Live online consultation: Principles for Ethical Humanitarian Innovation

Summary report of the online consultation event organized on 8 July 2015 by PHAP in support of the World Humanitarian Summit

July 2015



Professionals in Humanitarian Assistance and Protection





WORLD HUMANITARIAN SUMMIT

About this report

This report summarizes the outcomes of the online event organized by PHAP in support of the World Humanitarian Summit consultations on 8 July 2015.

The World Humanitarian Summit will take place in Istanbul in May 2016. The objective of the event – which will be the first-ever humanitarian summit of this scale and scope – is to set a future agenda for humanitarian action to ensure improved responsiveness to the changing humanitarian landscape in terms of greater needs, more diverse actors, new technologies, and political and economic shifts.

As the only individual-based professional association bringing together all parts of the humanitarian sector, PHAP's mission is to enhance the capacity of the global humanitarian community to respond effectively and professionally to current and future crises. PHAP's truly global network – including staff of local and international NGOs, intergovernmental organizations, the UN, the Red Cross and Red Crescent movement, academia, governmental agencies, and the private sector – can make important contributions to consultations and discussions, engaging as experienced professionals concerned with the future of humanitarian action as a whole.



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Professionals in Humanitarian Assistance and Protection

Live online consultation: Principles for Ethical Humanitarian Innovation, 8 July 2015

Speakers

Alexander Betts, Director, Refugee Studies Centre and Leopold Muller Associate Professor, Refugee and Forced Migration Studies, University of Oxford

Kim Scriven, Manager, Humanitarian Innovation Fund (HIF)

Rob Beyer, Executive Chairman, Villgro Kenya

Pascal Daudin, Senior Advisor, Division of Multilateral Organisations, Policy and Humanitarian Action of the International Committee of the Red Cross (ICRC)

Host and moderator:

Angharad Laing, Executive Director, International Association of Professionals in Humanitarian Assistance and Protection (PHAP)

Executive Summary

On 8 July 2015, PHAP hosted a live online consultation event on the draft Principles of Ethical Humanitarian Innovation.¹ Supporting the World Humanitarian Summit consultations, the event was organized in collaboration with the Humanitarian Innovation Project.

The consultation event focused a set of draft principles that had been developed following a workshop at Oxford University on 27 April 2015, convened by the Humanitarian Innovation Project at the Refugee Studies Centre at Oxford. Workshop participants included the ICRC, UNHCR, UNICEF, OCHA, the World Humanitarian Summit secretariat, DFID, Save the Children, the Humanitarian Innovation Fund, the Harvard Humanitarian Initiative, and a range of academics.

The consultation event featured the following components:

- A brief presentation of the draft Principles for Ethical Humanitarian Innovation by Alexander Betts, Director of the Refugee Studies Centre, and Leopold Muller, Associate Professor in Refugee and Forced Migration Studies at the University of Oxford.
- A panel discussion focusing in turn on each of the seven draft principles. The panel featured three speakers: Kim Scriven, Manager at the Humanitarian Innovation Fund (HIF); Rob Beyer, Executive Chairman at Villgro Kenya; and Pascal Daudin, Senior Advisor at the Division of Multilateral Organisations, Policy and Humanitarian Action of the International Committee of the Red Cross (ICRC).
- An opportunity for participants to provide their input and perspectives on the draft principles before and during the event. More than 130 participants took part in the event.
- A space for Q&A and comments from the participants, as well as instant polls to identify key reflections on the topic in real time².

The following main points were highlighted during the consultation:

- The evident need for such a set of principles in order to both manage risks and encourage innovation in the humanitarian sector.
- The importance of keeping the principles open for examination and debate, in order to integrate lessons learned and experience in the future.
- Being cautious not to turn innovation into solutionism and rely completely on innovation to provide answers to issues faced by the humanitarian community.
- Understanding that these principles are not the answer to every question in humanitarian innovation, but aspirational guidelines for conduct and behavior.
- The need to maintain a balance between innovation and risk-taking, especially when it comes to the principle of "do no harm", and taking into consideration the fact that technology could lead to the exclusion of certain populations.
- Ensuring that local populations and beneficiaries are consulted throughout the process of innovation, to ultimately guarantee that new programs and procedures are functional and wanted by the target audience.
- Being careful when framing the questions to be answered by innovation, to once again ensure that the innovative methods are responding to the needs of the beneficiaries.
- A recording of the event as well as the draft principles document is available at https://phap.org/WHS-8Jul2015 Poll results in this report combine pre- and post-event survey results with the live polls, when applicable.

Participant poll: Do you have any overarching comments on the need for this kind of ethical principles for humanitarian innovation?

Taken into consideration that there will be new non-traditional humanitarian actors who we would like to be involved in this initiative, why are they not present here?

University Coordinator, Netherlands

Ethical principles need to be wide enough to be able to incorporate future innovation and technologies, to avoid any loopholes in the future like we do have in IHL. Sounds really good though. Intern, International Red Cross and Red Crescent Movement, Kenya

Ethical principles are needed to guide when there are numerous actors involved, however reaching consensus and taking account of everyone's objectives and beliefs is a challenge. Difficult to monitor and enforce though I think.

Programme Manager, governmental organization, Qatar

The issue of blending cultural values and innovation in some developing countries. PhD law student, Spain

Being able to innovate relies on experimentation and learning from failures, 'fail fast, fail cheap'. But we need to have a methodology that prevents harm being done to vulnerable communities. *Public Health Engineer, International NGO, United Kingdom*

They are very valuable. But upstream reflection on the way they could be implemented and adapted is needed.

Innovation Management Adviser, NGO, United Kingdom

Who would supervise adherence to the ethical principles? University student, Netherlands

Would those principles be binding, would humanitarian actors sign them like the COC? *Student, Germany*

How would such principles differ from ethical principles for humanitarianism? And why don't we have ethical principles for humanitarianism?

I wonder if we need to look at the ethics of public health and those debates a bit more. A lot of our type of innovation are not about individual interventions, so principles for medicine and individual human subjects in experiments are't so relevant and there are conflicts between interests of whole populations vs. the individual. Also, if we don't apply some of these principles to our existing work I'm not sure this makes sense. Simply put, we don't have enough evidence, research or evaluation, or attention span to truly say that we're living up to some of these principles with our existing interventions. I'm slightly concerned that we can apply a higher standard to new ideas than we do to our existing practice and thus inhibit innovation.

Most of these principles are covered by the Helsinki Declarations. But these are very controversial with respect to things very relevant to our work. For example, the debates around placebos and proven interventions. How would we apply Helsinki principles requiring consideration of existing 'proven' interventions?

To my mind, at the moment, with the exception of some particular medical treatments, we're essentially running a gigantic experiment or set of experiments all the time in humanitarian action and not acknowledging it. Most of what we do we have little evidence for and certainly not to a medical practice standard. Most of what we do is not proven to have the outcomes we assert we achieve.

I'd like to see a set of innovation principles that spurned change in existing attitudes and practice and drove us to both innovation and better evidence for the existing set of practices. *Research Director, INGO, Switzerland*

How would these principles be regulated? Student, United Kingdom

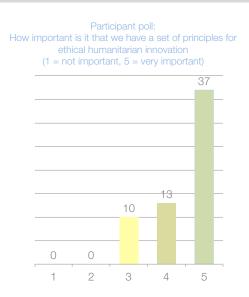
I see a need to develop practical guidelines in the involving the private sector in humanitarian innovation. Donor Relations Support Officer, intergovernmental organization, Switzerland I would be wary about principles having the potential to blocking innovation, otherwise the principles are excellent.

Director of IT, international NGO, Belgium

The principles are very important and provides a good framework for humanitarian roles. Volunteer, Red Cross and Red Crescent Movement, Kenya

This initiative is essential in the actual humanitarian response and relationship with the affected people, as well as with donors.

Humanitarian Affairs Officer, Switzerland



Discussion

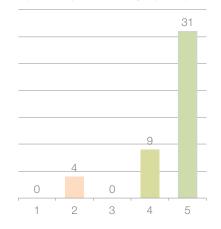
Principle 1 ("Humanitarian Purpose")

Humanitarian Innovation has a humanitarian purpose. Humanitarian innovation must be consistent with the humanitarian principles (humanity, impartiality, neutrality, and independence), and the dignity principle. It should be possible for all members of a crisisaffected community to benefit from innovation without discriminatory barriers to use.

Rob Beyer wondered whether following this principle is practically feasible for small business and smaller local partners with innovative ideas, who may not be necessarily thinking in terms of humanitarian purpose directly, but have potentially beneficial solutions.

Pascal Daudin underlined the need to remember the question of "who do we serve?" and gear the programs accordingly when thinking about this principle.

Participant poll: How important do you consider the principle of "Humanitarian Purpose" (1 = not important, 5 = very important)



Kim Scriven pointed out that this principle could be problematic when thinking of innovation in terms of technology, as technological improvements could exclude certain parts of the population. However, if efficiency is achieved through technology, more time can be invested to address the needs of those populations that are excluded by innovative technologies.

Participant poll: Do you have any comments regarding the principle of "Humanitarian Purpose?"

This is the opportunity to include us as a new actors to recognize that the humanitarian innovations needs a dynamic building process that will ensure the autonomy of each community and problem. Agro industrial engineer, Colombia

There are cases of innovation from different sectors providing ideas within humanitarian action but they were not designed for this purpose initially, so therefore may not meet the principles set here, and would not want to exclude sharing and learning.

Programme Manager, governmental organization, Qatar

There's a scale issue here too - innovations can target sub groups of a community. Advisor Innovation and Community Resilience, International Red Cross and Red Crescent Movement, Netherlands

I think one starting-point should be that technology (not necessarily limited to information-technology), is neutral, and the application is not necessarily.

Director of IT, international NGO, Belgium

Saying that humanitarian innovation should be consistent with existing humanitarian principles is not the same as saying that humanitarian innovation should have a purpose. In principle, humanitarian innovation should have a purpose - in fact we might even want to specify what that purpose is. Presumably something along the lines of creating something of value to the humanitarian endeavour that will ultimately benefit, be of value to those it serves. But that's the principle of 'beneficence'.

Research Director, INGO, Switzerland

What about activities that seek to support 'bottom-up' innovation? Creating and enabling environments for disaster-affected communities to develop solutions to the problems they face, and then helping to distribute these widely could be impactful.

Public Health Engineer, International NGO, United Kingdom

Are these principles universal? Once you start defining them, probably not. When you keep it to abstract, it's not implementable. Maybe this approach is too "one size fits all"

Student, Netherlands

There is no international law which provides a legal framework for innovations within this context. International humanitarian law intern, International Red Cross and Red Crescent Movement, Australia

These innovations don't address a country's long term problems. Most refugees are too afraid to go to camps in fear of being victims of trafficking. More solution and focus should be addressed at refugee legal status and protection by national state.

Student, United Kingdom

It's a very important principle because it allows humanitarian efforts to be much focused to reach its target people.

Volunteer, Red Cross and Red Crescent Movement, Kenya

There are many principles contained in this principle (humanity, impartiality, neutrality, independence, dignity, non-discrimination). It seems to me that the humanitarian purpose is primarily contained in the principles of humanity and impartiality: saving lives and alleviated suffering wherever needed. Dignity is I believe contained in humanity. And neutrality and independence are operational principles which I believe should be separated. They could be either in a different principle or in another sentence defining this first principle.

PhD Candidate, France

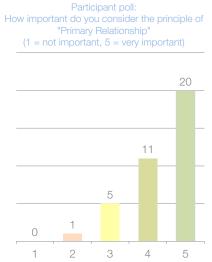
Principle 2 ("Primary Relationship")

The primary relationship of concern for humanitarian innovation must be the provider/recipient relationship. This primary relationship necessitates both the identification and avoidance of any conflicts of interest as well as the invalidity of any considerations of third party beneficence that would compromise the primary loyalty to recipient populations in any way.

Alexander Betts asked the audience to reflect on what is meant by provider/recipient relationship. Is the provider an individual, an organization, or the humanitarian community as a whole? Meanwhile, in terms of the private sector, this signifies that if there is a conflict of interest between profit and shareholders on the one hand and the beneficiaries the services are targeted to on the other, then the beneficiaries should receive primary loyalty.

Rob Beyer pointed out that many private sector companies go in without the regard for the larger picture, only to provide a specific service or product and asked how this fact is compatible with this principle.

Kim Scriven highlighted that this principle makes delivery in the case of multi-level relationships very complex, meanwhile it is very good for preventing technocratic "solutionism."



Pascal Daudin spoke about the direct connection between the principle and the question of "who do we serve." It is important to talk about aspirations, as much as about needs. He spoke for the need of an inclusive system that does not exclude individuals based on their ability to pay, and preference should always be given to the voice of the recipients rather than to those proposing innovation.

Participant poll: Do you have any comments regarding the principle of "Primary Relationship?"

What about the indirect relationships where private sector perhaps support NGOs not the recipients directly, what are the ethics for this?

Programme Manager, governmental organization, Qatar

This one's complex: doctor-patient is one on one, provider/recipient concerns multiple individuals, which requires more trust.

Advisor Innovation and Community Resilience, International Red Cross and Red Crescent Movement, Netherlands

This either doesn't make sense or is covered by 'beneficence.' I think there's lots of innovation required in areas that aren't really about the relationship with recipients of assistance. And thus don't need ethical principles really? And the conflict of interest etc. is really covered by first principle. *Research Director, INGO, Switzerland*

Lots of humanitarian innovation is happening "behind the scenes" - innovating to provide better services to the humanitarian agencies in the field. How does this tie-in to provider/recipient? Interim Executive Director, NGO, United States

The private sector will have a very difficult challenge gaining primary relationship trust with communities. Private sectors are afraid to invest in capacity building where constant funding is required and "innovation" show limited sustainability.

Student, United Kingdom

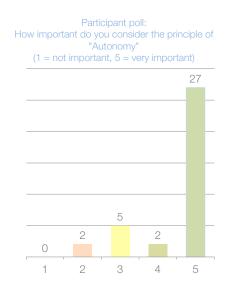
One problem I see here is that recipient populations might simply see other uses for what is being provided (e.g. malaria nets). The intended use by design doesn't always correspond to most fit-for-purpose from the recipient perspective.

Director of IT, international NGO, Belgium

It's a commendable principle. Volunteer, Red Cross and Red Crescent Movement, Kenya

Principle 3 ("Autonomy")

All humanitarian innovation must be conducted with the aim of promoting the rights, dignity and capabilities of the recipient population. Innovation must be based on representative consultation and informed consent. Innovation should be user-driven and based on participatory methods that are sensitive to within-community power dynamics, culture, and language.



Kim Scriven underlined the need to recognize the power dynamics and disparities between humanitarian actors and the population. He also encouraged caution, as principle 3 highlights the importance of participatory approaches, but a lot of the methodologies for userdriven innovation originate in developed consumer economies, based on a different relationship between the consumer and the provider.

Pascal Daudin noted that innovation can promote autonomy, but very importantly must not create more dependence. There must also be a choice to refuse innovation.

Rob Beyer specified the need to give more ownership to affected people, as this will also lead to more demand for innovation.

Participant poll: Do you have any comments regarding the principle of "Autonomy?"

I think participatory and human centered approach but there is also a need not to romanticize it, and also learn from other sectors that already have solid experience on this like urban development experts. Innovation Management Adviser, NGO, United Kingdom

I don't understand how this is about "autonomy". "The aim of promoting the rights, dignity and capabilities of the recipient population" should be covered by the first principle of purpose. The paragraph below it is very micro and field level and doesn't really make sense to me as an over-arching principle for humanitarian innovation, which is aimed at the whole humanitarian enterprise and people who aren't as yet in humanitarian need. How are we going to do representative consultation of the global population of people needing humanitarian assistance (and indeed how would we do it for the future population that will benefit from the innovation)? In so far as we're talking about research and testing using individual participation, then I suppose the principle of autonomy is required. However, I think it's a mistake indeed possibly completely wrong and in violation of the autonomy principle to try and turn it into some something that you would do by proxy or 'representative consultation' - that's almost the opposite of autonomy. I'd say we need to acknowledge that we simply cannot, generally, abide by a principle of individual autonomy (except where we're talking about research etc. with individual participants).

Research Director, INGO, Switzerland

Participatory is a vague concept, is simple consultation really sufficient participation? Advisor Innovation and Community Resilience, International Red Cross and Red Crescent Movement, Netherlands

This is absolutely paramount. Consultations and consideration to the needs and priorities and voices of the affected people must be a constant process. Humanitarian Affairs Officer, Switzerland

Community methods should result from the context and be sustainable. *Agro industrial engineer, Colombia*

There must be exceptions when vulnerable people need support and cannot be consulted therefore... as Alexander mentioned.

Programme Manager, governmental organization, Qatar

Principle 4 ("Maleficence")

Innovation must be based on a 'do no harm' principle. Under no circumstances should humanitarian innovation lead to intentional harm. Risk analysis and mitigation must be used to prevent unintentional harm, including from primary and secondary effects relating to privacy and data security, impacts on local economies, and inter-communal relationships.

Kim Scriven noted that this principle highlights the importance of risk analysis and mitigation.

Pascal Daudin highlightef the difference between intentional harm and unintentional harm and the need to avoid both. The latter could result from cookie cutter solutions to complex problems, ignoring local advice, legislation, social and cultural conditions, etc. Extensive risk analysis is needed to help avoid this.

Alexander Betts noted that this principle does not overlap with the previous three. As adhering to principles 1, 2 and 3 would not guarantee that no harm would be done, risk analysis adds an extra layer of protection for complex interventions.

Rob Beyer encouraged recognizing that there are individuals and companies that exploit crises to their

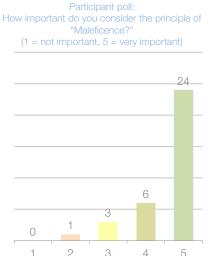
benefit and under this principle, the humanitarian community should work to manage and mitigate this.

Participant poll: Do you have any comments regarding the principle of "Maleficence?" If principles 1, 2 and 3 are adhered to, then principle 4 will have less or no impact. PhD law student, Spain To what extent does this overlap with principle 1? Where do they differ? Advisor Innovation and Community Resilience, International Red Cross and Red Crescent Movement, Netherlands Nor be based on egos or funding and visibility priorities of the organisations delivering - seen a little too often. Humanitarian Affairs Officer, Switzerland



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analysis adds an extra layer of protection



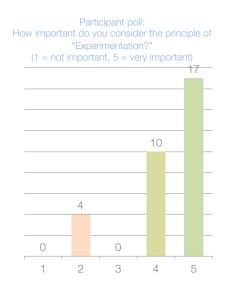
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Should that be non-malificence? Research Director, INGO, Switzerland

As in bioethics, I believe this should be called "non-maleficence", and not "maleficence". *PhD Student, France*

Principle 5 ("Experimentation")

Experimentation, piloting and trials must be undertaken in conformity with internationally recognized ethical standards. All innovation activities must be conducted in full conformity with the Declaration of Helsinki of 1964 and the Nuremburg Code of 1947. It must be based on full institutional review board (IRB) assessments.



Alexander Betts pointed out that this principle makes us question whether we should be thinking about all innovation or only innovation with experimentation. It is to a certain extent a subset of principle 4 (preventing maleficence), but is explicitly concerning experimentation. Even if not all NGOs engage in IRB review, if an organization is operating a complex set of actions on a pilot or experimentation level, then they should have capacity for the review. The question is, what is the threshold where this applies?

Rob Beyer noted the importance of balancing the timeframe between how much process is needed before something goes live – otherwise this principle may be a mismatch with the requirements in a crisis situation.

Kim Scriven highlighted that inherently, trials go against humanitarian principles, since you must exclude certain

populations. It is a challenge to define the types of innovation activities and stages in the innovation process where this principle may apply. Also, having very strong review mechanisms could be detrimental to the development of programs, mostly due to trust.



Student, Pakistan

At what point is exploring something new considered "experimentation"? Disaster Management Advisor, intergovernmental organization, United States

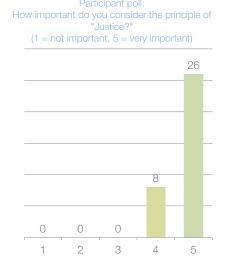
Principle 5 makes sense in "principle", but not everyone has IRBs. Especially the innovators. Interim Executive Director, NGO, United States

Principle 6 ("Justice")

Equity and fairness should underpin the distribution of benefits, costs, and risks resulting from innovation. Projects should take into consideration and address the distributive consequences of innovation. Innovation should be sensitive to, and useful for, the most marginalized populations, including sensitivity to age, gender, and disability.

Kim Scriven said that this principle should also be applied within organizations, when it comes to staff taking risk and organizations reaping benefits. He encouraged care to be taken not to preclude those actors who are involved in innovation within the humanitarian sector with other motivations, for example profit. A balance can be struck: it is possible to capture the value of innovation, by protecting intellectual property or exploiting it for profit, and still bring value and benefit for affected populations.

Pascal Daudin specified that in this case justice refers to distributive justice and the notion of impartiality. The principle is there to ensure that there is no intentional or unintentional discrimination. Using open standards and open innovation could guarantee some justice. However, one concern present in this case is discrimination induced by technology.



Participant poll: Do you have any comments regarding the principle of "Justice?"

This seems to me to be a problematic one if the private sector is to be involved - is this compatible with having a profit motive?

Coordinator, International NGO, Switzerland

Which control bodies or processes are planned in order to ensure principles 6 and others? Innovation Management Adviser, NGO, United Kingdom

Can't profit making targets and humanitarian aid have congruent goals? Student, United Kingdom

Equity and fairness forms the basis of humanitarian standards. But when we talk about innovation, it is for Muslim and non-Muslim countries. How can we devise the fair distribution keeping in mind the ethics of religion?

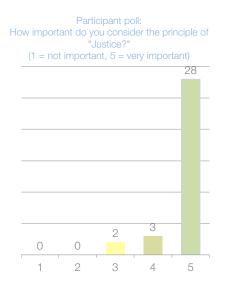
Student, Pakistan

How can we measure the benefit, costs and risks? Need to measure it in order to ensure it is distributed fairly?

Innovation Management Adviser, NGO, United Kingdom

Principle 7 ("Accountability")

Engagement in humanitarian innovation constitutes an obligation to ensure accountability to recipient populations, including establishing processes for complaints and recourse relating to unforeseen consequences and maleficence. Humanitarian innovation should take account of the wider effects on the humanitarian system, including on the effectiveness, legitimacy and reputation of the humanitarian system. All aspects of humanitarian innovation should be subject to evaluation and monitoring, including an assessment of primary and secondary impacts of the innovation projects, and should incorporate external or third party experts where appropriate.



Rob Beyer said that we must measure impact on the communities we are serving and consider financial accountability and opportunity costs.

Kim Scriven advised tempering our expectations for this principle, as often organizations are not adhering to accountability principles.

Pascal Daudin noted the link between this principle and principle 2 – two-way communication and constant communication with the population during development of innovative practices. If this is adhered to, then accountability becomes less pertinent, as problems will be mitigated on the go. He encouraged the inclusion of the concept of accountability within the process of design and development of humanitarian innovation, rather than using it as a complaint mechanism.

Participant poll: Do you have any comments regarding the principle of "Accountability?"

This is particularly interesting as it goes beyond most people's notion of humanitarian accountability (being primarily about consultation) - if we could introduce actual accountability in innovation, that would be a great step forward!

Coordinator, International NGO, Switzerland

This is a crucial principle. I would add positive perspective on accountability: process for complaint, for recourse but also for optimization, ideas and so on.

Innovation Management Adviser, NGO, United Kingdom

- There is not much these principles add that are not already set out by the 4 humanitarian principles. *Student, United Kingdom*
- Who evaluates and monitors? To whom are innovators accountable? Who defines ethics and risks? Associate Professor of Sociology, United Kingdom

Can encourage the "whistle blowing" approach from private sector. Need to be mindful of the negative consequences of whistle blowing.

Innovation management adviser, NGO, United Kingdom

Not sure how to separate this from the whole of humanitarian action - which at the moment is not really accountable. And what is the first sentence about? effects on legitimacy and reputation? Interested to hear what we're thinking about there.

Research Director, INGO, Switzerland

Is it possible to ensure accountability in the process innovation? Innovation can be defined as a process of improvement and adaptation to context, involving a number of stages: problem specification; solution identification; piloting and testing.

Field Manager, International NGO, Central African Republic

Agreed. Accountability is quintessential to humanitarian work. Too often we hear about lessons learned now shifting to lessons observed as we do not hold ourselves accountable for learning and changing approach. This in itself shows that Accountability is not an upheld principle. *Humanitarian Affairs Officer, Switzerland*

Closing Remarks

Rob Beyer urged the humanitarian community to be specific and tactical in engaging the private sector in humanitarian work. It seems that the sector has not been sufficiently engaged where it can bring additional value.

Kim Scriven said that the main questions moving forward were how to continue refining these principles, as well as how to adhere to these principles, balancing on the one hand limiting risks for harmful effects of innovation and on the other hand encouraging positive risk-taking to enable innovation?

Pascal Daudin pointed out that the list of principles is missing the concept of sustainability, to be kept in mind for the future development of the principles. He thought the main issue with the principles was their concrete application and adherence to them, suggesting testing them on concrete cases. He also mentioned the need to invest in dissemination, for example via a pledging system for organizations to announce adherence to, therefore giving the principles more leverage and effect on the ground.

Alexander Betts reminded the audience that not all the answers to every practical dilemma will be found in these principles – they are intended to be aspirational values for our behavior and conduct. At the same time, their intention is not to block humanitarian innovation or entrepreneurship – it is about balancing the need to be innovative and while avoiding potential harm. He pointed out that the development of these principles is meant as an on-going process. Following the refinement of the existing draft, it would need to be applied to concrete cases and developing operational guidelines. Finally, it would need a dissemination strategy and to build commitment around the principles.

DISCUSSION

INTERNATIONAL ASSOCIATION OF PROFESSIONALS IN HUMANITARIAN ASSISTANCE AND PROTECTION (PHAP)

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