consulted during inception phase</li> <li>• In-person and remote interviews conducted</li> </ul>

	<ul style="list-style-type: none"> <li>Evaluation could result in relevant changes to policies and support measures</li> </ul>	<ul style="list-style-type: none"> <li>Field staff invited to participate in survey</li> <li>Potential involvement in learning component</li> </ul>
Policy and programme staff (including past members and staff members seconded to the Centre of Competence)	<ul style="list-style-type: none"> <li>Work is subject of the evaluation</li> <li>Potential inputs from the recommendations</li> <li>Key partner for implementing the learning component</li> </ul>	<ul style="list-style-type: none"> <li>Consulted during the inception phase</li> <li>Interviews with current policy holders and past members</li> <li>Participation in global stakeholder workshop</li> <li>Participation in reference group</li> <li>Close involvement in development of learning component</li> </ul>
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 (OSC).	<ul style="list-style-type: none"> <li>Work is subject of the evaluation</li> <li>Potential inputs from the recommendations</li> </ul>	<ul style="list-style-type: none"> <li>Consulted during inception phase</li> <li>Interviews</li> <li>Participation in reference group</li> <li>Participation in global stakeholder workshop</li> </ul>
WFP Executive Management	<ul style="list-style-type: none"> <li>Evaluation results can impact standing in the Executive Board</li> <li>Responsible for evaluation management response</li> </ul>	<ul style="list-style-type: none"> <li>Consulted during inception phase</li> <li>Interviews</li> <li>Participation in reference group</li> <li>Executive workshop</li> </ul>
WFP Executive Board	<ul style="list-style-type: none"> <li>Accountability for key areas of WFP work</li> <li>Risk of backlash from domestic audiences</li> </ul>	<ul style="list-style-type: none"> <li>Interviews with selected members</li> <li>Presentation of evaluation report and management response</li> </ul>
Office of Evaluation (OEV)	<ul style="list-style-type: none"> <li>Opportunities and risks of the new evaluation/learning approach on a highly sensitive issue</li> </ul>	<ul style="list-style-type: none"> <li>Involved in all steps of the evaluation</li> </ul>
Performance management and monitoring	<ul style="list-style-type: none"> <li>Responsible for consolidating and coordinating inputs to the management response</li> </ul>	<ul style="list-style-type: none"> <li>Interview</li> <li>Consulted on recommendations</li> </ul>
Other WFP units: Gender Office, New York Office, Geneva Office, Ethics Office, Legal Office; oversight offices	<ul style="list-style-type: none"> <li>Involved in WFP work on access and principles</li> </ul>	<ul style="list-style-type: none"> <li>Interviews</li> </ul>
<b>External stakeholders</b>		
Crisis-affected women, men, boys and girls with diverse social and economic status, age, and diversity profiles	<ul style="list-style-type: none"> <li>Interest in improved access of WFP</li> <li>Interest in assistance being provided according to the humanitarian principles</li> <li>Indirect influence on access by advocating with non-state armed groups and governments</li> </ul>	<ul style="list-style-type: none"> <li>Affected population surveys</li> <li>Analysis of feedback data</li> <li>Media and social media analysis</li> </ul>

	<ul style="list-style-type: none"> <li>• Key role in influencing the perception of WFP on principles and access</li> <li>• Survey fatigue</li> </ul>	
Host government stakeholders	<ul style="list-style-type: none"> <li>• Risk of exposing negative practices</li> <li>• Tension between state sovereignty and principles/access</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews at country level</li> </ul>
Non-state armed groups	<ul style="list-style-type: none"> <li>• Risk of exposing negative practices</li> </ul>	<ul style="list-style-type: none"> <li>• Secondary data from existing research (SAVE, AWSD, ODI, Geneva Call)</li> </ul>
Centre of Competence on Humanitarian Negotiation	<ul style="list-style-type: none"> <li>• Results from the learning component can inform part of WFP contribution to the centre</li> <li>• Risk of duplication between the centre's workshops and peer-learning workshops conducted as part of this evaluation</li> </ul>	<ul style="list-style-type: none"> <li>• Centre of Competence briefed about the evaluation and consulted on the design of the learning component</li> <li>• WFP seconded to the centre involved in planning of the learning component</li> </ul>
ERC, RC/HC, HCT, Other United Nations organizations (UNHCR, UNICEF, OCHA, FAO, UNDSS)	<ul style="list-style-type: none"> <li>• Collective reputation of United Nations organizations</li> <li>• Possible peer pressure to also evaluate policies on principles and access</li> <li>• Learning from the evaluation findings about collaborative approaches to principles/access</li> <li>• Potentially relevant findings on role of UNDSS</li> </ul>	<ul style="list-style-type: none"> <li>• Participation of UNHCR, UNICEF and OCHA in the external reference group</li> <li>• UNICEF and UNHCR as comparator organization for the policy analysis</li> <li>• Interviews</li> <li>• Survey</li> </ul>
IASC	<ul style="list-style-type: none"> <li>• Possible input to the discussions on principled humanitarian action</li> </ul>	<ul style="list-style-type: none"> <li>• Participation of OCHA and NRC (co-chairs of the IASC reference group on principled action) in the reference group</li> </ul>
Other humanitarian NGOs and Red Cross/Red Crescent movement	<ul style="list-style-type: none"> <li>• Learning on methodology</li> </ul>	<ul style="list-style-type: none"> <li>• NRC as comparator organization for the policy analysis</li> <li>• NRC and ICRC part of the external reference group</li> <li>• Interviews</li> <li>• Survey</li> </ul>

9. **Summary of data collection and analysis methods:** The following is a summary of the different research methods used. Subsequent annexes contain more details, including a bibliography, the list of interviewees and the results of the surveys, the network analysis, the analysis of public perceptions, and the quantitative analysis.

10. The document review included analysis of a wide range of WFP and external literature and documents. The internal documents included WFP policies, guidance, training materials, evaluations, project reports, and audits. The external documents included policies and guidance of comparator organizations, academic literature, and grey literature. A full list of the documents can be found in Annex II.

11. **Field missions and stakeholder interviews:** The evaluation team visited six country operations and four regional offices or hubs, as well as WFP Headquarters in Rome to conduct interviews and for direct observation. The semi-structured interviews were conducted with a



variety of different stakeholders including WFP staff, cooperating partners, and other relevant external actors, including host government representatives, United Nations agencies, Red Cross movement representatives, commercial providers, and donor governments. In total, 442 individuals were interviewed. The majority were WFP staff members (53 percent). Critical interview questions were then coded for analysis to enable triangulation with the survey findings. A breakdown of the demographics of the interviews, and a full list of interviewees can be found in Annex III. The evaluation team visited the following country operations and regional offices or hubs:

Visits	Timing	Team members
Amman	1-7 May, 2017	Steets, Harmer, Meier
Dakar	18-24 June, 2017	Meier
Democratic Republic of the Congo Goma, Bunia, Bukavu	25 June-4 July, 2017	Steets, Meier
Mali Bamako	6-15 September, 2017	Meier
Yemen Sana'a, Aden	27 September-5 October, 2017	Steets
Bangkok (including remote interviews for Myanmar)	9-14 November, 2017	Harmer
Bangladesh Dhaka, Cox' Bazar	4-9 November, 2017	Harmer
Nairobi	31 October-4 November, 2017	Meier
Burundi Bujumbura, Ngozi	5-11 November, 2017	Meier
Iraq Baghdad, Erbil	6-11 December, 2017	Harmer

12. The online surveys targeted three stakeholder groups: WFP employees, WFP cooperating partners, and other external stakeholders (other United Nations agencies, donor governments, and other (non-cooperating partner) humanitarian organizations). The survey was open from 23 August to 8 October 2017, and was made available in Arabic, English, and French. The survey was completed by 1,325 persons, 1,106 of which were WFP staff. Of all respondents, 30.7 percent were women, 69.1 percent men, and 0.2 percent identified as non-binary. A further breakdown of respondents' demographics, as well as the full results of the survey and the full questionnaire, can be found Annex VII.

13. A network analysis was undertaken to complement the interviews and survey data. It is based on a short additional survey attached to the staff survey. The network question: "When you face a tricky issue related to humanitarian access, whom do you contact in WFP for advice?" was answered by 206 individuals. While the network analysis is based on a low response rate, the data allows for a snapshot of the immediate network(s) of those surveyed. Since the observed patterns are very strong, they can be regarded as indicative for the broader state of access knowledge networks within WFP. The survey data was merged with existing WFP staff data to allow for a filtering of the network by different categories. The survey data was visualized and analysed using the open source software Gephi. A more detailed description of the approach and results can be found at Annex VIII.

14. A range of public perception data was also collected as part of the evaluation approach, to analyse the reputation of WFP as a principled and effective assistance provider. The tools included remote surveys of affected people in a sample of the focus countries, an analysis of available beneficiary feedback and complaints data, press coverage relating to WFP work, and social media mentions of WFP. While all four tools have limitations and none can claim perfect

representativeness, their findings reinforce each other and those of the broader study in important ways. Detailed findings are included in Annex IX.

15. The affected population remote surveys were undertaken in six countries: Afghanistan, Bangladesh, Burundi, DRC, Nigeria, and the Philippines. These countries were chosen based on prevailing conditions and issues that were relevant to the study (i.e. challenging conditions relating to access and humanitarian principles) combined with possibility for collecting meaningful numbers of respondents within budgetary constraints. Three countries (Bangladesh, Burundi, DRC) were also countries that received field missions allowing for a degree of triangulation in the findings. An initial pilot survey was fielded in Nigeria, which resulted in some small modifications to the questionnaire, and it was then translated into the relevant local language(s) of the six countries. The survey was implemented between August and November 2017, using SMS (text-based) platforms in those countries where literacy rates and security conditions were favourable, and interactive voice response technology in the cases of Afghanistan and Bangladesh.<sup>1</sup> The surveys were undertaken by two major providers of international mobile telecoms surveying services, GeoPoll and Voto Mobile. The target number of respondents of 400 per country was reached. The target number was slightly higher than the minimum number required for statistical significance for the total population of each country (384), at 95 percent confidence, CI-5. Respondents were screened with two eligibility questions: to complete the survey they needed to be 1) familiar with WFP as an organization and 2) either a recipient of WFP programming themselves or know someone personally who was. They were also asked their age, sex, and location of residence. To limit the gender bias, which can be significant in mobile phone surveying, the surveys were kept in the field longer to obtain more women respondents and achieve as close to a 50/50 gender split as possible within time and budget constraints. Balanced samples were achieved in Burundi, DRC, and Nigeria. The Philippines and Bangladesh samples were close to balanced, at 46 percent and 40 percent women, respectively. Afghanistan, as expected, proved more difficult, reaching only 25 percent women respondents. For most questions, however, there were no significant difference between the opinions of women and men.

16. As part of the public perceptions analysis, beneficiary feedback and complaints data was also analysed. WFP provided the evaluation team with raw data from its feedback and complaints systems in four countries: Bangladesh, Mali, the Philippines, and Somalia. The evaluation team designed automated analysis tools to analyse these data, primarily drawing on the “bag-of-words” approach, focusing on word frequency and association. The team made further inquiries into most frequent relevant terms and their associations to determine the presence and scope of pertinent issues. There were a number of limitations to this method, including limited data, and inconsistent language used in the Philippines, which made it unsuitable for text mining. Overall the analysis of feedback data did not yield significant insights.

17. A media analysis also formed part of the public perceptions analysis. It aimed for a broad analysis of tone (i.e. favorable or unfavorable). The team drew on two sources in order to conduct the analysis: synthesis reports prepared for WFP by CARMA (eight reports covering 2014 to 2016) and the Global Database of Events, Language and Tone (GDELT), a database that houses a global index of broadcast, print, and web news media. GDELT ultimately yielded a very small number of articles (24) which were directly relevant to the analysis. The analysis of CARMA and GDELT involved extracting information relevant to the study, namely mentions of WFP gaining (or failing to gain) access in difficult or dangerous environments, questions of partiality or favoritism in their programming, and any discussion of whether WFP is considered neutral, impartial and independent of political interests as a humanitarian actor. While the media-monitoring research

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<sup>1</sup> Interactive voice response technology uses a recorded voice asking questions and prompting the respondents to answer by pressing number keys. It allows for greater reach to non-literate populations and is considered more secure as it does not leave a text record on a user’s phone.

process yielded a small return relative to inputs/effort, it nevertheless lends value to the overall study in the sense of “due diligence,” ensuring that the team did not miss any significant currents of general or localized public opinion vis-à-vis WFP.

18. The final element of the public perceptions research was social media analysis, involving an analysis of Twitter posts relevant to WFP during the period of January 2013 to September 2017. This was done to complement the media search as that search yielded less substantive results than hoped for. The tweets were collected using a custom-built crawler collecting all mentions of the WFP official handle (@WFP), and excluding those emanating from internal WFP or other United Nations sources. The final corpus included 63,796 tweets with 12,571 hashtags from 16,569 unique accounts. Similar to the feedback analysis, the team employed the natural language process model “bag-of-words” to look for insights in this set of data. Additionally, each tweet was fed through a polarity scorer to approximate its sentiment. There were limitations to this approach as well, including the fact that the dataset was not representative of the general population.

19. Quantitative access and coverage analysis was a critical method of the evaluation. It involved a systematic, large-number data collection for a snapshot covering the third quarter of 2016. It aimed to enhance knowledge of the level of WFP coverage of food assistance needs in the presence of access challenges, as well as to quantitatively assess the importance of various access constraints in explaining WFP coverage patterns. Data was collected on more than 300 provinces or districts in countries in which WFP currently experiences significant access constraints. The analysis was originally planned for 23 countries, but due to limited data availability, 18 countries remained in the final sample. For 16 of those countries, data was gathered at the provincial level, in line with the local logic of administrative delimitation applied by WFP. In the case of Myanmar and Nigeria, only three divisions/states were considered respectively, and the unit of observation was therefore moved to the district level.

20. In terms of time period, while several ranges of time were considered, a “snapshot” examination was carried out for each province, analysing level of coverage and of various access constraints over the period July to September 2016 - a relatively recent period for which comparatively complete data were expected to be available - on either a monthly or a quarterly basis, depending on the respective country office’s reporting period. While it is noted as a limitation to the data that it does not provide any information about variation of coverage over time, the approach was chosen in order to increase the number of countries for which complete data were provided, thereby increasing the data’s variance and representativeness, and to allow for a relatively high internal consistency of the data. Volume II of the Annexes further defines the scope and approach of the analysis, as well as the availability and quality of the data. It also provides a descriptive analysis of the collected data and the results of a multilevel regression analysis of the data with a view to determining what drives WFP needs coverage on a provincial level.

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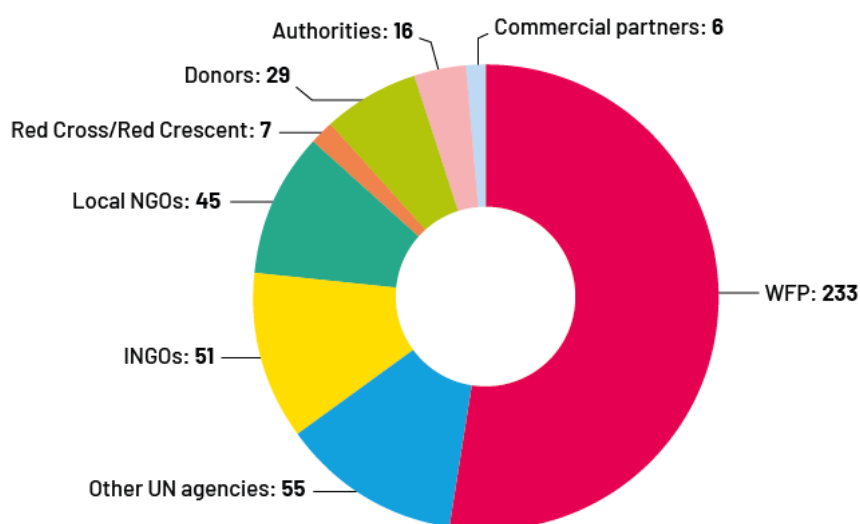
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# III. Stakeholders Consulted

## 1. Demographics of Interviewees

1. The evaluation team conducted semi-structured interviews with the different stakeholder groups identified in the inception report. In total, 442 individuals were interviewed. The majority of them were WFP staff members (53 percent). Figure 1 shows the distribution across stakeholder groups.

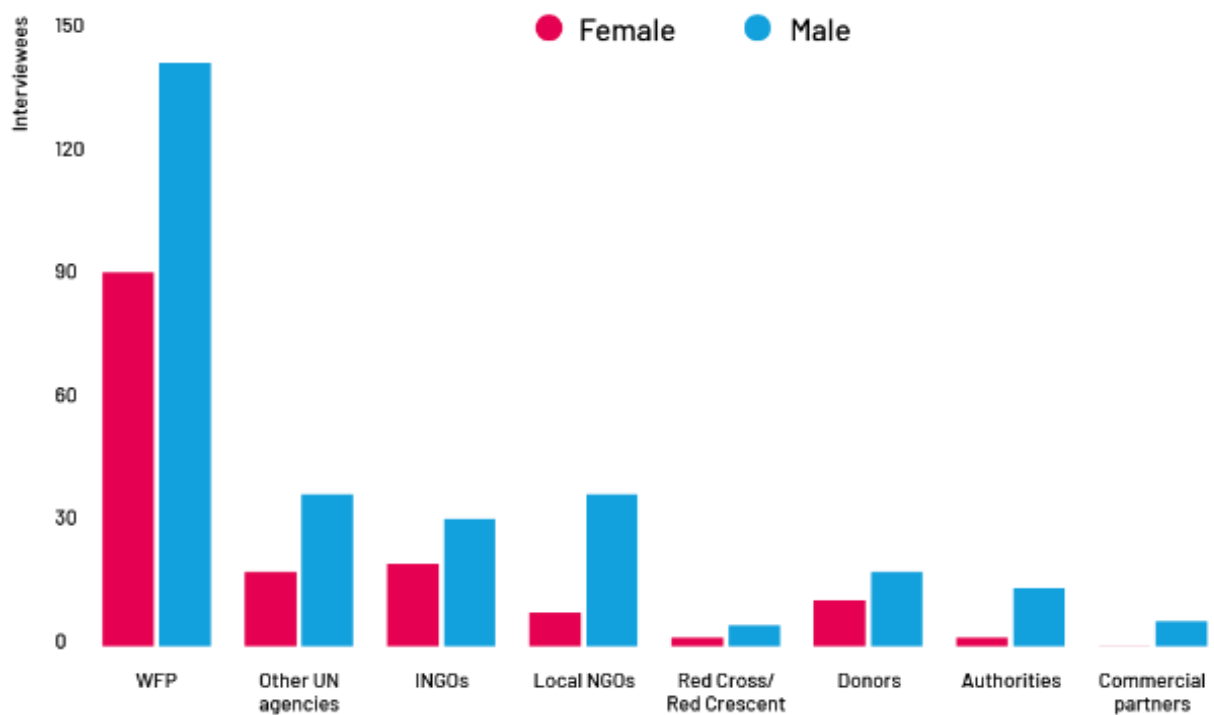
**Figure 1: Interviewees by stakeholder group**



2. Potential opportunities for interviewing affected populations were discussed with the country management in two field locations. However, the evaluation team was subject to access constraints and there were concerns about potential harm for individuals participating in sensitive discussions. Following the advice of WFP management teams in the countries concerned, interviews with affected populations were therefore not conducted.

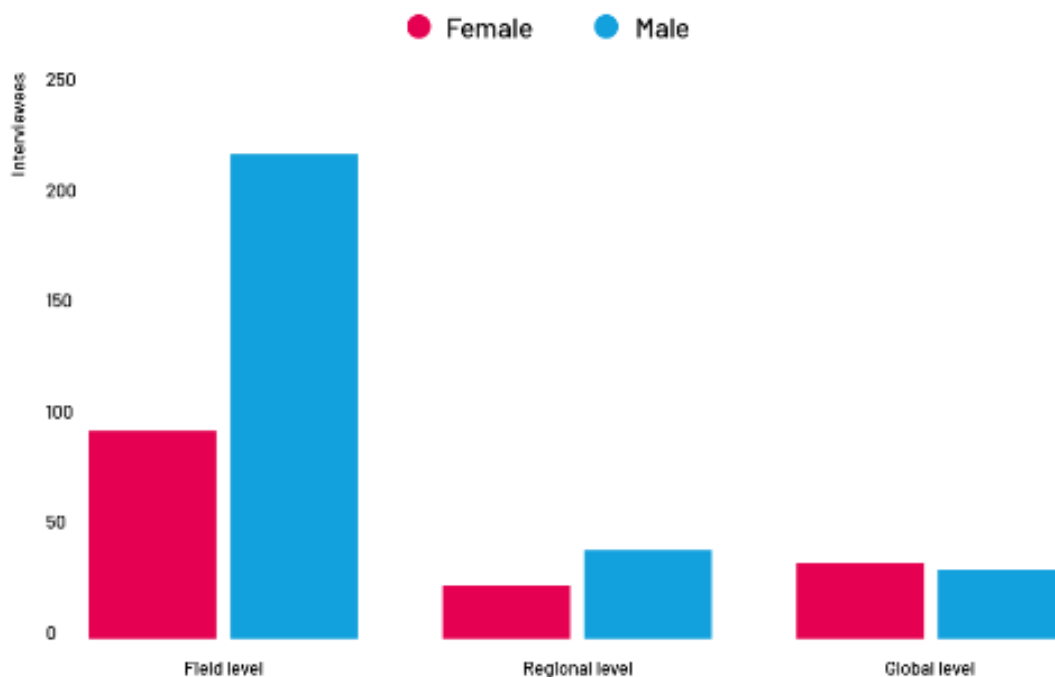
3. When having the option of interviewing functionally similar individuals, the evaluation team would give preference to women. Despite this measure, two thirds of all people interviewed were men, reflecting the dominance on men in positions relevant to access and humanitarian principles. The gender imbalance was particularly pronounced for local NGOs and authorities (Figure 2).

**Figure 2: Gender distribution among interviewees**



4. Reflecting current staffing situations, the gender imbalance among interviewees was by far the most pronounced at field level. At global level (i.e. for interviewees located at an organization’s headquarters or deployed for example to New York or Geneva), the majority of interviewees were women (Figure 3).

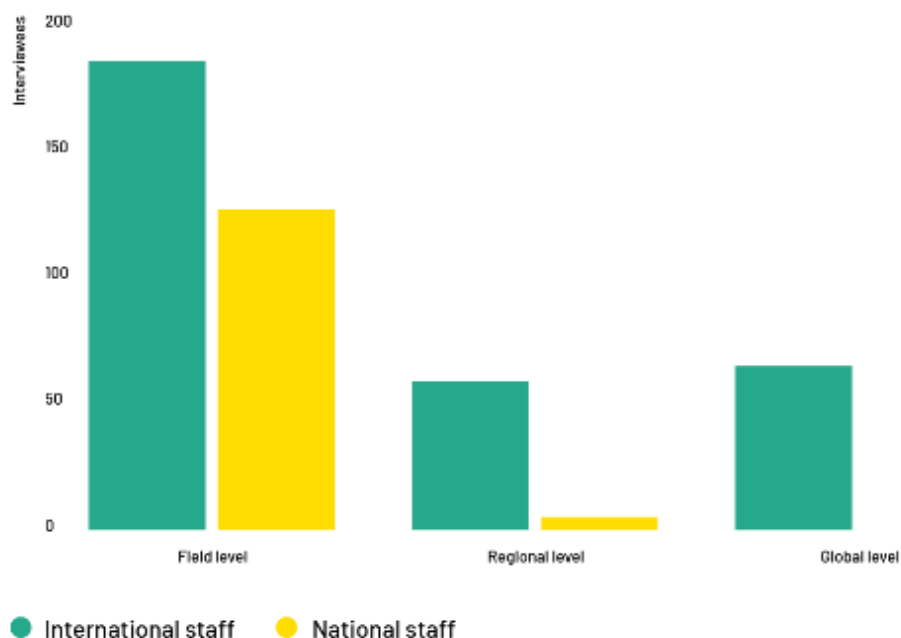
**Figure 3: Gender of interviewees by location type**



5. Of the individuals interviewed, around 30 percent were national staff and the remainder international staff., Most national staff worked at field level (Figure 4).

**Figure 4: National and international staff interviewed**





## 2. List of interviewees

Surname	First Name	Organisation
Abdo	Basel	World Food Programme
Abdoussoumaila	Djibo	World Food Programme
Abdullah	Amir	World Food Programme
Addum	Mohamed	Norwegian Refugee Council
Adjali	Soufiane	UNHCR
Adoa	Guy	World Food Programme
Adouane	Soraya	OCHA
Afreen	SS	World Food Programme
Agban	Ndeley	World Food Programme
Ahmed	Abdullah	World Food Programme
Ahmed	Maha	World Food Programme
Ahmed Manneh	Saikouba	World Food Programme
Aitchison	Mike	World Food Programme
Al Amood	Laith	OHCHR
Alaghbary	Salah	SOUL
Alahmad	Wissam	World Food Programme
Alakhram	Hamoud	Ministry of Education
Algaili	Jeehan	PU-AMI
Al-Gara	Riad Mohammed	CSSW
Alhillo	Amin	World Food Programme
Al-Huni	Ekram	World Food Programme
Ali	Zulfiqar	World Food Programme
Ali	Mohamed	World Food Programme
Ali	Omar	Human Appeal International
Al-Jubouri	Hassan	World Food Programme
Alkhamery	Nouria	SOUL

Al-Maqdsi	Farid	World Food Programme
Al-Maweri	Mohammed	NFDHR
Al-Nahari	Nather	World Food Programme
Alsakaf	Iftikar	Care
Alsamei	Bassam Ahmed	Ministry of Education
Alselwi	Abdulrazzaq	Ministry of Education
Alshaibani	Abdulkhaleq Ali	DHL
Altaweel	Rawia	UNICEF
Alvarez	Maria	World Food Programme
Alvers	Janerose	World Food Programme
Alwi	Nasser Ali	High Relief Committee
Amar	Mickael	Norwegian Refugee Council
Amougou	Désiré	World Food Programme
Anani	Reine	FAO
Anderson	Stephen	World Food Programme
Anderson	Ryan	World Food Programme
Armstrong	Barry	DFID
Armstrong	Justin	MSF Holland And MSF Spain
Arroyo	Fernando	OCHA
Arroyo	Cesar	World Food Programme
Asrat	Azeb	World Food Programme (Formerly)
Asseged	Fetlework	World Food Programme
Assiene	Bernardin	World Food Programme
Aylieff	John	World Food Programme
Baalcke	Florian	World Food Programme
Badong	Pascal	UNDSS Myanmar
Bag Essa	Fabrice	Pact Burundi
Bagula	Zacharie	World Food Programme
Bajanoob	Nasser	Society For Human Solidarity
Bakabona	Dieudonné	Samaritan's Purse
Balfakih	Gamal M.	High Relief Committee
Barigou	Sabah	World Food Programme
Basuhaib	Nazar	Ministry of Planning and International Cooperation
Berger	William S.	State Department
Bergmann	Kathrin	German Federal Foreign Office
Bernandez	Maria	ECHO
Bernard	Jérôme	ECHO
Beun	Monique	World Food Programme
Biruru	Yvon	World Food Programme
Bitahwa Kapfumba	Siméon	PADEC (Programme d'Appui Au Développement Communautaire)
Bitwire	Jimmi	UNHCR
Bocci	Luigi	World Food Programme
Born	Timothy	USAID
Bouffard	Thomas	World Food Programme
Bouna	Diop	IEDA Relief

Boutant-Willm	Clémence	Norwegian Refugee Council
Boutin	Genevieve	UNICEF
Branckaert	Eric	World Food Programme
Briere	Jean-Francois	DFID
Bruderlein	Claude	Joint Centre Of Competence On Humanitarian Negotiation
Bucumi	Jean Baptiste	Direction Provinciale de l'Education
Burchard	Isabel	World Food Programme
Burgess	Peter	ECHO
Bwami	Don	PDER
Cahill	Stephen	Logistics Cluster
Cameno Sastre	Diego	ICRC
Campbell	Jonathan	World Food Programme
Canali	Giulia	ACTED
Carboni	Fabrizio	ICRC
Caredda	Angelita	Norwegian Refugee Council
Carey	Erin	World Food Programme
Caruso	Silvia	World Food Programme
Chalila	David	World Food Programme
Chard	Felicity	World Food Programme
Chattaraj	Samantha	World Food Programme
Chengo	Walter	World Vision
Chicoine	Genevieve	World Food Programme
Chirimwami	Chirimwami	CEPAC
Christensen	Daniel	World Food Programme
Cicchella	Daniela	UNHCR
Clarence	Christine	World Food Programme
Conan	Claire	World Food Programme
Conteh	Idrissa Salam	OCHA
Coulibay	Mahoua	World Food Programme
Crisci	John	World Food Programme
Cumba	Raul	World Food Programme
Czerwinski	Chris	World Food Programme
Dacasto	Gabriele	World Food Programme
Daouda	Alhousseini	Association d'Aide A Gao (AAG)
David	Jacques	World Food Programme
De Boeck	Laurent	IOM
De Kock	Myrthe	Government of Netherlands
Dee	Matthew	World Food Programme
Delorme	Camille	PU-AMI
Demalvoisine	Frédéric	MSF
Demange	Manon	World Food Programme
Deni	Kimberly	World Food Programme
Desisti	Mike	USAID FFP
Dhanasekara	Anu	ACTED
Dhingra	Jyoti	World Food Programme

Diallo	Alpha	World Food Programme
Diallo	Souleymane	Save the Children
Diallo	Abdoul Aziz	Association pour l'Appui au Développement Global (ADG)
Dieng	Abdou	World Food Programme
Diro	Pascal	World Food Programme
Djabiri	Assani	EPSP
Dobson	Niamh	Australian High Commission
Dore	Nianga Matho	UNHCR
Doucoure	Moussa	Matrans Mali Sarl
Douvon	Yawo	CARE International
Dufils	Stéphane	USAID/Food for Peace
Dunford	Michael	World Food Programme
Dunne	Sheila	World Food Programme
Edo	Begna	UNICEF
Elguindi	Karim	World Food Programme
Eljurkaev	Mosvar	World Food Programme
Ellehammer	Dorte	World Food Programme
Enholmzantioti	Lina	World Food Programme
Esclatine	Antoine	ECHO
Fall	Ndeye Khady	Save the Children
Fall	Tidiani	ACF
Fara	Abdi	World Food Programme
Fauchon	Mailin	World Food Programme
Faye	Gabriel	UNDSS
Felten	Peter	German Federal Foreign Office
Ferhan	Hanalia	ACTED
Fernandez	Into	ACTED
Fidele	Mi-Netackdi	World Food Programme
Florez	Julian	World Food Programme
Fongni	Camille	UNHCR
Forsen	Yvonne	World Food Programme
Fortier	Christian	World Food Programme
Foucher	Antoine	Médecins Sans Frontières
Galli	Antonio	World Food Programme
Garner	Karen	Global Affairs Canada
Georges	Sherif	World Food Programme
Ghazi	Khansae	World Food Programme
Gichuhi	Joséphine	World Food Programme
Giroud	Severine	World Food Programme
Girukwayo	Patrik	MONUSCO
Glorieux	Henry	Resident Coordinator's Office, UNDP
Gluning	Stephen	World Food Programme
Gonzalez	Begona	MINUSMA
Goosens	Peter	World Food Programme (formerly)
Green	Bonnie	World Food Programme

Grillon	Erwan	Médecins Sans Frontières, France
Guarneri	Valerie	World Food Programme
Guderian	Marika	World Food Programme
Guimbayara	Mahamoudou	CARE International
Hafez	Sasha	World Food Programme
Hakizimana	Simeon	World Food Programme
Hakizimana	Theodore	World Food Programme
Halley	Ragen	Global Affairs Canada
Hamuli	Prosper	APC
Hangi	Mireille	World Food Programme
Harb	George	UNHAS
Harczi	Geza	Médecins Sans Frontières
Hashimoto	Nozomi	World Food Programme
Hauzeur	Antoine	World Food Programme
Haydock	Sally	World Food Programme
Heath	Andrea	ICRC
Higgins	Ettie	UNICEF
Hines	Deborah	World Food Programme
Hirsch	Anita	World Food Programme
Hizam	Fathi	CSSW
Hollingworth	Matthew	World Food Programme
Honorat	Pierre	World Food Programme
Hourihan	Colin	World Food Programme
Howard	Shannon	World Food Programme
Huggins	Michael	World Food Programme
Hutchinson	Erin	ACF
Hyslop	Chris	OCHA Myanmar
Ibrahim	Tahir	OCHA
Ismail	Jennifer	Norwegian Refugee Council
Ismail	Mohammad	World Food Programme
Issa	Halima Idi	World Food Programme
Jacobs	Johannes	UNDSS
Jacquet	Nicole	World Food Programme
Jameel	Phyza	World Food Programme
Jamie	Ellen	Food for Peace
Jessen	Dorte	World Food Programme
Jibidar	Claude	World Food Programme
Joergensen	Erika	World Food Programme
Joud	Damien	World Food Programme
Kabaluapa	Martin	World Food Programme
Kai-Kai	Sitta	World Food Programme
Kalume	London	MONUSCO
Kamara	Nanthilde	World Food Programme
Kandambuka	Francis	Ets Logo Muvito (Transport Company)
Kanté	Mamady	AMRAD
Kapinga	Henriette	World Food Programme

Karabaye	Ramazani	World Food Programme
Karim	Ahmareen	World Food Programme
Karim	Rezaul	World Food Programme
Kasamira	Delphin	Levain Des Femmes
Kasendula	Romain	World Food Programme
Kashyap	Purnima	Scaling Up Nutrition
Kasiba	Solange	CEPAC
Kassem	Mohammed	The United Iraqi Medical Society for Relief And Development (UIMS)
Katruud	David	World Food Programme
Keita	Paul	World Food Programme
Keita	Alpha	World Food Programme
Kennedy	Kevin	United Nations
Kern	Jacob	World Food Programme
Keshavjee	Tarek	World Food Programme
Khalil	Hayam	SOUL
Kheed	Jalal	DHL
Khyatt	Marah	World Food Programme
Kinudia	Paul	World Vision
Kirolos	Tamer	Save the Children
Kitungano	Enoc	World Food Programme
Kiumbe Munse	Tony	Geneva Call
Kohler	Jean-Luc	World Food Programme
Koledu	Anny	World Food Programme
Kortsaris	Periklis	UNHCR
Krauss	Guido	Diakonie Katastrophenhilfe
Krummacher	André	ACTED
Ladowani	Lokule	World Food Programme
Lakser	Saleh Ahmed	Society for Human Solidarity
Lancaster	Charlotte	UNOPS
Lechev	Lachezar	World Food Programme
Letakamba	Christophe	Caritas
Liu	Dagen	World Food Programme
Loeffen	Esther	Ambassade Du Royaume Des Pays-Bas
Long	Hugh	World Food Programme
Lopes Da Silva	Ramiro	World Food Programme
Lorentzen	Mick	World Food Programme
Lossau	Jonas	World Food Programme
Loum	Serigne	World Food Programme
Luvisutto	Sandra	World Food Programme
Lynch	Charles	UNHCR
Macgregor	Brenda Leigh	World Food Programme
Mahwane	Jean	World Food Programme
Maguna	Aitor	World Food Programme
Maier	Daniel	MONUSCO
Malla Hamza	Delovan	World Food Programme

Markering	Louisa	MSF Spain
Martino	Chad	World Food Programme
Martou	Philippe	World Food Programme
Masini	Andrea	UNHCR
Mataici Buhenawa	Roger	CEPAC
Matiko	Chantal	World Food Programme
Mbaranga	Gasarabwe	United Nations
Mcgoldrick	Jamie	United Nations
Mcilvenna	Matthew	World Food Programme
Mcparland	Michael	USAID
Meerdink	Michiel	World Food Programme
Mehliouh	Leila	World Food Programme
Menon	Shashi	World Food Programme
Merceur	Genevieve H.	World Food Programme
Mhamma	Youssef	World Vision
Milev	Aline	ACTED
Milisic	Zlatan	World Food Programme
Milkovic	Sandra	World Food Programme
Misenga	Mami	World Food Programme
Mofuta	Audilon	World Food Programme
Moghraby	Shada	World Food Programme
Mogire	Nicholas	World Food Programme
Mohammed	Mahmood	Humanitarian Aid And Development
Mon	Myat	World Vision International
Mongo	Eric	ACIAR ONG, Bunia
Moore	Aaron	World Vision
Morard	Christophe	World Food Programme
Mostafa	Kefayetul	UNHCR, Bangladesh
Muamba	Patrick	UNDSS
Mufungizi	Nestor	World Food Programme
Mugeu	Augustin	8ème CEPAC GOMA
Muhima	Janvier	World Food Programme
Muhombo	Immaculee	World Food Programme
Muhrez	Rasha	Save the Children
Mukania	Francois	World Food Programme
Mullenax	John	USAID/Food for Peace
Mulonda	Jean-Marie	World Food Programme
Murphy	Maeve	UNHCR
Mushaku	Jean-Pierre	World Food Programme
Nabi	Nasiba	World Food Programme
Nabi	Nurun	World Food Programme
Nacanieli	Natale	UNDSS Iraq
Nadazdin	Natasha	World Food Programme
Nadellan	Salma	SOUL
Nahar	Foyzun	World Food Programme
Nahimana	Pierre Claver	Caritas Burundi

Nall	William	World Food Programme
Nash	Dr. Mwanza Nangunia	Ministry of Health And Emergencies
Nathanson	Marshall	World Food Programme
Ndayisenga	Samuel	Ministère de l'Intérieur et la Formation Patriotique. Office National de Protection des Réfugiés et Apatrides (ONPRA)
Ndayongeje	Donate	Croix-Rouge Burundaise
Ndizeye	Jean	Caritas Burundi
Nduwimana	Jean Bosco	Ministère de l'Intérieur et la Formation Patriotique. Office National de Protection des Réfugiés et Apatrides (ONPRA)
Ngari	Solomon	Australian High Commission
Niazi	Asif	World Food Programme
Nibaruta	Anicet	Ministère de la Sécurité Publique - Direction Générale de la Protection Civile
Nijenhuis	Rene	OCHA Iraq
Nikodimos	Tito	World Food Programme
Niyonkuru	Godefroid	Welthungerhilfe
Niyonzima	Eddy	Ambassade Du Royaume Des Pays-Bas
Nkulwe	Rodrigue Ciribagula	Bucop / CEPAC
Nkunzi	Emile	World Vision International
Noel	Stephania	World Vision
Noordam	Gerrit	Ambassade du Royaume des Pays-Bas
Noorshir	Noori	World Food Programme
Norvalic	Dane	World Food Programme
Nour	Tahir	World Food Programme
Ntabala Mwambutsa	Clovis	Lutheran World Federation
Ntemako	Antoine	Ministère de la Sécurité Publique - Direction Générale de la Protection Civile
Nyangara	Asaka	World Food Programme
Nyeko	Willy	World Food Programme
Obaid	Tomna	FMF
Odeinde	Oyinkan	World Food Programme
Olaqi	Mozna	Food Security and Agriculture Cluster
O'Leary	Emma	Norwegian Refugee Council
Olympia	Soeur	PDER
Onambebe	Guy	World Food Programme
Opiyo	Francis	World Food Programme
Owen	Daniela	World Food Programme
Packwood	Daniel	Teafund, Erbil, Iraq
Palandar	Mazin	World Food Programme
Parker	Ben	IRIN
Paul	Alan	Save the Children
Paul	Jacqueline	World Food Programme
Paul	Barna	World Food Programme



Pearce	Jane	World Food Programme
Pepper	Analee	World Food Programme
Perdison	Eric	World Food Programme
Perrone	Matteo	World Food Programme
Persson	Mats	World Food Programme
Petzal	Lisa	DFID
Principi	Marco	World Food Programme
Pruscini	Elvira	World Food Programme
Qureshi	Ally-Raza	World Food Programme
Rader	Christa	World Food Programme
Rakotovao	Alain	World Food Programme
Relano	Meritxell	UNICEF
Relleen Evans	Kathy	Norwegian Refugee Council
Reltien	Christophe	ECHO
Reounodji	Alexandre	World Food Programme
Richards	Rebecca	World Food Programme
Robe	Nicholas	ACTED
Rosenberger	Kristian	Samaritan's Purse, Erbil, Iraq
Rudahigwa Ciza	Abbé Louis Pasteur	Caritas
Rukubangwany	Abel	Ministère de l'Intérieur et la Formation Patriotique. Office National de Protection des Réfugiés et Apatrides (ONPRA)
Rumen	Erwan	World Food Programme
Sadeki	Jermais	UNDSS
Saeed	Samer	DHL
Sahakyan	Arsen	World Food Programme
Salah	Mohammed	NFDHR
Salvani	Sylvia	World Food Programme
Samkange	Stanlake	World Food Programme
Sanjid	Sahel	Resource Integration Centre, Bangladesh
Sanson	Michelle	World Food Programme
Sarkar	Bimal Chandra Dey	Mukti, Bangladesh
Sayyed	Yaver	World Food Programme
Schuldt	Tobias	OCHA
Schwendinger	Kay	Bureau du Coordonnateur Résident du Système des Nations Unies au Burundi
Scott-Bowden	Peter	World Food Programme
Sebagenzo Nikuze	Beatrice	World Food Programme
Segrado	Chiara	DFID
Segun	Mausi	Human Rights Watch
Seid	Jemal Ebrahim	Islamic Relief
Semakoma	Viateur	Caritas
Shaffer	Peter	World Food Programme
Shahin		Mukti, Bangladesh
Shbib	Mostafa	OCHA

Shelow	Hy	UNHCR
Shimomura	Masae	World Food Programme
Sidyane	Denis	World Food Programme
Siku	Joel	World Food Programme
Singh	Sunee	World Food Programme
Skoczylas	Paul	World Food Programme
Smith	Eunice	World Food Programme
Smith	Ross	World Food Programme
Solh	Yahiya	Ministry of Education
Solomon	Sophie	OCHA
Songue	Moussa	World Food Programme
Sory	Diane	Matrans Mali Sarl
Souleymane	Diallo	Save the Children
Soumah	Jean-Pierre	ICRC
Soumare	Aida	World Food Programme
Spencer	Elizabeth	World Food Programme
Stevenson	Kelly	Plan International
Suharlim	Liny	ACTED
Taltec	Fabien	FAO
Tanapo	Ibrahima	World Food Programme
Tax	Blanche	UNHCR, Bagladesh
Teri Ann	Bryans	OCHA Iraq
Thelin	Sven	World Food Programme
Thiam	Amadou	World Food Programme
Third	Clare	Norwegian Refugee Council
Thompson	Thomas	World Food Programme
Tisocco	Tania	World Food Programme
Tive	Charles	UNDSS
Torp	Jess Kenneth	Unicef
Traoré	Moussa	Islamic Relief
Tsekouras	Noel	OCHA
Tsibangu	Robert	IEDA Relief
Turner	Tristan	World Food Programme
Tymo	Darlene	World Food Programme
Uwimana	Lucie	World Food Programme
Van Loo	Yves	ICRC
Vander Wiel-Hakme	Julie	World Food Programme
Vanderknaap	Adrian	World Food Programme
Vangen-Weeks	Nicholas	World Food Programme
Vejlstrup	Mads	Logistics Cluster
Vennize	Ingermarie	World Food Programme
Vercammen	Patrick	DFID
Vere Aqela	Sr Likulagi	Giriteka
Verna	Luc	ECHO
Villar Arribas	Virginia	OCHA

Wanmali	Samir	Ethiopia
Warne-Smith	Mark	World Food Programme
Wielezynski	Ellen	World Food Programme
Win	Swe Swe	World Food Programme
Winter-Norberg	Ingela	Ministry of Foreign Affairs, Sweden
Wright	David	Save the Children
Yacouba	Ballo	Amassa Afrique Verte
Yahia	Mageed	World Food Programme
Yamwenziyo Mutumayi	Eddy	Caritas
Yousif	Yuri	World Food Programme
Zagabe Mugoli	Martine	Levain des Femmes
Zain	Ensejam Mohammed	Ministry of Health
Zihahirwa	Marc	World Food Programme
Zingg	Anna	World Food Programme
Zorofi	Bahar	World Food Programme

## IV. Recommendations and Suggested Activities for their Implementation

1. **Recommendation 1:** Strengthen the dissemination and operationalization of the policies on access and humanitarian principles.

Steps to implement recommendation 1	Priority	Timeline	Responsible
Develop short versions of the policies, compile them in an operational policy compendium – for example, an updated <a href="#">Emergency Field Operations Pocketbook</a> – and reflect them in guidance for the Integrated Road Map, enterprise risk management, and the emergency preparedness and response package.	High	6 months	Policy and programme (OSZPH, lead), security (RMQ), emergency preparedness and support response (OSE), Integrated Road Map implementation (IRM), enterprise risk management (RMR)
Share guidance and training materials more widely at the field level, including the Humanitarian Access Operational Guidance Manual and the <a href="#">videos on humanitarian principles</a> produced for the Programme Learning Journey. Where necessary, adapt guidance materials to different contexts.	High	Immediate	OSZPH (lead), regional bureaux
Increase accountability for the implementation of the policies on principles and access by including their uptake in the annual performance reviews of Country Directors.	High	Immediate	Human resources (HRM), in collaboration with OSZPH
Strengthen communication with host governments and de facto authorities on WFP principles and access policies; strengthen WFP staff understanding of their role in developing principled engagement with host governments. In addition, manage the perception of WFP as a principled actor in the community more actively through targeted public communication. Coordinate with Red Cross/Red Crescent and OCHA on this.	High	12 months	Government partnerships (PGG), communications & advocacy, and at country level
Clarify outstanding issues relating to the policies in guidance and training: <ul style="list-style-type: none"> <li>▪ Privileged position of core humanitarian principles compared to other corporate commitments</li> <li>▪ Differences in the application of the principles in development versus emergency and disaster versus conflict contexts</li> <li>▪ Importance of weighing humanity against the other principles.</li> </ul>	High	6 months	OSZPH (lead), OSE

2. **Recommendation 2:** Put in place measures to increase the priority given to neutrality, impartiality and operational independence relative to access and humanity.

Steps to implement recommendation 2	Priority	Timeline	Responsible
Ensure that other corporate policies and strategies are developed in the light of the humanitarian principles.	High	Ongoing	OSZPH

Identify triggers that activate an internal decision-making process for complex trade-off decisions relating to humanitarian principles, coordinate decisions with the positions of humanitarian and United Nations country teams, and establish a formal mechanism for documenting relevant decisions within WFP.	Very high	3 months	OSZPH (lead), OSE, Executive Management Group (EMG), RMR
Increase coherence of cross-cutting issues (for example humanitarian principles, access, protection, accountability to affected populations, gender, resilience, and environment) through the development of joint dissemination and capacity-strengthening activities, in line with the “whole organization” approach.	Medium	Ongoing	OSZPH (lead), OSE, Gender office (GEN)

3. **Recommendation 3:** Considerably strengthen staff competencies on humanitarian principles and access, particularly in complex emergency situations.

Steps to implement recommendation 3	Priority	Timeline	Responsible
Provide a standard and mandatory induction, including a section on access and humanitarian principles to all WFP personnel, to build staff awareness and capacity from the outset. <sup>2</sup>	Very high	12 months	HRM (lead), OSZPH
Develop a series of tailored training modules on humanitarian principles, access negotiations, and programme criticality that can be delivered through existing Country Director trainings, compulsory online courses, and other corporate training globally, as well as integrated into all other capacity-building work. Take into account the different learning styles of different types of staff as well as of women and men. Ensure that the required investment in training, including the means and buy-in to ensure follow-up on training of trainers.	Very high	2 months	HRM (lead), OSZPH, OSE
Assign experienced staff members as mentors for staff taking up responsibilities for access and principles, for example, heads of sub-offices. Encourage women to take up a mentoring role, as this evaluation found that only men are recognized as experts by their peers.	High	12 months	OSE (lead), HRM
Continue supporting the Centre of Competence and ensure all information and knowledge generated is fully accessible to WFP.	High	Ongoing	OSZ
Enable deployments of national staff experienced in principled access, where appropriate within a given region, as part of comprehensive career planning and a corporate capacity-building plan on access.	High	12 months	HRM
Assign operational responsibility for access and principles to a field management position reporting to the Country Director (for example, emergency coordinator or deputy country coordinator on staff contract). Responsibilities include coordinating functional areas and sub-offices in decisions affecting access and humanitarian principles.	Very high	6 months (2 months for L3s)	HRM (lead), Regional Directors (RDs), OSE

<sup>2</sup> For example, WFP could learn from the ICRC practice of including the humanitarian principles and negotiations in its comprehensive induction training for all new staff.

Encourage and facilitate regional and peer exchanges among staff members responsible for humanitarian principles and access.	High	12 months	Regional Bureaux (lead), OSZPH
Include humanitarian principles and access in the tasks and activities of all regional humanitarian advisers.	High	6 months	Regional Bureaux
Ensure all L3 and L2 operations with access constraints have the capacity to analyze and document principled access issues and receive guidance and support.	High	8 months	OSZPH (lead), OSE, Security (RMQ)
Ensure management and staff are aware of and complying with program criticality determinations and maintain regular updates of assessments and results.	High	Ongoing	OSZPH (lead), country offices

**4. Recommendation 4:** Give more priority to humanitarian principles in all elements of engagement with cooperating partners.

<b>Steps to implement recommendation 4</b>	<b>Priority</b>	<b>Timeline</b>	<b>Responsible</b>
Exchange experience with other donors on how to implement the humanitarian principles when providing funds to others and adopt good practice.	High	8 months	PGG (lead), OSZPH
Standardize selection and due diligence of partners in all operations, with a strong focus on humanitarian principles, assessing partners' political links, ethnic affiliations, and perceptions by communities.	Very high	8 months	Operations services (OS, lead), Legal office, OSZ, OSE
Integrate humanitarian principles and access policy details into field-level agreements, partner assessments, and evaluations. Continue extending opportunities for training on principles and access to partners, focusing on national and international cooperating partners. <sup>3</sup>	High	12 months	OS (lead), OSE, OSZPH, and country offices
Strengthen WFP monitoring capacity as the preferred approach. Closely follow WFP guidance on the usage of third party monitors, including using third party monitoring as a last resort.	High	18 months	Performance management & monitoring (RMP) and country offices
Better define accountability to affected population standards and the activities WFP expects from cooperating partners. Aim to design joint feedback mechanisms with partners that include clear processes for analysis, sharing, and follow-up. Ensure that WFP staff have the capacity and resources to analyse and follow up on feedback.	High	18 months	OSZPH (lead), OS
Consistently share the country strategic plans with partners for the purposes of joint planning, and improve communications with partners on programme criticality and the implications for humanitarian principles.	High	18 months	OS, country offices

<sup>3</sup> WFP could, for example, build on existing materials developed by the Red Cross and Red Crescent movement. Its [Safer Access toolbox](#) contains resources for National Societies to increase acceptance, security, and access.

Communicate challenges and risks proactively with partners and address risk transfer more responsibly, for example, by systematically sharing security information, assessing partners' security capacity, and accepting higher security costs where necessary.	High	8 months	OS (lead), RMQ, Country Directors (CDs)

5. **Recommendation 5:** Increase policy awareness, guidance, and training opportunities for commercial partners.

Steps to implement recommendation 5	Priority	Timeline	Responsible
Include in standard operating procedures a requirement to provide training on humanitarian principles and access to commercial partners.	High	8 months	Supply Chain (OSC)
Include guidance on how to handle sensitive situations and potential compromises in contracts with commercial providers.	High	18 months	OSC
Require commercial partners to report on humanitarian principles. Recognize that some costs may need to be accepted for potential delays and non-delivery where these are due to compliance with humanitarian principles.	Medium	12 months	OSC
Where there are risks to compliance with humanitarian principles when using commercial contractors, WFP should: rely more strongly on its own transport assets and staff; prioritize over the policy of using local transport capacities where available; and discuss potential cost implications with donors.	Medium	12 months	OSC

6. **Recommendation 6:** Continue investment in, and further strengthen, needs assessment and the use of needs-assessment data.

Steps to implement recommendation 6	Priority	Timeline	Responsible
Continue investing in vulnerability analysis mapping (VAM) and the collection of disaggregated data. Prioritize VAM activities at the earliest moments in crisis response. Ensure analyses are shared with partners.	High	Ongoing	EMG
Develop a coherent corporate position on how to react when needs-assessment data are significantly challenged or influenced by host governments.	High	8 months	PGG (lead), VAM
Work more actively with the food security cluster to track and document sector coverage of needs and ensure a more balanced and equitable response based on needs.	High	12 months	Global Food Security Cluster (gFSC)
Use partner data more actively for triangulation and remain flexible to adjust programmes to new, incoming data.	High	12 months	(VAM)

7. **Recommendation 7:** Strengthen the security capacity of WFP in complex emergencies and improve security officers' focus on humanitarian principles and access.

Steps to implement recommendation 7	Priority	Timeline	Responsible
Continue prioritizing filling security positions in complex emergencies, improve contractual conditions to strengthen retention of security staff (for example, by offering longer-term contracts) and consider selecting different profiles and/or providing additional training – on needs assessment, for example – to enhance	High	Immediate	EMG (lead), CDs, RMQ, HRM

opportunities to provide early insights for WFP programmes in otherwise hard-to-access areas.			
Adapt terms of reference for field security officers to emphasize responsibility for supporting Country Directors in the implementation of the programme criticality approach and in developing security measures with UNDSS/the security management team that are compatible with humanitarian principles. The terms of reference should also reference the WFP access guidance, which states the need to engage with both state and non-state armed groups, where necessary, for the purposes of access negotiations.	High	12 months	RMQ (lead), HRM
Engage WFP security capacity on operations and programme development/design to enable security officers to increase the direct presence of WFP in the field and find ways to manage security risks that are compatible with humanitarian principles. Collect and share good practices on such approaches.	High	18 months	RMQ

**8. Recommendation 8: (a)** Increase and regularize the dialogue with donors on humanitarian principles and access and strengthen principled financing. **(b)** Advocate for stronger support for all the facets of WFP operations that are critical for principled access.

Steps to implement recommendation 8a and b	Priority	Timeline	Responsible
Invest in a better overview of global and country-level coverage (including gap analysis) to advocate with donors for principled funding.	High	12 months	OS (lead), PGG
Schedule regular, high-level dialogue with donors and board members on their support for WFP in upholding humanitarian principles and delivering a non-politicized, impartial response.	High	12 months	PGG (lead), EMG, Washington Office (WAS), Brussels Office (BRU)
Reflect the need for principled financing in all donor agreements and establish criteria for rejecting funding when it compromises impartiality, neutrality, or operational independence. <sup>4</sup>	High	12 months	PGG (lead), EMG, Budget & Programming (RMB), CDs
Use flexible funding strategically in high-risk settings and where coverage of food security needs is low.	High	18 months	RMB
Strengthen non-government funding (private, philanthropic).	High	24 months	Private Sector Partnerships (PGP)
Advocate with donors to apply the <a href="#">Good Humanitarian Donorship</a> commitments and fund according to need.	High	12 months	PGG
Advocate with donors to provide more unrestricted funding in order to facilitate operational independence and appropriate risk-taking, in line with the <a href="#">Grand Bargain commitments</a> .	High	12 months	PGG
Advocate with donors to engage WFP at the country level in understanding the potential risks faced in delivering assistance as well as the related resources needed to mitigate the risks, and where relevant, clarify the intent and implications of donors' counter-terrorism and anti-corruption policies.	High	12 months	PGG

<sup>4</sup> The Norwegian Refugee Council, for example, defined its principles for financing in an internal policy. The document specifies that NRC only accepts funding that allows it to work according to the humanitarian principles and clarifies under which conditions it refuses funding.



Engage with donors and board members on programme criticality, enabling WFP and its partners to take on risks (security, fiduciary, and reputational) in proportion to the level of humanitarian need.	High	12 months	PGG
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## V. Evaluation Matrix and Linked Findings

Evaluation questions and sub-questions	Indicator / way to assess performance and related ALNAP/DAC criteria	Corresponding paragraphs in the report
<b>1. What is the quality of the policies and associated guidance?</b>		
1.1. To what extent are the policies clear, coherent and consistent, including with other policies and the broader legal and normative frameworks of WFP? With particular regard to: a) Clarity of the policy b) Internal policy coherence c) Coherence between the two policies d) Coherence with other legal, policy and strategic frameworks	# absence or existence and severity of conflicts or tensions within and between relevant policy, legal and normative documents  (Coherence)	§§ 29-30, §§ 31-32, §§ 40-41
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?	# level of recognition of potential tensions and trade-offs # clarity of guidance on how to address potential tensions and trade-offs  (Coherence)	§ 42
1.3 How do the policies and implementation measures compare to those of other humanitarian organizations (United Nations and international NGOs)?	n/a (findings influence assessment of other questions)  (Coherence)	§ 40, § 42
1.4 How relevant are the policies in a changing global context?	# number and importance of policy aspects that no longer seem relevant due to changing context conditions # importance of changing context conditions that are not yet reflected in the policy  (Appropriateness, coherence)	§§ 17-22
1.5 Was the design of the policy documents informed by adequate research and analysis, to the extent relevant?	# presence or absence of relevant research and analysis # level to which research and analysis demonstrably influenced policy design  (Appropriateness, coherence)	§ 35 No findings relating to this question for the policy on humanitarian principles - too little institutional memory
1.6 Has WFP defined a relevant set of measures to implement the policies, to the extent relevant (for example, relating	# existence of defined implementation measures	§§ 45-51, §§ 52-61

<p>to institutions, guidance, tools, processes, capacity strengthening, inter-agency processes)?</p> <p>In particular:</p> <p>a) What implementation measures were foreseen?</p> <p>b) What other measures were defined afterwards?</p> <p>c) How relevant are the measures?</p> <p>d) How effective were the measures?</p> <p>e) How well were the implementation measures funded?</p>	<p># relevance of implementation measures</p> <p># effectiveness of implementation measures</p> <p># adequacy of priorities given to different implementation measures</p> <p># completeness of implementation measures</p> <p># adequacy of resources provided for various implementation measures</p> <p>(Appropriateness, coherence)</p>	
<p><b>2. Where does WFP stand regarding humanitarian principles and access?</b></p>		
<p>2.1. To what extent do WFP operations and advocacy efforts as a whole reflect the core humanitarian principles? With particular regard to:</p> <p>a) Humanity</p> <p>b) Neutrality</p> <p>c) Impartiality</p> <p>d) Operational independence</p>	<p><b>Humanity</b><sup>5</sup></p> <p># extent to which WFP coverage corresponds to needs</p> <p># extent to which communities (and different groups within them) do or do not perceive WFP's assistance as respecting life, health and dignity</p> <p># extent to which WFP engages in effective advocacy for access</p> <p>(Appropriateness, coherence, timeliness, impact)</p>	<p>§§ 76-83</p>
	<p><b>Neutrality</b></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>	<p>§§96-104</p>
	<p><b>Impartiality</b></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>§§ 84-93</p>

<sup>5</sup> Suggested indicators relating to humanitarian principles build on good practices outlined in UNEG (2016) *Reflecting Humanitarian Principles in Evaluation*, pp. 30-31.

	<p># number and severity of complaints relating to impartiality, disaggregated by sex of the complainant where possible</p> <p>(Coherence, appropriateness, coverage)</p>	
	<p><b>Operational independence:</b></p> <p># number and severity of examples where WFP decisions were influenced by external interests</p> <p># degree to which WFP staff, partners and external stakeholder perceive WFP as operationally independent, disaggregated by sex</p> <p>(Coherence)</p>	§§ 106
2.2. What is the current level of access for WFP in countries experiencing challenges relating to access?	<p># degree of WFP coverage of priority needs</p> <p># presence of WFP staff and partner organizations in areas with high food security needs</p> <p>(Appropriateness, coverage, effectiveness)</p>	§§ 65-74
2.3. How do staff, partners, donors, host governments and affected populations perceive WFP 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>	No finding on comparison to other humanitarian organizations (not enough data points)
2.4. Are the policies well known and understood by WFP staff and cooperating partners? With particular regard to: 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</p> <p># share of relevant staff and partners who understand the humanitarian principles</p> <p># share of relevant staff and partners who are aware of the policy on access</p> <p># share of relevant staff and partners who understand the policy on access</p> <p>Level of priority participants in learning interviews accord to awareness and operationalization as a relevant enabling or hindering factor</p> <p>(Coherence, efficiency)</p>	§§ 52-54

<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>With particular regard to:</p> <p>a) Self-assessment of capabilities and skills</p> <p>b) External perceptions of skills</p>	<p># share of relevant WFP employees who feel enabled and believe they have the necessary skills to apply the humanitarian principles</p> <p># share of relevant WFP employees who feel enabled and believe they have the necessary skills to negotiate access</p> <p># share of partners and external stakeholders who believe WFP employees have the necessary skills to apply the humanitarian principles</p> <p># share of partners and external stakeholders who believe WFP employees have the necessary skills to negotiate access</p> <p># level of priority that participants in learning interviews accord to skills as a relevant enabling or hindering factor</p> <p>(Coherence, efficiency)</p>	<p>§§ 52-54, see Annex VII for more details.</p>
<p>2.6. Have the policies had any unintended effects, for example on persons of concern, partners and the collective humanitarian response?</p> <p>Specifically, the:</p> <p>a) Positive effects</p> <p>b) Negative effects</p>	<p>n/a</p> <p>(Effectiveness, coherence)</p>	<p>No unintended effects found.</p>
<p><b>3. What are the most important enablers and constraints?</b></p>		
<p>3.1. Which internal and external factors are most important and how do they enable or constrain:</p> <p>a) The ability of WFP to negotiate access?</p> <p>b) Cooperating partners' ability to negotiate access?</p> <p>c) WFP capability to act according to the humanitarian principles?</p> <p>d) Cooperating partners' capability to act according to the humanitarian principles?</p> <ul style="list-style-type: none"> <li>• Internal factors include, for example: capacities, contracts, systems, processes, incentives, type of programmes, transfer modalities, security arrangements, risks management strategies, etc.</li> <li>• External factors include, for example: country context, counter-terrorism clauses, partnership</li> </ul>	<p># top 3-5 enablers</p> <p># top 3-5 constraints</p> <p>(Coherence, effectiveness, impact, coordination)</p>	<p>§§ 107-123</p>

<p>agreements, coordination among aid agencies, etc.</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?  With particular regard to:  a) Measures to address constraints  b) Measure to strengthen enablers  c) Effectiveness of the measures</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   (Coherence, efficiency)</p>	<p>No specific measures found to address constraints and strengthen enablers.</p>

## VI. Acronyms

AAP	Accountability to Affected People
ACF	Action Contre la Faim
ALNAP	Active Learning Network for Accountability and Performance
AWSD	The Aid Worker Security Database
BRU	Brussels Office
DAC	OECD Development Assistance Committee
DPRK	Democratic People's Republic of Korea
DRC	Democratic Republic of the Congo
ECHO	Directorate-General for European Civil Protection and Humanitarian Aid Operations
EMG	Executive Management Group
EMOP	Emergency Operation
ERC	European Research Council
FAO	Food and Agriculture Organization
FASTER	Functional and Support Training for Emergency Response
FSIN	Food Security Information Network
FSNA	Food Security and Nutrition Analysis
GEN	Gender Office
GPPi	Global Public Policy Institute
HC	UN Humanitarian Coordinator
HCT	Humanitarian Country Team
HRM	Human Resources Division
IASC	Inter-Agency Standing Committee
ICRC	International Committee of the Red Cross
IPC	Integrated Food Security Phase Classification
IRM	Integrated Road Map
MSF	Médecins Sans Frontières
mVAM	Mobile Vulnerability Analysis and Mapping
NGO	Non-Governmental Organization
NRC	Norwegian Refugee Council
OCHA	Office for the Coordination of Humanitarian Affairs
ODI	Overseas Development Institute
OEV	Office of Evaluation
OSC	Supply Chain Division
OSE	Emergency Preparedness and Support Response
OSZPH	Emergencies and Transition Unit
PGG	Government Partnerships Division
PGP	Private Sector Partnerships Division
PRRO	Protracted Relief and Recovery Operation
RC	UN Resident Coordinator
RMP	Performance Management and Monitoring
RMQ	WFP Security Division
RMR	Entreprise Risk Management

SAVE	Secure Access in Volatile Environments
SMG	Strategic Management Group
SRAC	Strategic Resource Allocation Committee
UK	United Kingdom
UN	United Nations
UNDSS	United Nations Department of Safety and Security
UNEG	United Nations Evaluation Group
UNHCR	Office of the United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
VAM	Vulnerability Analysis and Mapping
WAS	Washington Office
WFP	World Food Programme



# VII. Terms of Reference (without annexes)

## EVALUATION OF WFP 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 Policies on Humanitarian Principles and Access at the same time as an evaluation of WFP 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 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 Protection Policy and the evaluation of WFP Policies on Humanitarian Principles and Access (Annex 3), the definitions of core humanitarian principles in key United Nations 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 reaffirms 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).<sup>6</sup> Humanitarian principles were first agreed upon by the Red Cross and Red Crescent Movement in 1965.<sup>7</sup> 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.<sup>8</sup> Those

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<sup>6</sup> WFP/EB.2/2016/4-A/1

<sup>7</sup> 20th International Conference of the Red Cross. Vienna. October 1965

<sup>8</sup> UNGA A/RES/46/182. Strengthening of the coordination of humanitarian emergency assistance of the United Nations. December 1991.

included the principles of humanity, neutrality and impartiality. The principle of independence was added by United Nations General Assembly resolution 58/114 in 2004.<sup>9</sup> Consistent with the UNGA resolution 46/182, WFP Executive Board endorsed in 2004 a Statement of WFP humanitarian principles as a framework to guide WFP humanitarian action, which lists as core values the principles of humanity, impartiality and neutrality.<sup>10</sup> 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.<sup>11</sup>

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, and 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:<sup>12</sup>

- **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 issues. 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

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<sup>9</sup> UNGA A/RES/58/114. Strengthening of the coordination of humanitarian emergency assistance of the United Nations. February 2004.

<sup>10</sup> WFP/EB.A/2004/5-C

<sup>11</sup> WFP/EB.A/2013/5-A/1

<sup>12</sup> NRC and Handicap International “Challenges to Principled Humanitarian Action: Perspectives from Four Countries”, July 2016. P.9

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 with which humanitarian organizations are confronted (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 areas affected by complex humanitarian emergencies”.<sup>13</sup> 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”<sup>14</sup>. 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.<sup>15</sup>

## 2. Reasons for the Evaluation

### 2.1. Rationale

10. The WFP 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 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 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.<sup>16</sup>

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

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<sup>13</sup> UNGA A/RES/70/1. Transforming our world: the 2030 Agenda for Sustainable Development. 21 October 2015. para. 23

<sup>14</sup> UNGA A/70/709. Report of the Secretary General for the World Humanitarian Summit. One humanity: shared responsibility. 2 February 2016. p.15.

<sup>15</sup> UNGA A/71/353. Report of the Secretary General “Outcome of the World Humanitarian Summit” 23 August 2016. p.6.

<sup>16</sup> NRC and Handicap International “Challenges to Principled Humanitarian Action: Perspectives from Four Countries”, July 2016. P.9

perspective of other frontline negotiators".<sup>17</sup> 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 United Nation 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"<sup>18</sup>. 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 contribution to the establishment of a Center of Competence on Humanitarian Negotiation (CoC) in collaboration with ICRC, UNHCR, MSF 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 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:

### **with regard to 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; assess external perceptions of WFP current commitment to humanitarian principles and ability to preserve a principled approach; and assess 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 the WFP policy framework relating to humanitarian principles and access and their adequacy taking into account changes in the humanitarian landscape.

### **with regard to learning:**

- Strengthen WFP 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 and by identifying internal enablers and constraints and suggesting measures to address them.

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<sup>17</sup> Centre of Competence on Humanitarian Negotiation. Concept Paper. 2016. p.1

<sup>18</sup> UNEG. Reflecting Humanitarian Principles in Evaluation. April 2016. p.43

- Inform WFP 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 taking part in and supporting 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 which are responsible for the oversight of 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 United Nations Emergency Relief Coordinator (ERC) and OCHA are key stakeholders considering their roles in facilitating access on behalf of humanitarian organizations. In addition, other United Nations 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 the ability of WFP 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 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 principled action and may benefit from the evaluation by understanding the impact of some donors' legislations and policies on the ability of WFP 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 which may draw from the evaluation findings, conclusions and recommendations to improve harmonized action.

### 3. Subject of the Evaluation

#### 3.1. WFP Policies on Humanitarian Principles and Access in Humanitarian Contexts

20. In line with the UNGA resolutions, WFP defined its core humanitarian principles as follows:<sup>19</sup>

- 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 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.<sup>20</sup>

21. WFP 2004 Policy Statement on Humanitarian Principles also includes seven standards for WFP 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.

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

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<sup>19</sup> 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.

<sup>20</sup> While operational independence is not one of the core humanitarian principles listed in WFP 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).

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".<sup>21</sup> 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 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 United Nations 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 United Nations integration. In all cases, WFP ensures that governments and other parties are informed of and in agreement with its activities.

23. The WFP Protection Policy approved in 2012 further stipulates that "WFP 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."<sup>22</sup>

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.<sup>23</sup> 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 solutions for increasing access. "What works to increase access in one context can be counterproductive in another."<sup>24</sup> 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

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<sup>21</sup> WFP/EB.1/2006/5-B/Rev.1

<sup>22</sup> WFP/EB.1/2012/5-B/Rev.1

<sup>23</sup> ECHO/Analysis for Economic Decision, Evaluation of the implementation of the European Consensus on Humanitarian Aid, Final Report. June 2014. P 55.

<sup>24</sup> GPPI, Thematic evaluation and review of humanitarian access strategies in DG ECHO-funded interventions, June 2012. p.9

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 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 normative and guidance framework supporting adherence to humanitarian principles and enabling access**

When	What	Description
<b>1999-2000</b>	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.
<b>Sept 2001</b>	Food Aid in Conflict workshop	Aimed to better understand the key issues faced by staff when planning and implementing programmes in complex emergencies.
<b>May 2002</b>	WFP info pack on access negotiation	Included background information on humanitarian access, broad parameters to guide WFP approach to access issues and suggested strategies to address difficulties accessing vulnerable people or areas in emergency and protracted relief and recovery operations.
<b>2003</b>	WFP Experience in Working with the Military	Collated examples of WFP experience in working with the military; and aimed to generate ideas to further WFP internal and inter-agency discussions on developing policy and operational guidelines for interacting with the military.
<b>1999-2004</b>	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
<b>Feb 2004</b>	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
<b>2004-2005</b>	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
<b>2005-Ongoing</b>	Training on access negotiations	As part of WFP emergency response, protection, Logistics Cluster (in Brindisi) and Leadership (for country directors) trainings.
<b>2005 - 2008</b>	Protection project	Included global training of staff on international law and access negotiations
<b>2006</b>	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 role and approach, within the wider United Nations and humanitarian community, in ensuring safe and secure access
<b>November 2007</b>	WFP Strategic Plan (2008-2013)	Re-affirmed WFP commitment to the humanitarian principles as defined in the 2004 Statement.
<b>2009 (developed in 2008)</b>	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 work.



<b>When</b>	<b>What</b>	<b>Description</b>
<b>June 2009</b>	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 United Nations 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.
<b>Feb 2012</b>	Approval of WFP humanitarian protection policy	Outlined what humanitarian protection means for WFP, and proposed directions for sustainable engagement aimed at making WFP presence safer and its assistance safer and more dignified. Based on the principle that WFP food assistance processes should be pursued in accordance with humanitarian principles and international law.
<b>Nov 2013</b>	WFP Strategic Plan (2014-2017)	Reaffirms WFP commitment to the humanitarian principles of humanity, neutrality, impartiality and operational independence.
<b>Nov 2013</b>	EB Policy - WFP Peacebuilding Policy	Established the parameters of WFP engagement in peacebuilding, reaffirming the Do No Harm principle and supporting national priorities where possible, but following humanitarian principles where conflict continues
<b>Dec 2013</b>	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.
<b>May 2014</b>	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.
<b>Oct 2015</b>	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 food assistance programmes avoid doing harm
<b>Sept-Dec 2014</b>	Summary report/review on "Perspectives on Humanitarian Access: Summary of Interviews"	Included interviews with over 75 WFP staff in country offices, regional bureaus and headquarters on access challenges faced in providing principled humanitarian assistance, the approaches adopted, and lessons learned.
<b>Feb 2015</b>	Access workshop	Held in Rome, gathered 16 WFP staff involved in access negotiations to share recent experience in emergency settings.
<b>June 2015-current</b>	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 regional bureaus and country offices, and; (3) lead efforts to strengthen WFP knowledge and capabilities on access.
<b>Sept 2015 - current</b>	Technical Access Cell	Aimed to assist in developing strategies for Director-Level Advisory Group on Access initiative and support activities, including among other others: - inclusion of access related issues in WFP Emergency Preparedness and Response Package.

When	What	Description
		<ul style="list-style-type: none"> <li>- Set up of an informal professional network on access: to review and contribute to the development of initiatives on access, to provide an additional pool of support to personnel and country offices seeking advice and guidance on access challenges and dilemmas, and to share experiences</li> <li>- In-country support field mission on access. Conducted in collaboration with the Centre of Competence on Humanitarian Negotiations. 4 country offices s now have developed an access strategy, one country office has produced an actor mapping report and 4 country offices have developed a power-broker map. Remote advice provided to 6 country offices/ regional bureaus and direct field support to 3 country offices.</li> <li>- Finalization of WFP Operational Guidance on Humanitarian Access (draft available)</li> <li>- 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.</li> </ul>
<b>2016-ongoing</b>	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 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 the WFP 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 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 the ability of WFP 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 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**

<b>Component 1: Confidential research and learning</b>	<b>Component 2: Evaluation</b>
<p><b>Outputs</b></p> <p>In-depth global context analysis Highly confidential interviews with current and former WFP and partner staff; Learning events for WFP 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)</p>	<p><b>Outputs</b></p> <p>35. Reconstructed theory of change; 36. Inception report covering both components 37. Evaluation report including findings, conclusions and recommendations</p>
<p><b>Main guiding questions</b></p> <p>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 processes, guidance and capacities for handling the situation? What enablers and constraints for taking principled decisions were present? What advice would you give to other staff whether frontline negotiators or senior managers?</p>	<p><b>Key evaluation questions</b></p> <p>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 level of field access? 45. What are the most important enabling and constraining factors for principled humanitarian action and access?</p>
<p><b>Stakeholders and users</b></p> <p>46. Current and former WFP staff involved in critical programmatic decisions and access negotiations</p>	<p><b>Stakeholders and users</b></p> <p>WFP senior management, current and former staff, government and NGO partners, donors, Board members, other United Nations partners, academia, civil society and affected populations</p>
<p><b>Geographic focus</b></p> <p>Complex emergencies with strong to severe challenges for humanitarian principles and access</p>	<p><b>Geographic focus</b></p> <p>Decontextualized data on enablers and constraints from the research and learning component Global level data</p>
<p><b>Evaluation reference period</b></p> <ul style="list-style-type: none"> <li>• Between 2004 (adoption of the humanitarian principles policy document) and 2017</li> <li>• The learning component is expected to include historical negotiation cases (2004 to 2017)</li> <li>• 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</li> </ul>	

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 the WFP policy framework including implementation measures for humanitarian principles and access (Question 1)
- Establish the extent to which WFP 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 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 policies on humanitarian principles and access in humanitarian contexts and the evaluation of WFP 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 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 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.<sup>25</sup> 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 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.

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<sup>25</sup> GPPI and Humanitarian Outcomes, Secure Access in Volatile Environments (SAVE), 2014-2016.

## **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 United Nations humanitarian principles by WFP; help the organization secure access; and thereby maximize its humanitarian contribution.

**Table 3: Evaluation questions**

<p><b>Question 1.</b> <b>What is the quality of the policies and associated guidance?</b><sup>26</sup></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 the WFP 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><b>Question 2.</b> <b>What are the results of the policies?</b></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?  (4) How do staff, partners, donors, host governments, non-state actors and affected populations perceive WFP commitment to the humanitarian principles and its ability to preserve a principled approach compared to other organisations?  (5) Is there any evidence of a relationship between WFP adherence to humanitarian principles, access levels and staff and beneficiary exposure to security risks?  (6) Has the policy framework had any unintended effects?</p>
<p><b>Question 3.</b> <b>What are the most important enablers and constraints?</b></p>	<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)?  (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...)?  (3) What measures has WFP implemented to maximize enablers and address constraints and how effective were they?  (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

<sup>26</sup> The evaluation team may consider additional criteria for evaluating the quality of the policy framework.

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 policy framework within those of other United Nations humanitarian agencies, focusing on the identification of commonalities and differences and on the extraction of learning and good practices.

#### **4.4 Quality Assurance**

62. The WFP 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 four 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 headquarters; 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 country office, regional bureau and headquarter 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 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 and 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 country offices 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 evaluation report, SER, the Management Response and the evaluation brief will be public and posted on the WFP external website ([www.wfp.org/evaluation](http://www.wfp.org/evaluation)).

## 5.5. Budget

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

**Office of Evaluation**

[www.wfp.org/evaluation](http://www.wfp.org/evaluation)

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