

UNIVERSITY OF ST GALLEN

MASTER-THESIS

**THE ROLE OF THE PRIVATE SECTOR
IN HUMANITARIAN AID**

A SURVEY ON THE EXPERIENCES OF SWISS NGOS

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ABSTRACT

In the light of a growing number of natural disasters on the one hand and an increasing funding gap on the other hand, humanitarian actors are looking for possibilities to find new ways to increase funding and to enhance the efficiency of humanitarian aid. It is generally acknowledged that the private sector plays an important role in this context. Core humanitarian actors at the international level have, therefore, embarked on a process of reconsidering their strategies to involve the private sector in their activities.

In this thesis, the issue is addressed from the perspective of Swiss NGOs. As no systematic data on the current level of private sector engagement in the humanitarian programs of Swiss NGOs exists, a survey among nine NGOs was conducted. The current patterns of cooperation and the considerations of the NGOs at the strategic and operational level along the whole disaster management cycle were ascertained. The results of the survey confirm that most of the included NGOs are aware of the current debate. However, the priority given to the issue and the practical experiences strongly differ within the sample. While the NGOs are generally open towards the involvement of the private sector, they are still struggling to define common grounds and to identify win-win-situations that could provide the basis for promising forms of cooperation that go beyond donor or supplier roles of the private actor. This is particularly true for disaster response.

Against the background of increasing pressure on Swiss NGOs to work efficiently, it is recommended that the NGOs assume a more strategic approach towards cooperation with the private sector, aiming for forms of cooperation on the basis of mutually beneficial business rationales. Given that Switzerland has very innovative and globally interconnected enterprises, Swiss NGOs might be in a privileged position to exploit the existing potentials and to strengthen their position in an increasingly competitive international humanitarian market.

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ABBREVIATIONS

ADRA	Adventist Development and Relief Agency
APD	Aide Public au Développement
BC CCC	Boston College Center for Corporate Citizenship
BGPF	Business Global Partnership Forum
bn	billion
CARE	Cooperation for Assistance and Relief Everywhere
CCA	Climate Change Adaptation
CHF	Swiss Francs
CRS	Catholic Relief Service
CRED	Centre for Research on the Epidemiology of Disasters
DEZA	Direktion für Entwicklung und Zusammenarbeit
DI	Development Initiative
DM	Disaster Management
DMC	Disaster Management Cycle
DRR	Disaster Risk Reduction
ECHO	European Community Humanitarian Office
e.g.	exempli gratia
EM-DAT	Emergency Events Database
et al.	et alii
EU	European Union
FS	Financial Statement
GA	General Assembly
GNP	Gross National Product
HEKS	Das Hilfswerk der Evangelischen Kirchen der Schweiz
Helvetas	HELVETAS Swiss Intercooperation

i.a.	inter alia
IASC	Inter-Agency Standing Committee
ICRC	International Committee of the Red Cross
IDP	Internally Displaced Person
i.e.	id est
IFRC	International Federation of Red Cross and Red Crescent Societies
LR	Land Rover
m	million
MSF	Medicines Sans Frontieres
NGO	Non-Governmental Organisation
OCHA	Office for Coordination of International Affairs
OCHA-ROAP	OCHA Regional Office for Asia and the Pacific
p.	page
pp.	pages
PR	Public Relations
PRC	Pew Research Center
SME	Small and Medium-sized Enterprises
Solidar	Solidar Suisse
SRC	Swiss Red Cross
StC	Save the Children
TdH	Terre des Hommes
UNICEF	United National Children's Fund
UNGC	United Nations Global Compact
UN	United Nations
UNAIDS	Joint United Nations Programme on HIV/AIDS
UNDP	United Nations Development Programme
UNHCR	United Nations High Commissioner for Refugees

VM	Vivamos Mejor
WEF	World Economic Forum
ZEWO	Schweizerische Zertifizierungsstelle für gemeinnützige spendensammelnde Organisationen

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Figure 1	Share of world's population displaced from their homes
Figure 2	Humanitarian funding gap
Figure 3	Disaster management cycle
Figure 4	Overview of the Research Design

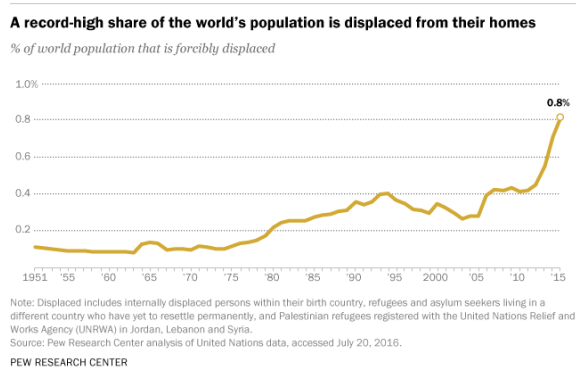
1. INTRODUCTION

1.1. The Issue and its Relevance

1.1.1. The Humanitarian System is Undergoing Changes

In recent decades, the humanitarian system has faced an unprecedented growth. Several trends are responsible for this development:

First of all, the number of natural disasters increases¹, which is a consequence of climate change and a growing number of extreme weather conditions (CRED, 2016, p.5). This development goes hand in hand with another important trend, the demographic challenge, i.e. the growth of world population and – especially in developing countries – the process of rapid urbanisation. As a result, more people are exposed to natural disasters whose impact in an urban environment with a high concentration of people is getting ever more significant (Taylor et al., 2012, p.23).



Secondly, a difficult security situation in different parts of the world creates an ever growing number of IDPs and refugees worldwide: According to the PRC (2016), the share of population forcibly displaced from their homes has globally reached 0.8% of the world's population in 2015 (see Figure 1). This is an unprecedented number since the Second World War (Connor, 2015).

Figure 1: Share of World's Population Displaced from their Homes.
 Source: PRC (2016).

The number of man-made conflicts increases and some of them, e.g. in Syria become protracted, laying a continuing burden on the humanitarian system. All these trends lead to an increase in humanitarian expenses. The individual disasters, in turn, become more expensive. This is not only due to surge in the number of people affected, but also to growing economic costs of disasters both direct, such as destructed infrastructure and housing, and indirect, in the form of loss of income, productivity and business opportunities (Carbonnier, 2015, p.56).

Furthermore, the scope and variety of humanitarian crises and the necessity to operate in new urban environments has implications for the structure of the humanitarian system. Responding to the growing demand and to the current challenges, the humanitarian market becomes more com-

¹ According to CRED (2016), the number of weather- and climate-related disasters has more than doubled over the past forty years (2016, p.5).

plex in terms of diversity of actors, patterns of their interactions, products and services required (Carbonnier, 2015, p.37).

A relevant challenge for the future of the humanitarian market results from the fact that, in spite of a growth of funding in absolute numbers, many humanitarian actors report a lack of funds to cover all the needs of the humanitarian aid system. The UN, for instance, reports a declining level of funding from the traditional UN donors although the need for humanitarian aid increases (UNHCR, 2016, p.149).

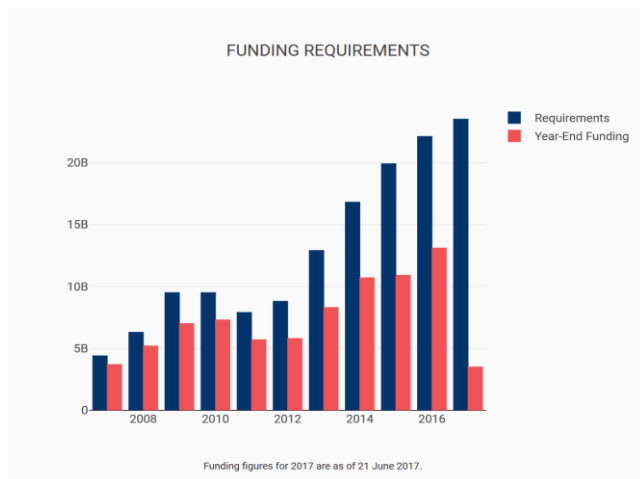


Figure 2: Humanitarian Funding Gap. Source: OCHA (2017)

Therefore, humanitarian agencies are looking for options to fill in gaps in their funding. However, this is not the only concern. It is considered even more important to find new approaches, policies and models of cooperation that could help to increase cost-efficiency of humanitarian actions. In this context, reconsidering the distribution of roles of the players involved in the humanitarian market is getting more important.

1.1.2. What Role Can the Private Sector Play?

But why does the involvement of the private sector in humanitarian aid – which is the topic of this thesis – matter? To answer this question, it is, firstly, worth to note the generally rapid growth and influence of private companies. In the light of this trend, the private sector has been recognized in the debates on different levels (the UN, the EU, in countries) as “*a driver of economic development*” whose role should be strengthened with respect to the development goals (EU, 2014). Economic development, in turn, is tightly connected to the humanitarian sector: Natural disasters have an impact on the economy. The strike of a disaster can significantly reduce the GNP of a country and protract its economic development. At the same time, an effective disaster response is a pre-requisite for a quicker recovery – the successful rebuilding of essential infrastructures and the functioning of the local market in future. It is generally acknowledged that the role of the local private sector in this context is essential (Phillips et al., 2017, pp.324-325). It is equally important to reduce the risks and negative impacts of a disaster in future. As private companies operating in the region bear economic risks and can be directly affected by a disaster, their preparedness for a disaster is crucial.

Not only national, i.e. local, but also the international private sector plays an increasingly important role in humanitarian aid. For instance, the UNHCR's response to the earthquake in Nepal in April 2015 was substantially funded by private donors (UNHCR, 2016, p.145). But the participation of private companies in humanitarian aid goes beyond pure monetary donation as there is a growing number of private actors supporting disaster response with their services and products. Therefore, private companies can significantly impact the outcome and efficiency of humanitarian actions, even if humanitarian impact is not necessarily the ultimate objective of their activities (Taylor et al., 2012, p.16). Thus, reconsidering the role of the private sector in humanitarian aid and the terms of cooperation is relevant in order to increase the efficiency of DM and to overcome the challenges it is facing.

1.2. Objectives of the Thesis and the Research Questions

The objective of this thesis is to get an insight into the changing role of private companies in humanitarian assistance. In order to add structure to the discussion, the DMC will serve as a framework for this examination. To approach the issue, survey will be conducted among a sample of Swiss NGOs active in humanitarian aid. The focus lies on the current patterns of cooperation with the private sector. Also, the challenges and potentials of such cooperation will be addressed. The insights will be presented from the perspective of the participating Swiss NGOs. Based on the results of the survey, recommendations for the future cooperation will be derived.

The results of this thesis will hopefully be useful for NGOs evaluating future or assessing existing cooperation with the private sector. The insights of this thesis might be equally relevant for private companies, i.e. for-profit enterprises who are interested in collaboration with humanitarian organisations and are reconsidering the terms of their future engagement.

In the light of the above consideration, the research questions to be addressed by this thesis are defined:

- **The status quo:** What are the current forms and practices of cooperation of Swiss NGOs with the private sector? What are the current challenges?
- **Drivers and potential:** What are the general trends shaping future cooperation between NGOs and the private sector?
- **Strategic positioning:** Given the general trends, how can NGOs position themselves in the context of cooperation with the private sector?

1.3. The Composition of the Thesis

This thesis is structured as follows: For the beginning the main concepts and the scope of the thesis will be presented (see 2.2). Then, the approach to this thesis and the research method will be explained (see 3). Afterwards, a theoretical framework will be defined (see 4.1) and the literature and international debates on the current role of the private sector in humanitarian assistance will be reviewed (see 4.2). Based on this, several focal sub-themes with corresponding questions will be derived that serve as a basis for the following practical part (see 4.3). In the empirical part the research on cooperation of Swiss humanitarian organisations will be presented (see 5.4) and discussed (see 6). Finally, the conclusions concerning integration of the private sector in DM will be drawn (see 7).

2. MAIN CONCEPTS AND THE SCOPE OF THE THESIS

2.1. The Humanitarian and the Private Sector

For the beginning, the core terms “*humanitarian aid*”, “*humanitarian actors*” and the “*private sector*” will be defined.

2.1.1. Humanitarian Aid

In the time of the Cold War the term “*humanitarian space*” emerged. Since then the meaning of “*humanitarian*” has been modified and adjusted. Since the 1990s there is a trend of separating humanitarian actions from politics and to focus on civil aspects, i.e. the population in need (Collinson & Elhawary, 2012, pp.1-2). Broadly defined, any assistance can be defined as “*humanitarian*” if it is directed towards saving lives and alleviating suffering in the face of disaster (Taylor et al., 2012, p.15).

In the context of international cooperation in order to be classified as “*humanitarian action*”, this assistance must be consistent with four humanitarian principles enshrined in UN resolutions: The principles of humanity, neutrality, impartiality (GA resolution 46/182, adopted in 1991) and independence (GA resolution 58/114, adopted in 2004). Besides that, the common standards for the organisations operating in the humanitarian sector are fixed in the International Red Cross and Red Crescent Code of Conduct (OCHA, 2012). Thus, there are requirements defined in the International Law which all organisation involved in the humanitarian aid have to adhere to. The forms of humanitarian action vary and include both, pre-disaster activities relating to disaster prevention and preparedness, and all actions in the aftermath of disaster (Carbonnier, 2015, p.40). In this thesis, the term “*humanitarian action*” will be used in the meaning as discussed above. In addition, the terms “*humanitarian aid*” and “*humanitarian assistance*” will be used in the same meaning.

2.1.2. Humanitarian System and Actors

Taylor et al. (2012) distinguish between core and non-core humanitarian actors (2012, pp.16-17):

- **Core humanitarian actors** are those who are guided by shared humanitarian goals, norms, and principles in performing humanitarian action. These institutions have strong operational and financial connections within the system. To this group of actors belong UN agencies, ICRC and IFRC and their regional societies, international and national

NGOs, host-government entities, donor-government agencies, regional and intergovernmental agencies.

- **Non-core humanitarian actors** pursue different ultimate goals and have other approaches, but work in parallel and usually in coordination with the humanitarian system. These actors are militaries, private sector entities, religious institution, Diasporas etc.

For the purpose of this thesis the term “*humanitarian actors*”, “*humanitarian agencies*” and “*humanitarian organisations*” will refer to “*core humanitarian actors*” as defined by Taylor et al. (2012).

2.1.3. The Private Sector

The range of organisations that could be referred to as private sector is very wide. Basically, all organisations that are not owned or operated by the state and whose goal is to generate profit can be defined as “private” (Investopedia, 2017). As defined by OCHA, private sector encompasses corporations and their philanthropic foundations, SMEs, business associations (OCHA, 2010). In this thesis the term “*private sector*” refers to privately owned multinational, international and domestic enterprises that pursue *for-profit* objectives. In the context of the thesis international (multinational and international companies and their subsidiaries) and local (domestic companies, SMEs) private sector can be distinguished.

The term “*private sector*” and the terms “*private company*”, “*private enterprise*” and “*business*” will be used equivalently.

2.2. The Term of Disaster and the Disaster Management Cycle

2.2.1. The Concept of Disaster

The definitions of *a disaster* used in literature are often related to the definition of the UN. According to the UN a disaster is “*a serious disruption of the functioning of a community or a society involving widespread human, material, economic or environmental losses and impacts, which exceeds the ability of the affected community or society to cope using its own resources*” (UN, 2009, p.9). There are three main components in order to classify an emergency as a disaster: it impacts people, causes social disruption for particular groups of people and it requires help from outside to cope with the negative impact (Phillips et al, 2017, p.67).

Numerous classifications of disasters could be considered. Generally, it is possible to assign them to one of two groups: The International Disaster Database EM-DAT distinguishes between

natural and technological (man-made) disasters (CRED, 2017)². Nevertheless, each disaster is unique in its geographic location, type, scope and intensity. Therefore, the response to each disaster involves a unique set-up of stakeholders and patterns of interactions and requires a distinctive set of resources.

2.2.2. The Disaster Management Cycle

Disaster Management

The term of “*disaster management*” is commonly used in the language of the public sector and refers to activities directed towards dealing with hazard or event. In the language of private sector the term of “*business continuity*” is used. Even though there are similarities between the two concepts, business continuity is oriented to business interests and corresponding business activities, implying different focus of actions at different levels of the cycle (Phillips et al, 2017, pp.328-329). In this thesis the concept of the DMC will be presented in the logic of the public sector.

The basic model for the DMC comprises four phases: Two phases before and two after an outbreak of a disaster (The phases and examples of corresponding measures are shown in Figure 3).

Figure 3: Disaster Management Cycle. Source: Own illustration based on Coppola (2011) and Philipps et al. (2017).

² **Natural disasters** are classified as follows: geophysical (e.g. earthquake, volcanic activity), meteorological (e.g. fog, storm), hydrological (e.g. flood, landslide), climatological (e.g. drought, wildfire), biological (e.g. epidemic), extraterrestrial (e.g. space weather).

Technological disasters are classified as follows: industrial accident (e.g. explosion, oil spill), transport (e.g. air, rail) accident, miscellaneous accident (e.g. collapse, explosion) (CRED, 2017).

Mitigation

Disaster **mitigation** includes a set of measures that aim to reduce or eliminate the likelihood of a disaster or to reduce the negative impacts if a disaster occurs. On this stage, strategies to reduce all kinds of future risks will be considered, be it through the construction of the physical environment (structural mitigation) or through a modification in human behaviour or natural processes without application of engineered structures (non-structural mitigation) (Coppola, 2011, pp.209-213).

Preparedness

Disaster **preparedness** refers to activities, which ensure that the community (i.e. individuals, households, organisations, business, and states) that might be affected by a disaster is able to respond timely, adequately and efficient to the outbreak of a disaster. The objective is to equip the community with proper tools to minimize potential losses and to increase the chances to survive (Coppola, 2011, p.251). Thereby, the main challenge on this phase is to assess the needs, i.e. the goods and services are required in the case of a disaster (Tomasini & Van Wassenhove, 2009, p.554).

Response

Disaster **response** includes measures taken before, during and immediately after the outbreak of a disaster. They aim to reduce or eliminate the negative impact of a disaster, e.g. to limit injuries and the number of deaths, prevent property damage, and negative environmental consequences. This is the most complex function of DM as it usually occurs under very high stress, time-constraints and limited information (Coppola, 2011, p.305). The term disaster **relief** refers to one component of response that includes a set of temporary actions immediately after the outbreak of a disaster, such as provision of food and water, temporary housing, clearance of debris etc. (Coppola, 2011, p.380).

Recovery

Disaster **recovery** comprises complex measures and involves the greatest range of actors to return the community to its normal functioning. On this stage, the affected communities eliminate the damages of the disaster, repairing and reconstructing what was damaged. In the longer run, economic revival should be enabled. If possible, risk reduction measures for the case of similar disaster in future should be incorporated in this stage (Coppola, 2011, pp.377-381).

It should be noted that the phases of the disaster-management cycle are not mutually exclusive and rather overlap (Maon et al., 2009, p.151).

In seeking to align the vocabulary used in this thesis to the terms and concepts used in the practice of the NGOs that participated in the survey, the terms “*disaster risk reduction*” (DRR) and “*disaster prevention*” will be applied. These terms will be used as a general term for the measures taken on the two phase of “*disaster mitigation*” and “*disaster preparedness*”.

2.3. The Scope of the Thesis

Until recently, the post-disaster phases of DMC were in focus. In contrast, not much attention was paid to disaster planning and preparedness, especially in the developing countries, which are often restricted in their capacities. However, recognition of disaster preparedness has been growing worldwide in recent years, also by poor nations (Coppola, 2011, p.425).

The situation is similar in respect to the involvement of the private sector: Disaster relief efforts with the consequent recovery involve all actors affected by the disaster; they cause high costs and require a wide range of different resources (Izumi & Shaw, 2015, p.6). In this context private companies can assume many functions. Therefore, the involvement of the private sector in disaster prevention makes much sense. In fact, participation of the private sector can be considered on all stages of the DMC in cooperation with state and non-state actors (Izumi & Shaw, 2015, pp.6-7). Due to this development new patterns of cooperation emerge. In this thesis the changing patterns of cooperation of non-state actors with the private sector will be in focus.

The topic of this thesis is the role of the private sector in humanitarian aid from the perspective of Swiss NGOs active in the field. To approach this topic, aspects of cooperation of humanitarian actors with the private sector will be reconsidered along the whole DMC: This integrative approach seems desirable as the phases of the DMC cannot be strictly separated (see 2.2.). Moreover, the cooperation of the NGOs with private companies in development will be touched. This widening of the focus is indicated as humanitarian organisations often run projects in different areas of intervention - development, DRR, disaster relief and humanitarian aid. There are, hence, possible overlaps between these areas, e.g. disaster prevention measures can be integrated in the phase of the disaster response. This overlap may also have implications for the cooperation with the private sector.

The changing role of private enterprises will be discussed in the light of the result of the survey conducted on the experiences of Swiss NGOs with the private sector. Thereby, several key aspects, sub-themes, will be identified and discussed. In order to clarify the scope of this thesis, the

cooperation of the private sector with other humanitarian actors, e.g. with governmental agencies, will not be considered.

3. METHODOLOGY

3.1. Approach to this Thesis

To address the main question of this thesis several research methods were employed.

The qualitative research on the cooperation of Swiss NGOs with the private sector is at the heart of this thesis. In contrast to quantitative research that focuses on quantification in the collection and analysis of data, qualitative research is rather concerned with words in its approach to data collection and analysis (Bryman, 2016, pp.32-33). This makes qualitative research more appropriate as a research strategy for the purpose of this thesis.

Moreover, the nature of the topic and the research questions, and the previous research play an important role by definition of the research strategy³ (Bryman, 2016, p.36). The issue of reconsidering the patterns of cooperation between business and humanitarian actors is relatively new. Even though, in the recent years there has been growing interest in the issue, which becomes manifest in a growing number of publications and international debates, there is no systematized knowledge on the forms of cooperation between NGOs and the private sector. The body of research is still very limited. This is particularly true with respect to the Swiss humanitarian market. This thesis aims to make a contribution to this topic by conducting a survey on Swiss NGOs and their experiences, strategic and operational consideration with regard to cooperation with the private sector. This thesis thereby focuses on the practical point of view. In this regard, the standpoints and interpretations of the experts of these organisations are important.

This thesis was completed in the following **steps**:

As a starting point, literature and diverse document sources addressing the involvement of businesses in humanitarian aid were studied. The latter include documents issued by states and international organisations, e.g. official reports, documents released by companies and organisations, annual reports, press releases, PR documents, mass-media outputs, such as, e.g., newspapers, and virtual documents, e.g., information available from web-sites of companies, organisations and blogs. The objective on this phase was to collect data concerning recent policies, debates and strategies of international and state organisations relevant for the topic.

³ The qualitative research strategy should be applied: Firstly, if there has been done little or no research on topic of interest and the objective of the research is generating of a theory, as opposed to theory testing; Secondly, if the focus is on the worldview of members of a social group and on their interpretation of the social world; Thirdly, if the nature of the topic and of people investigated indicates on that (Bryman, 2016, p.36).

Based on the results of the literature review the basic research questions were formulated. This, in turn, stimulated the specification of several key sub-themes and the definition of a number of additional questions related to each of them. These questions which will be studied in the empirical part of this thesis. These sub-themes, which will be outlined below (see 4.3), define the points of interest of this research and serve as a guideline for the survey.

In the practical (or empirical) part of the thesis, the focus is on the cooperation of Swiss NGOs with the private sector. To get a practical insight, a survey was conducted. As a method for data collection a questionnaire was applied and semi-structured expert⁴ interviews were conducted. As an additional source of information the public-domain data of the organisations were used. This combination of different methodological perspectives in a qualitative study, or the so-called method of triangulation, aims at different methods to complement each other and to compensate the weaknesses of each single method (Flick, 2014, p.30).

The results of this survey allow to get an insight into the experiences and strategies of Swiss NGOs and to discuss them in light of the literature review conducted in the previous part. Thus, the methodology of this thesis embraces the main features of the qualitative research in accord with Bryman⁵ (2016).

In the following section the empirical research and the process of conducting the qualitative research on Swiss NGOs will be outlined in more details.

3.2. The Survey on Cooperation of Swiss NGOs with the Private Sector

The research method on Swiss NGOs embraces the main steps of qualitative research suggested by Bryman (2016: pp.378-382).

Step 1: Formulation of General Research Questions

The sub-themes and related research questions (see pp.34-35) that were formulated based on the literature review represent the starting point of the study in this empirical part. These questions were included into the interview guides (see Appendix I) and into the questionnaire (see Appendix II).

⁴ Flick (2014) defines experts, as members of an organisation, which posse specific insight, experience and knowledge on the issue of interest due to their expertise and professional position in the organisation (2014, pp.227-228).

⁵ According to Bryman (2016) qualitative research has three main features: First, it implies an inductive view of the relationship between theory and research, i.e. the theory is derived from the outcome of the research. Second, its epistemological position is interpretivist, i.e. the social world will be understood through examination of the interpretation of this world by individuals. Third, its ontological position is constructivism, i.e. the social reality is perceived as an outcome of interactions between individuals (Bryman, 2016, p.375).

Step 2: Selection of Relevant Research Participants

On this step, a number of relevant organisations was selected and contacted. The sample includes leading Swiss NGOs whose activities, according to Internet research, include projects in development cooperation, DRR and humanitarian assistance. As the latter two areas are the topics and main interest in this thesis, it was important, when sampling, to be sure that the organisations are active in those two areas. The selection of the organisations, therefore, was based on two criteria:

- First, the **certification by ZEW**O that the organisation is engaged in humanitarian aid. Based on this certification, the experiences of the organisation in the disaster response could be assured. The only exception to this criterion is Helvetas, which focuses primarily on development cooperation and DRR and has just recently included disaster response projects in its profile.
- Second, all the selected organisations are **members of the DRR Platform**⁶ which implies that the organisations have experiences in disaster prevention activities.

To get access to relevant information, the organisations were contacted via email by sending a request with the brief description of the topic of the thesis. The recipients then forwarded the request within their organisation to the expert familiar with the issue.

Problems of non-response often emerge in the research. In this survey, the majority of the organisations kindly responded to the request and contributed to the survey either by expert interview or/and filling in the questionnaire described below. Furthermore, the size and diversity of the sample provides a good overview on the range of issues and allows to identify trends and patterns. Within some limitations, the sample can be considered as representative.

Step 3: Collection of Relevant Data

The application of a multi-method approach for the data collection is not rare in a qualitative research (Bryman, 2016, p.378). Thus, the data on Swiss NGOs experiences with the private sector were collected from three different sources:

- Texts and documents of the organisations available on the public-domain;
- qualitative semi-structured expert interviews; and

⁶ **Swiss NGO DRR Platform** is “*The platform is open to organisations that are based in Switzerland or implementing partners of Swiss-based organisations, working on Not-for-Profit basis and active or interested in DRR and CCA. Founded in 2011 by seven organisations, the platform consists to date of the following member organisations*” (DRR Platform, 2017)

- a questionnaire sent to the NGOs by e-mail that is rather used for data collection in quantitative research.

The studying of the text documents had a double function: First, they are used as an additional source of information about the activities of the organisation. Second, due to the individual character of each organisation, they served as an input for the generation of additional questions for the interviews.

The Questionnaire

The questionnaire was designed in a way that should make it as easy as possible for the experts to quickly and precisely answer the questions. It consists of both, open questions and theory-driven questions. The majority of the questions are open-ended or free text, which, according to Flick (2014), may be classified as qualitative in nature (2014, p.33). The experts were, therefore, absolutely free in bringing in their considerations and points of view. Several questions in the questionnaire offered a selection of possible answers (e.g. about forms of cooperation, obstacles for cooperation). In this context they are theory-driven or deductive in approach. The reason for the application of this design is to double-check or verify considerations and conclusions found in literature. Thus, they aim to check, whether the experiences communicated on the international level coincide with the experiences of the Swiss NGOs, and to understand the relative importance of each factor. In each of these questions, there was also the possibility to give a personal answer. Therefore, these questions contained the element of induction and do not constrain the experts to express their own opinion.

The Expert Interviews

The semi-structured **expert interviews** are the most comprehensive and in-depth source of empiric data in this thesis. The semi-structured interviews cover a list of fairly specific topics, allowing for the interview process to be flexible. Questions may be asked in the way they are phrased in **the interview guide**, but the interview is not confined to these questions and additional questions may emerge in the course of the interview (Bryman, 2016, p.468).

For the purpose of this thesis, this flexible methodical approach makes sense, as the organisations differ in multiple aspects and the focus of research may shift depending on the experiences and strategies of the organisation. Moreover, the amount of background information about organisations known in advance also differed significantly. This had an impact on the phrasing of the questions. The interviews were conducted either face-to-face or via telephone/skype. Alt-

though the second method is not often used in qualitative research (Bryman, 2014, p.484), it was an important option to get access to as many experts as possible.

As mentioned before, the interviews were conducted on the basis of the interview guide, which contained a list of issues to be covered (Bryman, 2016, p.469). The interview guide included the same body of key questions as the questionnaire. This increases and ensures the consistency of the research. Additional questions were formulated for the organisations individually, partly in the course of the interview, partly beforehand, taking into account the diversity of the organisations and the background information about organisations that was available in advance. During the interviews a recorder-device was used. Afterwards the interviews were transcribed for the further analysis.

The application of these different methods for data collection has its weaknesses. The data is partly heterogeneous; the use of questionnaire makes it not possible to deepen points of interest and to precise the answer. Partly interpretation of the data is difficult without any context information.

Nevertheless, the application of different methods for data collection contributed much to the research. Flick (2014) argues that linking qualitative and quantitative data is justified in so far that it helps to learn more about the issue of interest (2014, p.34). This was the case with respect to the thesis at hand: The use of different methods of data collection allowed, first of all, to expand the sample and to get an insight into the experiences of a larger number of organisations. Due to time limits of the research and different capacities and motivations of the organisations to participate in the survey, it was not possible to conduct interviews with all the organisations in question. Therefore, a number of organisations could contribute to this survey by completing the questionnaire. Although, the knowledge about experiences of these organisations is rather fragmented and detailed understanding and analysis of the experiences of these additional organisations is difficult, the expansion of the sample gives an opportunity to better understand the general tendency in the cooperation between the Swiss NGOs and private sector, e.g. the awareness, challenges organisations face in the cooperation, strategy. Moreover, it allows comparing perception of the organisations on a number of key issues. In the cases when an interview could be conducted, the questionnaire had merely an informative or complementary function. The knowledge obtained from the text sources, interviews and questionnaires was finally integrated.

Step 4: Interpretation of Data / Analysis

The strategy of thematic data analysis, *one* of the most frequent strategies of qualitative data analysis (Bryman, 2016, p.570), was applied for the interpretation of data in this thesis. This strategy consists of ordering the data by constructing an index of main themes and sub-themes (Bryman, 2016, pp.584-585). Application of this method allows, in the simplest way, to order and analysing the data relevant for each of the sub-themes identified at the beginning and to answer the research questions for each of them. The starting point and the main source of the data for the analysis are the transcripts of the expert interviews. Afterwards the data from the questionnaires and the text source were integrated.

Step 5: Conceptual and Theoretical Work

The next step goes hand in hand with the interpretation of the data. On this phase of the analysis, the empiric data will be reconsidered, interpreted and discussed in the light of the theoretical framework. On this final stage of the analysis, the definitive formation of the findings emerge.

Step 6: Writing up conclusions

At the end, the findings will be summarised and the implications will be derived. That includes: Consolidation of the knowledge concerning approaches used by Swiss NGOs in their cooperation with the private sector, answering the research questions of the thesis and further implications.

Overview of the Research Design

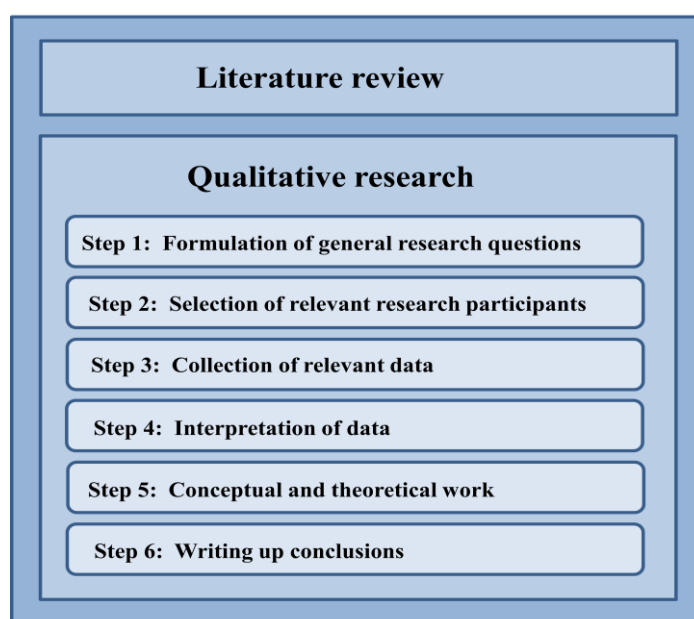


Figure 4: Overview of the Research Design (Source: own illustration based on Bryman (2016)).

4. HUMANITARIAN MARKET AND THE PRIVATE SECTOR: LITERATURE REVIEW

4.1. Characteristics and Tendencies of the Humanitarian Market

4.1.1. Growing Market

At the global level, the humanitarian market has experienced an unprecedented boom in the recent years. According to DI (2017) the funding of the international humanitarian assistance increased in 2016 for the fourth consecutive year and reached the record sum of 27.3 bn. USD (2017, p. 8). This growth goes hand in hand with an increase in demand for humanitarian assistance, a growing number of humanitarian actors, and also an increasing diversity of patterns of interaction between the market participants, products and services required and offered. Before going into the details and discussing the role of the private sector in this changing landscape, the humanitarian market and its distinctive features will be presented.

4.1.2. Supply and Demand

The concept of a market implies the presence of a supply and a demand side. The **supply side** of the humanitarian market is represented by the various providers or “*suppliers*” of humanitarian aid. A wide range of different organisations and institutions can provide humanitarian assistance. Primarily, these are the international aid organisations such as the agencies of the UN system, international organisations such as IFRC, global and local NGOs, and community-based organisations (Wakolbinger & Toyasaki, 2014, p.43). Also governmental and commercial, i.e. private sector actors can provide humanitarian aid. Organisations and companies may operate directly or act as contractors or as sub-contractors (Coppola, 2011, p.398).

On the **demand side** of humanitarian aid one would expect the population in need of help after a disaster occurred. And, indeed, from a policy perspective, they are on the demand side, because it is their “*needs*” that should be satisfied. However, it is a characteristic of the humanitarian market that the beneficiaries of the services provided are – in many cases – not solvent, i.e. not in the position to pay market prices for the humanitarian aid they receive. Therefore, from an economic point of view, the demand side is not represented by the affected population but rather by the institutional and private donors, i.e. the stakeholders that order humanitarian services from the suppliers of humanitarian aid and who pay for their services (Carbonnier, 2015, p. 45).

Traditionally governments have been the main donors of humanitarian assistance. According to DI (2017) the share in global humanitarian response that was financed by governments and EU Institutions in 2016 was 74.4 % (USD 20.3 bn. out of USD 27.3 bn.) (2017, p.7). However, a relevant share of funding comes from other groups of donors, such as foundations, individuals and private companies. This observation is confirmed by DI data, which reports a steady rise of private donations in absolute numbers over the period between 2012 and 2016 (DI, 2017, p.28). Over the same period, the relative share of the private sources of all international humanitarian assistance remain more or less steady at ca. 23-27% (DI, 2017, p.50). Donations from individuals make up the bulk of these funds (70 % or approximately USD 4.6 bn. in 2015) (DI, 2017, p.51), while the share of donations from companies is comparably low (USD 388 m in 2015) (DI, 2017, p.51). The funds are provided either directly to the providers of humanitarian aid or to intermediaries, e.g. World Bank, international organisations and NGOs, which channel the money to the implementing organisations (Wakolbinger & Toyasaki, 2014, p.43).

Donors pursue their own goals when directing funds towards humanitarian aid. Ideally, but not necessarily, these objectives are compliant with the fundamental principles of humanitarian aid (see 2.1.1). The donors expect to have a positive impact of their funding and are in this sense in the role of “customers” (Balcik et al., 2010, p.23). Given the widening gap between supply and demand (see 1.1.1) donors are in a strong position and can generally decide autonomously, how their money should be allocated. They can influence this allocation directly by imposing restrictions on the use of the funds (e.g. allocating them to certain departments, beneficiaries, causes or services of the organisation), i.e. earmarking their donations (Barman, 2008, pp.40-41). But their influence can also be indirect, if an aid agency’s decision on money allocation is impacted by the donor’s preferences and willingness to donate in future (Wakolbinger & Toyasaki, 2014, p.48).

One should notice that some stakeholders act on both, the demand and the supply side. Donor governments, for example, may not only engage external suppliers to implement humanitarian aid but run humanitarian programmes themselves (Carbonnier, 2015, p.46).

The humanitarian market has to cover a wide range of needs and functions. The **products of the humanitarian market** differ along the DMC (see 2.2.2). With respect to DRR, it comprises a wide range of measures directed to increase people’s awareness and preparedness to a disaster, such as promotion of early warning systems or emergency planning; it also includes risk-transfer mechanisms, such as insurance schemes, micro-insurances (Carbonnier, 2015, pp.136-139). In the aftermath of a disaster, on the phase of disaster response, it should cover the needs of victims

providing them with core products such as health services, water and sanitation, food and shelter. In the longer run, on the recovery phase, a wider range of goods and services are at the forefront such as education, income generation, restoring of infrastructure and human right advocacy etc., everything that eliminates the economic damage of a disaster and enables the recovery of society and business (Ashdown, 2011, p.4).

Literature points to a link between poverty, vulnerability and crises: The poorest countries are often the most vulnerable in the face of disaster (DI, 2017, p.). This observation implies that the humanitarian market and development aid approaches should be joined (DI, 2017, p.8). Indeed, after the strike of a disaster, it is the actors of the local community, authorities at the local and federal level, who organise the disaster response (Storr et al., 2015, p.37). Therefore, strengthening the communities in respect to disaster preparedness, i.e. resilience building, is considered to be a development objective (Izumi and Shaw, 2015, pp.4-5). Taylor et al. (2012) argue that in practice division between areas of interventions is rather an instrument applied by international donors to separate funds for relief and development. From the operational point of view the lines between DM and development are often blurred (2012, p.46) (see 2.2.2).

4.1.3. Distinctive Features and Challenges in Humanitarian Assistance

The humanitarian market has distinctive features that renders the humanitarian environment very different from business. There are also particular challenges that organisations providing humanitarian assistance have to cope with to be effective. Therefore, awareness of these aspects by all the actors involved is important for their effective collaboration. In the following, the key issues will be outlined.

Central Role of Beneficiaries' Needs

The first and the most important distinctive feature of the humanitarian market is the **central role of beneficiaries** and their needs. In contrast to business, which is profit-driven, the humanitarian market focuses primarily on timely and appropriate delivering of aid to beneficiaries (Tomasini & Van Wassenhove, 2009, p.549) who often do not have the money to pay for the goods and services. Therefore, common commercial logic does not work in humanitarian context.

Unpredictability of Demand and Supply

Disasters differ from each other in their types, scope, geography and the set of stakeholders involved. Often, a disaster happens unexpectedly, which means that a rapid response to this event cannot be properly planned or forecasted (Tatham & Christopher, 2014, p.6). In consequence,

demand for humanitarian aid is often **very unpredictable and random**, in contrast to business, where demand is relatively stable and predictable in terms of location and frequency (Aslanzadeh et al., 2009, p.228).

Also, funds provided by the donors can differ from disaster to disaster and can be sometimes difficult to predict. Their motivation to donate may depend on multiple factors, such as political considerations, personal preferences or media attention. Therefore, **matching supply and demand** in disaster response is sometimes very challenging (Tomasini & Van Wassenhove, 2009, p.555). This issue also arises on the stage of disaster prevention (Balcik et al., 2010, p.24). In some cases, uncertainty goes beyond just matching of supply and demand, as external factors such as security or political circumstances affect humanitarian response as well (Tomasini & Van Wassenhove, 2009, p.555). Therefore, effectiveness of humanitarian assistance requires flexibility from the aid providers, as they have to be able to adjust to specific local conditions.

Complexity of Humanitarian Supply Chains

Also, the **humanitarian supply chain** differs from the commercial supply chain in multiple aspects: Ultimate objectives, patterns of interaction, strategic inventory, dynamic and changing focus over time, risk of mistakes etc. (Tomasini & Van Wassenhove, 2009, pp.549-551). This characteristic is all the more important, as the supply chain management is a key factor of effectiveness in disaster response (Tomasini & Van Wassenhove, 2009, p.550). Wakolbinger and Toyasaki (2014) argue that the share of logistics costs in humanitarian response is very high, thus, eliminating inefficiencies in logistics could reduce overall costs significantly (2014, p.42). Therefore, strategic cooperation, i.e. selection of partners in the supply chain and patterns of interactions with them have a strong impact on the quality of the disaster response.

Challenging Coordination

A crucial factor for the effectiveness of disaster response in particular is **coordination**⁷ of humanitarian actions. Coordination is particularly challenging in the case of large-scale disasters which involve a large number of actors, humanitarian organisations and the private sector, each of them providing emergency response with their independent projects. If their activities are not coordinated at an early stage of disaster response, the result may be confusion, wastage, inefficient use or duplication of resources (Coppola, 2011, pp.346-347). Even though coordination is most challenging at the early stages of disaster response, it remains important also in the long

⁷ Balcik et al. (2010) define coordination as „*the relationship and interactions among different actors operating within the relief environment*“ (Balcik et al., 2010, p.23).

run. In the recovery phase the quality of coordination is essential for the economic revival, e.g. with respect to job creation measures and the provision of trainings etc. (Coppola, 2011, p.404).

Cluster Approach for International Coordination

The Humanitarian Reform of 2005⁸ addressed the challenge of coordination in the international disaster response. Due to the introduction of the **Cluster Approach**⁹ improvements in coordination could be observed (Charles et. al, 2010, p.163). Nevertheless, the cluster system has its limits. These limits can be operational, e.g. in case of a complex crises with a large number of organisations participating in the Clusters, causing cluster meetings to become time-consuming (Stumpfenhorst et al., 2011, p.590), and also legal, as the UN Cluster System has informative character and cannot oblige organisations to participate or to adhere to its decisions. Therefore, its effectiveness also depends on directives of the national governments and the willingness and abilities of the actors to cooperate (Stumpfenhorst et al., 2011, p.590). Therefore, according to literature, coordination in disaster response still remains challenging (Stumpfenhorst et al., 2011, p.590).

4.1.4. Actors and Their Interaction

Before discussing in more detail what role private enterprises may play in humanitarian assistance, the core-players (see 2.1.2) of the sector and the patterns of their interactions will be presented in this section.

Government of the affected Country

If a disaster occurs, the **government** of the affected state has the primary role in taking actions to organise the appropriate response, such as providing aid and basic goods to the affected population, restoring the infrastructure, preventing the government further disruptions etc.

As the state enjoys sovereignty, all the organisations participating in disaster relief have to be accredited by the local government in line with local laws (Stumpfenhorst et al., 2011, p.588). The capacities and willingness of states to involve the international community in the humanitarian response can differ from case to case. If the government is unable to manage an emergency

⁸ As a starting point for the reform served the Humanitarian Response Review (2005), which assessed capacities of main humanitarian actors in humanitarian response, identified gaps in the system and provided recommendations (McNamara, 2006, p.10). In respect to coordination it stated: “*The IASC should identify and assign lead organizations with responsibility at sectoral level, especially in relation to IDP protection and care and develop a cluster approach in all priority sectors.*” (UN, 2005, p.16).

⁹ Originally IASC identified nine Clusters with a Working Group and a lead agency on a global basis for each (McNamara, 2006, p.10). The ultimate goal was to help NGOs to provide aid according to local priorities, by collecting and organisation of data, assessment of needs and providing resulting information to local NGOs (Stumpfenhorst et al, 2011, p.588). By now the system has been expanded to 11 Clusters (Coppola, 2011, p.347).

and to coordinate the provision of aid on its own, it calls for international help and an external coordination framework has to be established. In this case, the UN assumes the role of the leader and coordinator of the disaster response (Coppola, 2011, p.446) applying the Cluster Approach. Even in this situation, the state calling for international assistance still has a strong say in the distribution of roles among the stakeholders (Charles et al., 2010, p.160-161).

Core-Actors of the Humanitarian System

Humanitarian response is traditionally provided by some **core-actors** of the humanitarian market (see 2.1.2). In large disasters actors on many levels are involved - local, regional, national and international agencies and organisations (Coppola, 2011, p.346).

The **UN agencies** are the largest providers of international humanitarian aid and often play the role of an intermediary between the donors and the affected states, e.g. because donor governments prefer to work with UN partners rather than providing funds directly (Coppola, 2011, p.30). The UN provide a large share of all the humanitarian assistance not using their own staff and resources but by funding NGOs which implement the aid programmes on the field (Carbonnier, 2015, p.165).

The **International Movement of the Red Cross and Red Crescent** is the largest humanitarian network worldwide and is comprised of the ICRC, IFRC, and 190 member National Societies (SRC, 2017). The network often provides first aid through local volunteers and through the network of National Societies at a regional or global level (Ashdown, 2011, p.36). It is active on all stages of DM, a wide range of social activities and development cooperation. All the activities are based on the seven Fundamental Principles¹⁰ (SRC, 2017).

National and international **NGOs** are leading humanitarian actors that implement programmes on the ground. Being defined as non-profit and civilian-based organisations, they depend on funding provided from outside by their donors. They collectively implement all kinds of pre-disaster development and post-disaster activities (Coppola, 2011, p.484). The term NGO covers very diverse organisations. The NGO sector worldwide comprises a small group of “major players”, such as CARE, Oxfam, Medicines Sans Frontieres (MSF), and Save the Children that dominate the market and more than 4’400 smaller NGOs (Taylor et al., 2012, p.9). All of them conduct programmes across a variety of sectors at the same time focusing a particular operational niche¹¹.

¹⁰ These principles are: humanity, impartiality, neutrality, independence, voluntary service, unity and universality. They are at core of RC/RC movement and provide an ethical, operational and institutional framework (SRC, 2017b).

¹¹ MSF, for instance, specializes on medical care, Save the Children on child protection etc. Each organisation has a defined mission that guides their actions (Coppola, 2011, p.484), e.g. child protection, fair labour conditions, religious values etc. Thereby they can operate on regional, global and national levels (Coppola, 2011, p.484).

International NGOs operating in a country are subjects to the law of this country and must coordinate their activities with local authorities; this means i.a., that their presence in a country must be facilitated by an official registration with the host government (OCHA-ROAP, 2013, p.21). Donors might require them to coordinate their actions with other organisations in projects and tasks, but beyond that, there is no formal obligation to cooperate with any other actor (Coppola, 2011, pp.491-492). Thus, decisions of NGOs to cooperate with other organisations including private companies are usually taken on voluntary basis and depend on their strategic objectives.

4.1.5. Trend of Core Actors to Involve Private Sector

Virtually all of the above core actors have over the past years engaged in some form of interaction with the private sector.

UN Setting the Agenda

The UN started expanding its relationship with the private sector back in the 1990s. The UN Millennium Declaration in 2000 acknowledged the role of the private sector with respect to achieving the Millennium Development Goals. In the meantime the UN has a vast number of collaborative arrangements with the private sector in a range of ways (UN, 2013, p.2), covering development aid all phases of the DMC. Therefore, the UN agencies¹² have a prominent role in promoting the agenda on relations with the private sector internationally, they generate knowledge on different forms of such cooperation, test new forms and share best practices (Hoxtell et al., 2010, p.12).

EU Widening the Focus for Cooperation

Also **public institutions** at different levels aim to engage in wider cooperation with the private sector. At the European level, the European Community Humanitarian Office (ECHO) collaborates with the private sector in disaster preparedness/risk reduction and response. An important trend thereby is the shifting focus from cooperation with companies in disaster response towards the wider involvement of business into disaster prevention and preparedness activities (Georgieva, 2014). The areas for expanding the collaboration of public institutions with the private sector include cooperation in particular sectors in disaster response (e.g. logistic, technologies, finances), cooperation in disaster risk management (e.g. with insurance and re-insurance

¹² According to (Hoxtell et al. (2010) the following agencies provide extensive sources of information of partnerships with the private sector: UN Global Compact Office, the United Nations Children's Fund (UNICEF), the World Food Programme (WFP), the United Nations High Commissioner for Refugees (UNHCR), the United Nations Development Programme (UNDP) and the Joint United Nations Programme on HIV/ AIDS (UNAIDS) (2010, p.12)

industries), and cooperation in research and development of new technologies for DRM (e.g. early warning systems) (Georgieva, 2014).

Switzerland

Also institutions on the **state level** aim to strengthen cooperation with the private sector into DM. In Switzerland, for example, DEZA has stated in 2016 its intent to double the number of its partnerships with private partners by 2020 (pp.36-37).

NGOs

Different **international humanitarian organisations** also actively collaborate with private partners. Some of them - first of all large NGOs - have specialised staff engaged in the dialogue. For instance, Oxfam has a Private Sector Advocacy department that provides consulting to other NGOs on the cooperation with private companies (BGPF, 2015, p.12).

To sum up, an increasing interest of governments, international institutions and organisations for cooperation with the private sector can be observed. This cooperation is widely perceived as “*an area of new opportunity*” (BGPF, 2015, p.12) and new forms of cooperation in DM are considered. According to WEF (2017), the growth in public-private collaborations is a great opportunity in humanitarian response (WEF, 2017, p.4). International NGOs in turn strive to benefit from the cooperation with private companies. The motives of humanitarian actors and private sector to engage in such closer cooperation will be discussed in the following section in more detail.

4.2. Reviewing the Role of the Private Sector

4.2.1. Motives to Engage the Private Sector

In this section the motives of humanitarian agencies to engage in cooperation with private sector partners as presented in literature will be discussed.

4.2.1.1 Complementing Resources: collaboration in sectors

Due to the complexity of the humanitarian environment a single agency often does not have all the necessary capacities and abilities to implement effective measures in the context of DM. Also, from a “*make-or-buy*” perspective, it is sensible that organisations resort to the resources of private sector companies to **complement their resources**, which can be provided by either international or domestic private partners. There are a number of sectors, in which humanitarian agencies actively seek cooperation with private companies for this reason:

- **Logistics:** Tomasini and Van Wassenhove (2009) argue that humanitarian agencies benefit in two areas from the cooperation with logistic companies: First, with respect to disaster preparedness as back office support; Second, in disaster response by moving key assets such as food, medicines, equipment (2009, p.557). Organisations increase their transportation capacities resorting to existing business networks using the vehicles, infrastructure, and warehousing of private partners.
- **Suppliers of goods:** Private sector companies supply a wide range of goods to respond to the needs of the population affected by crisis, such as basic products food, water, medicines, hygiene items, shelters etc.
- **IT and communication:** Specialized private sector companies supply technologies for disaster prevention and relief such as web-based platforms, SMS-based technologies, social media, etc.
- **Financing:** E.g. providers of cash-transfer services, vouchers.
- **Engineering and construction:** To complement expert knowledge in the construction of water systems, disaster-proof facilities etc. in the phase of disaster prevention or during the reconstruction in the aftermath of a disaster.

4.2.1.2 Access to innovations and technologies

NGOs are under a growing pressure to provide their assistance as efficiently as possible. Innovative approaches and products can help organisations to increase their impact, covering the needs at lower prices, in larger scale or in higher quality. In this context, the cooperation with private companies is very advantageous, as it offers much more space for innovations. Business often has capacities and resources to develop know-how. Innovations can be considered with respect to any good and service for the humanitarian market including purpose-build products for different types of humanitarian actions and a variety of user groups. Innovations mentioned in literature include e.g.:

- **Tools, equipment and innovative solutions** for humanitarian workers and specialists to increase the efficiency of humanitarian actions and disaster prevention¹³. The range of products is very wide and often based on the application of new technologies, such as satellite and mobile technologies, mapping, and artificial intelligence or innovative financing approaches such as impact investment or innovative insurance schemes (WEF, 2017: pp.6-7).

¹³ For instance, an updated version of Land Rover Discovery SUV equipped with a roof-mounted drone and a landing system developed by Land Rover in cooperation with the Austrian Red Cross for specialists active in search.

- **Products for beneficiaries:** Examples include the Better Shelter¹⁴, flat-pack temporary shelters for refugee camps designed by IKEA for UNHCR that should improve the life quality of people displaced by crises (Howarth, 2015).
- **New methods / infrastructure for delivering of aid:** Such innovations comprise innovative solutions for cash-transfer. For instance, MasterCard Aid Network¹⁵, an innovative card-based payment technology for disaster relief tested by Master Card with the partner organisations e.g. World Vision and Save the Children (Ryan, 2015).

Some of these innovations have the potential to fundamentally change the way in which humanitarian action is performed.

4.2.1.3 Access to Funds

The effectiveness of humanitarian assistance provided by an organisation depends on its funding mechanisms and financial flow: On one hand, the scope of organisation's activities is determined by the amount of its funds, on the other hand such factors as timely availability, fluctuation and flexibility of funds are important for the effectiveness of the humanitarian response (Wakolbinger & Toyasaki, 2014, p.44). Thus, reconsidering the donor base is an important prerequisite for humanitarian organisations.

Philanthropic relations have been acknowledged as one of the most important forms of cooperation between humanitarian actors and the private sector. Resource-mobilisation from the private sector gains growing attention, especially in a situation of shortfall and downturn of governmental money for humanitarian assistance (DI, 2017, p.44). While in the past it was perceived rather as a mean to diversify funding, it is now considered to be “*a critical source of additional funding*” (DI, 2017, p.50). The UNHCR, for instance, launched in 2014 a five-year private sector fundraising strategy in 2014 aiming to raise USD 500 Mio by the end of 2018 (UNHCR, 2016, p.144).

Donations made by companies can be different and range from cash, in-kind goods and services (e.g. food, water, medicines, transportation, warehousing, and mobile connection) to expertise and know-how (Carbonnier, 2015, p.189).

¹⁴ In contrast to traditional refugee tents, the new shelters are more durable with an expected lifespan of three years and are better insulated (Howarth, 2015).

¹⁵ It is an alternative form of currency for beneficiaries that should replace cash-distribution and e-vouchers (Ryan, 2015).

4.2.1.4 PR: Increasing Public Awareness for Humanitarian Issues

Cooperation with a private company might help a humanitarian agency to increase a wider public's awareness of humanitarian needs thereby indirectly attracting new donations. There are several points to mention in this context:

- Firstly, a humanitarian agency may use **corporation networks** for awareness rising purposes. An example of this are events organized by Henley & Partners in cooperation with UNHCR (UNHCR, 2016, p.148) such as joint Gala dinners¹⁶, which should draw attention of corporations to the issue of refugees.
- Secondly, the cooperation with a company may also attract the **attention of the company's employees**, who may contribute to humanitarian activities through monetary donation or an expert contribution, e.g. cooperation of TNT with WFP (TNT, 2005).
- Thirdly, **fund-raising or resource mobilisation** organized by a private company attracts attention of the general public to humanitarian issues and the organisation self, e.g. when EasyJet collections by customers for UNICEF (EasyJet, 2017).

4.2.2. Motives of the Private Sector to Be Engaged in Humanitarian Market

The private sector is very diverse. Therefore, each company or firm can pursue different objectives in cooperating with humanitarian agencies. These objectives can overlap and vary depending on size, sector and strategy of the company. Nevertheless, literature points to a number of motives the most important of which are listed in the following.

4.2.2.1 Direct Profit-Generation

For **local businesses**, supplying humanitarian agencies with goods and expertise is in their direct business interest if their services are sourced at market conditions. In a more indirect manner cooperation with a humanitarian agency might allow local businesses to acquire expertise required to increase business-resilience.

As for **international companies**, providing goods or services for a fast growing market is an excellent opportunity for business development, especially if the products required coincide with the core competence of a company. A good example of such a supplier is Vodafone, which specialises on telecommunication.

¹⁶ Information on : <https://www.henleyglobal.com/grcc2016-gala-dinner/>

4.2.2.2 Exploring Business Opportunities

Cooperation with a humanitarian agency can be very useful in order to acquire valuable market know-how (Tomasini & Van Waeernhove, 2009, p.557), e.g. with respect to the specific characteristics a product must meet in the context of a humanitarian crisis or the expectations or actual needs of end consumers. This knowledge is very valuable for the development of innovative products (innovation being one reason mentioned above why NGOs wish to cooperate with private companies)¹⁷.

4.2.2.3 Open up New Markets

Cooperation with a humanitarian organisation offers a company also an opportunity to expand its business operations to the regions, where this organisation operates (Thomas & Fritz, 2006, p.121) and provides of established networks, knowledge of the region and distinctive features of the local market. This strategy is employed, for instance, by companies providing electronic cash-transfer services or e-vouchers or by logistic companies such as UPS expanding its global networks in cooperation with relief agencies, such as UNHCR, CARE, Salvation Army and MedShare (UPS, 2017).

4.2.2.4 CSR: Create a Positive Image

In the recent decades, the issue of corporate ethics gained public attention, especially among consumers in developed countries. Companies are increasingly facing the pressure of the market and public opinion. The researches of BC CCC, which state that “*corporate responsibility is a business imperative*”¹⁸, are well-known in the business community. According to research on the value of “*corporate citizenship*”, CSR contributes to reputation and brand equity, improves the company’s financial performance and increases employee satisfaction (BC CCC, 2017). A good reputation is equally essential to attract new high-potential employees and talents that pay attention to humanitarian issues and corporate values and purposes (TNT, 2005). Therefore, promoting “*good corporate citizenship*” as a key value is essential for companies of all types in the

¹⁷ An example of such an innovation is Vodafone’s Instant Charge, a product designed for the humanitarian market. Instant Charge is a portable outdoor mobile charger that can charge up to 66 mobile phones simultaneously. The market segment targeted originally was refugees in European refugee camps that usually have smart-phones (Vodafone, 2017a).

Another example of a product designed by Vodafone for the humanitarian market is Instant Network Mini, a mobile network in a backpack that can be used to provide calls and text messages in the aftermath of a disaster to affected population (Vodafone, 2017b).

Providing these products, the company can use the opportunity to exploit its core competence in telecommunication and to gain an access to a new customer segment.

¹⁸ “*Corporate citizenship delivers value when companies optimize their core competencies to address opportunities, goals, and operating context issues in the environmental, social, and governance aspects of business*” (BC CCC, 2017).

struggle for their reputation. This can be achieved in a variety of ways: Cooperation with humanitarian agencies in DM is a good opportunity to promote and demonstrate CSR, as the brands of humanitarian organisations enjoy respect and trust (Thomas & Fritz, 2006, p.117).

4.2.2.5 *Protection of business-interests: supply chain*

Taking into account the globalisation of supply chains, the activities of the company might be interrupted or negatively affected in case of a disaster in a country where it itself or its suppliers operate. Therefore, companies are interested to increase the resilience of their supply chain and the communities where they operate and to minimize vulnerability of their business (Maon et al., 2009, p.158). If a disaster occurs, they have a direct incentive to contribute to the disaster response and to support rapid economic recovery.

To achieve their objectives more efficiently, companies cooperate with humanitarian agencies. For example, FedEx supports communities it serves and cooperates with a number of humanitarian organisations, such as Direct Relief, International Medical Corps etc. (Baker, 2016).

4.2.2.6 *Promotion of the brand*

Cooperation with humanitarian agencies can increase the visibility of a company and support positive associations with its brand, for instance, by distributing their branded products among people affected by a disaster (Thomas & Fritz, 2006, p.119). Illustrative in this regard is the example of Coca-Cola which provides the Red Cross with water and other Coca-Cola beverages (CC, 2012). The affected population is likely to become a new customer segment.

4.2.2.7 *Sense of solidarity*

Companies and firms might also act altruistically, providing humanitarian organisations with cash and in-kind donations during humanitarian crises and also offering their business networks and logistic support for disaster relief without receiving any remuneration.

4.2.3. Experiences of the Humanitarian Actors: Patterns and Forms of Cooperation

The enterprises that can be described as belonging to “*the private sector*” are very heterogeneous (see 2.1.3). Similarly, humanitarian actors vary in their size, objectives and capacities (see 4.1.4). Not surprisingly, there is a wide range of forms in which these different actors might cooperate. In order to allow for a structured discussion it is necessary to find a way to sensibly classify these different forms of cooperation.

In the whole, three patterns of cooperation between humanitarian and private sector can generally be distinguished (Hoxtell, 2015: pp.18-21):

- Firstly, purely **commercial relations** can be observed where, for example, a humanitarian agency buys goods or services from a private supplier at market prices. In this situation, direct profit-generation is the objective of the private actor. Here the private actor operates either as a contractor (employed directly by a donor) or as a sub-contractor (contracted by a humanitarian agency).
- Secondly, pure **philanthropic relations**, when a private company donates in-kind goods, expertise or cash to a humanitarian agency without receiving a direct monetary compensation in return. The motives for such non-commercial engagement can be different: Media attention, sense of solidarity etc.
- Thirdly, so-called “**partnerships**”, which constitute a relatively new form of engagement that goes beyond pure procurement or donation and often, although not necessarily, implies a long-term collaboration.

The UN–Business Partnerships Handbook (2013) provides a definition¹⁹ of partnerships that emphasizes the common ground of such collaboration: Partnerships aim to create mutual benefits by pooling resources and/or competences of a humanitarian actor and of a company (Hoxtell et al., 2015: p.16). This form of cooperation assigns business a new role and implies the involvement of wider business interests in such cooperation. Therefore, this new patterns of collaboration and their potential will also be considered in this thesis.

Institutions have attempted to classify their partnerships with the private sector. The classifications used by UN (UN, 2013) and proposed by Hoxtell et al. (2015) to the EU (for the latter see Appendix III) are both based on the desired outcomes, i.e. the results that are to be achieved (UN, 2013, p.5; Hoxtell et al., 2015, p.22). Their outcome-oriented approach to classification corresponds with the policy-perspective pursued by institutional players like the UN agencies and big players, such as implementing partners of the EU – governmental donors, international organisations and mega NGOs.

¹⁹ “Partnerships are collaborative relationships between various parties, both public and non-public, in which all participants agree to support a common cause or to achieve a common purpose, and to potentially share risks, responsibilities, resources and benefits. UN-business partnerships are partnerships involving at least one UN agency, fund or programme and one private sector partner” (UN, 2013, p.6).

Thomas and Fritz (2006), in turn, distinguish four patterns of cooperation, based on a matrix combining the two dimensions “*single-company*”/”*multi-company*” and “*philanthropic*”/”*integrative*” (see Appendix IV) (2006, pp.118-122).

For the purpose of this thesis, it seems sensible to draw from all of the above mentioned sources and to identify the most relevant dimensions from the perspective of the cooperation of Swiss NGOs with the private sector. These dimensions used in this thesis (and in the questionnaires) are the following:

- **Kind of private partner:** The cooperation can include different kinds of private partners, such as international or Swiss companies or large local companies or SMEs. Depending on the kind of the partner, the objectives of the cooperation and the challenges arising from it might differ.
- **Form of cooperation:** Based on the purpose of the cooperation several relevant forms could be considered including private donations, acquisition of technical know-how and innovation (innovation partnerships), complementing of resources (joint implementation of projects), raising awareness for humanitarian issues by stakeholders (advocacy), fund-raising by a private company (resource mobilisation / fund-raising partnerships).
- **Time-frame of cooperation:** The cooperation between NGOs and private companies differ widely in terms of their duration. While some cooperation might just consist of a one-off donation, others cover the whole lifetime of a single project or are even long-term cooperations, covering many projects and being of a strategic nature.
- **Bilateral or multilateral:** The cooperation with private sector companies can be bilateral in nature, combining a private company with one NGO-partner; or it can be multilateral which means that the private partner is integrated in a more complex network of stakeholders.

In the practice of big NGOs, complex models of cooperation can be found, which may encompass different elements corresponding to different elements or levels within one and the same of the four above mentioned dimensions.

4.2.4. Challenges and Obstacles

Analytic literature discusses a number of challenges to be faced by humanitarian organisations and private actors when entering into cooperation. A number of risks of such cooperation for the parties involved, which have potential to become obstacles, have been identified. In the following some key aspects will be briefly discussed.

Potentially Conflicting Interests

As mentioned, humanitarian organisations and business pursue **different objectives** (see 4.1.2). Correspondingly, different interests motivate the actors to collaborate in humanitarian activities: Humanitarian motives in the case of the organisations, business interests and profit in the case of the private actors. Thus, cooperation in a partnership may become unfruitful if preferences of a private partner do not coincide with the actual needs of the humanitarian organisation. For instance, the parties may have different group of beneficiaries in focus. Hoxtell et al. (2015) emphasize that companies prefer to concentrate their efforts either in countries where they see business opportunities or where their contribution will be most visible due to high media attention (2015, p.23); conversely, they are rather reserved to provide their funds and resources to less “popular” disasters (Anisya & Lynn, 2006).

Mistrust

Different ways of working, in turn, provoke **mistrust** between humanitarian and business actors. Thus, humanitarian agencies are perceived as ineffective, disorganised and non-transparent in their competences; the engagement of business in humanitarian assistance can, in turn, be perceived as non-authenticity (WEF, 2017, pp.9, 14).

Reputation Risks

Collaboration with the private sector implicates **reputation risk** for both. The private companies perceive a threat to be involved in a politicised crisis that could provoke accuses of being on the wrong side (WEF, 2017: p.14). Humanitarian organisations, in turn, also perceive risks: The brand is their most valuable asset (Thomas & Fritz, 2016, p.117). Being engaged with a company whose reputation is tarnished, e.g. by being involved in unethical business practices, socially unacceptable businesses or appearing in a media scandal, can undermine the public trust in the organisation and affect its ability to attract donors. At the same time, it might undermine the organisation’s credibility in the communities where it operates. Organisations often try to minimize this risk by applying due diligence check before entering into cooperation (Hoxtell, 2015, p.23).

Lack of Adequate Resources

If an organisation cooperates with a private partner, this partnership should be managed (selection of partners, negotiation of partnership agreements, monitoring and evaluation of partnerships, reporting). The procedures involved in this management can be costly and draw on the organisations financial and staffing resources. The costs of establishing and managing a partner-

ship may, in fact, overweight its benefit (Hoxtell, 2015, p.23). In the words of Thomas and Fritz (2006) the **lack of adequate resources** for the management of a partnership can lead to “*missed deadlines and further frustrations*” (2006, p.118).

Coordination

Another issue that can be challenging in cooperation with the private sector is, according to literature, **coordination within the organisations** themselves. Zyck and Kent (2014) point to the challenge of coordination of partnerships if different levels of the organisation are involved: Country offices of organisations may not exploit the benefits of partnerships entered into at the international level, simply due to unawareness of these agreements. Generally, the management of partnerships between different levels of the organisations represent a complex process (2014, p.18). The tendency of increasing numbers of partners that are involved in humanitarian activities, add to the complexity of coordination.

Communication is an important prerequisite for any collaboration. Zyck and Kent (2014) point to the limited number of forums for interaction between humanitarian agencies and business community: The exchange of information on each other`s activities, such as coordination mechanisms and processes may represent a challenge. Thus, organisations remain unaware of forms of collaboration with the private sector that have been successfully implemented (2014, pp.17-18). Hoxtell et al. (2015), in turn, indicate that one of main obstacles for cooperation of humanitarian agencies with private partners is the lack of expertise on the organisations side in relevant areas, such as donor relations and partnership management (2015, p.63). Thus, unawareness and **limited experiences** of how to interact successfully might be an obstacle for building a cooperation strategy on the part of both, private and humanitarian partner.

This list of challenges is not exhaustive and could be extended. Nevertheless, it comprises the key issues that have been discussed in different sources and that will also be the starting point for the examination of challenges and obstacles faced by Swiss NGOs.

4.2.5. Interim Conclusion

The cooperation of humanitarian agencies with the private sector in DM is still in the phase of its formation, political institutions on different levels actively promote wider engagement of the private sector, trying to exhaust untapped potentials such cooperation can offer. There are established patterns of cooperation between humanitarian actors and the private sector, but new models are searched and tested: All phases of the DM should be covered. As literature review of global trends shows, there are two focal points in cooperation: Fund-raising and innovations

(Zyck and Kent, 2014, p.1). The letter comprises a wide range of options, from high-tech tools to innovative financial schemes.

4.3. Deriving the Research Questions

Based on the foregoing discussion in the following sub-themes and corresponding questions for the qualitative research on Swiss NGOs have been identified (forming the basis for guidelines and questionnaire):

- **Forms and patterns of collaboration:** What are the forms and terms of engagement of Swiss NGOs with the private sector?
- **Challenges and obstacles:** What are motives of collaboration? Which challenges and obstacles are, thereby, perceived by Swiss NGOs?
- **Coordination:** What are the experiences of Swiss NGOs in coordination with the private partners?
- **Private funding:** What role do private donors play for Swiss NGOs and how is this role perceived?
- **Strategy in respect to collaboration with the private sector:** What role do Swiss NGOs assign the private sector in future?

The answering of the questions defined above final serve to answer the following research questions of this thesis:

Research Question 1: The status quo: What are the current forms and practices of cooperation of Swiss NGOs with the private sector? What are the current challenges?

Research Question 2: Drivers and potential: What are the general trends shaping future cooperation between NGOs and the private sector?

Research Question 3: Strategic positioning: Given the general trends, how can NGOs position themselves in the context of cooperation with the private sector?

5. QUALITATIVE RESEARCH ON SWISS NGOS

5.1. Swiss Humanitarian Market: A Brief Overview

While data exist with regard to public humanitarian aid, it is more difficult to obtain reliable data on the size of privately funded Swiss humanitarian aid and on the value of humanitarian aid provided by Swiss NGOs and private actors.

Figures published by DEZA indicate that public fund directed into international development and humanitarian aid in terms of APD amounted to CHF 3'434.8 m or 0.54 % of GDP in 2016. The bulk of this sum was reserved for development cooperation. CHF 480.8 m were dedicated to humanitarian aid (DEZA, 2016a, p.8).

As to development and humanitarian aid provided by private NGOs the DEZA figures (DEZA, 2017c) indicate that private donations made to NGOs amounted to CHF 519.5 m in 2015 (no figures available for 2016). Figures published by ZEWO (ZEWO, 2016, p.4), in turn, indicate that the bulk of these donations were donations from individuals while donations from companies for development and humanitarian aid are rather insignificant (in 2015 the share was about 2 %). There is no indication in the figures as to which share of this amount was spent in humanitarian aid. However, the overall figure of private donations indicates that the share of private funding of humanitarian activities is currently significantly smaller than the share coming from public funds.

While the amount of APD as well as the private donations to NGOs steadily increased in both, absolute numbers as well as relative to GDP, DEZA reports that the amount of APD reserved for development and humanitarian aid effectively decreased in 2016 comparing to 2015 in consequence of increasing financial constraints and more funds being directed to the caring for asylum seekers in Switzerland (DEZA, 2017b, p.7).

Public development and humanitarian aid and the activities of Swiss NGOs in the respective fields are strongly interrelated. DEZA draws on the cooperation with Swiss NGOs in both, development and humanitarian aid. In 2016 DEZA payments made to Swiss NGOs in connection with humanitarian aid activities amounted to CHF 31.2 m, mostly in the form of unearmarked contributions to humanitarian programs of the receiving NGOs. Comparing to this, the cooperation of DEZA with private sector partners in the field of humanitarian aid amounted to CHF 4.0 m only (DEZA, 2017b, p.29). DEZA is set to strengthen its cooperation with the private sector,

planning to double the number of currently 30 partnerships with private sector partners (DEZA, 2017a, p.6).

Among the NGOs, the main partners of DEZA in 2016 were mostly those included in this survey, notably Helvetas, SRK, TDH, Caritas, HEKS and Solidar Suisse (DEZA, 2017b, p.33).

To sum up, public funds dedicated to development and humanitarian aid outweigh private funding in an overall view. However, with respect to the funding situation of NGOs, private donations play an equally important role in funding, whereby most donations are made by individuals and the share of company donations is very low.

As to public funding, there recently was a tendency to cut funds dedicated to development and humanitarian aid. At the same time, the efforts of DEZA to strengthen its cooperation with private partners possibly implies that, in future, there is a shift of public funds from NGOs to private actors.

5.2. Overview of the Organisations

The Swiss humanitarian market is represented through the sample of organisations included in this research.

The organisations studied in this thesis are very diverse in terms of their size, objectives, organisational structure, funding mechanisms, geographical and functional scope of their activities. The sample includes following organisations: Swiss Red Cross, Save the Children, Solidar Suisse, ADRA Schweiz, Helvetas, Terre des Hommes, Caritas Switzerland, HEKS/EPER, Vivamos Mejor. Appendix V contains a compilation of basic information on the organisations and their activities.

All NGOs run projects in Switzerland and abroad. Thematically the projects can be classified into three areas of intervention: Development cooperation, disaster prevention and disaster response / humanitarian aid. Thereby, the project areas may overlap²⁰ (see 4.1.1.).

5.3. Data Collection and Analysis

With a view to the overall empirical part of this thesis, 13 organisations were selected and contacted. Feedback was received from 11 organisations. Among them, two organisations refused to participate in the survey and motivated this by a lack of resources to discuss the issue. Thus, the

²⁰ For instance the SRC have introduced the concept of LRRD: Linking Relief, Rehabilitation and Development (SRC, 2010).

sample comprises 9 organisations: Four organisations (Caritas, TdH, HEKS/EPER, VM) provided data only in writing, in the form of the questionnaire. With experts of five organisations semi-structured interviews were conducted, thereby the questionnaire served as a supplement to the interviews and as a guideline for the key topics. Two of the interviews (SRC and ADRA), were conducted face-to-face in the offices of the organisations; three interviews (Helvetas, Solidar, StC) were conducted on telephone or via Skype. The duration of each interview varied between 40 and 115 minutes. The experts were very friendly, interested in the topic and open to share their experiences. The language of the answers and interviews was either German or English. The data was collected in July-August 2017. The interviews and the questionnaire covered the sub-themes mentioned above (see 4.3). For each sub-theme several questions were formulated. The results will be presented in the following section.

5.4. Presentation of the Results

5.4.1. Experiences of the Organisations with the Private Sector: Patterns of Cooperation

Swiss NGOs differ from each other significantly in multiple aspects; as the findings suggest their approaches to cooperation with the private sector vary as well. In this section the nine Swiss NGOs and their experiences on the matter as revealed on the basis of the survey will be briefly presented.

ADRA Schweiz



The organisation is a part of the global ADRA network that comprises offices in 126 countries and 6 regional offices. ADRA Schweiz operates since 1987 (ADRA, 2017). Till the present time, the organisation has no experiences of cooperation with the private sector in any area of intervention. The organisation operates primarily within its own global network. However, ADRA is currently reconsidering its strategy: The idea is to change the basic approach to development cooperation by transforming development projects into social enterprises, making projects sustainable and able to generate revenue in future. This revenue could be employed in turn for further social projects. To accomplish the goal, the organisation relies on private partners that can bring their technical innovation and operational know-how into the project. There are good examples (although rather limited) of technical cooperation of ADRA network organisations with

for-profit companies in other countries²¹, therefore, this form of cooperation is considered by ADRA Schweiz. If it is success, cooperation with the private sector could be expanded into other areas of intervention, such as humanitarian aid, although, in the opinion of the expert, not beyond the scope of technical and operative domain (ADRA, Interview).

Caritas Switzerland



Caritas Switzerland is a member of the International Caritas Network that consists of 165 organisations worldwide. Caritas Switzerland operates in more than in 30 countries. The organisation strives to establish partnerships with a wide range of stakeholders, including the private sector (Caritas, 2017a).

It cooperates with the private sector in all three areas of intervention, primarily with private donors. The forms of cooperation are most elaborated in development cooperation, including resource-mobilisation partnerships (e.g. Migros Weihnachtsaktion), innovation partnerships (e.g. field testing of new technologies) and a number of partnerships with local SMEs producing goods for the local market (Caritas Questionnaire). In DM the organisations pursues an integrative approach²², cooperating preferably with domestic suppliers, e.g. service providers, construction companies. In disaster response, Caritas cooperates with private donors (e.g. knowledge exchange, volunteering of company staff). Caritas entertains both, long-term and project-based bilateral partnerships with private sector. The organisation has standardised procedures for selection of private partners, but does not have any special resources dedicated to the management or procedures for monitoring and evaluation of the partnerships (Caritas Questionnaire).



HELVETAS Swiss Intercooperation

Helvetas is a network of independent member organisations operating in 30 countries. The members of the network pursue a common strategy and engage in joint development programmes (Helvetas, 2017). The organisation is active in development cooperation and DM. In disaster response, Helvetas is only active in countries where it entertains development projects. In risk reduction, it entertains self-standing projects that can overlap with development cooperation. Helvetas cooperates with private companies in a number of partnership forms (Helvetas,

²¹ E.g. a partnership of ADRA Denmark with an immobility firm to construct log cabins in Arica, low cost but better quality (ADRA, Interview)

²² Measures of disaster risk reduction are linked to the phase of rehabilitation and reconstruction (Caritas, 2017b).

2015, p.2). In the collaboration with the private sector in DRR, Helvetas draws mainly on their technical expertise. Preferably, Helvetas engages local service-providers. If specific expertise is required, it reverts to international and Swiss companies. In DRR, the organisation is usually engaged in complex, multilateral projects; the role of private partners in these projects is mainly of a technical character, e.g. engineering, early alarming systems etc. (Helvetas Interview). The organisation has policy in respect to collaboration with the private sector. Before entering a formal relationship a due diligent process to the private partner will be applied (Helvetas, 2014, 17).



HEKS/EPER

HEKS/EPER is the aid organisation of the Protestant Churches of Switzerland. It is active in development cooperation, disaster prevention and disaster response. In all of these fields, HEKS draws on private donors, including cooperation with foundations for project funding. Apart from this, HEKS works with local SMEs at the operational level in all fields of activity (e.g. contractors in reconstruction projects). In development aid and in disaster response the organisation works with Swiss and international companies, providing consulting and evaluation services as well as research. The structure of cooperation is usually straightforward, project-based and bilateral. The organisation currently has neither standardized guidelines and procedures nor employees specifically dedicated to the management of the cooperation with private partners (HEKS, Questionnaire).



Save the Children Swizerland

StC Switzerland is one of 30 national member-organisations and a part of the StC International Network²³ that operates since 1919 and is the largest NGO focusing on children's needs. The organisation is active in 120 countries and runs projects in the humanitarian context, i.e. emergency response, disaster prevention and long-term development cooperation. StC provides of a wide elaborated network of private partners, including domestic SMEs and international corporations. The modes of cooperation are very diverse, ranging from one-off unrestricted donation to complex forms of partnerships in sectors, covering a number of projects in different countries and in all areas of intervention (e.g. global partnership with IKEA²⁴) (StC, Interview).

²³That includes besides the national organisations 56 country offices, 7 regional offices and 4 advocacy offices (StC, 2017).

²⁴ The global partnership with IKEA embraces cooperation of IKEA national offices with all 30 StC national member-organisations; both are connected on multiple levels. The partnership includes "the full range of work going

The international network structure allows Save the Children to cooperate with private partners at different levels – global (e.g. Bulgari, C&A, IKEA, Unilever), national and transnational (e.g. Tchibo, Bäckerei JUNG, Ifolor) and to integrate them in multi-layer structures favourable for the management of complex corporate partnerships in many countries (StC, 2017).

StC Switzerland (just as the other 29 national member-organisations) specialises in fund-raising, management and monitoring of projects implemented by local staff in 120 countries of operation (StC Interview). StC have staff dedicated to management of partnerships with private companies and their foundations (fund-raising, dialogue, monitoring etc.). The organisation has differentiated standardised procedures for selecting partners as well as tools for monitoring and evaluation of partnerships (StC, Interview).



Solidar Suisse

Solidar Suisse is a non-profit organisation that is engaged worldwide for good labour condition and democratic participation. The organisation runs over 60 projects globally and operates in the areas of development cooperation, disaster prevention and disaster response. With respect to the private sector, Solidar, on the one hand cooperates with private donors, international and Swiss companies, in development cooperation and with Swiss companies in disaster response. On the other hand the organisation cooperates with local suppliers, i.e. service providers in disaster response in projects implementation. In development the organisation works with local SMEs and professional associations (Solidar, Questionnaire). Cooperation is usually project-based or program-based (within a framework agreement). The organisation has guidelines in respect to partnerships with the private sector in fund-raising. There is no staff specifically dedicated to cooperation with the private sector; due diligence check is conducted by the fund-raising team (Solidar, Interview).

Schweizerisches Rotes Kreuz

Swiss Red Cross

The SRC (founded in 1881) is Switzerland's oldest, largest, most diverse and recognized humanitarian organisation. In its capacity as a member of the IFRC/RC Societies, SRC implements its projects generally in cooperation with regional sister organisations bilaterally or through the me-

from humanitarian response to implementing programmes", involving staff, from customer and staff donation until joint communication (StC Interview). More information to projects of StC with IKEA on: https://www.savethechildren.ch/de/partnerschaften/unsere_partner/unternehmenspartner/ikea/.

diation of IFRC. One of the SRC's focuses is on emergency relief. In this field it generally has the necessary know-how and resources to implement projects without relying on external partners. Nevertheless, SRC draws on the resources of private partners from different sectors, especially in logistics (air-cargo, warehousing etc.), but also water and food provision, digital technologies (mapping, GPS etc.), etc. In disaster preparedness, SRC cooperates with other private partners, e.g. from the insurance sector (assessment of risks etc.). For this purpose, partners enter into framework-agreements with either SRC directly or – more commonly – with IFRC (SRC, Interview).

Apart from this sectoral and purely operational cooperation, SRC enters into a wide range of partnerships primarily with Swiss companies. The cooperation may be entered into at different levels of the organisation (agreements with IFRC, with SRC or with national Societies). The most important forms of these partnerships are “official” and “project-based” partnerships or forms based on a dialogue. Official partnerships are highly formalised agreements with larger enterprises (e.g. Novartis, Allianz, SwissRe). They usually include an institutional dialogue and cover a number of projects supported by the private partner. By contrast, project-based partnerships relate to individual projects which are supported by the private partner often either financially or by means of corporate volunteering (e.g. “Zwei mal Weihnachten”). In partnership based on dialogue the focus is on content/topic, such as a dialogue with an insurance company (e.g. SwissRe) regarding different insurance models, analysis of risks, estimation of damage etc. The forms of cooperation with the private sector are generally very fluent (SRC, Interview).

SRC has a specialised staff (marketing department) that is in charge of the management of corporate partnerships in line with a formalised corporate strategy and the seven core principles of the Red Cross (SRC, Interview).

Terre des Hommes



TdH is a Swiss Foundation and a member of TdH International Federation which is composed of currently ten sister organizations domiciled in developed (donor) countries (TdH, 2017a). TdH is the leading Swiss child relief agency, implementing child-related projects in development aid, disaster prevention and disaster response.

The organisation entertains (bilateral) partnerships with a wide range of Swiss companies (e.g. AXA, coop, Ricola and Zurich) providing funding and know-how relevant for the organisation's

programmes. Further to this, TdH engages in the cooperation with private foundations (e.g. Novartis Foundation) supporting individual projects or programmes (TdH, 2017b).

The organization has implemented a code with respect to the selection of private partners for fund-raising and operational cooperation, but not standardized procedures exist with respect to monitoring and evaluation. There is specialized staff with regard to fund-raising but not with regard to the management of operational cooperation with the private sector (TdH, Questionnaire).

Vivamos Mejor

vivamos mejor

VM is a Swiss foundation, primarily engaged in long-term international cooperation in Latin America. In case of natural disasters in areas where it operates, the organization also engages in humanitarian aid. The organization's focus is on education and on water projects. With respect to the latter, DRR is a key issue targeted by the organization. VM draws on strategic cooperation with companies (e.g. UBS, Migros, Ricola, Pictet, Kästli Bau AG) and foundations in the role of donors. On the operational level, the organization generally works with local NGOs that actually implement VM's projects in the target countries (VM, 2017). VM engages in both, project-based and long-term cooperation with private partners. The cooperation is merely bilateral. While internal resources are actually limited and there are no standardized guidelines or procedures, the organization specifically dedicates staff resources to the management of cooperation with private partners (VM, Questionnaire).

5.4.2. Interim Conclusion

If to sum up, the results of the research concerning the current forms of cooperation, the picture is rather fragmented. In fact, apart from the very big NGOs (SRC and StC) who engage private partners in complex, multilateral projects, cooperation of the other NGOs is rather limited to bilateral agreements (often project-based).

Looking at the different areas of intervention, NGOs have more experience in collaboration with the private sector in development: There is cooperation in different thematic areas and different patterns of cooperation exist. In humanitarian aid, cooperation is rather limited to particular contexts: Donations, cooperation in the technical domain and innovations.

As to the management of private sector cooperation, virtually all organisations have in place guidelines regarding the selection of the potential partners and all of them perform a due dili-

gence before entering into agreements, however, only the biggest NGOs have implemented procedures to monitoring and evaluation of ongoing cooperation.

5.4.3. Challenges of cooperation with the private sector

When discussing the challenges in cooperation with the private sector, a number of points have been identified. Challenges mentioned by several experts or those that are been perceived as particularly important will be presented in this section.

Mismatch Between Supply and Demand

One challenge that is considered by one interviewee as the “*main obstacle*” (Solidar, Interview) is a **mismatch between demand** (represented by the requirements of the NGOs) **and supply** (represented by the private partners’ willingness to cooperate). Such mismatch can be due to differing expectations as to how the cooperation should work (Solidar, Interview), e.g. if the company wishes strong staff engagement, which is difficult to meet in the project (StC, Interview). Another factor contributing to a mismatch between supply and demand is that the willingness of Swiss companies to engage in humanitarian endeavours depends on domestic demand in the Swiss economy (Helvetas, Interview).

Lack of Understanding of Humanitarian Context

Another obstacle in the cooperation with private partners that is diagnosed in one or other form by all interviewees is a **lack of understanding of the humanitarian context** on the side of the private partners.

The lack of understanding may relate to the actual needs of the beneficiaries (SRC, Interview), to the humanitarian context in general (Solidar, Interview) or the requirements of an NGO implementing its programme (StC, Interview). In the case of Swiss companies, this is often due to the fact that they are not used to work under the conditions of development projects (Helvetas, Interview).

Apart from general lack of understanding, the private partners often lack the knowledge of the specific situation on the ground, which is an important requirement for effective project implementation (SRC, Interview). Often the companies have not worked in the country of operation before, which makes the communication with them more cumbersome (Helvetas, Interview). In some occasions this problem can be overcome by adjusting the distribution of roles between an NGO and a private partner, e.g. communication with beneficiaries through an NGO instead of a

private partner (Solidar, Interview) or know-how transfer to local communities (Helvetas, Interview).

One important aspect in this context is that private partners lack the understanding that their products need to be adjusted to the local context. This often means that products should not be “*too fancy*” but rather sustainable under local conditions (e.g. with respect to maintenance) (SRC, Interview). This, indeed, requires some flexibility from the side of the private partner (SRC, Interview).

However, there is some perception that the communication with private partners is getting easier, as they increasingly begin to involve themselves in issues of humanitarian aid and development cooperation (ADRA, Interview; SRC, Interview).

Reputation Risks

Another challenge that has been mentioned in one or another context by some organisations (ADRA, Caritas, TdH, StC, Solidar) is the **reputation risk**. However, the perception of this risk varies among organisations. For instance, ADRA estimates it as “*a very sensible issue*” and is even reluctant to consider resource-mobilisation through private companies (as stronger link of a company to the organisation enhances risk) (ADRA, Interview). All other examined organisations check potential private partners. In the opinion of Solidar, reputation risks are assessed and excluded sufficiently by due diligence conducted before the entry into a partnership with a private sector (Solidar, Interview).

Conflicting Interests and Business Models

One kind of challenge which arises in this context and is in a way testimony to **conflicting interests** is that the private partner wishes to contribute in ways that are very close to its sector, e.g. its core competencies (StC, Interview). Similarly, Swiss companies are perceived as being strongly “*product-oriented*”, i.e. aiming at supplying products while not considering the actual needs of the local communities (Helvetas, Interview). This product-oriented approach makes cooperation at times even more difficult as there is a general tendency away from in-kind aid to cash-transfer (SRC, Interview).

Related to this are problems arising from **conflicting** business objectives or **business models** of NGOs and private partners. This becomes manifest if, for example, the private companies wish to engage in the whole supply chain from the product to the beneficiary. This wish conflicts with the development approach pursued by NGOs, which aim at strengthening local communities and building up local economic structures (SRC, Interview). Similarly, even if not endangering local

development, community building is not one of the private partner's primary concerns (Helvetas, Interview).

5.4.4. The issue of coordination

The experts share the view that the **Cluster System** is an essential mechanism for coordination of the NGOs efforts in disaster relief (SRC, StC, Solidar). Indeed, there is a perception that in the recent decade progress in coordination could be observed (Solidar, Interview). In general, the Cluster Approach is evaluated as an effective coordination mechanism that achieves good results (ADRA, Interview; StC, Interview). Nevertheless, coordination still sometimes represents a challenge, especially directly in the aftermath of an acute catastrophe (Solidar, Interview; ADRA, Interview).

As to participation of the private sector in disaster response, their efforts are usually coordinated in either of two ways: Either through the government or through the humanitarian partner-organisation (SRC, Interview).

None of the interviewed experts could confirm that private actors have ever directly participated in Clusters. In particular, SRC, StC and Solidar reported not to have any experience of interacting with private companies in Clusters. Moreover, Solidar has confirmed observing private companies providing assistance in disaster response that was not coordinated by any traditional mechanism such as the Cluster System. Such uncoordinated activities indeed may pose a challenge (Solidar, Interview). The reason might be a lack of interest or a lack of companies' awareness concerning the existing coordination mechanisms (SRC, Interview) which is beyond their core-business (Solidar, Interview).

Five out of nine organisations reported to have experiences in cooperation with private partners in disaster response: The **coordination** in all cases was **performed by the NGOs themselves**, in some cases at different levels of the organisations. StC, for example, leads the Education Cluster and co-leads the Protection Cluster and coordinates its private partners "*on the second level*", providing them with information from Cluster meetings in respect to what kind of support is required (StC, Interview). This system is similar to SRC, which is a permanent member in Clusters (SRC, Interview). Solidar in turn participates in the Cluster System whenever it is available and coordinates actions with the private actors based on existing agreements (Solidar, Interview). When working with private companies that implement a part of its programmes in disaster relief, Caritas coordinates its activities by means of sub-contracting or integrating the private partner in

a consortium (Caritas, Questionnaire). TdH coordinate and implement projects themselves, involving private partners as donors and for technical support (TdH, Questionnaire).

To sum up, according to the experiences of the experts, the private sector still remains outside the Cluster system, which is perceived as an instrument relevant for NGOs²⁵. The interviewed experts share the opinion that the most efficient way to cooperate with private companies in disaster response is by coordinating their efforts through the structures of the humanitarian partner-organisations. The organisations in turn coordinate their actions within the Clusters or NGOs network, i.e. among the actors of the same kind. Participation by private actors in the Clusters would inflate the meetings and make decision-making even more difficult, therefore, “*NGOs should participate in coordination as mouthpiece and translators for the private sector*” (ADRA, Interview). The SRC points to the leading role of the government in disaster response and their preferences concerning the setting of the actors in humanitarian action: If private actors should be involved, it is the task of the government to communicate the private activities to the Cluster organisations to reduce inefficiencies (SRC, Interview).

5.4.5. Private Funding

The donor base varies significantly among NGOs: While, for instance, more than half of Helvetas’ funds are provided by the DEZA, StC is mainly funded by institutional donors. Correspondingly, the share of private funds differs among organisations.

It is important to note that the terms “*private funds*” and “*private donors*”, depending on the NGO, may refer to donations and funds made available by either individuals or by for-profit companies. The meaning of these terms should, hence, be considered carefully. In the following discussion the term “*private funds*” and “*private donations*” will be used referring to funds and donations made by for-profit companies, if not indicated differently.

NGOs differ in their fund-rising capacities: Private donors of each organisation differ in their capacities as well. Large organisations, such as StC or SRC operate within a global network, and have a wider donor spectrum that usually includes enterprises of different size, from SMEs to international corporations having subsidiaries in multiple countries. Smaller NGOs usually do not cooperate with corporations in the same extent and rather rely on SMEs. Solidar, for example, cooperates with SMEs (Solidar, Interview), ADRA has a data-base containing data on small firms that finance emergency response (ADRA, Interview).

²⁵ “*That is a purely UN and an NGO task.*” (StC, Interview).

Due to differences in the donor base the areas of intervention of the different NGOs are not equally supported by private donors: While SRC and StC have private companies providing resources for all areas of intervention (DRR, response and development), Solidar finds it easier to mobilize funds for emergency relief (Solidar, Interview).

In the experiences of the examined organisations private funds are, in tendency, perceived as **more flexible** comparing to public grants (ADRA, Questionnaire; Solidar, Interview; StC, Interview), and in tendency less sophisticated in terms of accountability²⁶ (ADRA, Questionnaire; Caritas, Questionnaire; TDH, Questionnaire). This is attributed to the fact that private companies are more flexible in decision-making unlike public donors that have to observe political decision-making procedures (StC, Interview). Moreover, private donations may be coupled with some specific useful know-how of the donor (HEKS, Questionnaire). A wide base of private donors allows activating resources very quickly and efficiently, especially for emergencies. If a disaster occurs, NGOs make emergency appeals to raise money from the private donors (e.g. TdH, Helvetas). In the experience of StC, every donation for disaster response is important, as due to the mechanism of “*pulled-funding*” the resources can be quickly and efficiently managed (StC, Interview).

At the same time, NGOs point to some challenges arising from the engagement of private funds. First of all, cooperation with a private donors bears **reputational risk** (ADRA, Interview; HEKS, Questionnaire; TdH, Questionnaire), especially if the donor could not be properly checked (HEKS, Questionnaire). Secondly, private donations often go hand in hand with “*corporate*” interests that may not be always transparent and predictable for the organisation (Caritas, Questionnaire). Sometimes private or corporate donors have very specific ideas as how their donation should be used, e.g. **strictly earmarked** (Solidar, Interview).

Notwithstanding the risks, all organisations would like to increase the share of funds coming from the private sector: All nine NGOs consider this in future. Increase of private funds would increase the capacity to raise funds as such (VM, ADRA, StC) but also help to differentiate (SRC, Helvetas) the donor base and, hence, reduce dependency on few large donors.

Apart from these considerations, increasing private sector funds is not an end in itself. The kind of donation is also important.

Thus, most preferred among the examined NGOs are un-earmarked donations or donations earmarked for sectors in which the organisation has its potential (SRC, Interview); un-earmarked

²⁶ In contrast, Helvetas reported that in some cases private companies require more detailed accountability (Helvetas, Interview).

donations can be used very flexible, e.g. for co-funding of projects financed by institutions (Solidar, Interview) or to complement other earmarked funds (Helvetas, Interview). As to in-kind donations, technical exchange or tools are the most preferable (SRC, Interview; TdH, Questionnaire) provided they can be adjusted to humanitarian context (SRC, Interview).

In contrast, earmarked funds with rigid requirements on projects that cannot be negotiated are of no use (SRC, Interview).

The target group of private donors differs between the NGOs: While for StC all groups of private donors are important (StC, Interview), HEKS explicitly focuses on philanthropists (HEKS, Questionnaire), Caritas strives to reach the domestic private sector in countries of operation (Caritas, Questionnaire), and VM targets Swiss donors (VM, Questionnaire).

5.4.6. Strategies in Respect to Collaboration with the Private Sector

The review shows that all the examined organisations have been considering the issue of the private sector involvement, however, with a different degree of awareness and strategic objectives. Thus, all nine organisations confirmed their intention to increase cooperation with the private sector in future.

The relevance and actuality of the issue, however, varies among the organisations, their areas of intervention and the operational context. While most of the organisations (SRC, StC, ADRA, Caritas, TdH) report to be aware of potentials in cooperation with the private sector and reconsider their strategies for such cooperation (ADRA, Caritas; TdH), other organisations have paid less attention to the issue so far (HEKS, VM); or the issue may be relevant only in a particular area, e.g. in fund-raising and less on operational level (Solidar).

All interviewed experts confirmed the tendency towards wider involvement in cooperation: There is potential and need as projects are getting more complex and multidisciplinary. Therefore, organisations often have to join forces and to work in consortia, which may involve private companies that bring their know-how and resources (Helvetas, Interview). At the same time, there is growing pressure from institutional donors to use funds more efficiently (Solidar, Interview). NGOs often do not have the required expertise to adjust technological developments and to progress on their own, without cooperation with business (ADRA, Interview).

In the experience of NGOs, companies, in turn, pay attention to cooperation: Their interest is perceived as stable (Solidar), or increasing (ADRA, Caritas, HEKS, VM, StC). SRC reports increase in understanding of humanitarian work by companies, (SRC, Interview). As supposed by the NGOs, several reasons are responsible for this development: Firstly, companies face growing

pressure to expand their CSR (Caritas, Questionnaire); secondly, private companies are interested in geographical expansion (Caritas, Questionnaire; Helvetas, Questionnaire) and business opportunities (SRC, Questionnaire). However, this interest varies depending on the state of Swiss economy. Helvetas estimates that firms mostly focus rather on emerging than on developing countries (Helvetas, p.3).

The NGOs have in general two focal points for wider involvement of private companies – fundraising (VM, Helvetas, TdH, Solidar, StC, SRC) and/or technical cooperation/innovations (ADRA, Helvetas, TdH, HEKS, SRC, StC). Especially relevant in the context of the latter are: Network industries (financial service providers), and companies offering turnkey-solutions for certain humanitarian tasks (e.g. cash-transfer, tools for evaluation and monitoring) (Solidar, Interview). On the operational side SRC strives to increase the influx of more innovations of private companies in various sectors, such as financial management systems, logistic, data bases management, technologies for assessment (satellites, drones etc.). StC strives to increase the number and forms of partnerships, preferably long-term (StC, Interview).

However, there are challenges to overcome. One issue that will, in the opinion of the NGO experts, remain a challenge is the definition of common objectives, as both partners pursue different objectives initially (ADRA, Interview). Conflict of interests has indeed the potential to hinder cooperation (StC, Interview; Caritas, Questionnaire). NGOs might also be afraid of changes to their business model and of the interference of private actors with their work. They might perceive the private sector as a potential competitor (HEKS, Questionnaire). At the same time, not all organisations have enough resources to develop and manage cooperation (VM, Questionnaire).

6. DISCUSSION OF THE RESULTS

6.1. Research Question 1: Status Quo

Research Question 1: Status quo: What are the current forms and practices of cooperation of Swiss NGOS with the private sector? What are the current challenges?

International literature review shows a general trend towards assigning the private sector a more prominent role in development cooperation and humanitarian aid (see 4.1.4.). As discussed above, the results from the research conducted among Swiss NGOs confirm this observation insofar as most NGOs included in the research reported to be aware of the issue (see 5.3.5).

In spite of this general awareness, the research shows that the actual attention assigned to the issue is uneven across the Swiss NGO sector: There are organisations not focusing on the issue (e.g. VM), other organisations that perceive potentials and are considering to expand cooperation (e.g. TdH), and, finally, there are the organisations that already provide of an elaborated network of cooperation with private partners (e.g. StC). Not surprisingly, bigger NGOs that can dedicate more resources to such cooperation have more experiences and employ more sophisticated forms of cooperation than smaller NGOs.

As to the roles that are currently assigned to private partners, the research among Swiss NGOs partly confirms the tendencies identified in international literature:

This is particularly true with respect to the actual implementation of projects on the ground (see 4.1.1). In this respect the research confirms the tendency to generally favour cooperation with local companies and to revert to Swiss or international companies only if necessary, in particular, if specialised know-how or technologies are required. This preference for local partners is not only dictated by practical considerations, but is a result of a conscientious policy choice in favour of a more integrated approach towards humanitarian and development aid that acknowledges the vital role of local economy and communities in resilience building²⁷. The interviewed experts (SRC, Solidar) also confirmed the shift in the humanitarian aid: away from in-kind to cash-transfer as a solution supporting local markets.

²⁷ „[...] wenn eine Katastrophe passiert, die unmittelbare Hilfe kommt immer von der Familie zuerst, von Freunden, von den Nachbarn, von der Lokalregierung, [...] vielleicht von der District-Regierung oder der nationalen Regierung. Internationale Hilfe sehr wenig. Privathilfe noch weniger. [...] um mehr Menschenleben zu retten, um schneller zu helfen, ist eigentlich das Beste die Communities, die Dörfer zu stärken[...] für das Rote Kreuz ist es wichtig, dass die Leute selber sich helfen können“ (SRC Interview).

When it comes to the role of international and Swiss private companies, the research clearly reveals an increasingly important role of funding coming from these sources. Private funding is particularly welcomed not only because it helps to diversify the funding base but also because of its flexibility (see 5.3.4).

Furthermore, the research revealed that the cooperation with international and Swiss companies plays an important role in the sectors traditionally related to humanitarian aid (see 4.2.1.1). Swiss NGOs rely on their services e.g. in logistics, water, food-supply and with respect to other goods and expertise that cannot be sourced locally (SRC Interview). The research also revealed examples of NGOs making use of innovative products²⁸ (see 4.2.1.2), which reflects an issue that is very much debated at the international level.

However, in particular with respect to the use of innovations, the research clearly revealed that there are practical limitations that relativize the hopes that are expressed in literature (see 4.2.1.2). Even though, the NGOs perceive potentials of such cooperation, practical challenges emerge. Firstly, due to the different logic of the sectors the definition of common ground might be difficult. Moreover, not all organisations have the resources required to manage partnerships with the private sector. Secondly, innovative solutions must be adjusted for the humanitarian purpose²⁹. In the eyes of NGOs the problem roots in a lack of understanding of humanitarian needs and in a lack of patience to engage in a long-term dialogue (see 5.3.2). The biggest organisations such as SCR have faced a problem to align private sector products to the needs of the humanitarian environment.

These results might be just one manifestation of a more general conclusion on the status quo, namely, that NGOs and private sector companies are just on the way to identify common ground and common objectives and to create win-win situations where more complex forms of partnerships are concerned. Even though, both sides seem to recognise the potentials of new forms of cooperation (see 5.3.5). Therefore, the actual cooperation with private companies remains mostly at the level of a donor- or supplier-relationship, even though these partnerships might be sophisticated in their structure and long-term in nature. However, the research revealed most of NGOs find it difficult to engage private partners in a consistent dialogue of creating business opportunities in the field of humanitarian aid.

²⁸ For instance, Better Shelter by TdH (TdH Questionnaire)

²⁹ “[...] Applikationen oder Innovationen [...] der Match ist nicht unbedingt genau gegeben. Das muss ziemlich stark angepasst werden, die Applikation, um dann konkret von Nutzen zu sein.“ (SRC Interview).

6.2. Question 2: Drivers and Potential

Research Question 2: Drivers and potential: What are the general trends shaping future cooperation between NGOs and the private sector?

In this section general trends shaping development and humanitarian aid in future and their implications for the cooperation of NGOs with private sector actors will be discussed.

6.2.1. Shifting objectives: Trends that put NGOs under pressure

The humanitarian market is undergoing a change. There are two general trends that affect the challenges to be faced by the humanitarian sector:

First, growing number of the protracted crises (see 1.1.): Often these humanitarian disasters are the result of military conflicts, resulting in big numbers of displaced persons.

Second, growing complexity of humanitarian environment and shift in the perception of what the objectives of humanitarian aid should be: There is increasingly an understanding that meaningful and effective humanitarian aid and development are strongly linked (see 4.1.1.) targeting complex problems that call for sophisticated and long-term interventions. Also, it is acknowledged that local stakeholders, communities and businesses, should play a key role in the implementation of program objectives³⁰: DM should correspond to sustainable development (see fn. 27).

NGOs must adjust to this new focus. Business models that are focussed on providing visible but merely short-term results will increasingly get under pressure. If NGOs want to be accepted as credible actors by the humanitarian community and beneficiaries of aid, they will have to subscribe to this shift in objectives. The expert interviews confirm that some Swiss NGOs such as SCR or StC that are active in all areas of intervention consciously performed this shift and adjust their programs accordingly if possible³¹(see fn. 20).

Increasing competition among different humanitarian actors for funds and a trend of public funding becoming tighter (see 5) impose additional pressure on NGOs to provide their services as efficiently as possible³².

³⁰ „Unser Einsatz von Helvetas ist immer, wenn wir mit lokalen Partnern zusammenschaffen können, dann arbeiten wir eher mit ihnen zusammen [...]. Es ist auch darum geht, die lokale Wirtschaft zu befördern, lokale Partner zu fördern und festzustellen, dass es bessere Kontinuität hat.“ (Helvetas Interview).

³¹ „[...] we have more often started integrated disaster prevention into these both phases [...]“ (StC Interview).

³² „[...] gerade bei protracted Crises Kontext [...] da gibt es einen Druck von Seite der Geldgeber, dass das möglichst effizient sein soll.“ (Solidar Interview).

These basic trends pose a challenge to the existing business practices of NGOs and requires them to secure a number of resources and abilities:

- **Interoperability:** The increasing complexity of humanitarian situations means that more actors (other NGOs, private partners, governmental agencies etc.) are involved in humanitarian activities. This requires that the NGO has the necessary know-how and management capabilities to reduce transaction costs arising from coordination.
- **Establishment of long-term local networks:** In order to efficiently implement their programs on the ground, NGOs increasingly rely on the establishment of networks with local stakeholders, including own expert staff, personnel from other NGOs, local communities and businesses.
- **Ensuring continuous flow of funding:** Long-term engagement implies a necessity for long-term funding. With a view to program continuity it is very important that a continuous flow of funds is ensured.
- **Efficiency:** Increasing demands with regards to their services on the one and a trend to more competition for funding on the other hand mutually reinforce the pressure to increase efficiency in all business areas.

6.2.2. Coinciding interests open potential for mutually beneficial cooperation

The private sector (international and Swiss companies) has assets and capabilities on offer that are potentially useful to meet the requirements emerging from the above discussed trends.

These assets that were already discussed in connection with the general motivations to engage the private sector in humanitarian aid (see 4.2.1) include:

- **Funding capacities:** Private companies often have substantial financial means which allow them to finance resource-intensive projects over a long period of time.
- **Complementing resources:** From a make-or-buy perspective it is often more efficient to resort to resources and know-how of private companies. This is especially true in the context of increasingly complex humanitarian projects that require resources of very different kinds.
- **Innovative Power:** The innovative power of the private sector can help to find cost-saving solutions to humanitarian problems.

On the other hand, as discussed above, international and Swiss companies equally have motives to engage in the humanitarian market. In the context of the above discussed general trends (see 4.2.2), the following motives are of a particular relevance:

- **Explore business opportunities and new markets:** Globally active companies are permanently exploring opportunities to open up new markets and expand their business.
- **Protect supply-chains:** Globally acting companies can be affected by disruption of supply chains. They therefore have an interest in the building-up of resilience and quick recovery in case a disaster strikes.
- **CSR:** Corporate Social Responsibility is a general trend in business. Engagement in humanitarian activities can help companies of to achieve their respective goals.

A comparison between the two reveals some overlaps between the business interests of private companies and the objectives of NGOs with respect to cooperation in humanitarian aid. Such matching of interests might open up potential for win-win situation and, hence, for mutually beneficial forms of cooperation. The statements of the NGO experts suggest that, in this regard, one should make a distinction between cooperation in DRR and recovery on the one hand and disaster relief on the other hand^{33,34}.

Being increasingly integral part of long-term development programs, DRR serves purposes that coincide with the business interests of private sector actors that have operations in endangered areas and want to develop business or protect existing supply chains and assets. This coincidence of interest on a long-term basis offers potential for a beneficial long-term partnership between NGO and private actor³⁵. Especially big NGOs with programs in many regions have the potential to engage large private enterprises on the basis of such coinciding business interests in partnerships to which the private partner may contribute not only financially but also with the resources of his own local business network.

With respect to disaster response, the situation looks a little different. The results of the interviews reveal that experts are critical as to the potential for increased cooperation in this particular intervention. There are number of reasons why the experts find it difficult to identify room for partnerships with a meaningful contribution from the private partner that goes beyond the role of a donor: Firstly, the situations in the aftermath of a disaster are very complex and challenging in terms of coordination and in the flexibility that is required (see fn. 34). Secondly, the coordina-

³³ „[...] es geht ja darum letzten Endes, dass in der Katastrophenhilfe, dass die, im Prinzip, die Überlebens Bedürfnisse der betroffenen Bevölkerung wirklich rasch gedeckt wird. [...] eher die Rolle ist limitiert, im Vergleich zu längerfristigen Massnahmen, [...]“ (Solidar, Interview).

³⁴ „In einem humanitären Kontext, wohl es sehr rasch gehen kann, sind private Unternehmen in der Schweiz häufig zu wenig zu flexibel und zu wenig darauf ausgerichtet. Also es geht mehr um die Präventionsmassnahmen.“ (Helvetas, Interview).

³⁵ “You need more partners in various settings. And you need long-term partnerships and you need to tap into new types of partnerships to stay innovative. [...] and you need to be a good partner to stay relevant as an NGO offering partnerships.” (StC, Interview).

tion role and the decision on who is admitted to help immediately after a disaster strikes lies in the hands of the local government who often prefers to work with core humanitarian actors³⁶.

Therefore, the experts expect that the cooperation with the private sector in disaster response will remain rather limited to donating or supplying. An exception to this are innovative products that are expected to be brought on the market on a commercial basis or as an in-kind know-how.

For all areas of intervention, the general trend of private companies to pursue CSR objectives opens up the potential to increase fund-raising from private companies, be it as an element of a more complex partnership that encompasses company contributions in different forms, be it in a partnership pursuing funding objectives only. The expert interviews show that some of the NGOs are already very innovative in this regard (see fn. 35). Other NGOs might follow suit.

For Swiss NGOs in particular, the above trends offer significant potential: The figures of ZEWO indicate that the willingness of companies to donate has been very limited to date (see 5). On the other hand, Switzerland provides of a big range of very innovative enterprises³⁷ (including many start-ups) as well as large companies that are highly interconnected globally. This puts Swiss NGOs in a good position to exploit the potentials of private sector cooperation indicated above. For this purpose it is necessary, to enter into a dialogue with companies with a business perspective rather than a mere CSR focus.

6.3. Strategic Positioning

Research Question 3: Strategic positioning: Given the general trends, how can NGOs position themselves in the context of cooperation with the private sector?

Several important trends shaping the future of the humanitarian market were discussed above (see 6.2). These trends put NGOs under increasing pressure while at the same time opening new opportunities. The question arises how these trends impact on the strategic positioning of Swiss NGOs and their cooperation with the private sector.

To start with, NGOs and private companies each have their specific strengths that should be taken into account when allocating the roles and function of each partner.

³⁶ “[...] Regierungen in der Regel bevorzugen lokale unternehmen oder internationale Hilfsorganisationen.“ (SRC Interview).

³⁷ According to Global Innovation Index (2016), Switzerland is the most innovative country in the world (GII, 2016: p.20)

Based on literature and the information obtained in the interviews, the following strengths can be identified with respect to the Swiss NGOs:

- **Reputation and credibility:** Swiss NGOs enjoy a good reputation in the market, i.e. among donors and beneficiaries alike. This reputation is based on the good quality of their work but it also roots in the fact that they are not profit-driven and, hence, credibly act in the interest of beneficiaries. This asset is vital in the context of fund-mobilisation.
- **Specific know-how:** NGOs have specific know-how with respect to the particularities of the humanitarian context. They know the needs of beneficiaries and know how to communicate effectively with local communities. This is a valuable key asset with regard to providing humanitarian aid effectively and in a manner appropriate to the specific situation. Related to this is the ability of NGOs to act flexibly under the challenging and rapidly changing conditions of a humanitarian crisis.
- **Humanitarian commitment:** In line with their self-commitment to humanitarian principles, NGOs pursue an inclusive approach with regard to beneficiaries. Unlike profit-driven actors, NGOs have all people in need in mind, irrespective of whether they have some market-potential.

The private sector (in the context at hand international and Swiss companies) has a number of specific strengths as well:

- **Financial resources and capacities:** Due to their size some international and Swiss companies have the resources necessary to implement resource-intensive projects and to finance them with their own funds. Also, due to their size and market penetration, private companies are often in a position to exploit economies of scale allowing them to provide services and goods at low prices.
- **Innovative power:** The development of innovation is a core competence of a number of sectors. Companies active in these sectors develop unique know-how allowing to providing services efficiently.
- **Business networks:** Private companies provide their own business networks, be it in logistics or in network industries such as financial sector or telecommunication. These networks allow them to move goods and services swiftly from one place to another.

One strength of the private sector is its ability to provide services and goods efficiently. Therefore, increasing pressure on NGOs to provide their services efficiently and funding restrictions might call for a readjustment of NGOs' current "*make-or-buy*" decisions. The specific ad-

vantages of private sector enterprises in terms of efficiency imply a shift from “make” to “buy”. This seems almost unavoidable with respect to e.g. network industries and other industries with strong economies of scale. This trend will be favoured by turn-key solutions for humanitarian services that are expected to be increasingly marketed by private companies³⁸. As this trend is driven by market-forces, NGOs should not try to resist it but rather to acquire the abilities to manage the cooperation with the private partner efficiently so as to reduce the transaction costs.

To some degree closer cooperation with the private sector will hence be a consequence imposed on NGOs by market forces. On the other hand, cooperation with the private sector obviously opens many opportunities for NGOs to achieve their own goals more effectively. This requires, however, that the cooperation is properly managed and the roles of the actors are clearly defined and can be adjusted in multifaceted and changing humanitarian context.

As mentioned above, with a view to their development goals NGOs strive to engage primarily the local economy in humanitarian aid and development. On the other hand, cooperation with international and Swiss companies is sought primarily as a source of funding (in-kind or cash) and in order to get access to specific know-how, services and innovations. At the same time, NGOs seek to integrate their activities and to assume a more holistic approach in development and DM.

Reconciling these different and partly conflicting objectives calls for a strong strategic approach of NGOs towards the cooperation with the private sector. NGOs have to identify and create the basis for win-win situations from which all parties involved benefit while the humanitarian objectives pursued by the NGO are equally met.

The research among Swiss NGOs revealed that the management of meaningful partnerships with the private sector requires appropriate resources on the side of the NGO. Indeed, with a view to the increasing involvement of the private sector, the NGOs capability to manage and moderate such cooperation is a key asset that they should build up. To successfully cooperate with private actors relies, in the first place, to be in contact with these actors. Therefore, it is important to establish the necessary networks. As cooperation is sought with both, local companies in the target countries and with Swiss and international companies, such networks should be established at both levels.

³⁸ „Digitalisierung, die stattfindet, neue Technologien, vor allem mehr Cash anstatt Güter und im Bereich Cash gibt es verschiedene Formen, Modalitäten, wie das Geld zu den Begünstigten kommt. [...] Im Bereich von Monitoring und Evaluation wird immer mehr neue Technologien eingesetzt. Und in diesem Bereich denke ich schon, dass es in Zukunft wahrscheinlich vermehrt auch so Service-Provider gibt, die ganze Paketlösungen anbieten.“ (Soliadar Interview).

Networks involving Swiss and international companies should primarily serve to generate awareness of particularities of the humanitarian market but also of the business potential arising from it. The exchange with private companies should also serve to explore business opportunities bringing together the specific capabilities and know-how of both sides. NGOs should perceive their specific know-how as a valuable resource and a contribution to a mutually beneficial partnership. In the light of the discussion above the creation of innovative solutions for humanitarian needs is likely to be one key area for successful cooperation on a win-win basis. NGOs should perceive their specific know-how on humanitarian matters as a strategic asset that should be most efficiently and effectively exploited also in the context of creating innovations suitable for the humanitarian context.

With a view to the holistic approach pursued by the NGOs one key objective out of this networking with private companies could be to engage private sector partners in long-term partnerships that combine elements of opening new business-opportunities, CSR and funding.

As the establishment and management of networks and platforms requires resources, NGOs might not act individually in this regard, but join their forces. Apart from sharing costs this also contributes to the attractiveness of the network due to the widening of know-how and experiences that are shared.

The fostering of humanitarian activities performed by private actors implies a shift in the role of the NGO away from the implementer towards the role of a facilitator in future, bringing together different actors, directing market-driven solutions for humanitarian problems, ensuring that this solutions are – to the extent possible – in line with humanitarian principles and monitoring their implementation.

Nevertheless, there are several functions that rely on core competencies of the NGOs that should be performed by the NGOs themselves. Based on the information obtained in the research of Swiss NGOs such core competencies include the communication with the beneficiaries on the ground, the monitoring of projects and ensuring that know-how transfer to local communities works.

6.4. Limitations of the Research

The present research revealed general trends and gives an overview of the experiences that Swiss NGOs have made in their cooperation with the private sector. Apart from these general trends, the research also shows strong discrepancies in the NGO's experiences and their strategies.

Therefore, to get an insight into issues and challenges that different actors face, requires additional analysis on the level of individual players.

The present research focuses on the perspective of NGOs and examines how they perceive the trends, potentials and challenges emerging from the collaboration with the private actors. On the other hand, this thesis does not the perspective of the private actors. It is therefore important to get an complementing insight into the experiences of the private sector companies in order to be able to better understand their prospective and to define terms of collaboration that create a win-win situation. Given the central role of public actors in the field of humanitarian aid, the same goes for the interests and perspectives of this group of actors that should also be considered in more detail.

7. CONCLUSIONS

Research and the discussions in this thesis throughout revealed undercurrent trends in the humanitarian market that favour or call for a closer cooperation with the private sector. The main reason for this is that the private sector can help humanitarian actors to increase efficiency be it by outsourcing certain services or by applying innovative technologies that only the private sector is able to produce.

Efficiency pressure and increasingly complex and demanding disaster contexts, hence, put NGOs under pressure to reconsider their strategy towards cooperation with the private sector carefully. How they respond to the challenges of a changing market environment and what role the cooperation with the private sector plays in addressing these challenges is likely to depend on the NGO's size, network structure and its topical focus.

Independently from this differences, there are some competences that all NGOs will have to acquire and which are relevant in the context of the cooperation with private sector actors:

- **Technological competence:** Given the potentials provided by technological innovations, all NGOs need to secure the technical competence that is necessary to keep-up with technological development, to recognize the potential of such developments, to engage in communication with companies offering such technologies at eye level and to apply the technologies in the field.
- **Interoperability with private actors:** Given the trend to increasingly complex project structures, even smaller NGOs will need to be capable of interacting with different actors, be it other NGOs, public actors or private companies. Otherwise, they risk to be increasingly excluded from humanitarian projects.

Apart from this, the chances to benefit from the potentials emerging from the cooperation with the private sector probably differ depending on size and orientation of the NGO.

For big NGOs with a wide thematic range who, i.a. want to cover all areas of intervention along the DMC, the active engagement in complex and long-term project structures appear to be a strategic “*must*”. The competence and building up of the resources necessary to actively and efficiently manage such project structures is likely to becoming an ever more important key asset.

This competence is also vital if it comes to long-term and strategic engagement of private partners. For big NGOs there are clearly significant chances to benefit from partnerships with private actors, especially in DRR and reconstruction. The key to exploiting these potentials is to create

win-win situations for the partners involved. This, in turn, requires that NGOs and private sector strengthen their dialogue with the aim to identify areas and forms of cooperation where business-reasoning and humanitarian objectives can be connected. Big NGOs that, up to date, lack a consistent strategy towards the cooperation with the private sector might consider to make this to one key area of their strategy development.

For smaller NGO, on the other hand, there are likely to be limitations with regard to enjoying the benefits from cooperation with private actors: The management of meaningful partnerships requires substantial resources and know-how which can render the realisation of such partnerships too costly. In addition, as the survey revealed, smaller NGOs are generally in an inferior position when it comes to attracting the attention of big national or even international companies. From this arises a threat to be excluded from some projects (at least if they lack the “interoperability” mentioned above) or to be pushed into specific niches.

Smaller NGOs might mitigate these threats by securing the necessary resources through cooperation with other NGOs or by integrating into existing networks that provide access to complex projects and mediate the interaction with private partners.

Another conclusion to be drawn from the general trends identified in this thesis is that even bigger NGOs are likely to assume new roles, away from project implementer at the operative level towards becoming a project facilitator who moderates and monitors the activities of implementing partners (private actors, in particular). At the same time, NGOs might resort to their core competences. Based on the results of this thesis, these core competences include, in particular, the operative implementation of disaster relieve and response activities, ensuring know-how transfer and assuming the role of an interface in the communication between private actors and beneficiaries.

With respect to funding, finally, the research showed that innovative approaches towards resource-mobilisation through private sector engagement exist. Again, big NGOs with international networks are, due to the business value of their brand, in a better position to benefit from the potentials. Smaller NGOs, hence, are likely to continue relying on traditional donors for the funding of their activities.

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APPENDIX I

Interview Guide

Forms and Patterns of Collaboration

- Does the organisation cooperate with private actors?
- What kind of actors?
- On what terms?

Challenges and Obstacles

- Based on which criteria do you select private partners?
- Does the organisation have any standardised guidelines / procedures to select, monitor and evaluate these partnerships?
- Does the organisation have resources / employees dedicated to management of cooperation with the private sector?
- What are the main challenges your organisation face in cooperation with private firms (international/local)?

Coordination

- Have you got any experiences in cooperation within the Cluster System in disaster response?
- Was the private sector involved?
- How was the private sector coordinated? What was thereby particularly challenging?

Private Funding

- Are there advantages in private funding for your organisation? Are there any disadvantages or challenges?
- Would your organisation like to increase the share of private funds in future?

Strategies

- Is the issue of potentials of cooperation with the private sector relevant for your organisation? In what context?
- Would your organisation like to enhance cooperation with the private sector in future? In which areas? On what terms?
- In which areas do you see most potential in cooperation with the private sector?
- What could impede this cooperation?
- Do you perceive increase in interest of private companies to cooperate?

APPENDIX II

Questionnaire on Cooperation of Swiss NGOs with the Private Sector

1.0		Information on the organization		
0.0.1	Name:			
0.0.2	Activities of the organisation:	<input type="checkbox"/>	Development Aid	
		<input type="checkbox"/>	Disaster Prevention	
		<input type="checkbox"/>	Disaster Response	
1.1		Information on respondent		
0.1.1	Name:			
0.1.2	Position:			
0.1.3	Employed with NGO since:			
0.1.4	Contact:			
2.0		Questions		
2.1		Forms and patterns of collaboration		
2.1.1.	<i>What kind of private partners does your organisation have in Development Aid (DAid), Disaster Prevention (DPrev), Disaster Response (DResp)? Please, give examples of private partners or sectors if possible.</i>			
	<input type="checkbox"/>	International companies in Examples:	<input type="checkbox"/>	DAid <input type="checkbox"/>
			<input type="checkbox"/>	DPrev <input type="checkbox"/>
			<input type="checkbox"/>	DResp
	<input type="checkbox"/>	Swiss companies in Examples:	<input type="checkbox"/>	DAid <input type="checkbox"/>
			<input type="checkbox"/>	DPrev <input type="checkbox"/>
			<input type="checkbox"/>	DResp
	<input type="checkbox"/>	Domestic large companies in Examples:	<input type="checkbox"/>	DAid <input type="checkbox"/>
			<input type="checkbox"/>	DPrev <input type="checkbox"/>
			<input type="checkbox"/>	DResp
	<input type="checkbox"/>	Domestic SMEs in Examples:	<input type="checkbox"/>	DAid <input type="checkbox"/>
			<input type="checkbox"/>	DPrev <input type="checkbox"/>
			<input type="checkbox"/>	DResp
	<input type="checkbox"/>	Others: Examples:	<input type="checkbox"/>	DAid <input type="checkbox"/>
			<input type="checkbox"/>	DPrev <input type="checkbox"/>
			<input type="checkbox"/>	DResp
2.1.2.	<i>What forms of cooperation with the private sector does your organisation have in DAid, DPrev, DResp? If possible, please, give examples of projects.</i>			
	<input type="checkbox"/>	Private donors Examples:	<input type="checkbox"/>	DAid <input type="checkbox"/>
			<input type="checkbox"/>	DPrev <input type="checkbox"/>
			<input type="checkbox"/>	DResp
	<input type="checkbox"/>	Resource-mobilization partnerships / fund-raising by a private partner Examples:	<input type="checkbox"/>	DAid <input type="checkbox"/>
			<input type="checkbox"/>	DPrev <input type="checkbox"/>
			<input type="checkbox"/>	DResp
	<input type="checkbox"/>	Joint implementation of projects Examples:	<input type="checkbox"/>	DAid <input type="checkbox"/>
			<input type="checkbox"/>	DPrev <input type="checkbox"/>
			<input type="checkbox"/>	DResp
	<input type="checkbox"/>	Innovation partnerships (technologies / expertise) Examples:	<input type="checkbox"/>	DAid <input type="checkbox"/>
			<input type="checkbox"/>	DPrev <input type="checkbox"/>
			<input type="checkbox"/>	DResp
	<input type="checkbox"/>	Advocacy campaigns Examples:	<input type="checkbox"/>	DAid <input type="checkbox"/>
			<input type="checkbox"/>	DPrev <input type="checkbox"/>
			<input type="checkbox"/>	DResp
	<input type="checkbox"/>	Others: Examples:	<input type="checkbox"/>	DAid <input type="checkbox"/>
			<input type="checkbox"/>	DPrev <input type="checkbox"/>
			<input type="checkbox"/>	DResp
2.1.3.	<i>Is the cooperation of your organisation with the private sector usually project-based, within long-term partnerships or in any other time-frame?</i>			

	<input type="checkbox"/> project-based <input type="checkbox"/> long-term partnership <input type="checkbox"/> others:
2.1.4.	<i>How are the partnerships usually structured?</i>
	<input type="checkbox"/> bilateral <input type="checkbox"/> multilateral Please, explain the settings:
2.2.	Challenges and obstacles
2.2.1	<i>What are the motives of your organisation to cooperate with the private sector?</i>
	- - -
2.2.2.	<i>What are in your view, the private partner's motives to engage in the cooperation with your organisation?</i>
	- - -
2.2.3.	<i>Based on which criteria are private partners selected?</i>
	- - -
2.2.4.	<i>Are there any standardised guidelines / procedures concerning selection, monitoring and evaluation of collaboration with private partners?</i>
	Selection <input type="checkbox"/> yes <input type="checkbox"/> no Monitoring <input type="checkbox"/> yes <input type="checkbox"/> no Evaluation <input type="checkbox"/> yes <input type="checkbox"/> no
2.2.5.	<i>Are there in your organisation resources / employees specially dedicated to the management of the cooperation with the private sector?</i>
2.2.6.	<i>What are the main obstacles for cooperation of your organisation with the private sector? Please, prioritise your answer [1], [2], etc.</i>
	<input type="checkbox"/> Reputation risks <input type="checkbox"/> Selection, monitoring and evaluation is too costly <input type="checkbox"/> Lack of experience in cooperation with the private sector <input type="checkbox"/> Incompatible with our business model <input type="checkbox"/> Increasing complexity of coordination <input type="checkbox"/> Conflicting objectives / clash of values <input type="checkbox"/> Exchange of information is difficult / lack of transparency <input type="checkbox"/> Other:
2.2.7.	<i>What specific challenges does the organisation face in collaboration with...</i>
	... international companies? - ... swiss companies? - ... domestic companies? -

2.2.8.	<i>How could these challenges been overcome so far?</i>
	<p><i>International companies</i> -</p> <p><i>Swiss companies</i> -</p> <p><i>Domestic companies</i> -</p>
2.3.	Coordination of projects
2.3.1.	<i>With respect to disaster response, how is the coordination with a private partner usually organised? (e.g. the private partner participates in cluster meetings, or the organisation coordinates its efforts with private partners, or...)</i>
2.3.2.	<i>In your experiences, what are the particular challenges in coordination if private partners are involved?</i>
2.4.	Private Funding
2.4.1.	<i>What is the approximate share of the private sector / companies' donations in your organisation?</i>
2.4.2.	<i>What are advantages and disadvantages of private donations?</i>
	<p>Advantages:</p> <p>-</p> <p>-</p> <p>-</p> <p>Disadvantages:</p> <p>-</p> <p>-</p> <p>-</p>
2.4.3.	<i>Would your organisation like to increase the share of private donations in future? If yes, which group of donors should that be in your opinion?</i>
2.5.	Strategy in respect to private partners
2.5.1.	<i>Would your organisation like to enhance cooperation with private companies in future? If yes, what is expected to change? (please, underline)</i>
	<p><input type="checkbox"/> yes, in DAid. Expected: increase in number of private partners / change in settings of partnerships / new sectors of cooperation / more long-term partnerships / new forms of partnerships / other....</p> <p><input type="checkbox"/> yes, in DPrev. Expected: increase in number of private partners / more multilateral partnerships / new sectors of cooperation / more long-term partnerships / new forms of partnerships / other....</p> <p><input type="checkbox"/> yes, in DResp. Expected: increase in number of private partners / change in settings of partnerships / new sectors of cooperation / more long-term partnerships / new forms of partnerships / other....</p> <p><input type="checkbox"/> no</p>

2.5.2.	<i>Where do you see the biggest potential for mutually beneficial cooperation between your organisation and the private sector?</i>
2.5.3.	<i>What could in your opinion hinder more intensive cooperation of the organisation with private sector in future?</i>
	- - - -
2.5.4.	<i>In your view, how aware is your organisation of the potential of the cooperation with the private sector?</i>
2.5.5.	<i>In your experience, has the motivation of private companies to collaborate with humanitarian agencies in humanitarian aid / disaster management / development cooperation increased over the last years? Please, explain.</i>

THANK YOU!

APPENDIX III

Models of partnerships of humanitarian agencies with the private sector

Hoxtell et al.(2015) conducted a study for the ECHO looking into the approaches used by their implementing partners - international organisations, mega NGOs and donors. This study analysed business engagement in humanitarian response and disaster risk management. The study identified five models of partnerships. Similar to the UN approach, this classification is based on a result that a humanitarian organisation strived to achieve in the partnership (2015: p.22). According to Hoxtell et al. (2015) the following models of collaborations within partnerships could be distinguished (2015: pp.24-52) whereby, in practice, complex partnership models can be found, which combine elements of several categories (Hoxtel et al., 2015: p.22):

	Model	Description
1	Resource-mobilisation partnership	A private partner provides donations (e.g. cash, in-kind, fee-waivers) to a humanitarian organisation directly or through mobilising external sources to fulfil the mandates of the organisation.
2	Implementation partnerships	A private partner applies its core competence through in-kind service provisions (e.g. expertise) in facilitating a humanitarian organisation to implement its programs.
3	Innovation partnerships	A private partner provides its knowledge and expertise to a humanitarian organisation for joint development and implementation of technologies and instruments to address a specific humanitarian problem or to improve work processes within the organisation
4	System coordination partnerships	A private initiative aims to bring diverse stakeholders (e.g. companies, NGOs, governments etc.) together and to address the challenge of coordination on specific issues that are beyond the scope of the Cluster System
5	Advocacy partnerships	A private partner helps a humanitarian organisation (e.g. providing resources, expertise, strategy) to deliver a message to general public or targeted groups to raise their awareness of humanitarian challenges or to change their behaviour

APPENDIX IV






Models of cooperation according to Thomas and Fritz (2006):





Four possible patterns of cooperation between companies and humanitarian agencies in disaster relief could be distinguished (2006: pp.118-122):

- according to the forms of partnerships:
 1. philanthropic (donation)
 2. integrative (use of core competences)
- according to number of parties involved:
 1. single-company (bilateral)
 2. multi-company (consortium)

	Philanthropic	Integrative
Single-Company	<p>Single-Company Philanthropic Partnerships:</p> <p>A company makes donation directly to the agency on the ground</p>	<p>Single-Company Integrative Partnerships:</p> <p>A company and an agency cooperate on the level of their core competences, link their resources</p>
Multi-Company	<p>Multicompany Philanthropic Partnerships:</p> <p>Businesses pool their resources to provide supplies and services to many partnering aid agencies during a disaster</p>	<p>Multicompany Integrative Partnerships:</p> <p>A number of companies direct their collective resources and best practices for a range of agencies</p>

APPENDIX V

	Name	Background	Focus	Network Structure	Turnover [M CHF]	Income Sources [%]	Project Areas
	HELIVETAS Swiss Intercoperati on	<ul style="list-style-type: none"> Founded in 1995 Merger with foundation Swiss Intercoperati on in 2011 Development organisation engaged in 32 countries 	Development aid	<p>International network of independent affiliate member organisations</p> <p>1400 collaborators in 30 countries</p> <p><i>"As a rule, HELIVETAS Swiss Intercoperati on works with and through partner organisations. These include non-governmental institutions, public institutions and private companies."</i></p> <p>[Strategy: 2013-2017]</p>	128.1 [FS 2016]	<ul style="list-style-type: none"> Fundraising Membership fees Private donations Heritage and Legacies Income from services provided DEZA [SDC] Mandates from other organizations Other 	<ul style="list-style-type: none"> Water and Infrastructure Rural Economy Environment and Climate Change Skills Development and Education Governance and peace <p>[Website / Working area]</p>
	Save the Children Schweiz	Swiss unit founded in 2006	Children's rights	<ul style="list-style-type: none"> International network founded in 1919 29 membership organizations 56 regional offices operations in 120 countries 	21.9	<ul style="list-style-type: none"> Private donations Institutional donations DEZA [SDC] Other 	<ul style="list-style-type: none"> Education Health and Nutrition Child protection Emergency relief Advocacy
	ADRA Schweiz	<ul style="list-style-type: none"> founded in 1987 Independent humanitarian organisation sponsored by Seventh-day Adventist Church <p>[Website / Grunddaten und Ziele]</p>	Human dignity	<ul style="list-style-type: none"> 130 independent country offices 11 regional offices ADRA International coordinates activities without having power to direct country offices partner organisation of GlücksKette <p>[Website / Arbeitsweise] [Website / Grunddaten und Ziele]</p>	4.0 [FS 2016]	<ul style="list-style-type: none"> Private donations Contributions Seventh-day Adventist Church Contributions of other institutions Other <p>[FS 2016]</p>	<ul style="list-style-type: none"> Education Securing of livelihood Emergency relief and disaster prevention <p>[Website / Working area]</p>
	Schweizerisches Rotes Kreuz	Founded in 1881	Most important humanitarian organisation in Switzerland	Partner of Red Cross and Red Crescent movement (188 country organisations), ICRC and IFRC.	126.7 [FS 2016]	<ul style="list-style-type: none"> Private donations Heritage and legacies DEZA Swiss Confederation Canons GlücksKette Services provided Other 	<ul style="list-style-type: none"> Over half of funds spent on projects in Switzerland In international cooperation focus on health care, WASH, disaster prevention, response and recovery
	Solidar Suisse	<ul style="list-style-type: none"> Sponsored by Swiss labour unions and Swiss Social Democratic Party <p>[Website / Over us]</p>	Fair labour conditions and democratic participation	<ul style="list-style-type: none"> Member of European Network Solidar Linking Solidar Suisse with ca. 60 aid organisations and NGOs Partner organisation of GlücksKette <p>[Website / Over us] [Website / Facts Sheet]</p>	19.7	<ul style="list-style-type: none"> Swiss Confederation Donations and Legacies Municipalities, Cantons, Institutions GlücksKette Other 	<ul style="list-style-type: none"> Development programs Disaster prevention Emergency response: Relief and Reconstruction Campaigning in Switzerland <p>[Website / Over us]</p>

	Name	Background	Focus	Network Structure	Turnover [M CHF]	Income Sources [%]	Project Areas
	terre des hommes - Aide à l'enfance dans le monde	<ul style="list-style-type: none"> Founded in 1960 In 1972 split into three independent organisations 	<ul style="list-style-type: none"> Child aid organisation: Child protection Health Emergency relief 	<ul style="list-style-type: none"> Member of the Terre des Hommes International Federation (consisting of 8 members) 	78.9 [FS 2016]	<ul style="list-style-type: none"> Private donations 22.6 Institutions and foundations 6.6 Corporate donations 0.8 DEZA 22.9 Gliückskette 9.0 States and foreign institutions 13.8 Other 24.3 [FS 2016] 	<ul style="list-style-type: none"> Child protection Health Emergency relief
	CARITAS Schweiz	<ul style="list-style-type: none"> Founded in 1902 Originally affiliated with Catholic church 	<ul style="list-style-type: none"> Humanitarian aid Poverty relief 	<ul style="list-style-type: none"> Member of International and European Caritas Network Finance partnerships with other Caritas organisations from donor countries in many projects [Website - Weir wir sind - Organisation = Caritas weltweit] 	113.6 [FS 2016]	<ul style="list-style-type: none"> Private donations 12.1 Other donations 17.9 DEZA 14.8 Canons and Municipalities 24.7 Gliückskette 7.4 Other 23.1 [FS 2016] 	<ul style="list-style-type: none"> Programs in Switzerland [e.g. poverty relief / refugees] International activities <ul style="list-style-type: none"> Nutrition WASH Climate change Migration Education Humanitarian Aid [Website - Wir wir sind - Engagement weltweit]
	HEKS	<ul style="list-style-type: none"> Aid organisation sponsored by Swiss Evangelical Churches [Website / Weir wir sind] 	<ul style="list-style-type: none"> Good living conditions in social, economic and political terms 	<ul style="list-style-type: none"> Cooperation with different international networks and working groups Member of ATC Alliance, a coalition of 146 churches and faith based organization working in humanitarian aid [Website - Weir wir sind - Kooperationsnetze] 	71.4 [FS 2016]	<ul style="list-style-type: none"> Swiss Confederation aid 17.1 Canons 15.0 Private donations 15.7 Income from Services 7.9 Cantonal Churches 15.7 Other 15.7 [FS 2016] 	<ul style="list-style-type: none"> Development of rural communities Humanitarian aid Ecclesial cooperation Integration of refugees and underprivileged persons in Switzerland [Website - Weir wir sind]
	Vivamos Mejor	<ul style="list-style-type: none"> Swiss Foundation Founded in 1981 Focus on Latin America Politically and confessionally neutral [Website - Ober uns - Weir wir sind] 	<ul style="list-style-type: none"> Long-term improvement of living conditions in Latin America [Website - Ober uns - Weir wir sind] 	<ul style="list-style-type: none"> Partner organisation of Gliückskette Cooperation with one local partner organisation [NGO] per target country [Website - Partner] 	7.1 [FS 2016]	<ul style="list-style-type: none"> Private foundations 26 Canons / Municipalities 23 Gliückskette 25 Corporations / corporate foundations 17 Private donations 6 Other 3 [FS 2016] 	<ul style="list-style-type: none"> Development programs Humanitarian aid in case of disasters in target countries [Website - Ober uns - Weir wir sind]

APPENDIX VI

List of Interviews

Gemperli, Christian (2017): Telephone Interview on “Cooperation of Solidar Suisse with the Private Sector in Humanitarian Aid”, Zürich, 10.8.2017 (cit. **Solidar Interview**).

Morf, Pascal (2017): Personal Interview on “Cooperation of the Swiss Red Cross with the Private Sector in Disaster Management”, SRC, Bern, 22.8.2017 (cit. **SRC Interview**).

Perekrestenko, Mike (2017): Personal Interview on “Cooperation of ADRA with the Private Sector”, ADRA, Zürich, 7.8.2017 (cit. **ADRA Interview**).

Sjöberg, Asa (2017): Skype Interview on “Cooperation of Save the Children with the Private Sector”, Zürich, 25.8.2017 (cit. **StC Interview**).

Studer, Eveline (2017): Telephone Interview on “Cooperation of HELVETAS Swiss Intercooperation with the Private Sector”, Zürich, 11.7.2017 (cit. **Helvetas Interview**).

List of Respondents to Questionnaires

Gemperli, Christian (2017): Questionnaire on “Cooperation of Solidar Suisse with the Private Sector”, (cit. **Solidar Questionnaire**).

Pascual, Bruno (2017): Questionnaire on “Cooperation of Terre des Hommes with the Private Sector”, (cit. **TdH Questionnaire**).

Perekrestenko, Mike (2017): Questionnaire on “Cooperation of ADRA Schweiz with the Private Sector”, (cit. **ADRA Questionnaire**).

Praz, Nathalie (2017): Questionnaire on “Cooperation of HEKS/EPER with the Private Sector”, (cit. **HEKS Questionnaire**).

Stolz, Nicole (2017): Questionnaire on “Cooperation of Caritas Schweiz with the Private Sector”, (cit. **Caritas Questionnaire**).

Viana-Bachmann, Katharina (2017): Questionnaire on “Cooperation of Vivamos Mejor with the Private Sector”, (cit. **VM Questionnaire**).

DECLARATION OF AUTHORSHIP

I hereby declare

- that I have written this thesis without any help from others and without the use of documents and aids other those stated above,
- that I have mentioned all the sources used and that I have cited them correctly according to established academic citation rules,
- that I shall not pass on any copy of this thesis to any third parties without the President's consent, with the exception of fellow students or persons who have provided me with essential information for this thesis, to whom I may pass on copies of this thesis after the procedure has been concluded.

St. Gallen, date and signature
