



UNEG
United Nations Evaluation Group

Working
Paper

Reflecting Humanitarian Principles in Evaluation

The Humanitarian Evaluation Interest Group (HEIG) was launched at the UNEG - Annual General meeting in March 2015 in recognition that the specificities of humanitarian evaluation merited further and focused attention by UNEG, especially in its normative work. In its first year, two areas of work were prioritized - the first, the subject of this report, being on evaluation of Humanitarian Principles; and the second on the nexus between humanitarian action and development.

This report was discussed at the UNEG Evaluation Practice Exchange Seminar (EPE) in April 2016. The HEIG is convened by WFP, and includes representatives of the offices of evaluation of the following agencies: FAO, OHCHR, OIOS, UNDP, UNFPA, UN-Habitat, UNHCR, UNICEF, UNFPA.

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Foreword

As the Secretary General stated in his report for the 2016 World humanitarian Summit (WHS) “The humanitarian principles of humanity, impartiality, neutrality and independence are central to obtaining access to populations in need. 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.”

Ahead of the WHS, and recognizing the critical importance of Humanitarian Principles in humanitarian action, WFP proposed to the Humanitarian Evaluation Interest Group (HEIG) to launch a first reflection around humanitarian principles. The aim of this work is to deepen understanding on how the four core Humanitarian Principles are evaluated, highlighting best practices where available, as well as challenges and opportunities.

With financial support from WFP and UNICEF, a team of consultants from The Konterra Group led by Tony Beck supported by Margie Buchanan-Smith, Belen Diaz and Lara Ressler Horst undertook an analysis of current practice mainly through review of documents and interviews.

The review concludes that there is currently no common understanding within the sector, and sometimes within agencies, of the Humanitarian Principles in terms of concepts and implementation. At the moment only 4 percent of the evaluations reviewed could be considered good practice.. Overall agencies are currently not prioritising (indeed rarely addressing) evaluation against Humanitarian Principles, nor providing adequate guidance to evaluation managers and evaluators.

The conclusions of this desk review are a clear invitation to the humanitarian evaluation community to consider carefully the diagnostic; to revisit and strengthen respective approaches to evaluation of humanitarian principles; and, to embed them more systematically as core elements in evaluations covering humanitarian contexts.

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Executive Summary

1. Overview and background

Humanitarian action is governed by four main principles grounded in International Humanitarian Law and the 1949 Geneva Conventions. The UN General Assembly (GA) has repeatedly reaffirmed the importance of promoting and respecting these principles. The first three principles - Humanity, Neutrality and Impartiality - were endorsed by GA resolution 46/182 (1991). GA resolution 58/114 (2004) added a fourth principle, Independence.

Evaluation of humanitarian action (EHA) is an integral part of the humanitarian transformative agenda, however the extent to which the Humanitarian Principles are reflected in evaluation practice, and how adhering to the Humanitarian Principles can lead to a more effective humanitarian response, are both unclear. For these reasons the Humanitarian Evaluation Interest Group (HEIG) of the UN Evaluation Group (UNEG) commissioned this desk review with the following purpose:

- To provide the HEIG with a better understanding on how the four core Humanitarian Principles are evaluated, highlighting best practices where available, as well as challenges and opportunities.

2. Methodology

The review triangulated between five main data sources:

- A review of general literature on the Humanitarian Principles since 2000, to determine trends in understanding and implementation of the Humanitarian Principles, and the implications of this for evaluation practice.
- An analysis of humanitarian strategies, evaluation policies and evaluation guidelines from ten agencies, to assess how effective agencies are in integrating Humanitarian Principles within these.
- A screening for key terms related to Humanitarian Principles for a sample of 142
- evaluations covering seven emergencies (Afghanistan, DRC, Haiti, Somalia, Sudan, South Sudan, and Syria), selected to be broadly representative of EHA.
- A sub-sample of 20 evaluations selected from the larger sample which included greater emphasis on Humanitarian Principles, which underwent a more detailed analysis.
- Interviews with 12 key stakeholders concerning reflection of Humanitarian Principles in EHA.

3. Findings from the literature review

There is no common understanding of the Humanitarian Principles in terms of concepts and implementation, which will make it challenging to develop common guidance on how to evaluate them. The move to more closely link humanitarian and development programming through the World

Humanitarian Summit has implications for evaluation of Neutrality and Independence. Apparent contradictions between the Principles, and the existence of other potentially “conflicting” Principles, make evaluation even more challenging. Recent attempts to produce indicators of implementation of the Humanitarian Principles will support evaluation.

Agencies are in general sensitive to including attention to Humanitarian Principles in their evaluations because of: security risks for staff; the potential of hindering on-going negotiations for access; the challenges of remaining operational in some contested contexts; and/or reputational risk. The instrumentalization of humanitarian action has meant that many discussions about Humanitarian Principles take place “behind closed doors”, which offers a further challenge to their evaluation.

Evaluating Humanitarian Principles may require strengthened methodologies, particularly in relation to assessment of political aspects of emergencies and inclusion of the affected population through the evaluation cycle, however these are not currently being employed. Understanding the political context of the emergency and then applying this understanding to evaluation practice were seen as key elements of evaluating Humanitarian Principles, however interviewees noted that EHA currently tends to take a more technical approach. Research studies reviewed which have been able to effectively assess adherence to Humanitarian Principles offer one future area of learning for evaluation.

4. Document review

The content on Humanitarian Principles in agency Humanitarian Policies is not being adequately reflected in evaluation policies and guidance, evaluation policies are not providing adequate direction to agencies, and there is a major gap in single and inter- agency evaluation guidance, concerning evaluation of Humanitarian Principles.

5. Assessment of the sample of 142 evaluations

The word screening for 10 key terms found that “access” and “space” were the most commonly used terms, in 56 per cent of total cases, and the terms “Humanity”, “Independence”, “Neutrality” and “Impartiality” received limited reference. Use of these four terms was concentrated in 20 evaluation reports, and they do not commonly appear together. Use of the key terms did not differ significantly by emergency, agency or type of evaluation, suggesting a general weakness in evaluation of Humanitarian Principles across the sector.

A quantitative and qualitative analysis of findings from the word search suggests that some explicit discussion or mention of Humanitarian Principles takes place in about one third of EHA, but the level of discussion of the Principles is somewhat general and lacks in-depth analysis. There is limited evidence of the individual Principles being addressed in a disaggregated or substantial fashion. The analysis demonstrates that discussion of access and security dominates the EHA discourse; almost 80 per cent of evaluations reviewed assess performance against these two terms, but the link to Humanitarian Principles is usually tenuous and implicit.

6. Assessment of the sub-sample

Only six evaluations out of 142 could be considered good practice. However, given that these evaluations consistently covered Humanitarian Principles this provides a basis on which to build. Evaluation Terms of Reference are not providing adequate guidance to evaluation teams, and those evaluations which did include a good reflection of Humanitarian Principles did so for the most part because of the initiative of individual evaluators. While all evaluations in the sub-sample included a review of the political context of the emergency, few linked this to evaluation of Humanitarian Principles.

Impartiality was the Principle most covered in the sub-sample, usually implicitly under the OECD-DAC criterion of coverage. However, discussion of coverage/targeting was usually delinked from evaluation of efforts to negotiate access to inaccessible areas and population groups. Detailed recommendations on Humanitarian Principles were not widespread although a minority of reports did include specific recommendations. Examples are given throughout this Section of better practice in evaluation of the Humanitarian Principles.

7. Constraining and facilitating factors

Constraining and facilitating factors are usually mirror images of each other, and that is the case with evaluation of Humanitarian Principles. The main factors considered were: sensitivity of agencies; expertise in EHA; lack of guidance; and type of evaluation. Single agency evaluations made up 93 per cent of the sample, and generally evaluate agency objectives as set out in planning documents and logframes, which tend to focus on “technical” interventions such as providing food assistance or shelter. This is presumably why discussion of access and security dominate the evaluations. The somewhat narrow focus of these evaluations would currently appear to exclude evaluation of broader humanitarian trends as encapsulated in the Principles.

Next steps for evaluation of Humanitarian Principles

Recommendations below are mainly suggestions/proposed next steps for further discussion and consideration by UNEG members in its April 2016 meetings.

Potential uses of this desk review

Develop guidance on how to ensure adequate consideration of Humanitarian Principles in EHA. This could include:

- Ensuring adequate attention to Humanitarian Principles in Evaluation Quality Assurance materials (e.g. in WFP, UNICEF, UNHCR, OCHA, OHCHR and FAO). This could also include developing guiding questions about Humanitarian Principles and how they connect to the OECD-DAC criteria, and could be based on the indicative questions in Box 2 of this report.
- Provide specific guidance for evaluating against Humanitarian Principles, including how to develop appropriate terms of reference and evaluation questions that are adapted and appropriate to the context, and carry out an evaluability assessment, e.g. in ALNAP’s EHA guide. Include a focus in this guidance on multi-country evaluations and on available good practice.

- Disseminate this report through agency and inter-agency websites.
- Incorporate the findings of the report (including good practice examples), and of guidance material that comes out of it, into EHA training (agency-specific and sector-wide e.g. through IPDET and the UNICEF/ ALNAP/ EvalPartners e-learning course).
- Update the ALNAP Quality Proforma and ALNAP (2006) Guidance on using the OECD-DAC criteria, with a focus on expanding the definition of coverage to more directly focus on the Humanitarian Principles and in particular Impartiality; and the definition of effectiveness to include assessment of whether receipt of resources is compromising Humanitarian Principles. This updated guidance material could also draw upon the DEC's efforts to relate Humanitarian Principles to the OECD-DAC criteria

Potential follow-up by the HEIG

- Update the IAHE (2014) guidance on large-scale system-wide emergencies to provide greater attention to evaluation of Humanitarian Principles, drawing on good practice examples where possible.
- Carry out a follow up review assessing NGO-commissioned evaluations and the extent to which they reflect Humanitarian Principles. This could offer a useful complementary review to this HEIG product which had a greater focus on UN agencies.
- Pilot evaluation of Humanitarian Principles in an emergency where there is a lesser degree of political conflict, e.g. in a natural disaster, as well as in a conflict environment, bringing in research methodologies used by evaluations/reviews highlighted in Section 6 of this report. Include a focus on whether adhering to the Humanitarian Principles leads to a more effective humanitarian response in this pilot.
- Pilot use of a confidential Humanitarian Principles Annex in inter-agency and single agency evaluations. To ensure that this is not used as a way of 'sweeping negative findings under the carpet', an independent resource person/ people could be appointed to advise on, and to peer review how Humanitarian Principles are evaluated 'confidentially' in this way.
- Following ECHO and OCHA, commission single agency evaluations which specifically focus on Humanitarian Principles.
- Use existing Communities of Practice (e.g. UNEG, ALNAP Humanitarian Evaluation Community of Practice, the Pelican Initiative, EvalPartners) to disseminate the results of this review and facilitate on-going discussion on evaluation of Humanitarian Principles, as well as capture emerging good practice.
- Carry out regular meta-evaluations to determine if evaluation practice has improved.

Acronyms

ALNAP	Active Learning Network for Accountability and Performance in Humanitarian Action
CCCs	Core Commitments for Children in Humanitarian Action
DEC	Disasters Emergency Committee
DFID	Department for International Development
DRC	Democratic Republic of Congo
ECHO	European Commission's Humanitarian aid and Civil Protection department
EHA	Evaluation of humanitarian action
HEIG	Humanitarian Evaluation Interest Group
ICRC	International Committee of the Red Cross
IFRC	International Federation of the Red Cross
IHL	International Humanitarian Law
MSF	Médecins sans Frontières
NGO	Non-governmental Organization
NRC	Norwegian Refugee Council
ODI	Overseas Development Institute
OECD-DAC	Organisation for Economic Co-operation and Development-Development Assistance Committee
TOR	Terms of Reference
UN	United Nations
UNEG UN	Evaluation Group
UNICEF	United Nations Children's Fund
WFP	World Food Programme
WHS	World Humanitarian Summit

1. Background and introduction

1. Humanitarian action is governed by four main principles grounded in International Humanitarian Law¹ and the 1949 Geneva Conventions. The UN General Assembly (GA) has repeatedly reaffirmed the importance of promoting and respecting these principles. The first three principles - Humanity, Neutrality and Impartiality - were endorsed by GA resolution 46/182 (1991). GA resolution 58/114 (2004) added a fourth principle, Independence.
2. The Humanitarian Principles have been defined as follows:²
 - Humanity: Human suffering must be addressed wherever it is found. The purpose of humanitarian action is to protect life and health and ensure respect for human beings.
 - Neutrality: Humanitarian actors must not take sides in hostilities or engage in controversies of a political, racial, religious or ideological nature.
 - Impartiality: Humanitarian action must be carried out on the basis of need alone, giving priority to the most urgent cases of distress and making no distinctions on the basis of nationality, race, gender, religious belief, class or political opinions.
 - Independence: Humanitarian action must be autonomous from the political, economic, military or other objectives that any actor may hold with regard to areas where humanitarian action is being implemented.
3. The UN Secretary-General's report for the World Humanitarian Summit (UN General Assembly 2016: 5) reiterated: "The Humanitarian Principles—Humanity, Impartiality, Neutrality and Independence—are central to obtaining access to populations in need. 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."
4. As the range of humanitarian actors has expanded in recent years, as evidenced in the consultations for the World Humanitarian Summit (WHS), a number of more "traditional" humanitarian actors are revisiting the Humanitarian Principles and reaffirming their commitment to those Principles.³ This in

¹ International Humanitarian Law (IHL) includes the responsibilities of State and non-State parties during armed conflict. This law defines basic issues such as the right to receive humanitarian assistance, protection of civilians, including medical and humanitarian workers, and the protection rights of refugees, women and children.

² OCHA 2012. The Code of Conduct for the International Red Cross and Red Crescent Movement includes a slight variation on these definitions; for discussion of different understandings of the Humanitarian Principles, see Section 3.

³ See, for example: ICRC 2016.

turn is encouraging greater attention to how agencies assess and evaluate their performance against Humanitarian Principles.

5. Evaluation of humanitarian action (EHA) is an integral part of the humanitarian transformative agenda. However, the extent to which the Humanitarian Principles are reflected in evaluation practice is unclear, and there appears to be limited understanding of how adhering to the Humanitarian Principles can lead to a more effective humanitarian response. For these reasons the Humanitarian Evaluation Interest Group (HEIG) of the UN Evaluation Group (UNEG) commissioned this desk review with the following purpose:
 - To provide the HEIG with a better understanding on how the four core Humanitarian Principles are evaluated, highlighting best practices where available, as well as challenges and opportunities.
6. To achieve this purpose the review team⁴ was requested to:
 - Review existing practice, providing a mapping of the extent to which Humanitarian Principles are evaluated and under what conditions, and a snapshot and analysis of methodologies used (strengths and areas of weaknesses; adequacy of methodologies to evaluate each principle).
 - Reflect on the way forward, including possible approaches to ensure that the Humanitarian Principles are included as relevant in EHA
7. This is the first systematic review of reflection of Humanitarian Principles in evaluations commissioned by UN agencies. As such it offers the opportunity to support evaluation playing a significant role in both understanding how the Humanitarian Principles are currently applied, supporting their effective and consistent application in future, and determining the results of their application or lack thereof. As the consultation document for the WHS notes (WHS Secretariat 2015: 92): “Strengthening accountability through asking humanitarian actors not just how effective or efficient they are but also how well they live up to their principles would bolster consistency and build trust. If the usual evaluations and audits by which humanitarian action is assessed and funded by donors give sufficient weight to principles, it would be a practical driver of changed behaviour.”

⁴The Terms of Reference for the review are included as Annex 1. Details of the review team can be found in Annex 9.

2. Methodology

8. The review team prepared an Inception Report covering: a data collection matrix, an analytical approach, and an outline for this report. The Inception Report as approved by the HEIG was used to structure this report. This Section provides an overview of the methodology applied, with further details outlined in Annex 2.
9. Five main data sources provide a comprehensive overview of the evaluation of Humanitarian Principles in terms of both evaluation content and process, and the reasons why good practice has been achieved or constrained. The review triangulated between the main data sources as follows:
 - A review of general literature on the Humanitarian Principles since 2000, to determine trends in understanding and implementation of the Humanitarian Principles, and the implications of this for evaluation practice; and to contextualize the findings from the assessment of evaluations in the review sample. A comprehensive literature review was outside of this consultancy's scope; rather it focused on key issues and trends with specific reference to evaluation. The literature review is set out in Section 3, with references in the bibliography.
 - An analysis of 10 agency humanitarian strategies, evaluation policies and evaluation guidelines, to assess how effective agencies are in integrating Humanitarian Principles within these. This analysis was carried out to test the hypothesis that agencies that included greater attention to Humanitarian Principles in these guiding documents would also integrate the Principles more fully in evaluation practice; and to determine gaps in existing evaluation guidance which may need to be filled by future guidance. The selection criteria for agencies was determined in relation to the number of reports in the sample. Analysis of these documents is set out in Section 4, with references in Annex 3.
 - A review of a sample of 142 evaluations covering seven emergencies (Afghanistan, DRC, Haiti, Somalia, Sudan, South Sudan, and Syria), selected to be broadly, rather than statistically, representative of EHA. A greater focus was placed on complex emergencies as in these settings it is more challenging to adhere to Humanitarian Principles and evaluations would be expected to focus more fully on them. The sample was subject to a key word search to review existing evaluation practice and to delineate good practice examples. Considerable thought was given to selection of the sample to ensure that conclusions could be drawn from its analysis – the methodology is detailed in Annex 2, and the analysis set out in Section 5. Annex 4 includes the evaluations in the sample.
 - A sub-sample of 20 evaluations which included greater emphasis on Humanitarian Principles (Annex 5), selected from the larger sample, which underwent a more detailed analysis (Section 6).
 - Interviews with 12 key stakeholders: (1) interviewees with an overall perspective on how humanitarian agencies have assessed their performance against Humanitarian Principles, and trends in the application of Humanitarian Principles in humanitarian action, who provided contextual analysis, and (2) evaluation managers and evaluators interviewed concerning evaluation processes and factors constraining or facilitating evaluation against Humanitarian

Principles, how better practice was achieved using examples from the sub-sample, and to capture “implicit” references to Humanitarian Principles. Findings from these interviews are integrated throughout the report. Interviewees are listed in Annex 6, and the questionnaire used in Annex 7.

10. We took a 15-year timeframe in our literature review, to provide contextual analysis of how debates and alignment with Humanitarian Principles has evolved in the sector, but a five- year timeframe in our review of evaluations, to ensure this is a manageable task (in view of the large numbers of evaluations of humanitarian action carried out each year) and to ensure we are reflecting on current EHA practice.

11. **Limitations:**

- Some better practice examples may have been missed as not all evaluations are in the public domain, particularly evaluations which cover sensitive material.
- The number and range of agencies consulted was limited by resource availability and it was only possible to carry out an interview with one evaluation office.
- The word search may not have captured “implicit” references, that is discussion of Humanitarian Principles where the key terms were not referenced. The key terms used may not have captured references to other concepts and standards (e.g. Do No Harm, Sphere).
- The review covers almost exclusively English language evaluations, although two French speaking countries were included in the sample.
- The original intention was to include good practice; however, this was in short supply. It was not possible to find 25 good practice evaluations as planned, rather 20 “better practice” evaluations were included in the more detailed sub-sample review.
- The sample is drawn mainly from “traditional” humanitarian actors. The “non-traditional” actors (e.g. government and NGOs in the Middle East providing humanitarian funding) have not been covered given the scale of the consultancy.
- It was not possible to locate all agencies’ evaluation guidance.

Some report areas such as sensitivity of agencies and guidance have been covered under different Sections as the evidence presented is based on different data sources.

3. Humanitarian Principles and evaluation: review of the literature

12. This Section reviews literature on Humanitarian Principles in relation to its implications for EHA. As direct discussion of EHA is limited, this review has extrapolated the main issues that are relevant. The Section does not review the extensive literature on Humanitarian Principles (ably summarized in Collinson and Elhawary (2012) and other documents below, on which this Section draws). Nor does it assess how the Humanitarian Principles have or have not been applied over time and in different contexts. Rather it seeks to answer the following questions:
- What does the literature on Humanitarian Principles over the last 15 years tell us concerning evaluation of Humanitarian Principles?
 - What can evaluation contribute to an understanding of the ways in which Humanitarian Principles are applied?
13. Findings from this Section contextualize the data analysis in the remainder of this report and feed into the next steps recommended in Section 7.

3.1 What is to be evaluated? Understandings of Humanitarian Principles

14. Most EHA takes place against the results statements and indicators in project, programme or country level planning documents, and/or against a policy, and/or against an agency's central strategic plan. The first steps in evaluation of Humanitarian Principles would therefore be to assess the extent to which agencies state their intent of adhering to the Humanitarian Principles, and determine whether the stated results have been met. We note that there has been a lack of guidance, both sectorally and at individual agency level, on how to operationalize the Humanitarian Principles, which would suggest that their reflection in projects/programmes is likely to be patchy (DFID 2013; NRC/ODI 2012; WFP 2015b).
15. A challenge for coherent and/or system-wide guidance on evaluation of Humanitarian Principles is that they are subject to different interpretations (Box 1). There are no definitions in the UN General Assembly Resolutions, and definitions e.g. by ICRC are open to interpretation.⁵

⁵ For example, UN General Assembly Resolution 46/182 simply notes: "Humanitarian assistance must be provided in accordance with the principles of Humanity, Neutrality and Impartiality" and little else (UN General Assembly 1991).

Box 1: Understandings of the Humanitarian Principles

ICRC (2015: 4): While these four principles benefit from a clearly accepted definition within the Movement, they are subject to diverse interpretations and varying degrees of commitment in the wider humanitarian sector.

MSF (2015: 27): Respondents gave various definitions of Humanitarian Principles to the researchers. It is interesting to note that volunteers, employees, and members within the same organization do not always agree on a single definition of these principles.

NRC/ODI (2012 viii): Even though there is strong general awareness of the principles, practitioners may still struggle to balance or prioritize them in a consistent and transparent manner. This report shows that training of international as well as local staff could be improved in order to ensure a common understanding of Humanitarian Principles and the need for their uniform application.

Featherstone (2012: 19): Interviews revealed a wide diversity in the understanding and practice of principled humanitarianism and highlighted considerably different thresholds for putting pragmatism before principles.

ECHO (2014: 88): Stakeholders explained that in specific situations it was not always clear how to implement the principles or what the correct interpretation of a principled approach implied. They also observed that the principles were often understood and applied in different ways, this being particularly true when different principles were in conflict or in tension.

16. The lack of commonly shared definitions and interpretations also occurs to an extent within the UN system. As Annex 3 shows, while UNHCR aligns with OCHA definitions of the four core Principles, UNICEF and WFP do not include Independence as a core principle in their normative guidance, but do incorporate specific dimensions of the other Principles. For example, UNICEF includes a rights based approach in the principles of Humanity, Impartiality and Neutrality. It also highlights the need to advocate for action in case of violation of human rights while preserving Neutrality. WFP, UNHCR and OCHA use similar language in terms of taking sides in hostilities. WFP also highlights in the principle of Impartiality that aid should be based on “sound assessment that considers the different needs and vulnerabilities of women, men and children”. FAO and UNFPA have not developed a definition of the Humanitarian Principles.
17. Related to different understandings are debates around the reach of humanitarian action, noting that the definition of what comprises humanitarian action has gradually expanded, as described in ALNAP’s *Guide on Evaluating Humanitarian Action*. In relation to advocacy, for example, ICRC (2015: 11) notes: “One of the biggest debates in the NGO community now, around advocacy and neutrality, relates to the question of denouncing violations among the parties to a conflict. Are such denunciations of rights abuses compatible with the Principles of Impartiality, Neutrality and Independence? ... There has always been a dual motivation behind the humanitarian impulse, encapsulated in the Principle of Humanity: one inspired by a spirit of “charity” and compassion, and one driven by a more militant thirst for justice.”
18. New directions that are proposed by some for the humanitarian system, including transcending the humanitarian-development divide, also have implications for future application of the Humanitarian

Principles and therefore their evaluation. The UN Secretary-General's report (2016: 34-5) on the WHS emphasizes the need of humanitarian actors to move:

beyond repeatedly carrying out short-term interventions year after year towards contributing to achieving longer-term development results ... Working towards agreed collective outcomes over a multi-year horizon is ultimately how we transcend the humanitarian-development divide. The articulation and achievement of such collective outcomes will allow a range of diverse actors – national and local authorities, humanitarian, development, human rights, peace and security actors, and even possibly private enterprises – to work together toward a common goal.

19. On the same theme MSF (2013: 139) comments that while many agencies see humanitarian action as part of a broader program of human rights, development, peace-and state-building, and now seek to influence the causes of crisis: “What has yet to emerge, however, is a coherent humanitarian paradigm that incorporates these different spheres of action. Humanitarian action is still largely defined in terms that exclude or even reject broader responses to humanitarian crises.” WFP's (2015b) position paper for the WHS also emphasizes the need to enhance the complementarity between humanitarian and development assistance. How far Principles such as Independence can be maintained during broader responses and development of collective outcomes will need to be determined.
20. Given disagreements concerning the meaning of the Humanitarian Principles, there have been several recent attempts to define the Principles in terms of their operational implementation and to develop indicators to measure them. For example, Fast (2016) and Schenkenberg (2016) define the Principles of Humanity, and Neutrality and Independence, respectively, in an attempt to operationalize the Principles. The Steering Committee for Humanitarian Response (SCHR) (2012) reports on work carried out by SCHR members on designing and testing an approach to define and measure the application of Humanitarian Principles, with a focus on Impartiality. This includes benchmarks and indicators related to three phases of application of Impartiality – institutional predisposition, programme planning, and actual implementation and evaluation. These initiatives will be useful for evaluation as they promote common understanding and measures.
21. Potential implications for evaluation of Humanitarian Principles as considered by the review team are:
 - Evaluation should assess whether the agency concerned has a clear commitment to Humanitarian Principles, and how it articulates and provides a rationale behind its understanding of Humanitarian Principles. For example, this could be in the form of a global review. Having established this, evaluations should then assess whether this commitment has been translated into programming.
 - Evaluation may need to assess the practical effects of a move to more closely link humanitarian and development action.
 - If there is no common understanding or common application of Humanitarian Principles, it may be challenging to develop common/UN system-wide guidance.
 - Recent attempts to produce indicators of implementation of the Humanitarian Principles will support evaluation.

3.2 Agency sensitivity

22. One publication which considers the relations between Humanitarian Principles and evaluation in some detail is DFID's (2013) review of delivering aid in highly insecure environments. This review covers six countries and two regions (Sudan, South Sudan, DRC, Haiti, Somalia and Afghanistan; Horn of Africa and Sahel) between 2007 and 2012; given the overlap with this report the DFID review is particularly pertinent. The review notes that because implementing Humanitarian Principles is sensitive for agencies (ibid: 5): "the tendency has been to undertake single-agency (often in-house) evaluations not widely shared in the public domain." It also notes a lack of investment in evaluation of Humanitarian Principles.
23. The instrumentalization and politicization of humanitarian aid has been well-documented in recent years (e.g. Collinson and Elhawary 2012; Donini 2012). Humanitarian agencies' discomfort with this, and with the extent to which they may have been co-opted, for example through their funding sources or through having to compromise on the ground in order to remain operational, as in Sri Lanka, may have led some agencies to steer away from the challenges involved in evaluating their implementation of Humanitarian Principles. A number of interviewees commented on discussions that agencies hold concerning Humanitarian Principles that take place "behind closed doors", and a reluctance to extend this to the public domain. Within specific emergency contexts agencies may be concerned about the potential negative impacts of evaluations in the public domain, for example security risks for staff, hindering on-going negotiations for access, and even threatening whether the agency will be allowed to remain operational in some contested (usually conflict) contexts. They may also be concerned about reputational risk. As one interviewee noted, evaluating agencies against the Humanitarian Principles may lead to the study of the motivations that underpin agencies' humanitarian interventions, and there is a risk that such analysis is co-opted by a "blame" language inherent in non-respect of the Principles. These, combined with the methodological challenges noted below, are likely to be some of the reasons for the lack of attention to evaluation of Humanitarian Principles outlined in Section 5.
24. Potential implications for evaluation of Humanitarian Principles are:
 - Internal agency sensitivities may make the effective evaluation of the implementation of Humanitarian Principles challenging, especially if this means exposure in the public domain, although this should not be used as an excuse for not addressing Humanitarian Principles in evaluation. Instead, ways of addressing these risks must be found.
 - Evaluation against Humanitarian Principles should be preceded by an evaluability assessment that takes into account reputational and security risks well as any risk of hindering future access. Agencies will need to hold frank conversations every time they propose to evaluate Humanitarian Principles.

3.3 Methodological challenges

25. **Adapting methodologies?** Most evaluations use standard methodologies (key stakeholder interviews with programme staff, focus groups with affected people, document review etc.) for evaluation of implementation of Humanitarian Principles, but such methodologies must be adapted for evaluating performance against Principles. This will almost certainly mean interviewing different stakeholders,

including political actors (for example to assess if/ how agencies negotiated access to those in need), based on a thorough stakeholder analysis. Some of these stakeholders may be challenging for evaluators to reach, for example leaders of armed non-state actors in conflict environments, with whom agencies have negotiated access. Evaluation against Humanitarian Principles (especially Neutrality) also depends upon capturing stakeholder perceptions of the humanitarian response. There have been few attempts to introduce innovative approaches and methodologies in this area, although the example of the Disasters Emergency Committee (2001) use of the Red Cross and Red Crescent Code of Conduct as an evaluation approach is provided in Section 6. One interviewee suggested including a confidential annex on sensitive issues related to Humanitarian Principles, to overcome the opposition to focusing on Humanitarian Principles in evaluations.

26. **Understanding the political context.** A key skill required, as noted by interviewees is a substantive knowledge of the socio-economic and political context. Only with this knowledge and understanding is it possible to determine how principled humanitarian action may be threatened, and therefore how the evaluation should be oriented to ask the right questions, and which stakeholders to interview. ECHO (2012: 75-6) notes: “Over the past two decades, the humanitarian community was often preoccupied with technical, internal discussions related to, for example, coordination, the processes for conducting needs assessments or ways to measure impact. These discussions were usually self-centered and frequently resulted in humanitarian organizations investing too little in understanding the political, economic and social environment they were operating in. With access restrictions imposed by governments and armed groups becoming prevalent, humanitarian organizations have started to rectify this imbalance.” Interviewees indicate that evaluation of humanitarian action has fallen into the same trap, preoccupied with technical performance and paying too little attention to the wider political context.
27. **Causality.** Evaluation of Humanitarian Principles may offer particular challenges of establishing single causal connections and attribution given the complex emergency situations where multiple factors far beyond humanitarian assistance are at play. This is because of the “high” level of the Humanitarian Principles which are overarching commitments of agencies. For example, evaluating causality in relation to Humanity would be more challenging than establishing causality in relation to a shelter programme.
28. **Including the affected population in evaluation practice.** The emphasis on meaningful participation of affected people in evaluation practice has implications for evaluation of Impartiality in particular, in relation to evaluating whether interventions have made no distinctions on the basis of nationality, race, gender, religious belief, class or political opinions, which will necessarily require participation of marginalized groups, and whether humanitarian action has been ‘needs-based’ (i.e. impartial). Background documents for the World Humanitarian Summit (WHS) include a strong emphasis on inclusion of the affected population fully throughout the programming cycle, including evaluation, as well as ensuring inclusion and meaningful participation of all marginalized groups. There is a clear link here to “respect for human beings”, as well as potential links to Humanity and Impartiality. The WHS consultation synthesis (WHS Secretariat 2015: 16-17) notes: “Affected people must be given the information and influence to participate meaningfully in the entire humanitarian programme cycle: needs assessments, project design and implementation, monitoring and evaluation, and strategic decision-making.”

29. There are a number of constraints that need to be overcome to ensure meaningful participation of marginalized groups in evaluation practice. The DFID review notes that (2013: 5): “Overall, there is only a relatively small pool of authors, researchers, and evaluators working in this subject area.” It also notes limited budgets and time frames, and significant challenges conducting detailed field research and including affected populations, particularly beyond capitals in complex emergencies, and where remote approaches for implementation/evaluation are used.
30. Potential implications for evaluation of Humanitarian Principles are:
- Evaluation managers and teams need to ensure they have adequate capacity for example to develop relevant evaluation questions, carry out an adequate political economy analysis, devise methodologies that can capture sensitive areas and perceptions of key stakeholders, and report on findings in a way that will ensure utilization of what may be controversial findings. Section 5 demonstrates that for the most part this is not the case.
 - Methodological guidance is required for strengthening the evaluation of Humanitarian Principles.
 - There is a need to significantly strengthen interaction with affected people who may be “left behind” in evaluation practice, and thus to assess whether humanitarian action has been impartial and ‘needs-based’, and to reflect the results of this interaction in evaluation findings and recommendations. Despite a renewed emphasis on including affected people more fully, realism needs to prevail as to how far this is possible in insecure environments.
 - The format and methodologies of evaluations carried out by UN agencies, which usually involves short-term missions by international teams are not adequate to ensure evaluation of Humanitarian Principles or meaningful participation of affected people.

3.4 A hierarchy among the Humanitarian Principles, and are they sometimes contradictory?

31. When evaluating Humanitarian Principles, should they be considered of equal importance? A recent ICRC (2015: 17) workshop covered this issue:

Is humanity the most fundamental of all the Fundamental Principles? ... For Mike Aaronson, “perhaps it’s important to assert the principle of humanity now, because it’s threatened ... we could question whether we need all of the Principles in the same basket: there is a hierarchy between them. It might help to assert humanity more effectively if we concede that other Principles might vary over time.” For Hugo Slim, also, there are differences between the Principles: “Humanity and impartiality represent basic goods, and they’re the goals of what we do. They’re qualitatively different. Independence and Neutrality are much more about the means.”

32. Slim’s distinction is important given that there will be differences in approach and methodology when evaluating goals or means; this distinction could be useful in thinking through future guidance material.

33. A number of authors note the potential contradictions between the Principles. Steets (2012: 8) comments: “complying with the principle of humanity, which requires organizations to save lives and alleviate suffering, can contradict the requirements to remain neutral, independent and impartial.” In the same vein NRC/ODI (2012: 12, see also MSF 2015) found: “the principle of humanity — the imperative to save lives — may sometimes be incompatible with impartiality and the other principles. Some form of balance or prioritization will normally be required, and this is often influenced by the context and the stakeholders involved.”
34. Agencies may also adhere to other overlapping and/or competing principled frameworks, such as the OECD Principles for Fragile States and Situations. DFID (Schreter and Harmer 2013: 5); and see also FAO/WFP’s (2010) State of Food Security in the World) which notes: “a growing recognition of the difficulties involved in applying multiple sets of aid principles – including the Paris, fragile states and humanitarian principles – in insecure environments. There has been limited detailed analysis on the implications of this, and whether and how the overlapping principles can be reconciled.”
35. Potential implications for evaluation of Humanitarian Principles are:
- Evaluations will need to assess whether one Principle has been prioritized over others, and potential contradictions between the Principles.
 - Evaluators will need to assess whether different approaches and methodologies are required for evaluating the different Principles.

3.5 Evaluations and research studies

36. Interviewees raised the question as to whether evaluation is the best means for assessing performance against Humanitarian Principles, partly because of the sensitivities of this kind of evaluation. Studies such as NRC’s (2012) case study of adherence to the Principles in Afghanistan and Collinson and Elhawary’s work at ODI (2012) demonstrate that research can cover some of the sensitive areas which evaluations may not be able to, and may be better at tackling sensitive issues related to politicisation of aid. There appears to have been more independent research on agency performance against Humanitarian Principles than evaluations, implying that this may be a source of experience, learning and methodological insight. The reason for this is that research studies are often external to agencies and are not therefore subject to the same constraints such as short field visits that characterizes much EHA. Terry’s article on reasserting the neutrality of humanitarian action (ICRC 2011) also examines these sensitive areas, and is one of the few studies/evaluations that demonstrate that adhering to the Humanitarian Principles improved programming. One ECHO (2012) thematic evaluation which successfully evaluated Humanitarian Principles was titled an “evaluation and review”, and included elements of a research study. However, moving away from evaluation to research may risk losing the accountability element involved in evaluations, e.g. the discipline and requirement to carry out evaluations of major programmes, and the need for a management response.
37. Potential implications for evaluation of Humanitarian Principles are:
- Evaluations may not be able to capture fully agency performance on implementing Humanitarian Principles, and may need to be complemented by research studies.

- Research studies may be a valuable source for exploring how, methodologically, it is possible to evaluate against Humanitarian Principles.

4. Analysis of humanitarian strategies, evaluation policies and guidelines

4.1 Methodology for review of policy and guidance documents

38. The review team assessed a sample of policy and guidance documents to determine if they were providing adequate direction on evaluation of Humanitarian Principles. The review team hypothesized that guidance would flow from overall humanitarian policies to evaluation policies and guidance. The sample was drawn from ten agencies (five UN, two donors, two NGOs and ICRC) based on the team’s initial scan of literature, interviews with key stakeholders, availability of documents, and results of the screening of evaluations. The list of agency documents reviewed is included in Annex 3. Where possible, the team attempted to include the three types of documents for each of the ten agencies.⁶ Further details on methodology are included in Annex 2.
39. Agencies are generally thorough in referencing international standards and principles (explicitly and/or implicitly) in policy documents presenting agency-level strategic objectives. However, in most cases evaluation policies and guidelines are less likely to have the same breadth/depth of explicit coverage. All agencies did reference their strategic objectives in evaluation policies and guidelines. When mentioned at all, the Humanitarian Principles (Humanity, Impartiality, Neutrality and Independence) were most likely to be referenced as a group, rather than individually.

4.2 Review of Strategic Objectives

40. The term ‘Humanitarian Principles’⁷ is used consistently in agency strategic objectives—most frequently as a way of framing organizational strategy. Other contexts in which Humanitarian Principles are discussed include: 1) challenges in upholding Humanitarian Principles in complex emergency settings, 2) funding and resource mobilization, and 3) working with partner organizations.
41. For the most part, policy documents addressed Humanitarian Principles (Humanity, Impartiality, Neutrality, and Independence) broadly, rather than in any depth.⁸ In order to capture implicit references to Humanitarian Principles, the following key words were also included: Dignity, Space, Access, Security and Military. With the exception of Dignity, which was referenced throughout the documents

⁶ This is not an exhaustive summary of the policies of these organizations. In some cases, agencies reference shared standards, e.g. the UNEG Guidelines.

⁷ Some agencies refer to international standards that implicitly reference the Humanitarian Principles (for example: UNICEF Core Commitments for Children, International Human Rights Law, Sphere Standards, Guiding Principles on Internal Displacement). These were captured in the word search by including “Principles” or “Principled Approaches” as search terms.

⁸ ECHO 2007; OCHA n.d.; UNICEF 2010; DFID 2011; WFP 2012; Norwegian Refugee Council 2012; Médecins Sans Frontières n.d.; International Federation of Red Cross and Red Crescent Societies and ICRC 1994; UNHCR 2013.

as a general principle, Space, Access, Security and Military were referenced mainly in discussions related to challenges of upholding Humanitarian Principles in complex emergency settings.

42. Humanitarian principles are discussed most frequently in the literature with reference to the preservation of humanitarian space,⁹ complexities of civil-military relationships,¹⁰ concern about the reduction of humanitarian access¹¹ and decreased security for humanitarian aid workers.¹² In particular, Neutrality, Impartiality and Access are referenced in relation to managing relationships with governments in complex emergencies and ensuring access to beneficiaries without compromise (or perception of compromise) of Humanitarian Principles.¹³
43. The Humanitarian Principles are also referenced in relation to funding—particularly Impartiality, Neutrality and Independence.¹⁴ This is particularly true for the NGOs in the sample, who noted that earmarking of funding impacts Independence by constraining the flexibility of humanitarian actors.¹⁵ Some agencies identified issues related to donor adherence to international standards (referencing for example, The Good Humanitarian Donorship Initiative).¹⁶
44. Humanitarian Principles were also referenced in discussions about working with partner organizations,¹⁷ particularly the need to develop a set of principle-based criteria that can be used in the process of selecting local partners—this issue is particularly noted in reference to remote programming in insecure contexts.¹⁸

4.3 Review of Evaluation Policies

45. Quantitative analysis of the key word search evidences few explicit references to Humanitarian Principles in evaluation policy documents,¹⁹ though all of the documents do guide evaluators to measure achievement of strategic objectives.²⁰ Some agencies in the sample do make more explicit commitments to evaluate adherence to Humanitarian Principles—NRC, MSF and WFP for example.²¹ In other cases,

⁹ OCHA n.d.; OCHA 2014.

¹⁰ ECHO 2007.

¹¹ ECHO 2007; DFID 2011.

¹² DFID 2011; ECHO n.d.

¹³ UNHCR 2013; WFP 2012.

¹⁴ Médecins Sans Frontières n.d.; International Federation of Red Cross and Red Crescent Societies and ICRC 1994.

¹⁵ MSF n.d.; International Federation of Red Cross and Red Crescent Societies and ICRC 1994.

¹⁶ ECHO 2007; DFID 2011.

¹⁷ WFP 2012; DFID 2011; ECHO n.d.

¹⁸ ECHO 2014; WFP 2012.

¹⁹ Evaluation policies and guidelines are clear about the need to base evaluations on international principles, for example the Sphere Standards and the OECD-DAC principles. Documents in the evaluation sample contain frequent references to ensuring the Impartiality, Neutrality and Independence of evaluation exercises. These have been excluded from the screening process.

²⁰ This is done differently in each document—in some cases this guidance is more clearly stated.

²¹ Norwegian Refugee Council 2015; Médecins Sans Frontières 2013; WFP 2015.

guidance recommends evaluation of agency strategies that may include Humanitarian Principles²² or recommend evaluating coherence and relevance—the extent to which programming is consistent with policies and humanitarian principles.²³

4.4 Evaluation Guidance

46. The evaluation guidelines in the sample contain few specific guidelines on the evaluation of Humanitarian Principles. A number of guidelines do cite ‘adherence’ to international principles and the need to ‘meaningfully integrate’ principles, however operational guidance is scarce. UNHCR²⁴ uses a rights based approach as a conceptual framework to integrate principles with development of program indicators. The MSF website links to four evaluation guideline documents that address the evaluation of Humanitarian Principles (written by IFRC, ALNAP, and ODI;²⁵ see next section).

4.5 Inter-agency guidance

47. The review team also assessed inter-agency guidance (much of which it had written or contributed to in some form). The main inter-agency guidance has limited or no explicit attention to Humanitarian Principles.²⁶

48. Overall the review team concludes that content of Humanitarian Policies is not being adequately reflected in evaluation policies and guidance, and evaluation policies are not providing direction to agencies, and there is a major gap in evaluation guidance, concerning evaluation of Humanitarian Principles. There is subsequently a lack of attention in Terms of Reference, which means that most effective evaluation of Humanitarian Principles that has taken place has been at the initiative of individual evaluators (see Section 6).

²² UNICEF 2013.

²³ Médecins Sans Frontières 2013.

²⁴ UNHCR Division of Operational Services 2006.

²⁵ 2006; Hallam 1998; ALNAP n.d.; IFRC 2011.

²⁶ ALNAP 2006; Hallam 1998; ALNAP n.d.; IAHE 2014; IFRC 2011.

5. Findings from the evaluation sample

5.1. Overview of findings

49. This section analyses the sample of 142 evaluations to provide an overview of the reflection of Humanitarian Principles in EHA. The sample is broadly rather than statistically representative of EHA.²⁷
50. The sample of 142 evaluations, including executive summaries, terms of reference, management responses and inception reports (where available) were screened using 10 key words: five terms that refer explicitly to the four core Humanitarian Principles: ‘Principle(-s)’, ‘Humanity’, ‘Impartial(-ity)’, ‘Neutral(-ity)’, ‘Independen(-t, -ce)’; and five additional terms that relate to one or more dimensions of Humanitarian Principles: ‘Dignity’, ‘Access’, ‘Space’, ‘Security’, ‘Military’.
51. To ensure representativeness the sample includes evaluations from a broad range of commissioning agencies, including (number of evaluations in parentheses): UN agencies (76), NGOs (31), donors (24), IFRC (7), clusters (3) and academic institutions (1).
52. Fifty-three per cent of the sample focused on one of seven crises (Afghanistan, Haiti, Democratic Republic of the Congo, Somalia, South Sudan, Sudan and Syria—including other countries in the Syrian region). The other 47 per cent of evaluations were multi-country.
53. The sample includes five evaluation types (impact, operational, strategic, RTE, and thematic) to assess trends by evaluation type. Ninety-three per cent of the sample was made up of single agency evaluations, with eight inter-agency and two joint evaluations, so the conclusions mainly refer to single agency evaluations.
54. Analysis was carried out by type of emergency, agency and evaluation, to examine sub-trends in the sample. Average figures have been used for the purpose of comparison; the figures below include averages obtained by dividing the number of references for each key term analyzed by the number of evaluations in each of these categories.

5.1.1 Total number of references

55. Total occurrences of the key words was 3,564, or an average of 25 terms per evaluation. The five terms relating to Humanitarian Principles (Principles, Humanity, Impartiality, Neutrality, Independence) are mentioned 822 times or 23 per cent of the total. Table 1 shows key word occurrences and the number of evaluations in which they were included. Impartiality, Neutrality and Independence are roughly similar, while Humanity is mentioned less often - 47 times in 16 evaluations, suggesting that the term is not common in evaluation practice.

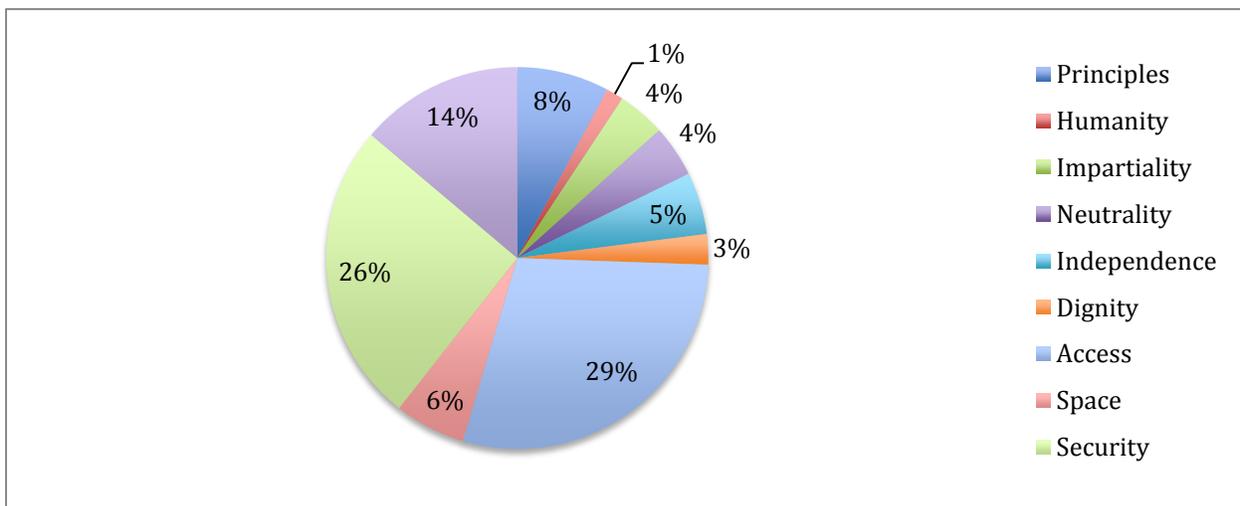
²⁷ Further details on the methodology and sampling process see Annex 2.

Table 1: Number of times and reports that used the key terms		
Term	Reference	Evaluation
Access	1043	115
Security	953	116
Military	484	63
Principles	291	51
Independence	182	57
Space	175	45
Neutrality	161	50
Impartiality	141	39
Dignity	87	35
Humanity	47	16

56. Given that the sample was reasonably representative of EHA, these findings show that Humanitarian Principles are not systematically assessed in EHA - either individually or as a group.

57. Of the five additional terms included in the word search Access and Security were most frequently used, with occurrences of access making up 29 per cent of the total and Security 27 per cent. Figure 1 provides a percentage breakdown.

Figure 1: % of each term in the sample



58. There was also a high concentration of key terms in a relatively small number of evaluations. The 20 evaluations analyzed in Section 6 accounted for 48 per cent of references to key terms, suggesting limited attention across the sample as a whole.

5.1.2 References in combination

59. An important consideration in evaluation of Humanitarian Principles is the extent to which the Principles are evaluated individually or as a group. Table 2 details how often the five terms related specifically to Humanitarian Principles appear in combination with each other. The terms combined most frequently are Independence and Neutrality, and Independence and Impartiality. The terms Impartiality, Neutrality and Independence appear together in 24 evaluations. This suggests that comprehensive evaluation of all the Humanitarian Principles in combination is not taking place.

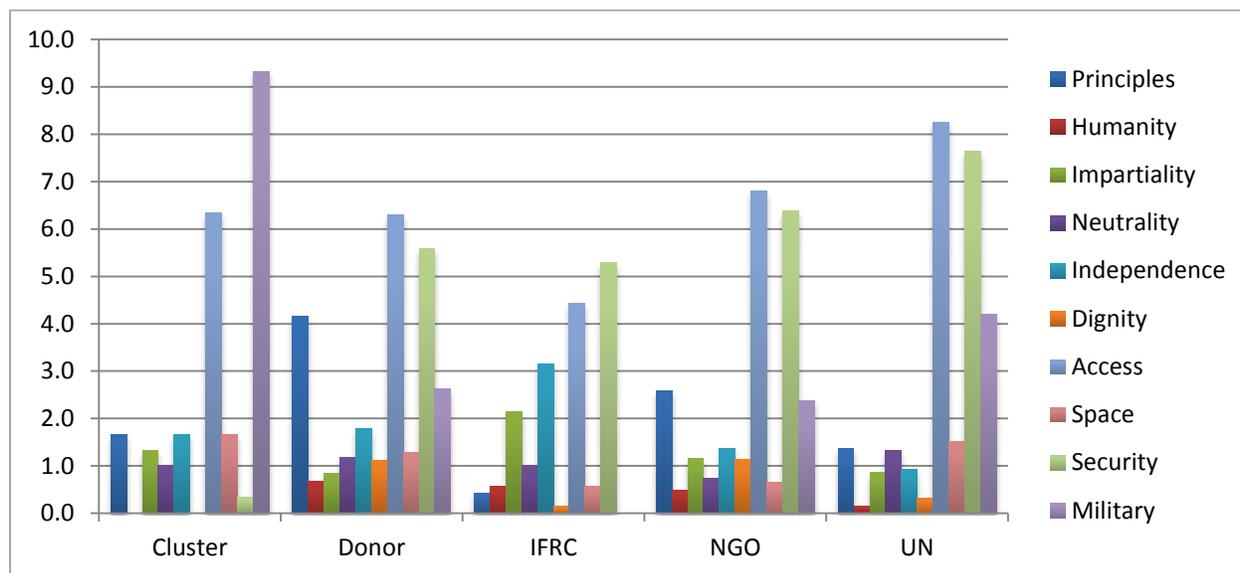
Table 2: Number of evaluations including a combination of key terms

		Principles	Humanity	Impartiality	Neutrality	Independence	# Evaluations
Combination	2		*	*			14
			*		*		12
			*			*	13
				*	*		27
				*		*	32
					*	*	37
	3			*	*	*	24
	4	*		*	*	*	24
			*	*	*	*	10
	5	*	*	*	*	*	9

5.1.3 Use by agency and cluster

60. This sub-section includes a comparative analysis to determine if the use of key terms differs across agencies. Figure 2 demonstrates that the terms Access and Security occurred most across all types of agencies. One exception is that higher priority is given to the term Military by EHAs commissioned by clusters, explained in part by inclusion of the *Joint Evaluation of the Global Logistic Cluster* which accounts for 29 per cent of references to the term Military in the cluster evaluations. Figure 2 demonstrates that UN agency evaluations include the term Access an average of 8.3 times and Security an average of 7.3 times per evaluation. In contrast, the average mention of the terms Principles and Neutrality was just above one time per evaluation, and the terms Humanity, Impartiality and Independence were mentioned 0.2, 0.9, 0.9 times respectively.

Figure 2: Average number of times that key terms appear in evaluations per type of agency²⁸



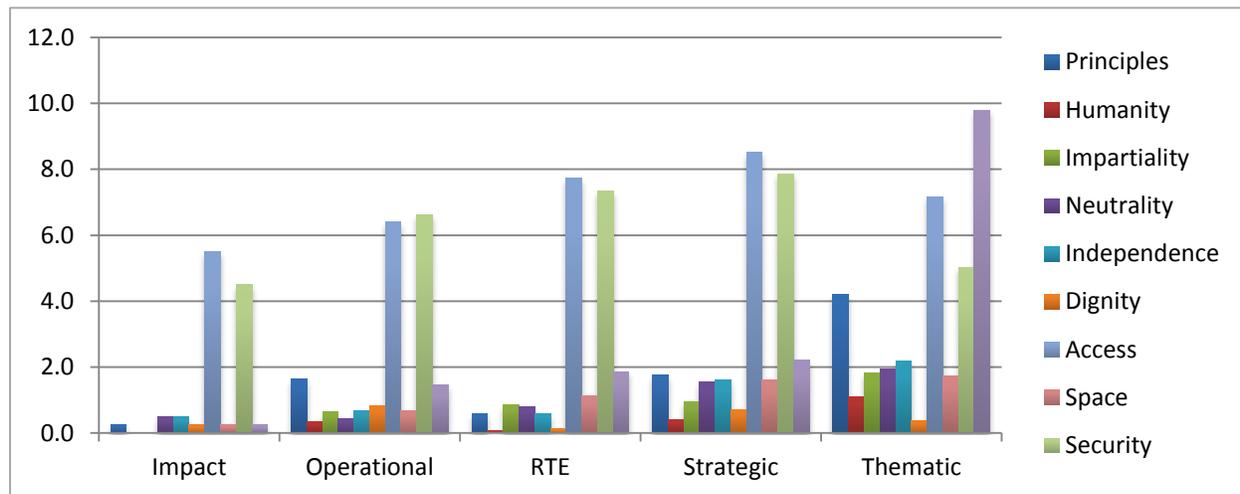
61. NGOs and donors follow a similar pattern as the UN for the first five terms, and there is slightly higher reference to the Humanitarian Principles by donors. IFRC evaluations evidence a higher occurrence of Independence (3.1 times) and Impartiality (2.1 times). This suggests that IFRC might be more likely to explicitly discuss Humanitarian Principles in evaluation practice. In summary, the differences in references to the key terms were not sufficient to suggest that practice differs significantly between type of agency.

5.1.4 Use by type of evaluation

62. Analysis by type of evaluation (Figure 3) confirms the priority given to Access and Security in all types of evaluations, in particular Strategic and RTEs. Beyond this general trend, it can be noted that Strategic and Thematic evaluations are more likely than Operational, RTE and Impact evaluations to reference Humanitarian Principles. This is borne out by the analysis of the sub-sample in Section 6.

²⁸ Data in Figure 2 show the average times each term appears per evaluation for each type of agency. This number was calculated by dividing the total number of times a term appears in evaluations for each commissioning agency divided by the total number of evaluations of each agency.

Figure 3: Average number of times that key terms appear in evaluations per type of evaluation²⁹

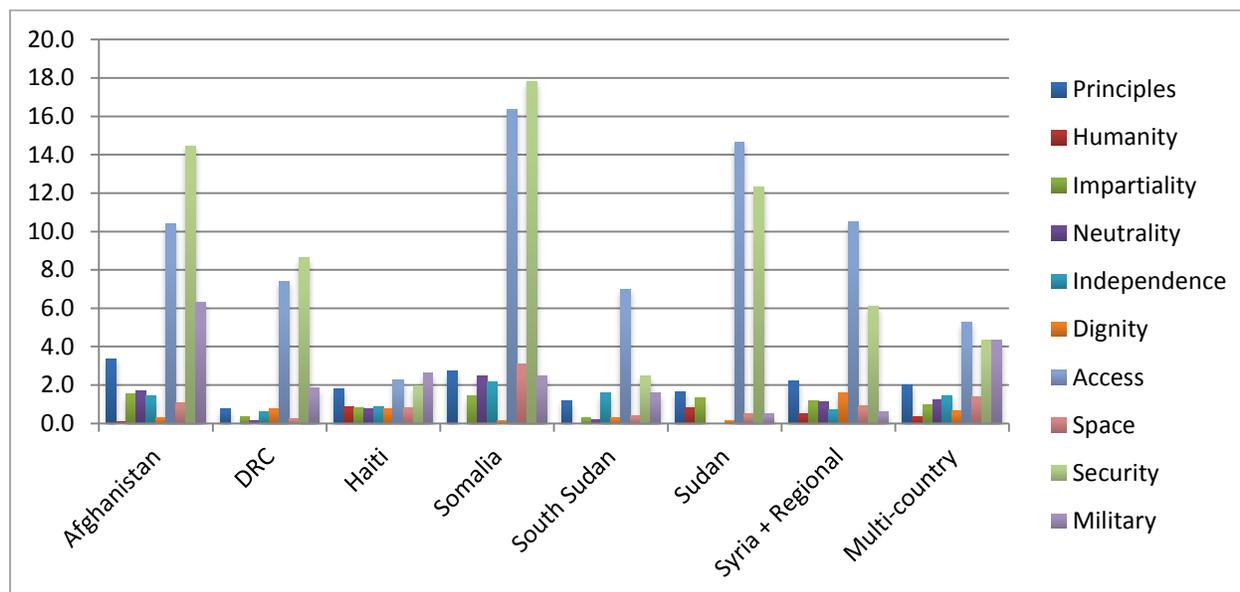


5.1.5 Use by emergency

63. An analysis of the use of terms per emergency (Figure 4) shows that Access and Security are the most frequently occurring terms in most of the crises: Somalia (16.3 and 17.8 references respectively), Sudan (12.3 and 14.7 respectively), Afghanistan (10.4 and 14.5 respectively), Syria (10.5 and 6.1 respectively), DRC (7.4 and 8.6 respectively), Multi-country (5.3 and 4.3 respectively). Two exceptions include: (i) South Sudan which referenced Security fewer times (2.5 references per document); and (ii) Haiti where the average reference to Access was 2.3 times per document. The homogenous treatment of all ten key terms in Haiti may be related to the nature of the crisis (natural disaster rather than complex emergency).

²⁹ Data in Figure 3 show the average times each term appears per evaluation for each type of evaluation (Impact, Operational, RTE, Strategic, and Thematic). This number was calculated by dividing the total number of times a term appears in each type of evaluation divided by the total number of evaluations for each type of evaluation.

Figure 4: Average number of times that key terms appear in evaluations per emergency³⁰



5.1.6 Summary of quantitative analysis

- Use of the key terms was highly concentrated in 20 evaluation reports.
- Access and space were the most commonly used terms, in 56 per cent of cases.
- The terms Impartiality, Neutrality, Independence and Humanity do not commonly appear together.
- The occurrence of the terms did not differ significantly across evaluation, emergency or agency types, suggesting a general weakness in evaluation of Humanitarian Principles across the sector.

5.2. Qualitative analysis per term

64. This section includes a qualitative analysis by key term; it was not possible to carry out a qualitative analysis by type of emergency, agency or evaluation, because of the limited number of references to the terms for these variables.

³⁰ Data in Figure 4 show the average times each term appears per crisis. It was calculated by dividing the total number of times a term appears in evaluations of each crisis by the total number of evaluations included in the sample of each crisis.

5.2.1 Principles³¹

65. Principle was most frequently referenced as part of a general presentation of the agency's endorsement of Humanitarian Principles, including a general reference to the agency's role in promoting them outside the agency and internally with their staff. A number of evaluations do not refer to the Humanitarian Principles specifically, but do refer to other types of principles and standards that guide humanitarian assistance, some of which incorporate the four Principles that this study focuses on.³² References to broader principles and standards were also collected in the word search and are reflected in the final data.³³
66. The second most frequent use of the term Principles was a general statement on how consistent evaluated interventions were with the Humanitarian Principles. However, evaluators carried out limited analysis of program adherence to the Humanitarian Principles and, with a few exceptions,³⁴ did not develop a differentiated and in-depth analysis on the extent to which the interventions adhered to individual principles.³⁵
67. The term Principles was also used in several evaluations with reference to the following: tensions between the principles and/or tensions between the principles and other competing agendas or interests,³⁶ the politicization of aid, restrictions in access to affected populations, attempts to control the use of aid, and challenges around preserving a principled approach while respecting state sovereignty.³⁷

5.2.2 Humanity

68. The use of the term Humanity is limited and occurs almost exclusively in conjunction with the other Humanitarian Principles. When Humanity is referenced, it appears in a general discussion of Humanitarian Principles as they relate to the values that underpin the humanitarian mandate and in generic statements on the extent to which the Principles have been upheld by the agency. There is

³¹ The term includes both 'Humanitarian Principles' and 'principled-approaches' to humanitarian assistance

³² Sphere Minimum Standards, the Core Commitments for Children, the European Consensus on Humanitarian Aid, the Good Humanitarian Donorship Initiative or the Principles for Good International Engagement in Fragile States and Situations

³³ Ministry of Foreign Affairs of the Netherlands 2011: para 3 and 19; ADE and Humanitarian Futures 2014: p 79; Majoor, Fisher and Rhametalla 2013: para 19.

³⁴ Ministry of Foreign Affairs of the Netherlands 2011: para 3, 19 and 160; Bhattacharjee and Lossio 2011: p 23; ADE and Humanitarian Futures 2014: p 71; Majoor, Fisher and Rhametalla 2013: para 53.

³⁵ Majoor, Fisher and Rhametalla 2013: para 55-59.

³⁶ Drummond, Khoury, Bailey, Crawford, Fan, Milhem, Zyck 2015: para 37; ADE and Humanitarian Futures 2014: p 71, 73 and 104.

³⁷ Drummond, Khoury, Bailey, Crawford, Fan, Milhem, Zyck 2015: para 37. ADE and Humanitarian Futures 2014: p 71, 73 and 104; Hedlund, Majid, Maxwell, Nicholson n.d.: p 32; Hedlund, Majid, Maxwell, Nicholson n.d.: p 39 and 75; Majoor, Fisher, Rhametalla 2013: para 18; Hedlund, Majid, Maxwell, Nicholson n.d.: pg 1; Majoor, Fisher, Rhametalla 2013: para 209.

almost no differentiated analysis of the term, which suggests that there is limited understanding of the way in which the term can be usefully employed during evaluation.³⁸

5.2.3 Impartiality

69. Impartiality is most frequently referenced in a general discussion of Humanitarian Principles and the values that underpin the humanitarian mandate, and in generic statements on the extent to which the Principles have been upheld by the agency. There is limited conceptual unpacking of the term which would provide information on the challenges of reaching particular groups. It is likely that this is covered in the sampled evaluations under discussions of coverage and targeting of beneficiaries³⁹ - see Section 6 for elaboration of this point.
70. The term appears in relation to the challenges of preserving Neutrality, Independence and Impartiality—especially in relation to engagement with military actors⁴⁰ and the challenge of keeping the right balance in the relation with Government while negotiating access to affected populations. Beyond a few references on the risk of compromising impartiality when using escorts there is little discussion of the risks of engagement with military actors—as they relate to Neutrality or Impartiality individually. This suggests that there is some confusion about the differences between the two terms and that evaluators are using them interchangeably; this finding was supported by interviews with evaluators and evaluation managers.
71. Only very infrequently was Impartiality discussed with regards to decisions around targeting, which is surprising given the definition of Impartiality and its close links to targeting and coverage, which are frequently used evaluative terms; again this is further discussed in Section 6. The Principle appears, though not systematically, when evaluations assess the use of remote approaches due to lack of access to sites and beneficiaries. In this sense, some evaluations link the risk of local partner bias or third party monitoring with the risk of partiality in the delivery of aid.

5.2.4 Independence

72. The most common use of this term is in conjunction with the other Principles, as part of a general discussion of the Humanitarian Principles and the extent to which they have been implemented.⁴¹ Like

³⁸ Drummond, Khoury, Bailey, Crawford, Fan, Milhem, Zyck 2015: para 37; Ministry of Foreign Affairs of the Netherlands 2011: p 3, 19, 35, 49, 50, footnote 44; ADE and Humanitarian Futures 2014: p 7, 21, 96.

³⁹ i.e. Competing pressures between different interests. Drummond, Khoury, Bailey, Crawford, Fan, Milhem, Zyck 2015: para 37; Ministry of Foreign Affairs of the Netherlands 2011: para 3, 19, 50, 160; Bhattacharjee, Lossio 2011: p 23; Majoor, Fisher, Rhametalla 2013: p 19, 53, 55; ADE, Humanitarian Futures, 2014: p 21.

⁴⁰ Majewski, Boulet-Desbureau, Slezak, De Meulder, Wilson 2012: p 173; Darcy, Bonard, Dini 2012: para 1.4.2.

⁴¹ Ministry of Foreign Affairs of the Netherlands 2011: p 3, 19, 50; Bhattacharjee, Lossio 2011: p 23; ADE and Humanitarian Futures 2014: p 7, 10, 11, 12, 21, 22 39, 40, 41, 43, 72, 73, 100, 104, 21; Drummond,

Impartiality, there are very few further references to Independence in other sections of the evaluations, suggesting that in a majority of cases, EHA is missing the tensions between the humanitarian and political agenda, including a relevant (and balanced) political analysis. In a minority of cases, and in a similar way to Impartiality, Independence is discussed in relation to: the co-opting of humanitarian assistance in highly politicized contexts;⁴² in relation to targeting of beneficiaries/the delivery of needs-based responses;⁴³ and in relation to the challenges of preserving independence for local partners—including vis-à-vis funding from donors perceived as involved in the conflict (e.g. US funding).⁴⁴

5.2.5 Neutrality

73. The most common use of the term is in conjunction with the other principles as part of a general discussion of the Principles⁴⁵ and the extent to which they have been upheld by the agency.⁴⁶ Neutrality is also referenced in descriptions of the politicization of aid, perceptions of neutrality in the discussion around humanitarian space and the tensions between the political agenda and the humanitarian mandate, including in minor cases a reference to the Resident Coordinator's role.⁴⁷ Neutrality was referenced in a small minority of reports in discussions on issues related to working with local partners⁴⁸ and engaging with military actors.⁴⁹ In other words, even the minority of reports that include reference to Neutrality do not adequately evaluate the political context of humanitarian action.

5.2.6 Space

74. In most instances the term is used in discussions about shrinking humanitarian space and the reduction of operational access for aid agencies⁵⁰ and in discussions of advocacy activities of the UN for

Khoury, Bailey, Crawford, Fan, Milhem, Zyck 2015: para 37; Hedlund, Majid, Maxwell, Nicholson n.d.: p 32.

⁴² Nicholson, Longley, Fisher, Walters, Noor, Hassan, Awad, Ali 2012: para 68.

⁴³ Humanitarian Futures and ADE 2014: p 77.

⁴⁴ Hedlund, Majid, Maxwell, Nicholson n.d.: p 55, 73.

⁴⁵ Ministry of Foreign Affairs of the Netherlands 2011: p 50; Bhattacharjee, Lossio 2011: p 23; ADE and Humanitarian Futures 2014: p 7, 10, 11, 12, 21, 22 39, 40, 41, 43, 72, 73, 100, 104, 21.

⁴⁶ Ministry of Foreign Affairs of the Netherlands 2011: p 3, 19; Majoor, Fisher, Rhametalla 2013: para 55, 208.

⁴⁷ Bennett, Betts, Gayfer, Dinsmore, Siddiqui, Shah, Siddiqi, Ranjbar, Abedi 2012: para 48, 180; Nicholson, Longley, Fisher, Walters, Noor, Hassan, Awad, Ali 2012: para 15, 28, 70; Hedlund, Majid, Maxwell, Nicholson n.d.: para 12, 212; Darcy, Bonard, Dini 2012: para 1.4.2, 1.4.3; Drummond, Khoury, Bailey, Crawford, Fan, Milhem, Zyck 2015: para 37; ADE and Humanitarian Futures 2014: p 73, 104, 115.

⁴⁸ Risk of compromising neutrality and independence of local partners due to reception of US funding. Hedlund, Majid, Maxwell, Nicholson n.d.: para 5, 212.

⁴⁹ Majewski, Boulet-Desbureau, Slezak, De Meulder, Wilson 2012: p 173.

⁵⁰ Bennett, Betts, Gayfer, Dinsmore, Siddiqui, Shah, Siddiqi, Ranjbar, Abedi 2012: para 27, 48, 64, 180; ADE and Humanitarian Futures 2014: p 20; Nicholson, Longley, Fisher, Walters, Noor, Hassan, Awad, Ali 2012: para 4, 28.

unhindered access in highly political complex settings.⁵¹ The term also appears in general statements on the presentation of Humanitarian Principles and the values that underpin the humanitarian assistance mandate.⁵²

5.2.7 Dignity

75. Dignity is referenced most frequently in the description of the condition of affected populations and as a core value that guides humanitarian assistance.⁵³ Humanitarian action so far is not being evaluated explicitly against the value of dignity, although it is possible that connected concepts are being assessed from the angle of accountability towards affected populations

5.2.8 Access

76. The term Access—understood as access to beneficiaries or as humanitarian access⁵⁴—is the term that appears the most times in the sample. The high frequency of this term is probably a result of focus in evaluation ToRs on assessing performance of the aid delivery and on the importance given to the operational aspects of the delivery of humanitarian assistance. Access is mostly used in descriptions of the humanitarian context⁵⁵ and as part of the discussion on operational access to sites and vulnerable populations, including challenges in accessing beneficiaries, targeting, coverage⁵⁶ and monitoring of activities. Discussions about access are used as an entry point to raise the issue of agency negotiation with government and local authorities on humanitarian space and on reaching affected populations.⁵⁷

⁵¹ Drummond, Khoury, Bailey, Crawford, Fan, Milhem, Zyck 2015: para 40, 41; Bhattacharjee, Lossio 2011: p 10, 11, 25, 28.

ADE and Humanitarian Futures 2014: p 87, 101.

⁵² Drummond, Khoury, Bailey, Crawford, Fan, Milhem, Zyck 2015: para 37; Ministry of Foreign Affairs of the Netherlands 2011: p 3, 19, 35, 49, 50 footnote 44; ADE and Humanitarian Futures 2014: p 7, 21, 96.

⁵³ Ministry of Foreign Affairs of the Netherlands 2011: para 97, 124.

⁵⁴ Other uses of ‘access’ such as access to data, to funding, evaluation team’s access or access of beneficiaries to services and aid have been excluded.

⁵⁵ Bennett, Betts, Gayfer, Dinsmore, Siddiqui, Shah, Siddiqi, Ranjbar, Feroz Abedi 2012: para 3; Hedlund, Majid, Maxwell, Nicholson n.d.: para 1, 38, 74; Nicholson, Longley, Fisher, Walters, Noor, Hassan, Awad, Ali 2012: para 81, 162, 175; Majoor, Fisher, Rhametalla 2013: para 40; Darcy, Bonard, Dini 2012: para 3, 9, 26, 33.

⁵⁶ Bennett, Betts, Gayfer, Dinsmore, Siddiqui, Shah, Siddiqi, Ranjbar, Abedi 2012: para 64; Bhattacharjee, Lossio 2011: p 45; Hedlund, Majid, Maxwell, Nicholson n.d.: p 11, 18, 24, 30, 32, 33, 42, 68, 74; Majoor, Fisher, Rhametalla 2013: 11, 15, 32, 43, 58, 46, 125, 126, 156; Darcy, Bonard, Dini 2012: para 1.1.1, 2.1.1, 2.3.4, 3.1.4, 3.1.5, 5.1.6, 7.4.1.

⁵⁷ Drummond, Khoury, Bailey, Crawford, Fan, Milhem, Zyck 2015: para 39; Hedlund, Majid, Maxwell, Nicholson n.d.: p 52; Nicholson, Longley, Fisher, Walters, Noor, Hassan, Awad, Ali 2012: para 2; Majoor, Fisher, Rhametalla 2013: para 54; Darcy, Bonard, Dini, 2012: para 7.4.1; Bhattacharjee, Lossio 2011: p 10. ADE and Humanitarian Futures 2014: p 61.

77. In evaluations that assessed interventions in complex and highly politicized contexts, Access appears fewer times in the wider discussion on the need preserve the Independence, Neutrality and Impartiality of UN agencies, vis-à-vis government attempts to co-opt humanitarian programming.⁵⁸ The term Access also appears fewer times in evaluations of situations where governments hold a dual role (host to UN agencies and party to the conflict) or have interests in diverting the assistance to only some of the affected population,⁵⁹ and appears fewer times in evaluations discussing the need to separate the UN's political agenda and humanitarian mandate.
78. Finally, Access is used in relation to: security constraints, limitations of movement, staff security and risk management including implications for logistics for humanitarian assistance in 'no-go' area,⁶⁰ the use of escorts and implications for perceived Independence and Impartiality.⁶¹ The term is referenced in connection to the Humanitarian Principles (Neutrality, Independence and Impartiality) in discussions on the use of remote approaches, the need for due diligence in selecting the national partners and the third party monitoring.⁶²

5.2.9 Security⁶³

79. Security is the second most referenced term. The high frequency of this term relates to the nature of the crises selected—i.e. complex emergencies—and to the operational constraints in these types of emergency settings. Use of the term Security is similar to that of Access. Security is mentioned in descriptions of: the context and, as in the case of Access, in relation to operational constraints of aid agencies to properly assess, implement and monitor activities,⁶⁴ remote approaches and relationships

⁵⁸ Nicholson, Longley, Fisher, Walters, Noor, Hassan, Awad, Ali 2012: para 68; Darcy, Bonard, Dini 2012: para 1.4. 5; Bhattacharjee, Lossio 2011: p 180.

⁵⁹ Majoor, Fisher, Rhametalla 2013: para 19, 20, 27, 56, 57, 209; Drummond, Khoury, Bailey, Crawford, Fan, Milhem, Zyck 2015: para 26; Bennett, Betts, Gayfer, Dinsmore, Sidiqi, Shah, Siddiqi, Ranjbar, Abedi 2012: para 27.

⁶⁰ Bennett, Betts, Gayfer, Dinsmore, Sidiqi, Shah, Siddiqi, Ranjbar, Abedi 2012: para 7, 75; Majoor, Fisher, Rhametalla 2013: para 200, 202, 207, 208; Majewski, Boulet-Desbureau, Slezak, De Meulder, Wilson 2012: para 143, 144, 158; Darcy, Bonard, Dini 2012: para 7.1.1, 8.2.6.

⁶¹ Hedlund, Majid, Maxwell, Nicholson n.d.: para 59, 73; Nicholson, Longley, Fisher, Walters, Noor, Hassan, Awad, Ali 2012: para 137.

⁶² Hedlund, Majid, Maxwell, Nicholson n.d.: para 57, 58; Darcy, Bonard, Dini 2012: para 5.2.1; Hedlund, Majid, Maxwell, Nicholson n.d.: para 59, 73; Nicholson, Longley, Fisher, Walters, Noor, Hassan, Awad, Ali 2012: para 137.

⁶³ The following uses of security have not been considered: Food and Nutrition security, Security Sector Reform.

⁶⁴ Drummond, Khoury, Bailey, Crawford, Fan, Milhem, Zyck 2015: para 23; Nicholson, Longley, Fisher, Walters, Noor, Hassan, Awad, Ali 2012: box 3 page 25, para 78, 42, 162, 203, 214, 217, 135, 153; Hedlund, Majid, Maxwell, Nicholson n.d.: para 1, 11, 38; Darcy, Bonard, Dini 2012: para 2.1.1, 5.1.6, 5.1.11; ADE and Humanitarian Futures, 2014: p 115; Majoor, Fisher, Rhametalla 2013: para 114, 184.

with local NGOs,⁶⁵ agency advocacy on humanitarian space,⁶⁶ risk and security management,⁶⁷ logistics and security rules,⁶⁸ and in relation to the impact of security escorts on operations.⁶⁹

80. As with Access, Security is also mentioned in wider discussions of: tensions between UN agencies' principled approach and political agenda, integrated missions,⁷⁰ advocating for humanitarian space, the need to separate the security policy and the aid policy.⁷¹

5.2.10 Military

81. Military was used most frequently, as with Access and Security, in relation with the description of the context and the challenges of delivering assistance in highly insecure and militarized settings.⁷² The term Military is also used extensively concerning civil-military relations. Three evaluations refer to the extent to which military organizations comply with Humanitarian Principles⁷³ and present a description and analysis of the humanitarian mandate and the humanitarian role played by the military.⁷⁴ Less frequently, but worth mentioning are references to the military conflict as the main cause of the reduction of humanitarian space,⁷⁵ analysis of civil-military relations as a parameter for humanitarian access,⁷⁶ linkages and coordination between humanitarian and military actors,⁷⁷ and tensions between the UN political-military agenda and humanitarian role.⁷⁸

⁶⁵ Hedlund, Majid, Maxwell, Nicholson n.d.: p 12, 57, 61, 68, 8, 82.

⁶⁶ Bhattacharjee, Lossio 2011: p 10.

⁶⁷ Nicholson, Longley, Fisher, Walters, Noor, Hassan, Awad, Ali 2012: para 133; Bhattacharjee, Lossio 2011: para 45. Majoor, Fisher, Rhametalla 2013: para 202; Hedlund, Majid, Maxwell, Nicholson n.d.: p 15, 33, 59, 79, 80, 81; Darcy, Bonard, Dini 2012: para 7.1.2, 7.3.1, 7.3.3, 7.5.0, 8.2.6.

⁶⁸ Bhattacharjee, Lossio 2011: p 45.

⁶⁹ Majoor, Fisher, Rhametalla 2013: para 199.

⁷⁰ ADE and Humanitarian Futures 2014: p 84; Nicholson, Longley, Fisher, Walters, Noor, Hassan, Awad, Ali 2012: para 28.

⁷¹ ADE and Humanitarian Futures, 2014: p 42, 87.

⁷² Describing the principles. Ministry of Foreign Affairs of the Netherlands 2011: p 50; Darcy, Bonard, Dini 2012: para 7.3.2, 7.3.3; Nicholson, Longley, Fisher, Walters, Noor, Hassan, Awad, Ali 2012: para 11, 18, 20, 21, 22, 24; Hedlund, Majid, Maxwell, Nicholson n.d.: p 1, 74.

⁷³ Bhattacharjee, Lossio 2011: p 12, 23, 47; Majoor, Fisher, Rhametalla 2013: para 55. Darcy, Bonard, Dini 2012.

⁷⁴ Ministry of Foreign Affairs of the Netherlands 2011: p 59, 78; Bhattacharjee, Lossio 2011: p 11, 12, 25, 27, 28, 29, 31, 64; ADE and Humanitarian Futures 2014: p 44.

⁷⁵ Nicholson, Longley, Fisher, Walters, Noor, Hassan, Awad, Ali 2012: para 28.

⁷⁶ Majoor, Fisher, Rhametalla 2013: para 54; Majewski, Boulet-Desbureau, Slezak, De Meulder, Wilson 2012: p 171.

⁷⁷ ADE and Humanitarian Futures 2014: p 59, 87, 96, 105; Darcy, Bonard, Dini 2012: para 3.3.14.

⁷⁸ Darcy, Bonard, Dini 2012: para 1.4.2.

Summary

82. The quantitative and qualitative analysis of the word search suggests that some explicit discussion or mention of Humanitarian Principles takes place in about one third of EHA, but the level of discussion of the Principles in this minority of cases is somewhat general and lacks in-depth analysis, and a comprehensive evaluation of all the Humanitarian Principles in combination is not taking place. There is limited evidence of the individual Principles being addressed in a disaggregated or substantial fashion.
83. The analysis demonstrates that discussion of access and security dominates the EHA discourse; almost 80 per cent of evaluations reviewed assess performance against these two terms, but the link to Humanitarian Principles is often tenuous and implicit and not explored in any depth. A pertinent question for EHA is how it can include both a significant focus on access and security and specific reference to the Humanitarian Principles.

6. Findings from the evaluation sub-sample

6.1. Method employed in this Section

84. This Section covers twenty evaluations which included greater attention to evaluation of Humanitarian Principles. The original intention, following the review ToR, was to highlight good practice, but the review was hampered by overall lack of attention to Humanitarian Principles even in the evaluations covered in this Section.
85. Evaluations were selected for more intensive analysis if it was found in the word search screening that they contained significantly more than the average number of references to key words. As noted in Section 5, there was a high concentration of key words in a minority of evaluation reports. Given that there was an overall paucity of reference to Humanitarian Principles, the review team is confident that the sub-sample reflects the better practice that exists in the UN system.
86. The evaluations covered in this Section are included in Annex 5. Relevant sections of the evaluations were read in full, and where available Terms of Reference (for 18 evaluations), Inception Reports (for five evaluations) and management responses (for eight evaluations) were also reviewed.
87. The sub-sample is made up of the following:
- 12 reports from UN agencies, five from donors, two from IFRC and one from NGOs. These proportions are roughly similar to that of the overall sample, however the lack of NGO evaluations is surprising; these evaluations make up 22 per cent of the sample, but only one evaluation (in fact a research study), by NRC, is included. This may indicate that agency discussions about Humanitarian Principles are taking place behind ‘closed doors’, as indicated by some of our interviewees, and/or may simply be an indication that NGOs are not giving much attention to Humanitarian Principles. It may also be because almost all NGO evaluations in the sample are single agency evaluations focusing on their individual responses rather than broader political economy issues.
 - By emergency there are six strategic/thematic evaluations. In terms of geographic focus, eight evaluations are multi-country, three evaluations are from Somalia, two each from Afghanistan, Syria and Haiti, and one each from DRC, Sudan, and South Sudan.

6.2 What constitutes good practice?

88. As well as being hampered by a lack of “good practice”, both in the evaluation reports reviewed and from the interviews⁷⁹, the review was hampered by lack of guidance on what constitutes “good practice”, and, as noted in Section 3, different understandings of the Principles. Questions the review raised are: should Humanitarian Principles provide the overall framework/reference point against which humanitarian action should be evaluated; should there be, as in the case of gender equality,

⁷⁹ Interviewees struggled to identify examples of good practice in evaluating Humanitarian Principles.

mainstreaming throughout the evaluation report? Or should Humanitarian Principles be covered in the evaluation in the same way as the OECD-DAC criteria through a discrete section? There is also no agreement within the evaluation community on which issues are essential for evaluation of Humanitarian Principles, and which are secondary, reflecting a wider lack of agreement within the sector on how to prioritise Humanitarian Principles if there is incompatibility between Principles in a particular context.

89. Given these issues the review team developed its own checklist of good practice, set out in Box 2 below, based on the literature review in Section 3 and the ALNAP Quality Proforma,⁸⁰ recognizing that not all of the points below will be relevant for every evaluation.

Box 2: Good Practice in Evaluation of the Humanitarian Principles - Checklist

1. Given the emergency context, did the ToR provide adequate direction for the evaluation of Humanitarian Principles, including identifying appropriate reference points e.g. documents that indicate the respective agency's commitment to/understanding of Humanitarian Principles?
2. Was there adequate expertise on Humanitarian Principles in the evaluation team?
3. Did the Inception Report provide adequate direction for evaluation of Humanitarian Principles, e.g. understanding local context/developing an appropriate methodology/identifying constraints that the evaluation team anticipated?
4. Was the methodology robust and 'impartial', e.g. analysis of the political economy, interaction with the affected population, covering key stakeholders, crossing lines in the conflict etc.?
5. Did the evaluation assess the ways in which Humanitarian Principles were integrated into intervention planning and implementation (both the outcome and process)?
6. Did the evaluation include an analysis of Humanitarian Principles and the international humanitarian response in relation to the emergency context, e.g. tensions between implementing the Principles and longer-term development or state-building objectives, potential for independence? If so, was this analysis carried through to the methodology and findings and recommendations?
7. Did the evaluation assess the effectiveness of "soft" diplomacy related to Humanitarian Principles, e.g. negotiations between the head of agency and national counterparts (government and non-state actors), negotiated access etc.?
8. Assessment of Humanitarian Principles in the intervention:
 - a. Humanity – was the intervention implemented in a way which addressed all needs, to the extent feasible, in a dignified fashion? If all needs were not addressed did the evaluation assess why not?

⁸⁰ <http://www.alnap.org/node/5685.aspx>

- b. Neutrality – did the agency taken sides? Was it involved in controversies of a political, racial, religious or ideological nature? Did one group benefit more than others from the intervention in a way that did not accord with need?
 - c. Impartiality – was there any bias in terms of nationality, race, gender, religious belief, class of political opinions? Were the most urgent cases of need prioritized? Was a conscious effort made to include those often “left behind”, e.g. people with disabilities, elderly, LGBTI? Where access to certain groups was constrained (e.g. by government/insecurity), what efforts were made to overcome this?
 - d. Independence – was humanitarian action autonomous? Were any compromises made to ensure access to the most urgent cases? Were these compromises justified? What were the implications of funding sources for the independence of the intervention?
9. Were partnerships undertaken, and implementing agencies hired, in a way that supported the Humanitarian Principles?
10. Were findings on Humanitarian Principles adequately reflected in the recommendations/management response?

90. Six evaluations⁸¹ met more than half of the points in Box 2 – that is some 4 per cent of the entire sample of 142 evaluations. Four of these six evaluations are thematic/strategic, with an intended focus on Humanitarian Principles. Clearly for most evaluation types it will not be possible to use Humanitarian Principles as a framework/reference point for EHA in the near future, so a preferable approach may be to direct evaluation managers and teams to 3-4 key areas in the evaluation where Humanitarian Principles should be included. This is elaborated on below and in Section 7.

⁸¹ Spaak, M., Blanc, L., Creti, P., García, O., Solé, R., Kahemu, C.S., 2014. La République Démocratique du Congo: Une évaluation du portefeuille du PAM (2009-2013). WFP Office of Evaluation; Featherstone, A., 2012. Afghanistan: A Case Study. Strengthening Principled Humanitarian Response Capacities. European Commission, HPG and NRC; ADE and Humanitarian Futures, 2014. Evaluation of the implementation of the European Consensus on Humanitarian Aid. ECHO; Steets, J., Reichhold, U., Sagmeister, E., 2012. Evaluation and review of humanitarian access strategies in DG ECHO funded interventions. DG ECHO; OCHA, 2012. Independent Evaluation of OCHA’s Role in Humanitarian Civil-Military Coordination; Polastro, R., Khalif, M.A., van Eyben, M.N., Posada, S., Salah, A.S.M., Steen, N., Toft, E., n.d. IASC Evaluation of the Humanitarian Response in South Central Somalia 2005-2010. IASC and DARA.

6.3 Reflection of Humanitarian Principles by evaluation section

91. This Section provides examples of reflection of Humanitarian Principles at different stages of the evaluation cycle. Analysis of Inception Reports and management responses was not included because of the small number of these located.

6.3.1 Terms of Reference

92. Reference to Humanitarian Principles was included in eight of the 18 evaluations for which Terms of Reference were located. This was usually in the form of an evaluation question, although evaluations such as the evaluation of WFP's response to the Syrian crisis (WFP 2015) explored the issue in more depth, noting: "there have been trade-offs between aligning with wider-system and/or national priorities on the one hand, with WFP's mandate, policies and Humanitarian Principles, on the other" and requesting a specific team member with relevant expertise as follows: "Extensive knowledge of humanitarian law and principles, and experience with using human rights, protection and gender analysis in evaluations, as well as familiarity with the Transformative Agenda." The kinds of evaluation questions included can be seen in Box 3. As can be seen from the box the questions included are quite broad, and further details on how these questions are expected to be answered are not provided. Terms of Reference are therefore not providing adequate guidance to evaluation teams, including in relation to evaluation questions, and for this reason those evaluations which did include a good reflection of Humanitarian Principles did so for the most part because of the initiative of individual evaluators, rather than direction in Terms of Reference. A list of indicative evaluation questions is included in the box above. However, in the three cases in Box 3, the evaluation did provide a good perspective on how far Humanitarian Principles had been implemented.

Box 3: Reference to Humanitarian Principles in evaluation Terms of Reference

Ministry of Foreign Affairs of the Netherlands (2011): To what extent has the assistance provided by the SHO [Dutch cooperating aid agencies] organizations been in line with the internationally accepted Humanitarian Principles of Humanity, Impartiality, Neutrality and Independence and with the needs, priorities and rights of the affected population?

ECHO (2014): To what extent has the implementation of the Consensus contributed to promoting and upholding the fundamental Humanitarian Principles, promoting IHL and respecting the distinct nature of humanitarian aid? ECHO

IASC South Central Somalia (2012): To what extent have Humanitarian Principles been applied and what lessons have been learned by their application or lack there of?

6.3.2 Political Context Analysis

93. Interviewees identified analysis of the political context, and linking this analysis to evaluation of the intervention, as key to the evaluation of Humanitarian Principles. Our review found that all evaluations in the sub-sample included an analysis of the political context, including reviewing the political background to conflict and the roles of different parties, but few linked this to Humanitarian Principles.

94. Evaluations typically set out the country context at the beginning of the evaluation, including the nature and implications of conflict. For example, the WFP (2013) evaluation of its Sudan Country Portfolio discusses conflict and displacement in Darfur, and the effect of the conflict on aid flows. Two evaluations that were more successful in linking contextual discussion to evaluation practice are highlighted in Box 4.

Box 4: Examples of a substantial analysis of the emergency political context

The IASC (2012) Evaluation of the Humanitarian Response in South and Central Somalia 2005-2010 includes a detailed analysis of the protracted conflict, the political process including fragmentation of the country, regional rivalries, and the role of international politics. Under the evaluation heading coherence the evaluation includes a sound analysis of the ways in which a principled humanitarian response was constrained by other priorities, including the political and security objectives of donor governments and field level access and security problems for humanitarian agencies. The evaluation includes a section devoted to analyzing the implications of the political agenda for Humanitarian Principles. It also includes evaluation of the complex environment in which Humanitarian Action operates, and the risks of aid being caught up in conflicts over the use of resources agencies are bringing to the country. The analysis of the political context is also carried through to the framing of the recommendations.

The ECHO (2012) evaluation and review of humanitarian access in Somalia, Sudan, Afghanistan, Pakistan and Myanmar, discusses the key access constraints in relation to these five national contexts, based on a literature review and key stakeholder interviews. The constraints discussed include: insecurity of humanitarian workers (the most widely discussed access constraint); restrictions imposed by governments, including restrictions to shield sensitive regions from outside observations and prevent reports about human rights and international law violations from reaching an international audience; constraints arising from the foreign policies of Western governments, including the instrumentalization of humanitarian aid through its use as a legitimizing factor of governments and as part of the social service branch of the government (as in Somalia); negative effects of integration between the UN's development and humanitarian arms; and the "criminalization" of humanitarian engagement which has rendered interaction with non-state armed actors more challenging. Using these constraints as a basis, the evaluation goes on to investigate strategies for maintaining access, and is one of the few evaluations to examine whether adhering to the Humanitarian Principles leads to more successful interventions, and is therefore worth quoting at length (p. 31):

The closest thing to "success factors" for access that this evaluation could identify is how principled an organization is, and how strategic it is in its approach to access. In many cases, organizations that strictly adhere to Neutrality, Impartiality and Independence, and that invest in a continuous dialogue with all parties to conflict, have been able to come in earlier, stay longer and access more difficult areas within a country than less strategic and less principled actors. Yet, not even this little surprising finding holds true in all cases. When up against bureaucratic access barriers, the most independent and principled organizations are often more restricted in their ability to access conflict-affected areas than, for instance, humanitarian UN agencies. Moreover, relatively small organizations with a community-based focus and an often not purely humanitarian approach have been able to retain a field presence in areas where larger organizations have been expelled. In South-Central Somalia, small NGOs

that meet the strategic priorities of Al-Shabab regarding support for livestock and medical/surgical care are the only ones still allowed to operate.

This evaluation offers a model for looking at humanitarian access on which others could build, including its ToR, political analysis of the conflicts reviewed, and intensive assessment of Humanitarian Principles.

6.3.3 Methodology

95. Nine evaluations included reference to Humanitarian Principles in the evaluation methodology section. This was mainly in the form of an evaluation question or delineating specific interviewees related to the Principles. This review did not identify any dedicated or specially designed methodology employed for evaluating Humanitarian Principles, rather evaluations use standard methodologies (surveys, document review) and include a minor focus on Humanitarian Principles within this, e.g. one question in the Evaluation Matrix. The implications of this are discussed further in Section 7, in particular in relation to whether different kinds of methodological approaches are needed for evaluation of Humanitarian Principles.
96. The better practice examples did not take a temporal perspective on Humanitarian Principles, that is in situations where emergencies change over time the evaluations did not review whether application of Humanitarian Principles also changed over time.
97. One example of an evaluation outside of the sub-sample which did use an innovative methodology is the evaluation of the Disasters Emergency Committee (2001) response to the Gujarat Earthquake, which uses the Red Cross and Red Crescent Code of Conduct to evaluate the intervention, as illustrated in Box 5.

Box 5: Using the Red Cross and Red Crescent Code of Conduct as an evaluative tool

The Disasters Emergency Committee (DEC) evaluation of its member agency responses to the 2001 Gujarat earthquake included an innovative use of the Red Cross/Red Crescent Code of Conduct to structure the evaluation. The evaluation report notes:

We use the Red Cross Code as the basis from which to explore values because it is the most widely accepted set of humanitarian values and all DEC members must sign up to it. By agreement with the DEC we have used this instead of the DEC's own 'six principles' which lack the same universal acceptance. The Code was evolved in the West and has not been negotiated with local NGOs or the people in need. In the decade since the Code was devised little has been done to promote it and too often it is just a 'badge' acquired easily by declaration. There is no process of scrutiny and even commercial security companies have signed up to it. But it is in the public domain, and anyone donating to the DEC or receiving its aid could reasonably expect agencies to follow it.

This is an unusual case of an evaluation structured around a set of Principles, including the Humanitarian Principles as defined by the Red Cross/Crescent. It should be noted that this evaluation covers a natural disaster as opposed to most of the evaluations in the sample covered

in this review, which focus on complex emergencies and where application of the Principles may be more challenging.

The DEC evaluation links each of the Principles to relevant evaluation criteria, e.g. Principle 2, Aid is given regardless of race, creed or nationality, is linked to targeting and co-ordination, and the evaluation concludes that there is limited application in this particular case for Principle Four: We shall endeavor not to act as instruments of government foreign policy.

It is noteworthy that no evaluations since (to the review team's knowledge) have attempted a similar methodological approach, however the DEC evaluation could offer one template for evaluation of Humanitarian Principles.

6.3.4 Inclusion in evaluation analysis

98. The six evaluations highlighted in Section 6.2 included a disaggregated analysis of the Principles, evaluating the different Principles and the performance of agencies in relation to them. Two of the ECHO evaluations were comprehensive, as highlighted in Box 6, and demonstrate that agencies can cover the sensitive issue of evaluating Humanitarian Principles through thematic evaluations.

Box 6: ECHO evaluations and Humanitarian Principles

ECHO commissioned two evaluations which both include a specific focus on Humanitarian Principles:

In 2012 it published *Evaluation and Review of Humanitarian Access Strategies in DG ECHO* (already profiled in relation to political context analysis) which analyzes what humanitarian actors, including donors, do to deal with access constraints, linked specifically to the Humanitarian Principles. To judge the effectiveness and appropriateness of access strategies, the evaluation asks whether measures have led to an increase – or have prevented a reduction – of access in terms of people reached and types and relevance of services offered. It also discusses the potential trade-offs and negative consequences of access strategies.

In 2014 it published *Evaluation of the Implementation of the European Consensus on Humanitarian Aid*. The European Consensus brings together and consolidates commitments to established Humanitarian Principles and good practices that underpin EU humanitarian aid. This includes the principles of Humanity, Neutrality, Impartiality, and Independence; international humanitarian law, human rights and refugee laws; and Good Humanitarian Donorship principles.

99. For the remainder of evaluations Impartiality was the Principle most covered, usually evaluated implicitly under the OECD-DAC criteria of coverage.⁸² We use the term implicit because this review found that evaluations did not in general use “Impartiality”, but in many cases this is what they were

⁸² The ALNAP Meta-Evaluation (2003b: 158) found that EHA performed better in assessing coverage than several of the other OECD-DAC criteria.

evaluating, a point made by several of our interviewees. Here is an example from the Inter-Agency Humanitarian Evaluation in South Sudan (2015: 64, bold in original):

Humanitarian need is not the only factor determining who receives assistance in which areas. As in any response, there is a complex interplay of factors governing the targeting - and eventual delivery - of aid or protection. The absence of transport and communications infrastructure in large areas of South Sudan means that Response agencies often have very imperfect knowledge about who needs what assistance and this is compounded by the fluidity of the situation marked by frequent and sudden displacements of civilians. The same infrastructure problems also constrain agencies from delivering a response, even if they have been able to do an accurate assessment. In the early months of 2014, agencies tended to flock to the places where the needs were evident and access was relatively straightforward ... Access was also constrained by insecurity and the areas with the greatest humanitarian need were unsurprisingly often those where there was active conflict. Southern counties of Unity state were inaccessible to fighting for 2-3 months in early 2014. When access opened up agencies found severe humanitarian needs, including GAM rates in excess of 30%.

100. This is in effect evaluation of Impartiality, but what is missing in this and most evaluations is assessment of attempts, or lack thereof, to negotiate access to inaccessible areas and population groups.

101. One evaluation which makes an explicit connection between coverage and Impartiality is the evaluation of the WFP DRC Country Portfolio (2014: 81):

Les objectifs du PAM en RDC sont conformes aux principes humanitaires internationaux et les bonnes pratiques, mais parfois des stratégies de mise en oeuvre ont compromis certains d'entre eux, notamment:

- Les stratégies de ciblage géographique et des ménages n'ont pas toujours été indépendantes. Étant donné que les organismes gouvernementaux et les organisations locales ont souvent des intérêts acquis, dans certains cas, le type de partenaire choisi a compromis l'impartialité du ciblage ...
- En raison des restrictions de sécurité de l'UNDSS, le personnel du PAM n'a pu se rendre dans certaines zones qu'en convoi ou avec des escortes armées fournies par la MONUSCO Cette mesure de sécurité et le fait que le fournisseur de l'escorte soit une partie du conflit compromet la neutralité, l'impartialité et l'indépendance opérationnelle des acteurs humanitaires. Il convient de noter, toutefois, que le PAM a fait des efforts pour éviter les escortes armées et que parvenir à un équilibre entre les principes et les opérations pose un réel défi.⁸³

⁸³ Team translation: The objectives of WFP DRC comply with international Humanitarian Principles and good practices, but sometimes implementation strategies have compromised them: - geographic targeting strategies to households have not always been independent. Given that government agencies and local organizations often have vested interests, the type of partner selected compromised the impartiality of targeting. Because of security restrictions UNDSS, WFP staff has visited some areas in convoy or with armed escorts provided by MONUSCO. This safety measure and that the escort provider is a part of the

102. The final phrase (“équilibre entre les principes et les opérations pose un réel défi”) is one that occurs in several evaluations. For example, the ECHO (2014: iii) evaluation of the European Humanitarian Consensus notes: “EU Institutions and Member States are committed at policy level to upholding and promoting fundamental Humanitarian Principles, but different approaches and positions have appeared in applying these principles in specific situations. This was most evident when there was a tension between particular Humanitarian Principles, e.g. between Neutrality and responding to needs.”
103. Box 7 illustrates other ways in which evaluations may cover the Humanitarian Principles implicitly, in this case through UNICEF’s use of the Core Commitments to Children in humanitarian evaluation.

Box 7: Connections between UNICEF’s CCCs and the Humanitarian Principles

The *Core Commitments for Children in Humanitarian Action* (CCCs) constitute UNICEF’s central policy on how to uphold the rights of children affected by humanitarian crisis. They are a framework for humanitarian action, around which UNICEF seeks to engage with partners⁸⁴ and the framework against which UNICEF’s performance is evaluated. The CCCs refer specifically to the Humanitarian Principles as one of several sets of principles to which UNICEF is committed. There are Programme Commitments for each one of UNICEF sectors of intervention⁸⁵ and Operational Commitments⁸⁶ adapted to the phase of the humanitarian response (Preparedness, Response and Early Recovery). Each Commitment also has its corresponding benchmark.

Out of 17 UNICEF evaluations in the review sample, nine made reference to the CCCs. The most frequent use of the CCCs in these evaluations was:

- CCCs are presented as the core policy of the agency which guides not only all the strategic and operational action but also EHA. CCCs are also introduced as the performance benchmark that evaluators should use to assess UNICEF’s performance.
- CCC’s are used to indicate whether the operations comply or not with CCCs, although there is not always a disaggregated analysis per commitment; some examples can be seen below:

In line with its core commitments, UNICEF was able to rapidly get the WASH cluster functioning.⁸⁷

conflict jeopardizes the neutrality, impartiality and operational independence of humanitarian actors. It should be noted, however, that WFP has made efforts to avoid armed escorts and that to achieve a balance between the principles and operations poses a real challenge.

⁸⁴ http://www.unicef.org/publications/index_21835.html

⁸⁵ Nutrition, Health, WASH, Child Protection, HIV/ AIDS and Education

⁸⁶ Security, Media and Communication, Human Resources, Resource Mobilisation, Finance and Management and Information and Communication Strategy

⁸⁷ UNICEF 2011

Delivering “predictable, effective and timely collective humanitarian action”, as envisioned by the Core Commitments for Children in Humanitarian Action (CCCs) appears problematic given the inconsistency of funding allocated to EP activities.⁸⁸

When adapted to specific contexts, the “WASH in Nut” approach still represents a good tool for integrating WASH into the nutrition response. As WASH support to the response is a clear CCC responsibility for UNICEF, there are risks associated with these low implementation rates.⁸⁹

The way in which CCCs are spelled out and in particular the rights-based and affected populations approach that guides the CCCs has established an enabling environment for an implicit focus on Humanity. CCCs focus on delivery of live-saving assistance that alleviates suffering, ensures protection and empowers affected populations. The rights-based lens through which UNICEF approaches its humanitarian mandate connects with the Humanity principle and dignity values. If a disaggregated discussion on CCCs takes place in EHA this would provide an opportunity to further reflect on Humanitarian Principles.

6.3.4 Recommendations

104. Six evaluations included no reference to Humanitarian Principles in the evaluation recommendations, four included general recommendations concerning the need to uphold the Humanitarian Principles, and three included recommendations related to access and coverage. The other evaluations included specific recommendations on Humanitarian Principles; some, such as UNICEF included an overarching statement at the beginning of the recommendations, while OCHA (2012) and ECHO (2014) focused on particular areas (Box 8).

Box 8: Recommendations on Humanitarian Principles in the sub-sample

UNICEF Somalia (2014: 112): The following recommendations attempt to take into account the difficult operating environment while renewing or reinforcing the humanitarian communities’ commitment to Humanitarian Principles in Somalia and ‘doing no harm’

ECHO (2014: 96): Rationale for the recommendation: The evaluation demonstrated differing levels of distinct and independent humanitarian action among the MS and EC Institutions. This was associated with factors including structural independence, clear policy frameworks and appropriate procedures. It was widely noted that DG ECHO acted as the foremost ‘guardian’ of Humanitarian Principles owing to its clear independent structure and procedures. This has allowed DG ECHO to consistently advocate for a principled approach to humanitarian action, that is aligned with the commitments of the European Consensus.

Suggested Actions: The Commission should continue to recognize the importance and value of an independent Humanitarian Directorate and Humanitarian Commissioner. Maintaining this degree of independence is viewed as critical in driving forward the Humanitarian Consensus. Any

⁸⁸ UNICEF Evaluation Office 2013c

⁸⁹ Arqués and Leonardi 2012

potential reorganization of responsibilities of EU Directorates should not undermine this independence.

OCHA (2012: 47): OCHA should engage more systematically with DPKO in developing best practices and lessons learned related to ensuring neutrality and impartiality in countries with integrated peacekeeping missions, so as to facilitate decision making, communication, and leadership.

105. Overall this review found limited good practice even in the sub-sample where there were a larger number of references to key terms. The next Section summarizes factors as to why reflection of Humanitarian Principles is constrained or facilitated. Box 9 summarizes the good practice examples from this Section.

Box 9: Summary of better practice examples

Reference in the evaluation Terms of Reference: Ministry of Foreign Affairs of the Netherland (2011), ECHO (2014) and IASC South Central Somalia (2012) all included specific questions in the Terms of Reference concerning implementation of Humanitarian Principles (Box 3).

Political Context Analysis: IASC (2012) and ECHO (2012) were more successful in both carrying out a detailed political context analysis in relation to the Humanitarian Principles, as well as considering the implications of the political context for implementation of the Principles (Box 4).

Methodology: This review did not identify any dedicated or specially designed methodology employed for evaluating Humanitarian Principles, rather evaluations use standard methodologies (surveys, document review) and include a minor focus on Humanitarian Principles within this, e.g. one question in the Evaluation Matrix. One example of an innovative use of methodology outside of the sample is the DEC Disasters Emergency Committee (2001) response to the Gujarat Earthquake, which uses the Red Cross and Red Crescent Code of Conduct to evaluate the intervention (Box 5).

Inclusion in evaluation analysis: Two ECHO (2014; 2012) thematic evaluations included a comprehensive analysis of implementation of Humanitarian Principles. The first evaluated the European Consensus on Humanitarian Aid which includes the Humanitarian Principles, and the second analyzes what humanitarian actors, including donors, do to deal with access constraints, linked specifically to the Humanitarian Principles (Box 6).

Recommendations: Three evaluations (UNICEF Somalia 2014; ECHO 2014; OCHA 2012) focused on Humanitarian Principles in recommendations to different degrees. The UNICEF evaluation included an overarching statement at the beginning of the recommendations, while OCHA focused on working with DPKO to develop lessons learning related to Neutrality and Impartiality, and ECHO focused on the need to recognize the importance of an independent Humanitarian Directorate and Humanitarian Commissioner (Box 8).

7. Constraints, facilitating factors and next steps

106. Building on the analysis in Section 3, and taking into account the reviews of the sample, sub-sample and agency policies and guidance, and interviews, this Section summarizes why some evaluations have been able to include greater attention to Humanitarian Principles and the main constraining factors.

7.1 Sensitivity of evaluation of Humanitarian Principles

107. A number of interviewees noted that evaluation of Humanitarian Principles has been challenged by agency staff, for example at the country office level. They also made the point that it may not always be appropriate to subject sensitive areas such as negotiation with government or other parties concerning access to external review because of the security and political implications. This is particularly the case in ongoing emergencies where an agency wishes to remain operational but this kind of sensitive political analysis could jeopardize this, especially if it appeared in the public domain, for example for agencies providing humanitarian assistance in Sri Lanka around 2009/2010. Traditional evaluation processes may therefore not be appropriate for capturing such a sensitive analysis in certain contexts.

7.2 Expertise in EHA

108. A number of interviewees noted that where evaluation managers have a good understanding of Humanitarian Principles and the capacity to facilitate evaluation of sensitive issues then there is greater likelihood that Humanitarian Principles will be evaluated. This is not always the case; one interviewee gave the example of an attempt by an evaluation manager to include Humanitarian Principles in the evaluation which foundered because the evaluation team did not have the relevant expertise. A select number of evaluators and consulting companies came up several times in the sub-sample, suggesting that expertise is concentrated with a few evaluators. Two interviewees noted that faced with the lack of guidance from the TOR and evaluation managers, it is up to evaluators engaged with and knowledgeable concerning Humanitarian Principles to push for this analysis to take place during evaluation implementation.

109. One interviewee noted that UN agencies draw on a relatively small pool of evaluators and evaluation companies, and many of these evaluators are reluctant to be too critical because they think this will jeopardize receiving further contracts.

110. Several interviewees emphasized the need for a team leader who can identify the right evaluation questions related to Humanitarian Principles for a particular context, and support team members in answering these questions. They noted a facilitating factor was the capacity to carry out an analysis of the political context at an early stage of evaluation planning, and then to articulate the evaluation questions related to Humanitarian Principles that are pertinent to that context; ideally this should be done in the inception phase (see Box 2 above for a list of indicative questions). Another interviewee noted that evaluation managers tend to be relatively junior and less experienced, and are not well-equipped to articulate which Humanitarian Principles are relevant to a particular context.

7.3 Guidance

111. The ALNAP (2006) guide to using the OECD-DAC evaluation criteria is the most widely used guidance on EHA, used for example in over half of the sub-sample. It defines coverage as; “The need to reach major population groups facing life-threatening suffering wherever they are.” There is some reflection of Impartiality here, although the Guide does not use this term or refer to Humanitarian Principles.⁹⁰ Clearly if the most widely used Guide to EHA does not link coverage to Impartiality then evaluators are unlikely to make the link. The recently completed ALNAP Guide to EHA was unable to find good practice in evaluating Humanitarian Principles, and so also provides limited guidance in this respect. Section 4 highlights the limited guidance available at agency and inter-agency levels.

7.4 Type of evaluation

112. The type of evaluation commissioned has an impact on the extent to which Humanitarian Principles can be evaluated. For example, of the 10 evaluations in the overall sample covering South Sudan, nine covered single agency programs related to specific programming such as refugees, cholera and cash transfer, whereas the one evaluation included in the “better practice” sub-sample was an inter-agency evaluation of the collective humanitarian response.

113. Strategic evaluations and research studies have more consistently focused on Humanitarian Principles, and several interviewees noted that it is difficult for other types of evaluation to focus on Humanitarian Principles. Single agency evaluations, which make up 93 per cent of the sample, generally evaluate agency objectives as set out in planning documents and logframes, which tend to focus on “technical” interventions such as food assistance or shelter delivered to particular populations. This is presumably why discussion of access and security dominate the evaluations. The somewhat narrow focus of these evaluations would currently appear to exclude evaluation of broader humanitarian trends as encapsulated in the Principles. Using Collinson and Elhawary’s (2012) typology, most EHA relates access to agency and affected community humanitarian space, to the exclusion of discussions of international humanitarian law and the implications of the fact that humanitarian interventions take place in complex political, military and legal arenas.

114. One interviewee commented that evaluations are often a ‘box-ticking’ exercise and therefore cannot deal with controversial issues like Humanitarian Principles. This interviewee noted that evaluations have become more mechanical and technical, and are less about telling a story. Three interviewees questioned whether the complexity of implementation of Humanitarian Principles can be captured by evaluation as opposed to research studies and reviews.

⁹⁰ The ALNAP Quality Proforma (used for meta-evaluation of EHA) definition of coverage is closer still, and also includes elements of “Independence”: “The need to reach major population groups facing life-threatening suffering wherever they are, providing them with assistance and protection proportionate to their need and devoid of extraneous political agendas.”

7.5 Conclusions

7.5.1 Concepts

- There is no common understanding within the sector, and sometimes within agencies, of the Humanitarian Principles in terms of concepts and implementation, which will make it challenging to develop common guidance on how to evaluate them.
- The move to more closely link humanitarian and development programming through the WHS has implications for the implementation of, and therefore evaluation of Neutrality and Independence. For example, to what extent will Humanitarian Principles also be applied to development programming?
- Apparent contradictions between the Principles, and the existence of other potentially “conflicting” Principles, make evaluation even more challenging, especially where agencies are working to implement these different sets of Principles simultaneously.
- Agencies are in general sensitive to including attention to Humanitarian Principles in their evaluations because of: security risks for staff; the potential of hindering on-going negotiations for access; the challenges of remaining operational in some contested contexts; and reputational risk. The instrumentalization of humanitarian action has meant that, at best, many discussions about Humanitarian Principles take place “behind closed doors”, and at worst, the consequences of instrumentalization are not discussed within the agency. These factors are further challenges to evaluation against Humanitarian Principles, especially agencies’ willingness to be evaluated against this framework.
- Understanding the political context of the emergency and then applying this understanding to evaluation practice were seen as key elements of evaluating Humanitarian Principles, yet have been weak in practice. To date, research studies have generally been better able to effectively assess adherence to Humanitarian Principles compared with evaluation.

7.5.2 Assessment of the sample of 142 evaluations

- “Access” and “Space” were the most commonly used terms, in 56 per cent of total cases, and the terms “Humanity”, “Independence”, “Neutrality” and “Impartiality” received limited reference. Use of these four terms was highly concentrated in 20 evaluations, and do not commonly appear together. Discussion of access and security dominates the EHA discourse; almost 80 per cent of evaluations reviewed assess performance against these two terms, but the link to Humanitarian Principles is usually tenuous and implicit.
- Explicit discussion or mention of Humanitarian Principles takes place in about one third of EHA, but the level of discussion of the Principles is somewhat general and lacks in-depth analysis.

7.5.3 Assessment of the sub-sample of 20 evaluations

- Only six evaluations out of 142 could be considered good practice. The evaluations which did include a good reflection of Humanitarian Principles did so for the most part because of the initiative of individual evaluators. Few evaluations linked analysis of the political context to evaluation of Humanitarian Principles.
- Impartiality was the Principle most covered in the sub-sample, usually implicitly under the OECD-DAC criterion of coverage. However, discussion of coverage/targeting was usually delinked from evaluation of efforts to negotiate access to inaccessible areas and population groups. Detailed recommendations on Humanitarian Principles were not widespread although a minority of reports did include specific recommendations.

7.5.4 Constraining and facilitating factors

- Agencies are currently not prioritising (indeed rarely addressing) evaluation against Humanitarian Principles, nor providing adequate guidance to evaluation managers and evaluators on evaluation of Humanitarian Principles. Other important constraining factors are: lack of clarity in agency commitment to Humanitarian Principles and in how they are understood; sensitivity of agencies; lack of knowledge and expertise on Humanitarian Principles in EHA, both amongst evaluators and evaluation managers; and type of evaluation. On the last point, single agency evaluations made up 93 per cent of the sample, and generally evaluate agency objectives as set out in planning documents and logframes, which is presumably why discussion of access and security dominates and reference to Humanitarian Principles more broadly is absent. The somewhat narrow focus of these evaluations would currently appear to exclude evaluation of broader humanitarian trends as encapsulated in the Principles.

7.6 Next Steps for evaluation of Humanitarian Principles

115. Recommendations below are proposed next steps for further discussion and consideration by UNEG members at its April 2016 meetings.

7.6.1 Potential uses of this desk review

116. Develop guidance on how to ensure adequate consideration of Humanitarian Principles in EHA. This could include:

- Ensuring adequate attention to Humanitarian Principles in Evaluation Quality Assurance materials (e.g. in WFP, UNICEF, UNHCR, OCHA, OHCHR and FAO). This could also include developing guiding questions about Humanitarian Principles and how they connect to the OECD-DAC criteria, and could be based on the indicative questions in Box 2 of this report.
- Provide specific guidance for evaluating against Humanitarian Principles, including how to develop appropriate terms of reference and evaluation questions that are adapted and appropriate to the context, and carry out an evaluability assessment, e.g. in ALNAP's EHA guide. Include a focus in this guidance on multi-country evaluations and on available good practice.

- Disseminate this report through agency and inter-agency websites.
- Incorporate the findings of the report (including good practice examples), and of guidance material that comes out of it, into EHA training (agency-specific and sector-wide e.g. through IPDET and the UNICEF/ ALNAP/ EvalPartners e-learning course).
- Update the ALNAP Quality Proforma and ALNAP (2006) Guidance on using the OECD-DAC criteria, with a focus on expanding the definition of coverage to more directly focus on the Humanitarian Principles and in particular Impartiality; and the definition of effectiveness to include assessment of whether receipt of resources is compromising Humanitarian Principles. This updated guidance material could also draw upon the DEC's efforts to relate Humanitarian Principles to the OECD-DAC criteria

7.6.2 Potential follow-up by the HEIG

- Update the IAHE (2014) guidance on large-scale system-wide emergencies to provide greater attention to evaluation of Humanitarian Principles, drawing on good practice examples where possible.
- Carry out a follow up review assessing NGO-commissioned evaluations and the extent to which they reflect Humanitarian Principles. This could offer a useful complementary review to this HEIG product which had a greater focus on UN agencies.
- Pilot evaluation of Humanitarian Principles in an emergency where there is a lesser degree of political conflict, e.g. in a natural disaster, as well as in a conflict environment, bringing in research methodologies used by evaluations/reviews highlighted in Section 6 of this report. Include a focus on whether adhering to the Humanitarian Principles leads to a more effective humanitarian response in this pilot.
- Pilot use of a confidential Humanitarian Principles Annex in inter-agency and single agency evaluations. To ensure that this is not used as a way of 'sweeping negative findings under the carpet', an independent resource person/ people could be appointed to advise on, and to peer review how Humanitarian Principles are evaluated 'confidentially' in this way.
- Following ECHO and OCHA, commission single agency evaluations which specifically focus on Humanitarian Principles.
- Use existing Communities of Practice (e.g. UNEG, ALNAP Humanitarian Evaluation Community of Practice, the Pelican Initiative, EvalPartners) to disseminate the results of this review and facilitate on-going discussion on evaluation of Humanitarian Principles, as well as capture emerging good practice.
- Carry out regular meta-evaluations to determine if evaluation practice has improved.

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Annex 1: Review Terms of Reference

HUMANITARIAN EVALUATION INTEREST GROUP (HEIG)

EVALUATING HUMANITARIAN PRINCIPLES

Desk review of recent practices and possible way forward

Final Terms of Reference

27 Sept 2015
WFP OEV

1. Background

1. The volume of humanitarian assistance has increased dramatically over the last decade; it is becoming the main response to ever more complex and interconnected humanitarian crises. Their The evolving nature and rising number of humanitarian crises requires a greater involvement of and an improved coordination among agencies in delivering this assistance. Increasingly complex crises combined with continuously more important budgets allocated t their response require an improved evaluation function.
2. There are various definitions of humanitarian action. One of the most widely used and comprehensive is the following: *Action taken with the objective of saving lives, alleviating suffering, and maintaining human dignity during and after human-induced crises and natural disasters, as well as to prevent and prepare for them*⁹¹.
3. Humanitarian action is governed by 4 main principles grounded in International Humanitarian Law⁹² and rooted in the ethos of the 1949 Geneva Conventions. The General Assembly has repeatedly reaffirmed the importance of promoting and respecting these principles for the provision of humanitarian assistance. The first three principles (humanity, neutrality and impartiality) have been

⁹¹ Core Humanitarian Standard on Quality and Accountability, Groupe URD, HAP International, People in Aid and the Sphere Project, 2014.

⁹² International Humanitarian Law (IHL) includes the responsibilities of states and non-state parties during armed conflict. This law defines basic issues such as the right to receive humanitarian assistance, protection of civilians, including medical and humanitarian workers, and the protection rights of refugees, women and children.

endorsed in General Assembly resolution 46/182⁹³. The General Assembly resolution 58/114 (2004)⁹⁴ added independence as a fourth key principle underlying humanitarian action.

4. The four Humanitarian Principles are defined as follows:⁹⁵
 - **Humanity:** Human suffering must be addressed wherever it is found. The purpose of humanitarian action is to protect life and health and ensure respect for human beings.
 - **Neutrality:** Humanitarian actors must not take sides in hostilities or engage in controversies of a political, racial, religious or ideological nature.
 - **Impartiality:** Humanitarian action must be carried out on the basis of need alone, giving priority to the most urgent cases of distress and making no distinctions on the basis of nationality, race, gender, religious belief, class or political opinions.
 - **Independence:** Humanitarian action must be autonomous from the political, economic, military or other objectives that any actor may hold with regard to areas where humanitarian action is being implemented.
5. Within a more complex and rapidly changing humanitarian environment and along with important changes in the nature and dynamics of conflict and natural disasters, it is important to ensure that the roles and links between humanitarian actors and others, such as civil society actors and the military, are clearly defined and Humanitarian Principles are well understood and applied.⁹⁶
6. Both for learning and accountability purposes evaluation of humanitarian action has become a regular feature and an integral part of the transformative agenda. While the Humanitarian Principles are the foundation of all UN agencies delivering humanitarian assistance, their adherence to and application of these principles is overall poorly documented in evaluation.

2. The Humanitarian Evaluation Interest Group (HEIG)

7. In 2015 the United Nations Evaluation Group (UNEG) recognizing the specificities of evaluation in humanitarian contexts created the (HEIG composed of the main UN agencies active in the humanitarian sector (presently led by WFP office of evaluation) whose main objective is to ensure that that humanitarian evaluation specific dimensions are referred to and taken into account as required in UN evaluation practice. In addition, it serves as a resource for UNEG members by providing links to relevant information and methodological discussion space. Based on reviews of relevant current literature and gap analysis, will develop technical guidance on identified priority themes, one of them around the evaluation practice of Humanitarian Principles.

⁹³ United Nations General Assembly Resolution 46/182 (1991).

⁹⁴ United Nations General Assembly Resolution 58/114 (2004).

⁹⁵ What are Humanitarian Principles? OCHA, 2012.

⁹⁶ ECHO Factsheet – European Consensus on Humanitarian Aid – 2014.

8. The HEIG is commissioning this desk review and will serve as internal reference group to this review.

3. Purpose

9. The overall objective of the proposed assignment is to provide the HEIG with a better understanding on how the core Humanitarian Principles of Humanity, Impartiality, Neutrality and Independence are evaluated, highlighting best practices, challenges and opportunities.

More specifically this assignment is expected to provide a:

- a. Review of existing practice
 - Provide a mapping of the extent to which Humanitarian Principles are evaluated and under what conditions
 - Provide a snapshot and analysis of methodologies used (strengths & areas of weaknesses; adequacy of methodologies to evaluate each principle)
- b. Reflection on the way forward. Based on results of phase (a), provide a reflection on possible (other) approaches to ensure that these principles are included (as relevant) in the scope of evaluation of humanitarian action

4. Proposed approach

10. The proposed approach for the consultant includes the following tasks:
 - a. Review all relevant literature related to Humanitarian Principles since the early 2000 when there was a surge of interest around Humanitarian Principles.
 - b. Collect relevant evaluation literature and evaluation reports published on the UNEG and ALNAP websites over the last 5 years based on the agreed set of selection criteria.
 - c. Develop and propose a technical/inception note, consisting in: (i) a data collection matrix; (ii) an analytical approach and; (iii) an outline for the narrative report, based on a preliminary scan of the reports, for discussion with and approval by HEIG prior to proceeding with the review of the selected evaluation reports.
 - d. Populate the data collection matrix based on systematic and referenced extraction of information from the evaluation reports, including examples to illustrate major findings for use in the narrative report.
 - e. Prepare a draft report with overview on how the Humanitarian Principles of Humanity, Impartiality, Neutrality and Independence are evaluated, highlighting for each Principle:

- Commonalities and points of major divergence with explanations of why (if apparent from the reports), with a view to identifying best practices and lessons learned;
 - Summary of methodologies/approaches used and analysis of their relevance;
 - Possible way forward in terms of methodologies to evaluate these principles
- f. Present findings and conclusions to HEIG for validation and prepare final reports based on the comments received.
- g. Prepare presentation materials to present the findings/results at the AGM in March 2016.

5. Phases and Deliverables

Phases	Timeline	Main activities and outputs	Responsibility
1. Preparatory	Aug-Oct	<ul style="list-style-type: none"> • Prepare TOR, hire team of consultants (1 senior + 1 junior) and collect relevant documents and data (start) 	HEIG
2. Desk review	Nov-Dec	<ul style="list-style-type: none"> • Prepare a technical /inception note 	Consultant
		<ul style="list-style-type: none"> • Provide feedback on technical /inception note 	HEIG
		<ul style="list-style-type: none"> • Collect relevant documents and data (to be continued once the criteria) 	HEIG (to be completed by consultant)
		<ul style="list-style-type: none"> • Review evaluation reports 	Consultant
		<ul style="list-style-type: none"> • Populate analytical framework 	Consultant
3. Reporting	Jan-Feb	<ul style="list-style-type: none"> • Prepare draft narrative report 	Consultant
		<ul style="list-style-type: none"> • Present findings & conclusions to HEIG 	Consultant
		<ul style="list-style-type: none"> • Review of the draft report 	HEIG
		<ul style="list-style-type: none"> • Prepare final narrative report 	Consultant
4. Dissemination	March	<ul style="list-style-type: none"> • Prepare associated presentation materials 	Consultant

6. Intended use and key stakeholders

11. The results of this review will be shared at the next UNEG meeting in Geneva in spring 2016. Then the next steps will be discussed and the HEIG will make a proposal about the way forward.

7. Profile of the team

12. The senior consultant should be an evaluator with experience with evaluation of humanitarian action in the UN and have a strong background in evaluation methodologies.
13. The junior consultant should be a research analyst with demonstrated capacity to research efficiently a large amount of documents and share the essence of its work in straightforward way.

8. Budget

14. The proposed assignment is budgeted as follows 20 days for the Senior Consultant and 50 days for the Junior Consultant.

9. Contact

15. Expression of interest for this assignment and CVs to be sent to Ramona Desole (ramona.desole@wfp.org) before October 16th.

Annex 2: Methodology employed

A2.1 Selecting the sample of 142 evaluation reports and 20 good practice examples

1. This section outlines the methodology used for selecting the two evaluation samples. The first sample will be made up of 142 evaluations; a sub-sample of 16 evaluations will focus on good practice.
2. The consultancy ToR notes that the team should: “Collect relevant evaluation literature and evaluation reports published on the UNEG and ALNAP websites over the last 5 years based on the agreed set of selection criteria.” The main purposes of sampling were to:
 - Determine a sample of adequate size to draw rigorous conclusions about the reflection of Humanitarian Principles in EHA.
 - Determine good practice examples as and where available.
3. Given the focus of the consultancy on good practice, and the time available for sample selection and review, the desk study team sought to find appropriate selection criteria (mainly by emergency and type of agency), and used mainly purposive sampling. These criteria were:
 - Titles that relate to humanitarian assistance (exclusion of purely development interventions such as law reform, climate change, elections, etc.)
 - Reports published between January 2011 and December 2015
 - Variety of type of evaluation (policy, thematic, operations, country, regional)
 - Variety of agencies and humanitarian stakeholder in addition to UN agencies
4. The sample drawn from the last five years was selected mainly through a review of evaluation titles rather than a review of full evaluation reports, given the time and effort which would have been involved in the latter. Sample selection threw up various challenges, particularly determining whether the evaluation should be included or not based on the title. To determine the sample included as Annex 2 the desk study team went through a number of steps, reviewing the process at each step in relation to the purpose of sampling and representativeness of the sample, as follows:

Step 1: Websites reviewed for eleven emergencies: A review was conducted of evaluation titles on UNEG, ALNAP and additional websites⁹⁷ for 11 single country emergencies (Afghanistan, Syria,

⁹⁷ IFRC, ICRC, OXFAM, MSF, DFID, URD, DARA, FAO, WFP, UNICEF, WHO, OCHA, IASC, UNHRC, UNESCO, UN Habitat, UNDSS, UNOPS, UNAIDS, AusAid, DG ECHO, Dutch Cooperation, German Government, GIZ, USAID, NORAD, SIDA, CIDA, AECID and SDC. Google searches were carried out for: DEC, CBHA, UNMAS, cluster evaluations.

Somalia, Sri Lanka, Iraq, Sudan, Colombia, DRC, Mali, Pakistan, and South Sudan) and multi-country emergencies involving at least two of the selected countries. Countries were selected based on the following criteria: 1) a high level of humanitarian funding, with greater weight given to this criterion 2) regional representation 3) availability of evaluations and 4) the team's familiarity with the emergency. This yielded 200 humanitarian evaluations for the 11 emergencies, some 40 per cent of which were multi-country evaluations. The selection process was purposive rather than aiming at statistical representativeness, as there was no clear basis for selection through statistical means.⁹⁸

5. **Step 2: Validation of title search:** Ten per cent of the evaluations discarded in the title search because of lack of reference to humanitarian action were screened using key words (see below), which confirmed the validity of the approach taken. Despite the application of this step, and following an in-depth review of all evaluations, the team acknowledges the existence of inclusion error of 5 per cent of the sample population affecting evaluations from DFID, UN Habitat, UNESCO, UNDP and WFP.
6. **Step 3: Reducing the sample from 200 to 142 reports with a focus on seven emergencies:** As a pilot, a key word search was carried out on a random sample of 30 from the 200 evaluations, which revealed that key word searching was likely to take longer than anticipated, as the entire passage in which the key word appeared needed to be read and then coded. In consultation with HEIG it was agreed that a sample of roughly 140 evaluations and seven emergencies would be selected, which would still ensure a sample broad enough (geographic, type of crisis, organization) to provide both an overview of reflection of Humanitarian Principles in the humanitarian system, as well as capture good practice. The sample was cut from 200 to 142 by excluding the following evaluations: (1) evaluations that had been identified but that were not available online; (2) evaluations pertaining to Colombia, Iraq, Sri Lanka and Mali as these were the emergencies with the least number of evaluations; and (3) evaluations from Pakistan as these were mainly related to the Pakistan floods. Haiti was then included in the sample to ensure regional representation and because a large number of evaluations were carried out there. From the remaining 175 evaluations one out of every five evaluations was cut in sequence, bringing the sample to 142 evaluations.
7. **Representativeness of the sample:** As noted a statistically representative sample was not feasible, however the sample of 140 evaluations should be adequate for the purposes of covering the main types of emergencies, and in terms of regions and types of agencies. With the exception of Haiti all of the emergencies are in the top 10 emergencies in the relation to the annual appeals (Table 1 below).

⁹⁸ Sampling also included a 2015 internal review of reflection of HPs in WFP's evaluation reports.

Table 1: Summary of requirements and contributions by year and country (appeal/ response plan)

Table 1: Summary of Requirements and contributions by year and country (appeal/response)					
Appeal/Response Plan	2011 Position out of 21 countries	2012 Position out of 22 countries	2013 Position out of 19 countries	2014 Position out of 29 countries	2015 Position out of 31 countries
Afghanistan	5	10	9	13	11
DRC	4	4	4	9	7
Haiti	12	17	17	18	28
Somalia	1	2	5	8	8
South Sudan	6	1	3	2	3
Sudan	2	3	6	5	5
Syria	n/a	11	2	3	2
Syria Regional	n/a	n/a	1	1	1

Source: OCHA Financial Tracking System <https://fts.unocha.org>

Key word search

- The sample of 142 evaluations, including executive summaries, terms of reference, management responses and inception reports (where available) were screened using the key words listed below. The research team, in consultation with the HEIG, developed a set of key words to capture as many appropriate references to HP as possible. The number of key words was capped at 10 to ensure a manageable process. For terms followed by parentheses a search will be carried out for both the term and the text in parentheses.

Key word search terms

Principles (referred to humanitarian)
 Human (-ity)
 Neutral (-ity)
 Independen (-t, -ce)
 Impartial (-ity)
 Dignity
 Access (humanitarian)
 Space (humanitarian)
 Security
 Militar (-y)

Data collection matrix and analysis of sample

9. Data was entered in the database Zotero⁹⁹ which facilitated collaborative research, data management, and easy generation of bibliographic information. The database contains source documents, citation information, and coded excerpts. Within the database, documents are tagged according to six categories that capture critical bibliographic information needed for the analytical process. The Zotero database contains the entire sample and is available to the HEIG for any further analysis.
10. Excerpts which contain the key words were extracted from the evaluations and entered along with citation information into Zotero. As excerpts were entered into the database, they were simultaneously collated in tables according to how they were thematically coded, after which the content analysis was carried out manually. These excerpt tables, organized by theme, were used by the team as one source of data for analysis. This provided an overview of reflection of Humanitarian Principles in the evaluation sample.

Good practice sample

11. From the word search and purposive sampling (through networks) 20 evaluations were identified which demonstrate 'good practice'. Good practice evaluations were defined as those that include any of the following: methodologically sound/innovative; include a thorough analysis of alignment with HPs and challenges faced; follow through analysis and findings to conclusions and recommendations; and include appropriate management responses. These 20 good practice examples were reviewed in full and analysed, cross-referencing with the larger sample, as follows:
 - The ways in which Humanitarian Principles are reflected in the evaluations (e.g. is there stronger analysis of some principles?)
 - Determining factors for achieving good practice will be assessed as far as is feasible (e.g. relevant agency evaluation guidance, evaluation team with relevant skills, evaluation methodology and range of stakeholders interviewed, role of ToRs).
 - Methodologically, how Humanitarian Principles were evaluated.
 - Whether reflection of Humanitarian Principles in the main part of the evaluation was carried through to recommendations and management responses.
 - At the level of individual emergencies hypotheses were produced as to why some evaluations included good reflection of HP and others did not.
12. Review of the good practice evaluations formed the basis for interviews with evaluation managers and teams.
13. Limitations

⁹⁹ <https://www.zotero.org>

- The UNEG, ALNAP and other databases searched were not complete records of humanitarian evaluations.
- Not all evaluations are in the public domain, and evaluations dealing with HPs may be less likely to be published.
- While the sample of 142 evaluations is likely to include much, if not most, good practice, there may be examples which have been overlooked.
- Using evaluation titles as the main mechanism for determining the sample may have led to some evaluations being missed.
- The sample was made up of English language evaluations and therefore excluded evaluations in other languages.
- The sample was drawn mainly from “traditional” humanitarian agencies. The “non-traditional” agencies (e.g. countries in the Middle East providing humanitarian funding) have not been covered given the scale of the consultancy.

A2.2 Literature review

14. The consultancy ToR required the following:

- Review all relevant literature related to HPs since the early 2000’s when there was a surge of interest around HPs.
- Collect relevant evaluation literature and evaluation reports published on the UNEG and ALNAP websites over the last 5 years based on the agreed set of selection criteria.

15. There are two main purposes for the literature review:

- To assess how Humanitarian Principles have been reflected in the general humanitarian literature over time, and the implications of this for evaluation practice.
- To determine the extent to which evaluation policies and guidance have supported integration of evaluation of Humanitarian Principles in the humanitarian system.

Literature review methodology

16. The team searched for literature from two categories: (1) general policy and research documents (collected from UN, NGO, key donors, and research groups) and (2) formally published organizational strategy documents, evaluation policies, and evaluation guidance documents from key UN and NGO agencies.

17. As a basis for the document search, the team developed a list of key organizations and individuals likely to have relevant literature, or have knowledge of key documents. This list is based on a sampling of: HEIG member organizations, UN agencies active in the humanitarian sector, NGO/civil society actors,

relevant donors, policy and research groups, and experts in the humanitarian field. Guided by these search parameters, the team collected the material included in the bibliography.

18. So as to ensure a forward-looking perspective relevant literature related to the World Humanitarian Summit was also reviewed. The ALNAP meta-evaluations of 2002-2004 and 2008, which included assessment of reflection of Humanitarian Principles as part of the review of humanitarian evaluations produced during the year under review, allowed a longitudinal comparison with the current data-base.
19. Organizational strategies, evaluation policies and guidance were reviewed to determine the extent to which HPs were reflected in each of these, and the extent to which there is a linear connection between them. The hypothesis here was that where there was greater reflection of Humanitarian Principles in and between these documents there was corresponding greater attention to Humanitarian Principles in evaluations. Findings from this review will therefore be correlated with findings from analysis of the evaluation sample and sub-sample. The selection criteria for agencies was determined in relation to the number of reports in the sample (five UN, two donors, two NGOs and ICRC).
20. Both quantitative and qualitative analysis was conducted on documents. Documents were initially screened for the 10 key terms used in the quantitative analysis of the evaluation sample. Based on the results of this screening, a 'breadth of coverage' score was developed—each document was assigned one point for mentioning one of six key terms (Principles, Humanity, Impartiality, Independence and Dignity). Drawing on the same data set, a second analytical framework was applied to show depth of coverage. The depth of coverage chart provides an overview of both depth and breadth and includes all key words included in the screening. A second screening was completed looking specifically for references in evaluation policy and guidelines to strategic objectives. Each policy document was assigned a Y/N code based mention of the organization's strategic objectives. Using the information captured through the screening process, the documents were also analyzed for trends and coherence between the three types of documents.

Limitations

21. The consultancy could not conduct a comprehensive review of the general literature given its scale over the last 15 years, so was selective in documents reviewed.
22. It was challenging to locate some agencies' evaluation guidance.

A2.3 Interviews

23. Interviews were conducted with 12 key stakeholders (see Annex 6) in two categories:
 - Stakeholders who will be able to speak to changes in implementation and understanding of HPs over the last 15 years and the implications of this for EHA – referred to as 'HP resource people'.
 - Stakeholders who will be able to speak to processes leading to good practice, in particular evaluation managers and evaluators.

The first set of key stakeholders were a key data source because firstly they validated the findings of the literature reviews, and commented on how agencies have sought to assess their performance against the Humanitarian Principles. A set of indicative questions for these stakeholders is included as Annex 7. These stakeholders were selected from the desk study team network as they were known to be leaders in the Humanitarian Principle field.

24. The second set of key stakeholders – evaluators and evaluation managers who were involved in evaluations that have attempted to evaluate against Humanitarian Principles - provided information on aspects of the evaluation process which were not captured in formal reports, for example discussions and dilemmas in designing appropriate methods, sensitivities encountered in attempting to evaluate against Humanitarian Principles. A set of indicative questions for these stakeholders is included as Annex 7. This set of stakeholders was selected based on good practice evaluations.

Limitations

25. The desk study team was aware of potential biases that could result from selecting interviews with stakeholders who may confirm views already held by the team (also known as confirmation bias). This is a particular risk when selecting “northern” Humanitarian Principles specialists who may have strongly held views concerning the validity of Humanitarian Principles and the importance of evaluating them. Attempts were made to avoid this potential bias by including stakeholders from both the south and north who may have alternative views; however, no stakeholders from the south could be identified within the consultancy time-frame.

Annex 3: Definitions of Core Humanitarian Principles in main UN Agency working on humanitarian assistance

	Humanity	Neutrality	Impartiality	Independence
OCHA ¹⁰⁰	Human suffering must be addressed wherever it is found. The purpose of humanitarian action is to protect life and health and ensure respect for human beings	Humanitarian actors must not take sides in hostilities or engage in controversies of a political, racial, religious or ideological nature	Humanitarian action must be carried out on the basis of need alone, giving priority to the most urgent cases of distress and making no distinctions on the basis of nationality, race, gender, religious belief, class or political opinions	Humanitarian action must be autonomous from the political, economic, military or other objectives that any actor may hold with regard to areas where humanitarian action is being implemented.
UNHCR ¹⁰¹	The singular motivation of humanitarian action is to save lives and alleviate suffering in a manner that respects and restores personal dignity. Accordingly, humanity is the principal driver for any response to a crisis, whether caused by conflict, violence or natural or man-made disaster	The neutrality of humanitarian action is furthermore upheld when humanitarian actors refrain from taking sides in hostilities or engaging in political, racial, religious or ideological controversies.	At the same time, humanitarian actors distinguish themselves from other actors responding to a crisis by their impartiality. This means that humanitarian action is based solely on need, with priority given to the most urgent cases irrespective of race, nationality, gender, religious belief, political opinion or class.	Independence requires autonomy on the part of humanitarian actors, who are not to be subject to control or subordination by political, economic, military or other non-humanitarian objective
WFP ¹⁰²	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	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.	WFP's assistance will be guided solely by need and will not discriminate in terms of ethnic origin, nationality, political opinion, gender, race or religion. In a country, assistance will be targeted to those most at risk from the consequences of food shortages, following a sound assessment that considers the different needs and	No definition

¹⁰⁰ OCHA 2012

¹⁰¹ UNHCR 2016

¹⁰² WFP 2004

	Humanity	Neutrality	Impartiality	Independence
			vulnerabilities of women, men and children.	
UNICEF ¹⁰³	<p>The humanitarian imperative: Human suffering must be addressed wherever it is found, with particular attention to the most vulnerable in the population, such as children, women, the displaced and the elderly. The dignity and rights of all those in need of humanitarian assistance must be respected and protected. The humanitarian imperative implies a right to receive humanitarian assistance and a right to offer it. At times, humanitarian access to civilian populations is denied by authorities for political or security reasons. Humanitarian agencies must maintain their ability to obtain and sustain access to all vulnerable populations and to negotiate such access with all parties to the conflict.</p>	<p>Humanitarian agencies must not take sides in the hostilities or in controversies based on political, racial, religious or ideological identity (non-partisanship/independence). Transparency and openness are key issues to keep neutrality. Neutrality for an organization that has taken on a rights-based approach must not, however, be an obstacle to tackling human rights violations. Neutrality is not a justification for condoning impunity or turning a blind eye to egregious human rights abuses. It does not negate the need for some form of action, whether through strategic advocacy, simple presence, political demarches, local negotiations, etc.</p> <p>Neutrality also requires that humanitarian actors be clear about the specific and limited circumstances in which military assets can be used: only as a last resort (where there is no comparable civilian alternative); the operation as a whole must remain under the overall authority and control of the responsible</p>	<p>Aid is delivered to all those who are suffering; the guiding principle is only their need and the corresponding right. Human rights are the basis and the framework for an assessment of needs. This principle includes both the proportionality to need (where resources are not sufficient, priority is always given to those most affected) as well as the principle of non-discrimination (no one should be discriminated against based on their sex, age, ethnicity, identity, etc). It is crucial to emphasize state responsibility in ensuring that aid is delivered in an impartial way</p>	No definition

¹⁰³ UNICEF 2003

	Humanity	Neutrality	Impartiality	Independence
		humanitarian organization; and any use of military assets should be clearly limited in time and scale. The military and civil defense assets of belligerent forces should never be used to support humanitarian activities.		
FAO	No definitions			
UNFPA	No definitions			

Annex 4: Agency humanitarian policies, evaluation policies and evaluation guidelines reviewed¹⁰⁴

Organizational Strategy Documents

- DFID. 2011. 'Saving Lives, Preventing Suffering and Building Resilience: The UK Government's Humanitarian Policy'.
- ECHO. 2007. 'Communication from the Commission to the European Parliament and the Council: Towards a European Consensus on Humanitarian Aid'.
- . 2012. 'The Union's Humanitarian Aid: Fit for Purpose? Stakeholder Consultation Document'.
- . 2014. 'European Consensus on Humanitarian Aid: ECHO Factsheet'.
- FAO. 2013. 'Reviewed Strategic Framework, 2010 - 2019'.
- International Federation of Red Cross, Red Crescent Societies, and ICRC. 1994. 'Code of Conduct for the International Red Cross and Red Crescent Movement and Non-Governmental Organizations (NGOs) in Disaster Relief'.
- Médecins Sans Frontières. n.d. 'MSF Charter and Principles'. <http://www.msf.org/about-msf/msf-charter-and-principles>. Accessed: 13/3/16
- Norwegian Refugee Council. 2012. 'NRC Policy Paper'.
- OCHA. n.d. 'OCHA Strategic Plan, 2014 – 2017'.
- UNHCR. 2013. 'Note on the Mandate of the High Commissioner for Refugees and His Office'.
- UNICEF. 2010. 'Core Commitments for Children in Humanitarian Action'.
- WFP. 2012. 'WFP Humanitarian Protection Policy: Executive Board First Regular Session Rome, 13–15 February 2012 (Agenda Item 5)'.

Evaluation Policy Documents

- DFID. 2013. 'International Development Evaluation Policy'.
- . 2014. 'DFID Evaluation Strategy, 2014-2019'.
- ECHO. 2004. 'Evaluating EU Activities: A Practical Guide for the Commission Services'.
- European Commission, and European External Action Service. n.d. 'Evaluation Matters: The Evaluation Policy for European Union Development Co-Operation.'
- FAO. 2010. 'Charter for the FAO Office of Evaluation'.
- Médecins Sans Frontières. 2013. 'Evaluation Manual: A Handbook for Initiating, Managing and Conducting Evaluations in MSF'.
- Norwegian Refugee Council. 2015. 'NRC Evaluation Policy'.
- OCHA. 2010. 'Policy Instructions: Evaluations'.
- UNHCR Policy Development and Evaluation Service. 2010. 'UNHCR Evaluation Policy'. UNHCR.
- UNICEF. 2013. 'Evaluation Policy of UNICEF (Revised). United Nations Children's Fund Executive Board Annual Session 2013 (18-21 June 2013), Item 9 of the Provisional Agenda.'
- Universalia Management Group. 2013. 'Synthesis Report on the UNICEF Evaluation Policy and Function Final Synthesis Report'. UNICEF.
- WFP. 2015. 'Evaluation Policy (2016–2021): Executive Board Second Regular Session, Rome, 9–13. Policy Issues: Agenda Item 4'.
- WFP Office of Evaluation. 2010. 'Impact Evaluations 2010-11: Concept Note'. WFP.

¹⁰⁴ These documents are also included in the Bibliography under General Literature.

- . 2014a. ‘Evaluation Briefing Note: 2013-15 Strategic Evaluation Series: Emergency Preparedness and Response’.
- . 2014b. ‘WFP Office of Evaluation: Introductory Brief’. WFP.
- . 2014c. ‘Strategic Evaluations 2010–2011: Concept Note’.
- . n.d. ‘Evaluation Brief: Country Portfolio Evaluations’. WFP.

Evaluation Guidelines

- ECHO. 2013. ‘Public Consultation on Commission Guidelines for Evaluation’.
- . 2015. ‘Better Regulation “Toolbox”’.
- FAO Evaluation Office. 2011. ‘Guidance Note for the Conduct of Country Evaluations’. FAO.
- Hallam, Alistair. 1998. ‘Evaluating Humanitarian Assistance Programmes in Complex Emergencies’. ODI.
- IFRC. 2011. ‘Project/Programme Monitoring and Evaluation (M&E) Guide’.
- Beck, Tony. 2006. ‘Evaluating Humanitarian Action Using the OECD-DAC Criteria. An ALNAP Guide for Humanitarian Agencies’. ALNAP and ODI.
- UNEG. 2005. ‘Norms for Evaluation in the UN System’.
- UNHCR Division of Operational Services. 2006. ‘Practical Guide to the Systematic Use of Standards and Indicators in UNHCR Operations, 2nd Edition’. UNHCR.
- WFP Office of Evaluation. 2014. ‘Impact Evaluations: Guidance for Process and Content (Evaluation Quality Assurance System - EQAS)’. WFP.
- . 2015. ‘Guidelines for Operation Evaluation (Evaluation Quality Assurance System - EQAS

DONORS

ECHO		
Strategy Paper	2014	European Consensus on Humanitarian Aid: ECHO Factsheet
Strategy Paper	2007	Communication from the Commission to the European Parliament and the Council: Towards a European Consensus on Humanitarian Aid
Strategy Paper	2012	The Union's Humanitarian Aid: Fit for Purpose? Stakeholder Consultation Document
Evaluation Policy	2014	Evaluation Matters: The Evaluation Policy for European Union Development Co-Operation
Evaluation Policy	2004	EC Evaluating EU Activities: A Practical Guide for the Commission Services
Evaluation Guidelines	2015	Better Regulation Toolbox (website)
Evaluation Guidelines	2013	Public Consultation on Commission Guidelines for Evaluation
DFID		
Strategy Paper	2011	Saving Lives, Preventing Suffering and Building Resilience: The UK Government's Humanitarian Policy
Evaluation Policy	2014	DFID Evaluation Strategy, 2014-2019
Evaluation Policy	2013	International Development Evaluation Policy

UN AGENCIES

WFP		
Strategy Paper	2012	WFP Humanitarian Protection Policy: Executive Board First Regular Session Rome, 13–15 February 2012
Evaluation Policy	2015	Evaluation Policy (2016–2021): Executive Board Second Regular Session, Rome, 9–13. Policy Issues: Agenda item 4
Evaluation Policy	2014	WFP Office of Evaluation: Introductory Brief
Evaluation Policy	2010	Impact Evaluations 2010-11: Concept Note
Evaluation Policy	n.d.	Evaluation Brief: Country Portfolio Evaluations

Evaluation Policy	2014	Strategic Evaluations 2010–2011: Concept Note
Evaluation Policy	2014	Evaluation Briefing Note: 2013-15 Strategic Evaluation Series: Emergency Preparedness and Response
Evaluation Guidelines	2015	Guidelines for Operation Evaluation (Evaluation Quality Assurance System - EQAS)
Evaluation Guidelines	2014	Impact Evaluations: Guidance for Process and Content (Evaluation Quality Assurance System - EQAS)
UNHCR		
Strategy Paper	2013	Note on the Mandate of the High Commissioner for Refugees and his Office
Evaluation Policy	2010	UNHCR Evaluation Policy
Evaluation Guidelines	2006	Practical Guide to the Systematic Use of Standards and Indicators in UNHCR Operations, 2nd Edition
UNICEF		
Strategy Paper	2010	Core Commitments for Children in Humanitarian Action
Evaluation Policy	2013	Evaluation Policy of UNICEF (Revised). United Nations Children's Fund Executive Board Annual Session 2013 (18-21 June 2013), Item 9 of the Provisional Agenda
Evaluation Guidelines	n.d.	Synthesis Report on the UNICEF Evaluation Policy and Function Final Synthesis Report
Evaluation Guidelines	2005	UNEG Norms for Evaluation in the UN System ¹⁰⁵
OCHA		
Strategy Paper	n.d.	OCHA Strategic Plan, 2014 – 2017
Evaluation Policy	2010	Policy Instructions: Evaluations
FAO		
Strategy Paper	2013	Reviewed Strategic Framework
Evaluation Policy	2010	Charter for the FAO Office of Evaluation

¹⁰⁵ UNICEF links to UNEG for this document

Evaluation Guidelines	2011	Guidance Note for the Conduct of Country Evaluations
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NGOs

NRC		
Strategy Paper	2012	NRC Policy Paper
Evaluation Policy	n.d.	Evaluation Policy
MSF¹⁰⁶		
Strategy Paper		MSF Charter and Principles
Evaluation Policy	2013	Evaluation Manual: A Handbook for Initiating, Managing and Conducting Evaluations in MSF
Evaluation Guidelines	2011	IFRC Project/Programme Monitoring and Evaluation (M&E) Guide
Evaluation Guidelines	2006	Evaluating Humanitarian Action Using the OECD-DAC Criteria. An ALNAP Guide for Humanitarian Agencies. ALNAP and ODI.
Evaluation Guidelines	1998	Ha Evaluating Humanitarian Assistance Programmes in Complex Emergencies. ODI
ICRC		
Strategy Paper	1994	Code of Conduct for the International Red Cross and Red Crescent Movement and Non-Governmental Organizations (NGOs) in Disaster Relief

¹⁰⁶ MSF links to other guidance documents on their website

Annex 5: Evaluations in the sample

Nº	Type	Organization	Type of Evaluation	Country	Evaluation Reports (2011-2015)	Principles	Humanity	Impartiality	Neutrality	Independence	Dignity	Access	Space	Security	Military
1	UN	WFP	Strategic	Afghanistan	Afghanistan: An Evaluation of WFP's Portfolio, 2010- 2012				5			30	9	24	8
2	UN	UNDP	Operational	Afghanistan	Independent Evaluation of the AREDP REDKAN and RED-Helmand projects							1		10	1
3	UN	UN Women	Strategic	Afghanistan	Assistance to the UN Women Afghanistan Country Programme in the Planned period 2010-2013							3		3	
4	UN	UNDP	Operational	Afghanistan	UNDP Afghanistan Women's Empowerment and Gender Equality Project Mid-term Evaluation Report , Feb 2015									19	1
5	UN	UNICEF	Strategic	Afghanistan	Forward-looking strategic evaluation of the UNICEF supported female literacy programme (2010-2013)				1	1	1	2		10	1
6	UN	UNICEF	Strategic	Afghanistan	UNICEF's Upstream Work in Basic education and Gender equality 2003-2012				1			1		5	2
7	UN	UNHCR	Strategic	Afghanistan	unhcr-shelter-assistance-programme-evaluation				6	1	2	12		10	3
8	UN	UNMAS	Strategic	Afghanistan	An Evaluation of UNMAS in Afghanistan			1	1	4		7		15	5

9	NGO	ACF	Operational	Afghanistan	Cash transfer components of two ACF projects in Samangan and Day Kundi Provinces							5		9	
10	NGO	Tearfund	Operational	Afghanistan	Monitoring & Beneficiary Accountability in Remote Managed Locations. Tearfund	6		6		3	1	5	1	19	4
11	Donor	SIDA	Strategic	Afghanistan	DDG Humanitarian Mine Action Support to the National Strategy_SIDA									6	2
12	Donor	DFID	Strategic	Afghanistan	Country Programme in Afghanistan_DFID							6		13	15
13	NGO	NRC	Thematic	Afghanistan	Afghanistan: A case study - Strengthening principled humanitarian response capacities_NRC	38	1	13	8	10		63	4	45	40
14	UN	WFP	Strategic	DRC	WFP, Country Portfolio DRC. Oct 2014	2		1	1	2		2		5	
15	UN	UNICEF	Operational	DRC	External Evaluation of the Rapid Response to Population Movements (RRMP) Program in the DRC							17		15	3
16	UN	UN GA	Strategic	DRC	Programme evaluation United Nations peacekeeping activities in the Democratic Republic of the Congo_General Assembly			1				6	1	7	5
17	NGO	Oxfam	Operational	DRC	Evaluation des Actions Humanitaires d'Oxfam Solidarité en Sécurité Alimentaire en RDC depuis 2005	1					1	4		8	3
18	NGO	Oxfam	Operational	DRC	Oxfam's humanitarian response in the Great Lakes region Democratic Republic of Congo						5	6		7	1
19	NGO	NRC	Thematic	DRC	A critical review of community-driven development programmes in conflict-affected contexts_NRC			1		3		19	1	16	3

20	UN	UNICEF	Operational	DRC	Rapport d'Evaluation du programme 2007-2011 pour les enfants associés aux forces et qux groupes armés en RDC	3													7	
21	UN	UNICEF	Thematic	DRC	CPiE Evaluation DRC country case study final										5				4	
22	UN	IASC	RTE	Haiti	Inter-Agency Real-Time Evaluation of the Humanitarian Response to the Earthquake in Haiti: 20 Months After	1									8	5			3	
23	UN	UNICEF	Operational	Haiti	Independent Review of UNICEF's Operational Response to the January 2010 Earthquake in Haiti	1		1											1	
24	NGO	Dutch agencies	Strategic	Haiti	Assisting Earthquake Victims: Evaluation of Dutch Cooperating Aid Agencies (SHO) Support to Haiti in 2010.	11	8	9	8	8	3		1						4	
25	Academic	Tulane University	Strategic	Haiti	Tulane University, University of Haiti, 2011. Haiti Humanitarian Aid Evaluation Structured Analysis Summary Report										3				2	
26	UN	OCHA	Operational	Haiti	Evaluation of OCHA Response to the Haiti Earthquake. OCHA.	12		2	2	2				4	3		6		19	
27	UN	WFP	Strategic	Haiti	Haiti: An Evaluation of WFP's Portfolio (2005-2010).														4	
28	Donor	DG ECHO	RTE	Haiti	Real-time evaluation of humanitarian action supported by DG ECHO in Haiti, 2009-2011										4				1	10
29	Donor	DG ECHO	Strategic	Haiti	Beyond Emergency Relief in Haiti. DG ECHO.														1	
30	NGO	ACT Alliance	Operational	Haiti	An Independent Final Evaluation of the Action of Churches Together Alliance Haiti	3			1	1	8		3		4				1	

					Appeal HTI-101 (Jan 2010 – Dec 2011). ACT Alliance													
31	IFRC	IFRC	Operational	Haiti	Beneficiary Communications Evaluation Haiti Earthquake Operation 2011. IFRC.	1	1	1	1									
32	NGO	MSF	Operational	Haiti	OCG response to cholera in Haiti, October 2010 – March 2011.							1					1	
33	NGO	CRS	RTE	Haiti	CRS Haiti Real Time Evaluation of the 2010 Earthquake Response: Findings, Recommendations, and Suggested Follow Up												1	1
34	NGO	DEC	Operational	Haiti	“Haiti Earthquake Response.” UK Disaster Emergency Committee, Catholic Relief Services and Caritas Switzerland.	5						1		5				
35	UN	OCHA	Operational	Haiti	External Evaluation of the Haiti Emergency Relief & Response Fund (ERRF), 2008-2011. OCHA.	1								3				
36	NGO	Oxfam	Operational	Haiti	Urban WASH Lessons Learned from Post-Earthquake Response in Haiti.													1
37	NGO	ACF	Operational	Haiti	An Evaluation of the Action Against Hunger (ACF) Post Earthquake Emergency Response in Haiti, 2010.								2		4	1	14	3
38	UN	UNICEF	Operational	Multi-country	EVALUATION DE LA REPOSE DE L’UNICEF à LA CRISE ALIMENTAIRE ET NUTRITIONNELLE AU SAHEL_Synthèse													1
39	NGO	ACF	RTE	Multi-country	ACF International West Africa Regional Office_ACF	2							1		2			1

40	NGO	ACT Alliance	Operational	Multi-country	Emergency Preparedness and Response Sector Evaluation Report (2008-2012)_ACT Alliance	3					2	13		11	
41	Donor	Agire	Strategic	Multi-country	Independent Evaluation of the AGIRE-funded Humanitarian Response to the East Africa Drought			3	4	2	23	6	19	1	
42	Donor	AusAid	Strategic	Multi-country	Mid-Term Review of the AusAID-NGO Humanitarian Partnership Agreements (HPA)	12				1				2	
43	Donor	AusAid	Strategic	Multi-country	Evaluation of Australia's response to the Horn of Africa humanitarian crisis, 2011	2			1	2	16		5	2	
44	NGO	CAFOD	RTE	Multi-country	Real Time Evaluation - 2011 East Africa Drought Response by CAFOD					1	1			2	
45	NGO	CARE	Operational	Multi-country	Evaluation of CARE's response to the 2011 – 2012 Sahel humanitarian crisis	2		2	2	2		18	2	13	2
46	NGO	CARE	Thematic	Multi-country	Material Assistance and Emergency Cash Assistance Evaluation_CARE									1	
47	NGO	CBHA	Strategic	Multi-country	EVALUATION OF THE CONSORTIUM OF BRITISH HUMANITARIAN AGENCIES (CBHA) PILOT					3		8			
48	Donor	CIDA	Strategic	Multi-country	Corporate Evaluation of CIDA's Humanitarian Assistance 2005 - 2011	4	3	2	2	2	9	10	1	3	4
49	UN	IASC	Strategic	Multi-country	PREPARED BY THE GLOBAL EMERGENCY GROUP RTE TEAM IASC RE AL-TIME EVALUATION HORN OF AFRICA drought CRISIS					1	1	9	2	23	6
50	Donor	DANIDA	Strategic	Multi-country	HORN OF AFRICA	5		1	2	1		2		4	

51	Donor	DFID	Thematic	Multi-country	drought CRISIS	2							4		3	
52	Donor	DFID	RTE	Multi-country	DFID_Real_Time_Review_in_Sahel				1	1			7		1	
53	Donor	DG ECHO	Operational	Multi-country	Evaluation of the ECHO actions in coastal West Africa 2008 - 2014								12		1	3
54	Donor	DG ECHO	Thematic	Multi-country	Evaluation of the implementation of the European Consensus on Humanitarian Aid_DG ECHO	42	5	3	6	11	1	6	8	5	12	
55	Donor	DG ECHO	Thematic	Multi-country	Application of the Civil Protection Mechanism_DG ECHO											2
56	Donor	DG ECHO	Thematic	Multi-country	Evaluation and review of humanitarian access strategies_DG ECHO	21										
57	Cluster	DRC	Strategic	Multi-country	DRC protection cluster co-facilitation – lessons learned	4				3		5	5	1	9	
58	Donor	Dutch Cooperation	Operational	Multi-country	Evaluation Humanitarian Mine Action and Cluster Munition Programme_Dutch cooperation	1			1	1		5		38	4	
59	Donor	DG ECHO	Operational	Multi-country	Evaluation of the European Commission's Humanitarian Action in the Shelter Sector	6	6	6	2	5	5	7	1		1	
60	UN	FAO	Operational	Multi-country	Consolidation of the IPC in the Volatile Humanitarian Context of the Central and Eastern African Region_FAO_EC				2	1			2			
61	UN	FAO	Impact	Multi-country	Impact Evaluation of FAO's programme under the Common Humanitarian Fund				2	1		15		6		

62	UN	FAO/ WFP	Thematic	Multi-country	FAO/WFP Joint Evaluation of Food Security Cluster Coordination in Humanitarian Action	1		2	1	1		4			
63	Donor	German Gov	Strategic	Multi-country	German Humanitarian Aid Abroad	2	1		1	1	1	3		1	
64	NGO	Humanitarian Coalition	Operational	Multi-country	Humanitarian Coalition East Africa Drought Appeal							3		1	
65	UN	IASC	Operational	Multi-country	IASC Humanitarian Response to the Horn of Africa Drought Crisis in Somalia, Ethiopia and Kenya							9		5	1
66	UN	IASC	RTE	Multi-country	IASC RTE Drought Horn of Africa	1		2	3	2		45	3	28	12
67	IFRC	IFRC	Strategic	Multi-country	Meta evaluation of 2014 IFRC evaluations		1	2		2	1	2			
68	IFRC	IFRC	Strategic	Multi-country	CAPACITIES AND METHODOLOGY TO PREPARE FOR AND RESPOND TO SLOW ONSET DISASTERS IN AFRICA_IFRC			1		1		7		1	
69	IFRC	IFRC	Thematic	Multi-country	Evaluation of the Shelter Role of the IFRC and RCS	2	1	2	1	13		2			
70	IFRC	IFRC	RTE	Multi-country	RTE of the IFRCR and RCS Response to the MENA Civil Unrest	1	1	6	3	3				12	
71	NGO	MSF	Thematic	Multi-country	Medical Innovations in Humanitarian Situations The Work of Médecins Sans Frontières				2	5		6		4	9
72	UN	OCHA	Strategic	Multi-country	5-YEAR EVALUATION OF THE CENTRAL EMERGENCY RESPONSE FUND_ OCHA				2		1	5			2

73	UN	OCHA	Thematic	Multi-country	Humanitarian Civil-Military Coordination	13	3	25	31	7		6	27	14	174
74	UN	OCHA	Strategic	Multi-country	Lesson Learning Review. Early Action and Resilience in the Sahel_OCHA							2	1	6	1
75	UN	OCHA	Thematic	Multi-country	Procap-Gencap-Evaluation_OCHA							3	3	1	
76	UN	OCHA	Impact	Multi-country	Report for the Inter-Agency Working Group on Joint Humanitarian Impact Evaluation_OCHA					1		6		11	1
77	NGO	Oxfam	Strategic	Multi-country	OXFAM GB"s PERFORMANCE IN 2012 IN RELATION TO THE GLOBAL HUMANITARIAN INDICATOR						1			7	
78	Donor	SDC	Strategic	Multi-country	evaluation-sdc-humanitarian-aid-emergency-relief-2011	2	1	1	6	7	4	4	5	11	
79	Donor	SDC	Strategic	Multi-country	SDC'S Evaluations										
80	Donor	SIDA	Strategic	Multi-country	Evaluation of Save the Children Sweden's Support to Partner Organisations SIDA			5	1	5	1		2	2	2
81	UN	UNESCO	Strategic	Multi-country	Evaluation of UNESCO Priority Africa										
82	UN	UNESCO	Strategic	Multi-country	Evaluation of UNESCO's contribution to Strategic Programme Objective 5: Disaster Preparedness and Mitigation							6		3	
83	UN	UN Women	Thematic	Multi-country	Women Connect Across Conflicts: Building Accountability for Implementation of UN Security Council Resolutions 1325, 1820, 1888, 1889 (June 2013)						3		5	5	4

84	UN	UNHCR	Strategic	Multi-country	Great expectations_A review of the strategic use of resettlement_UNHCR	3							13	2	2
85	UN	UNHCR	Strategic	Multi-country	Evaluation of the Office of the United Nations High Commissioner for Refugee					1	1	1	1		
86	UN	UNHCR	Thematic	Multi-country	A review of UNHCR's engagement with Assisted Voluntary Return programmes			1	1	3	5	3	3	1	
87	UN	UNHCR	Strategic	Multi-country	A review of UNHCR's engagement with the 'Delivering as One' (DaO) Initiative	1			3		5	3	3		
88	UN	UNHCR	Thematic	Multi-country	A historical review of UNHCR policy and practice on refugee repatriation			1		6	3	1	9	7	
89	UN	UNICEF	RTE	Multi-country	RTIA of UNICEF's Response to the Sahel Food and Nutrition Crisis, 2011–2012	1		1			9				
90	UN	UNICEF	Thematic	Multi-country	Thematic synthesis report on evaluation of humanitarian action_UNICEF						1				
91	UN	UNHCR/ WFP	Impact	Multi-country	Contribution of Food assistance to durable solutions_Joint UNHCR WFP					1		1	1		
92	UN	UNMAS/ DFID	Strategic	Multi-country	Mine-Action Evaluation_DFID_UNMAS				1		2	1	2		
93	Donor	USAID Mercy Corps	Operational	Multi-country	Emergency Assistance to Conflict-Affected Populations DRC_USAID_Mercy Corps						3		3		
94	UN	UNICEF	Thematic	Multi-country	EVALUATION OF UNICEF'S EMERGENCY PREPAREDNESS SYSTEMS	1			2		1	1	3		
95	Cluster	WFP	Thematic	Multi-country	Joint Evaluation of the Global Logistics Cluster			2	2	1		10			19
96	UN	WFP	Thematic	Multi-country	Synthesis Report of the Evaluation Series of WFP's Emergency Preparedness and Response (2012 – 2015)							3		2	

97	UN	WFP	Thematic	Multi-country	WFP's Preparedness and Response Enhancement Programme: A Strategic Evaluation (2011-2014)									7		2	9
98	UN	WFP	Operational	Multi-country	Strategic Evaluations 2014_Synthesis_WFP									3		2	
99	Cluster	WFP	Thematic	Multi-country	Joint FAO/ WFP Food Security Cluster	1		2	1	1				4			
100	UN	WFP	Operational	Multi-country	Synthesis OpEv 2014_WFP									2		2	
101	UN	WFP	Thematic	Multi-country	REACH_Joint										1	3	
102	UN	WFP	Operational	Multi-country	SYNTHESIS OF OPERATIONS EVALUATIONS 2015: Changing course: from implementer to enable									1		1	
103	UN	WHO	Strategic	Multi-country	Changing course: from implementer to enabler												
104	UN	WFP	Thematic	Multi-country	WFP 2008 – 2013 Purchase for Progress (P4P) Initiative A Strategic Evaluation (mid-term)									13			
105	UN	WFP	Operational	Somalia	WFP SOMALIA Protracted Relief and Recovery Operation (200443) Strengthening Food and Nutrition Security and Enhancing Resilience June 2012 – December 2015	1		2		1				15		12	
106	UN	UNICEF	Operational	Somalia	Final Evaluation of the Unconditional Cash and Voucher Response to the 2011–12 Crisis in Southern and Central Somalia	10			1	3	2			51	1	41	6

107	UN	UNICEF/ DFID	Impact	Somalia	Impact Evaluation of the Community Education Committee (CEC) Mobiliser Programme in Somaliland, Puntland and South/Central Somalia	1							1				
108	UN	UNICEF	Strategic	Somalia	Regional Supply Hub mechanism as a strategy for WASH emergency response in Somalia								10		4		
109	UN	WFP	Strategic	Somalia	Somalia: An Evaluation of WFP's Portfolio	1			4	2			25	3	27	10	
110	UN	UNHCR	Operational	Somalia	UNHCR's Response to the Somali Refugee Influx in Dollo Ado, Ethiopia								2	11	6	3	
111	UN	IASC	Operational	Somalia	SRCS/IFRC RESPONSE TO THE 2010/11 SOMALIA DROUGHT								1		2		
112	UN	UN Habitat	Operational	Somalia	Evaluation of Somalia Urban Development Programme (SUDP)										16		
113	UN	IASC	Strategic	Somalia	IASC Somalia 2005- 2010. DARA	19			11	22	16		75	12	70	3	
114	NGO	Humanitarian Coalition	Operational	Somalia	Humanitarian Coalition East Africa Drought Appeal								3		2		
115	Donor	DANIDA	Strategic	Somalia	Evaluation of the Danish engagement in and around Somalia 2006-10	1			2	2	4		3	8	11	3	
116	UN	IASC	RTE	Somalia	IASC Real Time Evaluation (IASC RTE) of the Humanitarian Response to the Horn of Africa Drought Crisis 2011				2	1			10	2	23	5	
117	UN	UNHCR	Operational	South Sudan	A review of UNHCR's response to the Sudanese refugee emergency in South Sudan						6		12		2	7	
118	UN	UNDP	Thematic	South Sudan	Disarmament, Demobilization and Reintegration Commission _UNDP						7		14		5	4	

119	UN	UNICEF	Thematic	South Sudan	Evaluation of UNICEF programmes to protect children in emergencies						1		1	4	
120	UN	UNDP	Operational	South Sudan	CRMA Assessment South Sudan's Crisis and Recovery Mapping and Analysis (CRMA) July 2014 - UNDP	1		2	2			5			
121	NGO	Oxfam	Operational	South Sudan	Evaluation of Oxfam's South Sudan Humanitarian Response Using Oxfam's Global Humanitarian Indicator Tool					1	2	3		1	1
122	NGO	WV	RTE	South Sudan	RTE OF WORLD VISION'S RESPONSE TO THE SOUTH SUDAN CONFLICT EMERGENCY							4	3	6	
123	NGO	ACF	RTE	South Sudan	A RTE of ACF's response to cholera emergency in Juba, South Sudan	3						10		1	
124	NGO	STC	Operational	South Sudan	STC's cash transfer project in Aweil East County, Northern Bahr el Ghazel State, South Sudan							1			
125	NGO	NRC	Thematic	South Sudan	Evaluation of five Humanitarian Programs of (NRC) and of the Standby Roster NORCAP	1						4		2	
126	IFRC	IFRC	Operational	Sudan	Sudan Complex Emergency and Population Movement Appeal_ IFRC							14	3	16	
127	UN	WFP	Strategic	Sudan	Sudan: An evaluation of WFP's Portfolio 2010–2012 Vol	9	5	6			1	50		38	2
128	UN	IASC	Operational	South Sudan	Inter-Agency Humanitarian Evaluation (IAHE) of Response to Conflict in South Sudan	7		1		2		17		4	4
129	UN	UNICEF	Operational	Sudan	Review of Community Management of acute malnutrition (CMAM), Republic of Sudan. UNICEF							4		1	

130	UN	UNFPA	Strategic	Sudan	Government of Sudan/UNFPA Country Program (2009-2012). UNFPA	1						1		3	1
131	UN	UNICEF	Thematic	Sudan	Evaluation of UNICEF Sudan Country Office field delivery structure			2				19		14	
132	UN	UNICEF	Operational	Sudan	External Programme Evaluation UNICEF Assisted Water, Sanitation, and Hygiene Programme In Sudan (2002-2010)									2	
133	NGO	ACF	Operational	Syria + Regional	Humanitarian assistance to the populations affected by the Syrian conflict in Syria and the neighboring countries_ACF	9			2		8	5	4	8	2
134	UN	UNHCR	RTE	Syria + Regional	A real-time evaluation of UNHCR's response to the Syrian refugee emergency_UNHCR				1		1	5	3	9	
135	UN	UNICEF	Thematic	Syria + Regional	evaluation-of-implementation-of-2005-iasc-guidelines-gender-based-violence							1		1	
136	IFRC	IFRC	RTE	Syria + Regional	RTE IFRC Response to the Syria Crisis 2012-2014			3	2	2		6	1	8	
137	NGO	WV	RTE	Syria + Regional	REAL-TIME EVALUATION OF WORLD VISION'S RESPONSE TO THE SYRIAN CRISIS							5		14	
138	NGO	HelpAge	Operational	Syria + Regional	Assistance to specific vulnerable groups affected by the Syrian crisis'_HelpAge	1	1	5		3	2	9		3	
139	Donor	AusAid	Strategic	Syria + Regional	Australia's Humanitarian Response to the Syria Crisis				1		1	36		4	2
140	UN	UNRWA	Operational	Syria + Regional	2015_syria_crisis_response_progress_report_UNRWA				1			5	1	7	

141	UN	UNHCR	Operational	Syria +Regional	Refugee crisis Lebanon and Jordan_UNHCR			1	2	2	4	4		2	2
142	UN	WFP	Operational	Syria + Regional	An Evaluation of WFP's Regional Response to the Syrian Crisis, 2011-2014	12	4	3	2			29		5	

Annex 6: Evaluations in the sub-sample

Nº	Type	Organization	Type of Evaluation	Country	Eval Reports (2011-2015)
1	UN	WFP	Strategic	Afghanistan	Afghanistan: An Evaluation of WFP's Portfolio, 2010- 2012
13	NGO	NRC	Thematic	Afghanistan	Afghanistan: A case study - Strengthening principled humanitarian response capacities_NRC
14	UN	WFP	Strategic	DRC	WFP, Country Portfolio DRC. Oct 2014
24	NGO	Dutch agencies	Strategic	Haiti	Assisting Earthquake Victims: Evaluation of Dutch Cooperating Aid Agencies (SHO) Support to Haiti in 2010.
26	UN	OCHA	Operational	Haiti	Evaluation of OCHA Response to the Haiti Earthquake. OCHA.
48	Donor	CIDA	Strategic	Multi-country	Corporate Evaluation of CIDA's Humanitarian Assistance 2005 - 2011
54	Donor	DG ECHO	Thematic	Multi-country	Evaluation of the implementation of the European Consensus on Humanitarian Aid_ DG ECHO
56	Donor	DG ECHO	Thematic	Multi-country	Evaluation and review of humanitarian access strategies_ DG ECHO
59	Donor	DG ECHO	Operational	Multi-country	Evaluation of the European Commission's Humanitarian Action in the Shelter Sector
66	UN	IASC	RTE	Multi-country	IASC RTE Drought Horn of Africa
70	IFRC	IFRC	RTE	Multi-country	RTE of the IFRCR and RCS Response to the MENA Civil Unrest
73	UN	OCHA	Thematic	Multi-country	Humanitarian Civil-Military Coordination
95	Cluster	WFP	Thematic	Multi-country	Joint Evaluation of the Global Logistics Cluster
106	UN	UNICEF	Operational	Somalia	Final Evaluation of the Unconditional Cash and Voucher Response to the 2011–12 Crisis in Southern and Central Somalia
109	UN	WFP	Strategic	Somalia	Somalia: An Evaluation of WFP's Portfolio
113	UN	IASC	Strategic	Somalia	IASC Somalia 2005- 2010. DARA
127	UN	WFP	Strategic	Sudan	Sudan: An evaluation of WFP's Portfolio 2010–2012 Vol
128	UN	IASC	Operational	South Sudan	Inter-Agency Humanitarian Evaluation (IAHE) of Response to Conflict in South Sudan
136	IFRC	IFRC	RTE	Syria + Reg.	RTE IFRC Response to the Syria Crisis 2012-2014
142	UN	WFP	Operational	Syria + Reg.	An Evaluation of WFP's Regional Response to the Syrian Crisis, 2011-2014

Annex 7: List of interviewees

Elise Benoit	Office of Evaluation, WFP
Sarah Collinson	Senior Research Associate, Overseas Development Institute
James Darcy	Independent evaluator
Antonio Donini	Visiting Fellow, Feinstein International Center, Tufts University
Martin Fisher	Independent evaluator
Jeremie Labbe	Head of Project 'Principles Guiding Humanitarian Action', ICRC
Nigel Nicholson	Independent evaluator
Riccardo Polastro	UNICEF Regional Advisor
Julia Steets	Independent evaluator
Vivienne Walden	Oxfam
Helen Wedgwood	Director of Evaluation, WFP
Simon Lawry-White	Independent evaluator

Annex 8: Questionnaire for interviewees

1. What are some of the key issues arising in current debates on Humanitarian Principles, in advance of the WHS, that are relevant to how we evaluate Humanitarian Principles?
2. What do you understand as “good practice” in evaluation of Humanitarian Principles?
3. To what extent have humanitarian agencies (UN, Red Cross, donors and NGOs) assessed their performance against Humanitarian Principles over the last 10 years, and through what approaches (e.g. research, evaluation etc.)?
4. Which types of agencies have shown greatest interest in, and been most effective in assessing their performance against Humanitarian Principles (e.g. donors, NGOs, ICRC etc.)?
5. What role has evaluation played as a way of assessing performance against Humanitarian Principles?
6. What role could/should evaluation play in the future in this respect?
7. What good practice examples can you direct us to of how agency performance has been assessed against Humanitarian Principles (whether through evaluation or other means) – including in use of methodologies and utilization of evaluation reports?
8. What have been the main facilitating factors in agencies successfully assessing/evaluating their performance against Humanitarian Principles? How replicable are these?
9. Are you aware of any evaluations or equivalent which attempted to assess/ evaluation Principles but failed?
10. What have the constraints been to agencies assessing/evaluating their performance against Humanitarian Principles? (This question to explore constraints at all levels e.g. political will, organizational interest, technical issues etc.)
11. What pitfalls would you warn against, in assessing/evaluating agency performance against Humanitarian Principles?

Annex 9: The review team

1. Tony Beck estimates that more than 80 per cent of recommendations in the 40 or so evaluations he has worked on have been implemented. Tony has been an evaluator since 1989 and has carried out evaluations for multiple UN agencies, donors and NGOs in both the humanitarian and development fields. He also works on gender equality and recently led the development of a UN system-wide accountability framework on gender equality.
2. Margie Buchanan-Smith is a leading humanitarian evaluator with over 30 years experience in the humanitarian aid sector. She has led numerous evaluations, often in conflict environments, has managed and commissioned evaluations, and is regularly requested to act as a peer reviewer for humanitarian evaluations. She has co-authored the leading text on the evaluation of humanitarian action, published by ALNAP, and regularly facilitates training in EHA. Margie is a Senior Research Associate with the Humanitarian Policy Group at the Overseas Development Institute in London and a Visiting Fellow with the Feinstein International Center at Tufts University.
3. Belén Diaz is an evaluator, researcher and evaluation manager with 15 years of work experience in the aid sector working with NGOs (Oxfam and Action Against Hunger) and research centres (KonTerra Group, DARA and FRIDE). In the past six years she has mainly focused on UN Agency external evaluations (WFP, UNICEF, FAO, OCHA, IASC, UN Women) in the fields of humanitarian assistance policies and programmes, resilience, Disaster Risk Management and gender. Her geographical experience on long and short work duty includes East, Central and West Africa, Central and South America and Caribbean countries.
4. Lara Ressler Horst has experience in developing monitoring and evaluation systems in Central Africa and South Asia. Most recently she has provided evaluation support and quality assurance to various evaluation assignments undertaken by The KonTerra Group; including evaluations of the Interagency Humanitarian Evaluation (IAHE) in the Central African Republic and the Common Humanitarian Fund (CHF) in the Central African Republic and the Democratic Republic of Congo.