

# **Strategic Management in International Aid Organizations**

## **Thesis**

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by

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*To my parents*



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## LIST OF ABBREVIATIONS

BCG	Boston Consulting Group
CARE	Cooperative for Assistance and Relief Everywhere, Inc.
DAC	Development Assistance Committee
FAO	Food and Agriculture Organization of the United Nations
HIV/AIDS	Human immunodeficiency virus/Acquired immunodeficiency syndrome
ICRC	International Committee of the Red Cross
IFRC	International Federation of Red Cross and Red Crescent Societies
IGO	Inter-governmental organization
INGO	International non-governmental organization
MSF	Médecins sans Frontières
NGO	Non-governmental organization
NPO	Non-profit organization
ODA	Official development assistance
OECD	Organisation for Economic Co-operation and Development
Oxfam	Oxford Committee for Famine Relief
SWOT	Strengths–Weaknesses–Opportunities–Threats
UN	United Nations
UNDP	United Nations Development Programme
UNFPA	United Nations Population Fund
UNHCR	Office of the United Nations High Commissioner for Refugees
UNICEF	United Nations Children’s Fund
UNRWA	United Nations Relief and Works Agency for Palestine Refugees in the Near East
WFP	United Nations World Food Programme
WHO	World Health Organization



# I INTRODUCTION

## 1 Rationale

### 1.1 The need for aid

An estimated 1.4 billion individuals in developing countries live on less than USD 1.25 per day.<sup>1</sup> Approximately 830 million or 16% of individuals in developing countries continue to suffer from undernourishment,<sup>2</sup> despite the fact that the capacity to produce sufficient food for everyone in the world exists.<sup>3</sup> Some 69 million primary school age children still do not attend school. Every year, almost 9 million children under the age of five die from pneumonia, diarrhea, malaria, human immunodeficiency virus/acquired immunodeficiency syndrome (HIV/AIDS) and malnutrition, most of which are preventable with simple, practical, low-cost interventions. Roughly 16% of the developing world does not have access to improved drinking water sources.<sup>4</sup>

These problems tend to reinforce each other, trapping individuals in a vicious cycle. Examples of the effects of each of these problems on the others are shown in **Figure I.1**. Facts like these show that, despite the economic and social progress made in recent decades, extreme poverty and human suffering continue to exist in developing countries.

Furthermore, natural disasters, war and conflicts tend to aggravate this situation. Natural disasters, such as floods, droughts, earthquakes or epidemics are synonymous to lost lives, disease, physical destruction of productive assets, destruction of infrastructure, erosion of livelihoods, displaced populations and suffering. Every year, hundreds of millions are affected by such disasters.<sup>5</sup> Poor countries are particularly vulnerable because of poverty, the concentration of habitats, the degradation of the environment, and their incapacity to foresee, evaluate and manage crises. The United Nations Development Programme (UNDP)<sup>6</sup> reports that “while only 11 percent of the people exposed to natural hazards live in countries classified as low human development, they account for more than 53 percent of total recorded deaths”.<sup>7</sup>

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<sup>1</sup> UN, 2010, p. 6. Figure for the year 2005.

<sup>2</sup> UN, 2010, p. 11. Figure for the years 2005-2007. Undernourishment refers to “the condition of people whose dietary energy consumption is continuously below a minimum requirement for fully productive, active and healthy lives” (WFP, 2006, p. 20).

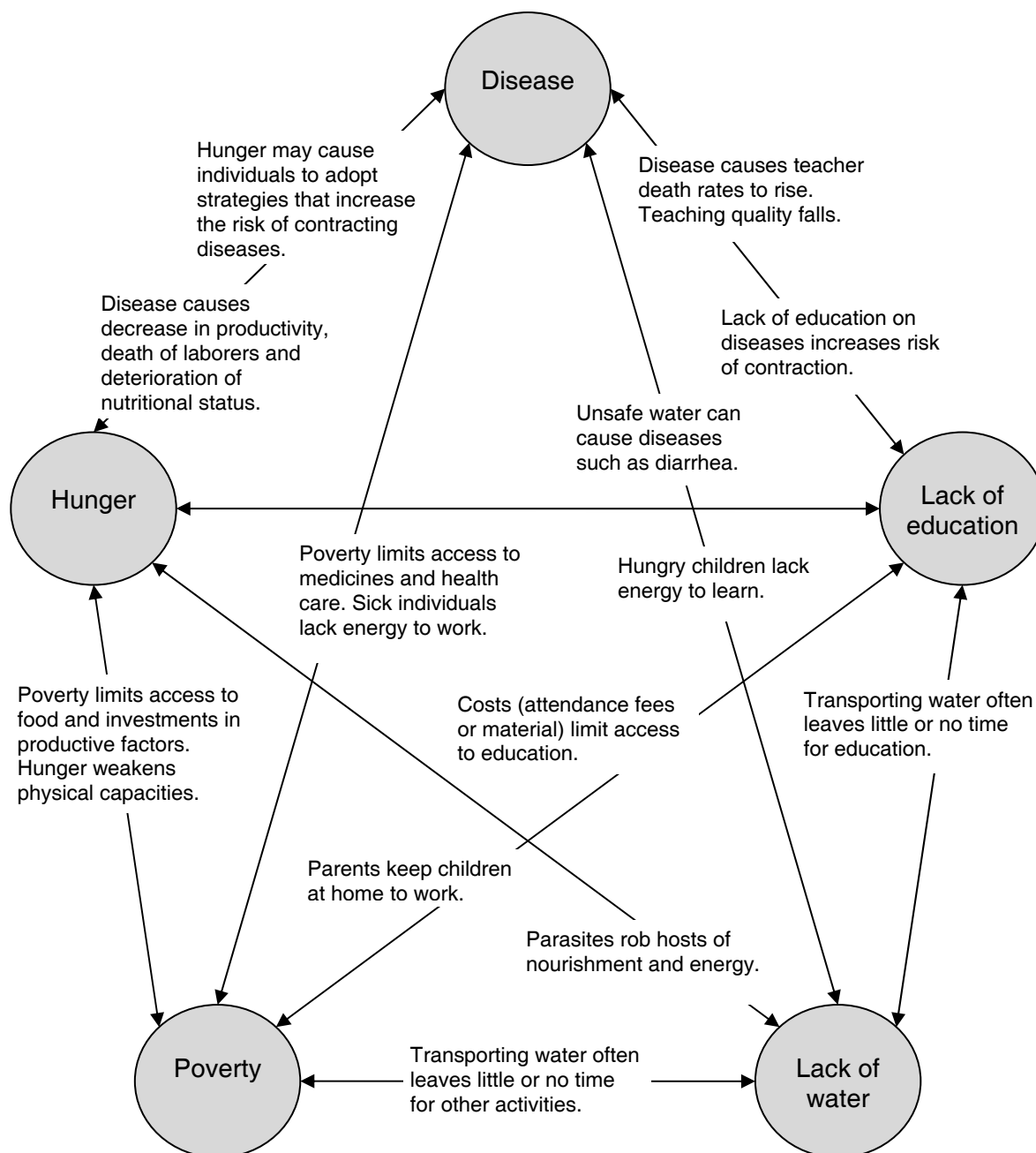
<sup>3</sup> FAO, 2001, p. iii.

<sup>4</sup> UN, 2010, p. 17; 26f.; 58. Figures for the year 2008. This is not to say that developed countries escape from these problems. For example, in 2005-2007, approximately 12 million individuals in developed countries were undernourished (FAO, 2010, p. 50).

<sup>5</sup> UN, 2011, p. 233.

<sup>6</sup> This thesis uses United States spelling. However, names are as the organizations themselves give them.

<sup>7</sup> UNDP, 2004, p. 1.



**Figure I.1: Examples of links between problems of developing countries<sup>8</sup>**

Wars or armed conflicts also have dramatic consequences on individuals and communities. In the 1990s, wars and conflicts claimed 5 million lives and forced 50 million to flee their homes.<sup>9</sup>

In order to assist those in need and to fulfill their human rights, aid may be provided.<sup>10</sup> Although their border has become less clear in recent years, two types of aid can be distinguished: humanitarian aid and development aid.<sup>11</sup>

<sup>8</sup> Own elaboration.

<sup>9</sup> UNDP, 2000, p. 36.



Humanitarian aid, more widely known as emergency aid or relief aid, focuses on assistance in response to disasters such as floods and earthquakes or wars and conflicts. Humanitarian action has diverse roots. They can be found in religion, the ideas of the philosophers of the Age of Enlightenment, and notably the founding of the International Committee of the Red Cross (ICRC) in 1863. Humanitarian action aims to save lives, alleviate suffering, and maintain human dignity. This can include the restoration of access to vital necessities such as food, water, health care and shelter, as well as the protection of victims of conflict and violence.

Development aid, on the other hand, seeks to support economic, sociological and political development. Although specific examples of aid for development can be found earlier, the era of development began after the end of the Second World War. Its meaning has varied throughout time and remains contested today. Therefore, aid for development may cover a wide variety of fields such as healthcare, education, democratic governance and human rights.

In the second half of the 20th century, aid developed in an unprecedented way, occupying an important place in international relations. It is now a billion dollar industry<sup>12</sup> employing a significant number of persons.<sup>13</sup>

## 1.2 International aid organizations

Several types of organizations, frequently referred to as agencies, are active in the delivery of aid. These notably include governments and their agencies, the International Red Cross and Red Crescent Movement, inter-governmental organizations (IGOs), which notably include the United Nations (UN), and non-governmental organizations (NGOs). This thesis focuses on two types of international aid actors: UN organizations and NGOs.

The UN, founded in 1945 by 50 countries, currently has 192 Member States and is composed of six principal organs, as well as of several programs, funds and agencies which have their own governing bodies, budgets, standards and guidelines. As set forth in its Charter, the UN aims to maintain international peace and security, to develop friendly relations among nations; to cooperate in solving international economic, social, cultural and humanitarian problems, to promote respect for human rights, and to be a center for harmonizing the actions of nations. The UN is a major provider of humanitarian and development aid. The World Health Organization (WHO) contributed significantly to the global elimination of

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<sup>10</sup> This idea corresponds to the moral motive for providing assistance. Other motives include political, economic, and environmental considerations (See Riddell, 2007, p. 91ff.).

<sup>11</sup> Riddell, 2007, p. 21.

<sup>12</sup> Hjertholm & White, 2000, p. 80.

<sup>13</sup> One estimate is 290'000 persons in 2008 (Stoddard, Harmer & DiDomenico, 2009, p. 2).

smallpox and the regional elimination of poliomyelitis. In 2008, for example, 106 million children were vaccinated thanks to the work of the United Nations Children's Fund (UNICEF). In just 2009, the United Nations World Food Programme (WFP) distributed 4.6 million tons of food aid to 101.8 million of the world's poorest. The same year, the Office of the United Nations High Commissioner for Refugees (UNHCR) provided protection and assistance to some 26 million forcibly displaced persons.<sup>14</sup>

NGOs are also active in humanitarian and development aid. These organizations have taken on an increasingly important role in the past few years; the amount of aid flowing through them has increased more than seven times in the past three decades and amounts to over USD 7 billion.<sup>15</sup> NGOs vary greatly in their size, structure and geographical range of activities.<sup>16</sup> They include small local organizations with limited staff and budget, but also include large internationally active organizations with total annual revenue of several hundred million dollars and thousands of staff members, such as World Vision or Médecins sans Frontières (MSF). These are known as international non-governmental organizations (INGOs), or NGOs with operations in at least three countries.<sup>17</sup>

INGOs can be traced back to the 19th century, with the founding of organizations such as the British and Foreign Anti-Slavery Society in 1839 and the ICRC.<sup>18</sup> In 1874, there were 32 registered INGOs. There were 466 by 1914, and 1'083 by 1944.<sup>19</sup> This number grew steadily after the Second World War, increasing sharply during the 1990s. By the year 2000, it is estimated that there were more than 37'000, almost a fifth of which had been created in the 1990s.<sup>20</sup> At the end of the 1990s, the total expenditures of the ten largest humanitarian and development aid INGOs amounted to some USD 3 billion.<sup>21</sup>

### 1.3 Strategic management in international aid organizations

Aid organizations have considered management approaches only recently. Increased interest is now being shown in management, due both to external and internal factors. Demands for increased accountability, as well as recognition of limits to growth, have pushed NGOs to pay more attention to management.<sup>22</sup>

<sup>14</sup> UN, 2011, p. 38; 161; 175; 233; 238; 240.

<sup>15</sup> UNDP, 2002, p. 5; 102.

<sup>16</sup> Barrow & Jennings, 2001, p. 3; Lewis, 2007, p. 7; Thomas & Allen, 2000, p. 213.

<sup>17</sup> This corresponds to the definition given by the Union of International Associations (Dijkzeul & Beigbeder, 2006, p. 3).

<sup>18</sup> Anheier, 2005, p. 329; Anheier, Glasius & Kaldor, 2001, p. 4; Martens, 2010, p. 1040.

<sup>19</sup> Chatfield, 1997, p. 21.

<sup>20</sup> Anheier, Glasius & Kaldor, 2001, p. 4; UNDP, 2002, p. 5; 102.

<sup>21</sup> Lindenberg & Dobel, 1999, p. 5.

<sup>22</sup> Lewis, 2007, p. 23f.; Lewis, 2003, p. 330.

Strategic planning, a sub-discipline of management concerned with the definition of the long-term direction of an institution, has also been considered.<sup>23</sup>

Private firms and aid agencies share a number of characteristics. Like for-profit enterprises, aid organizations may manage a significant amount of funds and an important number of employees. They may also need to differentiate themselves from others thanks to “brands” and competitive advantages. Competition also characterizes the aid industry. As *The Economist* states, “In the now-crowded relief market, campaigning groups must jostle for attention: increasingly, NGOs compete and spend a lot of time and money marketing themselves”.<sup>24</sup> However, differences may exist between these organizations and the private sector in terms of objectives, tasks, processes, indicators of success, stakeholders and competition. **Figure I.2** gives a comparison of some of these aspects.

Characteristics specific to these organizations are likely to have effects on strategic management. For example, the high proportion of resources received from single governments or sponsors implies that funding bodies’ influence may be high and that strategies must therefore be coordinated with them.<sup>25</sup> These specific aspects also imply that standard business approaches cannot be applied blindly.<sup>26</sup> Few humanitarian organizations use management tools, simply because they “do not easily fit humanitarian relief”.<sup>27</sup>

The idea of adopting management approaches has come with suspicion, and certain reluctances have been felt.<sup>28</sup> There are several reasons for this. First, NGOs have a “culture of action”, and are reluctant to devote lots of time to management questions, particularly in their beginnings, because it is believed that it takes attention away from actual work. Second, it is often argued that funds should be dedicated to the primary task and not to administration. Third, some fear that the use of management approaches may lead to the loss of identity and values. The idea of management belongs to a different ideology.<sup>29</sup> Korten argues that “some NGOs actively espouse an ideological disdain for management of any kind, identifying it with values and practices of normal professionalism, and placing it in a class with exploitation, oppression, and racism”.<sup>30</sup> Finally, the fact that management is driven from the outside may also raise suspicion. Management approaches may be imposed by donors.<sup>31</sup> For example, donors have pushed NGOs to develop strategic plans.<sup>32</sup>

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<sup>23</sup> Lewis, 2007, p. 23.

<sup>24</sup> *The Economist*, 2000, p. 26.

<sup>25</sup> Johnson & Scholes, 1999, p. 35.

<sup>26</sup> Minear, 2002, p. 147.

<sup>27</sup> James, 2008, p. 92.

<sup>28</sup> Campbell, 1989, p. 3.

<sup>29</sup> Lewis, 2007, p. 20f.

<sup>30</sup> Korten, 1987, p. 156.

<sup>31</sup> Lewis, 2007, p. 21; Lewis, 2003, p. 330.

<sup>32</sup> Smillie & Hailey, 2002, p. 110.

	Private companies	UN agencies	NGOs
<b>Motive</b>	Profit motive <sup>33</sup>	No profit motive <sup>34</sup>	
<b>Tasks</b>	Fulfilling customer needs in industry markets	Humanitarian and/or development activities	
<b>Measure of performance</b>	Financial measures, <sup>35</sup> but indicators of success are not always clear. <sup>36</sup>	No clear or multiple indicators of success <sup>37</sup>	
<b>Stakeholders</b>	Shareholders and customers as most important groups <sup>38</sup>	Multiple stakeholders, such as donors, beneficiaries, states, etc. <sup>39</sup>	
<b>Source of resources</b>	Shareholders and banks provide capital. Customers make payments in exchange for goods and services. <sup>40</sup>	Mainly through voluntary contributions, primarily from governments <sup>41</sup>	Donors, such as governments, foundations, individuals and corporations <sup>42</sup>
<b>Competition</b>	Competition <sup>43</sup> for customers and market share	Competition for funding <sup>44</sup>	Competition <sup>45</sup> for funding <sup>46</sup> and contracts <sup>47</sup>

**Figure I.2: Comparison of private companies and aid organizations<sup>48</sup>**

<sup>33</sup> Courtney, 2002, p. 46.

<sup>34</sup> Dijkzeul & Beigbeder, 2006, p. 3; Fowler, 2004a, p. 23; Lewis, 2007, p. 17; Lindenberg & Bryant, 2001, p. 5; Smillie, 1998, p. 47; Thomas & Allen, 2000, p. 210.

<sup>35</sup> Herman & Renz, 1999, p. 109.

<sup>36</sup> Courtney, 2002, p. 46.

<sup>37</sup> Fowler, 1997, p. 26.

<sup>38</sup> Courtney, 2002, p. 47.

<sup>39</sup> Brown & Moore, 2001, p. 572ff.; Lewis, 2007, p. 167; Tandon, 2004, p. 214.

<sup>40</sup> Fowler, 1997, p. 25; Moore, 2000, p. 185; Worth, 2012, p. 6.

<sup>41</sup> Degnbol-Martinussen & Engberg-Pedersen, 2005, p. 108.

<sup>42</sup> Development Initiatives, 2006, p. 40; Fowler, 1997, p. 25; Fowler, 1991, p. 3; Walker & Maxwell, 2009, p. 4; Weiss & Collins, 2000, p. 53.

<sup>43</sup> Rumelt, Schendel & Teece, 1994, p. 9.

<sup>44</sup> Natsios, 1996, p. 75; Reindorp & Wiles, 2001, p. 9; Smillie & Minear, 2004, p. 185; Wigley, 2005, p. 3; 81.

<sup>45</sup> Chambers, 1993, p. 93; Dijkzeul & Beigbeder, 2006, p. 12; Natsios, 1996, p. 75; Smillie, 1995, p. 149; Stephenson, 2010, p. 1034.

<sup>46</sup> Aldashev & Verdier, 2010, p. 48; Coppola, 2011, p. 491; Hoy, 1998, p. 104; Lindenberg, 2001, p. 247; Prendergast, 1996, p. 13; Smillie, 1998, p. 41; Smillie, 1997, p. 564; Smillie, 1995, p. 116; Smillie & Minear, 2004, p. 183ff.

<sup>47</sup> Brett, 2000, p. 31; Cooley, 2010, p. 255f.; Cooley & Ron, 2002, p. 16; Coppola, 2011, p. 491; Smillie & Minear, 2004, p. 199; 236; Stephenson, 2010, p. 1035; The Economist, 2000, p. 27.

<sup>48</sup> Own elaboration.

It must be noted, however, that NGOs funded by the UN or bilateral donors are generally less reluctant towards such approaches, as are bilateral and multilateral aid agencies.<sup>49</sup> However, even in the UN, there is “no strategy culture”. Planning is often considered to be a luxury and less important than operational activities.<sup>50</sup>

The advantages of management tools and approaches for aid agencies have been stressed. Umali, for example, claims that “for operating NGOs large or small, (...) an exercise in strategic assessment, to verify one’s reading of the external and policy environment as well as to take stock of the organization’s strengths and weaknesses, and to see the fit between the NGOs competencies and distinctive roles (...), is a most useful exercise for both long and medium term planning and positioning, given the internal constraints of the NGO”.<sup>51</sup> Korten also argues that “the basic concepts of strategy (...) offer useful perspectives to NGOs”.<sup>52</sup>

## 2 Objectives

The major objective of the thesis is to develop a set of strategic management recommendations that meets the specific needs of aid organizations.

Two intermediate objectives will help reach the major objective:

- The first intermediate objective is to acquire a better understanding of international aid organizations and of their specific needs in strategic management with the help of a literature review.
- Secondly, the thesis aims to obtain a better understanding on the state of art of strategic management in international aid organizations. The second intermediate objective is a qualitative one. The author aims to explore why and how strategic management is used.

**Figure I.3** summarizes the system of objectives.

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<sup>49</sup> Minear, 2002, p. 155.

<sup>50</sup> Kent, 2007, p. 141f.

<sup>51</sup> Umali, 1988, p. v.

<sup>52</sup> Korten, 1988, p. 14.

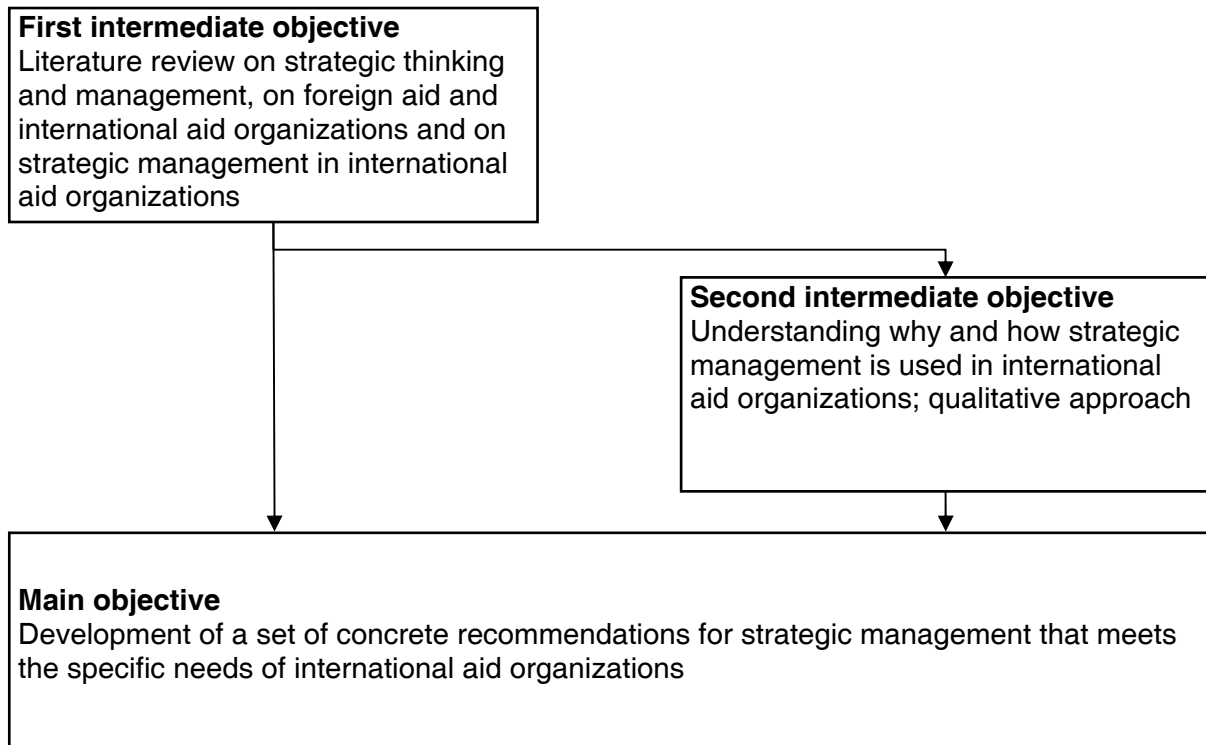


Figure I.3: Objectives of the thesis<sup>53</sup>

### 3 Scientific positioning

#### 3.1 Positioning as practical normative management science

According to Köhler, there are three possible understandings of management science, each one with different basic problems or objectives:<sup>54</sup>

- Ethical normative management science aims to find the “right” objectives and values. It looks for rules allowing the distinction between ethically justifiable and ethically unjustifiable actions. This approach is generally refused by the scientific community, because of the inability to judge whether objectives and values are right or wrong.
- Empirical analytical management science focuses on the explanation of reality through the development and empirical testing of hypotheses. This approach is dominant in management science.
- Practical normative management science seeks to support problem-solving and decisions in practice by developing recommendations. This approach is generally accepted by the scientific community.

<sup>53</sup> Own elaboration.

<sup>54</sup> Köhler, 1978, p. 186ff. See also Grünig, 1990, p. 30; Grünig & Kühn, 2009, p. 47f.

Given that the main objective of the thesis is to develop a set of concrete recommendations for strategic management that meets the specific needs of international aid organizations, the thesis is attributed to the practical normative understanding of management science. While some reluctance towards management exists in aid organizations,<sup>55</sup> it may also be helpful to be successful and reach objectives. This is especially the case for results of practical-normative research. In this approach, the specific objectives of an aid organization are respected. At the same time, concrete recommendations allow for better decisions and actions.

### 3.2 Characterization of the research

Research can be classified in a number of ways. Collis & Hussey propose the classification summarized in **Figure I.4**. The shaded areas in the figure indicate the position of the thesis with regards to this classification. They are explained in the following text.

In the classification according to purpose, exploratory research is carried out when very little or no earlier studies exist on a research problem. It aims to “look for patterns, ideas or hypotheses” and “the focus is on gaining insights and familiarity with the subject area for more rigorous investigation at a later stage”.<sup>56</sup> This is the case for this thesis. As will be shown in chapter IV, very little literature exists on strategic management in aid organizations. Therefore, the research conducted can be classified into the category of exploratory research. The thesis also aims “to portray an accurate profile of persons, events or situations”<sup>57</sup> and can therefore also be classified in descriptive research.

With regards to the classification according to process, quantitative and qualitative research can be distinguished. **Figure I.5** summarizes the typical characteristics of these two approaches. A qualitative approach for the thesis has been selected by the author for several reasons. First of all, it is appropriate to answer “why” and “how” questions.<sup>58</sup> In fact, the second intermediate objective of the thesis is to understand why and how strategic management is used in international aid organizations. Furthermore, little research has been carried out on the topic of strategic management in international aid organizations, as will be shown in the thesis. A qualitative approach therefore appears to be highly appropriate for the thesis, given that it is often referred to as “the best strategy for discovery, exploring a new area, developing hypotheses”.<sup>59</sup>

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<sup>55</sup> Lewis, 2007, p. 20ff.

<sup>56</sup> Collis & Hussey, 2009, p. 4f.

<sup>57</sup> Robson, 2002, p. 59.

<sup>58</sup> Maylor & Blackmon, 2005, p. 250.

<sup>59</sup> Miles & Huberman, 1994, p. 10.

Basis of classification		Type of research	
Purpose	Reason why research is conducted	Exploratory	Very few or no earlier studies Aim is to look for patterns, ideas or hypotheses
		Descriptive	Description of phenomena as they exist Aim is to identify and obtain information
		Analytical / explanatory	Analysis and explanation of why and how questions; Aim is to understand phenomena by discovering and measuring causal relations
		Predictive	Prediction of phenomena on the basis of hypothesized, general relationships
Process	Way in which data were collected and analyzed	Qualitative	Collection of qualitative data and analysis using interpretative methods
		Quantitative	Collection of quantitative data and analysis using statistical methods
Outcome	Solution to a particular problem or more general contribution to knowledge	Basic / pure	Contribution to general knowledge and theoretical understanding, rather than solving a specific problem
		Applied	Application of findings to solve a specific, existing problem
Logic	Moving from general to specific or vice versa	Deductive	Development of conceptual and theoretical structure which is then developed and tested by empirical observation
		Inductive	Development of theory from the observation of empirical reality
<div><div></div> = type not adopted by thesis</div> <div><div></div> = type adopted by thesis</div>			

**Figure I.4: Classification of research**<sup>60</sup>

In the classification according to outcome, the research can be positioned in applied approach. It aims to be relevant and valuable to practice, and aims to solve a specific problem in reality. Such research “is of direct and immediate relevance to managers, addresses issues that they see as important, and is presented in ways that they understand and can act on”.<sup>61</sup>

<sup>60</sup> Adapted from Collis & Hussey, 2009, p. 4ff.

<sup>61</sup> Saunders, Lewis & Thornhill, 2009, p. 8.



	Quantitative approach	Qualitative approach
<b>Number of observations</b>	Many	Few or single
<b>Research questions</b>	Who, what, when, where	How, why
<b>Variables</b>	Specified ahead of time, based on theoretical concepts	Emerge from study, based on grounded research
<b>Analysis</b>	Level of variables and relationships among them; statistical analysis	Finding patterns of events or processes
<b>Goal</b>	Generalizable to observations or contexts beyond sample	Generalizable to theoretical concepts

**Figure I.5: Typical quantitative versus qualitative research designs<sup>62</sup>**

With regards to the classification according to logic, the research of the thesis is inductive. This is because it begins with the observation of empirical reality, to then develop theory from the observation. **Figure I.6** summarizes the main differences between the two approaches.

Deduction emphasizes	Induction emphasizes
<ul style="list-style-type: none"> <li>▪ Scientific principles</li> <li>▪ Moving from theory to data</li> <li>▪ Need to explain causal relationships between variables</li> <li>▪ Collection of quantitative data</li> <li>▪ Application of controls to ensure validity of data</li> <li>▪ Operationalization of concepts to ensure clarity of definition</li> <li>▪ Highly structured approach</li> <li>▪ Researcher independence of what is being researched</li> <li>▪ Necessity to select samples of sufficient size in order to generalize conclusions</li> </ul>	<ul style="list-style-type: none"> <li>▪ Gaining an understanding of the meanings humans attach to events</li> <li>▪ Close understanding of the research context</li> <li>▪ Collection of qualitative data</li> <li>▪ More flexible structure to permit changes of research emphasis as the research progresses</li> <li>▪ Realization that the researcher is part of the research process</li> <li>▪ Less concern with the need to generalize</li> </ul>

**Figure I.6: Major differences between deductive and inductive approaches<sup>63</sup>**

<sup>62</sup> Adapted from Maylor & Blackmon, 2005, p. 250.

<sup>63</sup> Adapted from Saunders, Lewis & Thornhill, 2009, p. 127.

## 4 Research methodology

### 4.1 Research process

In order to achieve the objectives presented above, the author will follow the procedure shown in **Figure I.7**.

Step	Chapter
1. Analyzing literature on strategic management, on foreign aid and international aid organizations, and on strategic management in international aid organizations	II
	III
	IV
2. Carrying out case research on strategic management in international aid organizations: needs, issues and approaches	V
	VI
	VII
	VIII
3. Developing recommendations for strategic management in international aid organizations	IX

**Figure I.7: Research procedure**<sup>64</sup>

First, the author will begin with a detailed analysis of relevant literature in order to obtain further knowledge and understanding of the subject. Several types of literature will be reviewed: First, the discipline of management, and more specifically public administration/management, non-profit/third sector management and strategic management, will be reviewed. Finally, the literature on political science and international relations is considered particularly relevant for the topics of aid and aid organizations.

Secondly, case research on aid organizations will be carried out. This will enable the author to obtain a thorough understanding of why and how strategic management is used in organizations active in humanitarian and development aid, as well as to identify challenges. The different eventual reluctances will also be presented.

<sup>64</sup> Own elaboration.

Thirdly, a number of recommendations will be developed by the author on the basis of these findings.

## 4.2 Case research as the main methodological approach

Case research can be defined as “an empirical enquiry that investigates a contemporary phenomenon in depth and within its real-life context, especially when the boundaries between phenomenon and context are not clearly evident”.<sup>65</sup>

For Yin, the case research approach is considered to be particularly suitable to answer “why” and “how” questions.<sup>66</sup> It is also preferred when the researcher has little control over events, and when contemporary phenomenon within a real-life context is being studied.<sup>67</sup> Given the nature of the research question, which includes why and how questions, the lack of control over behavioral events and the focus on contemporary events, case research appears to be appropriate for the thesis. Case research will allow an in-depth understanding of the real-life context of strategic management in aid organizations.

The limited amount of literature available, as will be shown in the chapter on the state of literature, also speaks in favor of an adoption of the case research approach, given it is considered to be “particularly well-suited to new research areas or research areas for which existing theory seems inadequate”.<sup>68</sup>

The approach is commonly used in business administration,<sup>69</sup> and notably in marketing, human resources management, management information systems and strategy.<sup>70</sup> Gibbert, Ruigrok & Wicki also argue that “case studies as tools for generating and testing theory have provided the strategic management field with ground-breaking insights”.<sup>71</sup> Case research is notably carried out for the study of organizations.<sup>72</sup> For these reasons, case research also appears to be appropriate.

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<sup>65</sup> Yin, 2009, p. 18.

<sup>66</sup> Saunders, Lewis & Thornhill, 2009, p. 146; Yin, 2009, p. 2.

<sup>67</sup> Yin, 2009, p. 2.

<sup>68</sup> Eisenhart, 1989, p. 548f.

<sup>69</sup> Yin, 2009, p. 4f.

<sup>70</sup> Swanborn, 2010, p. 7.

<sup>71</sup> Gibbert, Ruigrok & Wicki, 2008, p. 1465.

<sup>72</sup> Swanborn, 2010, p. 7.

### 4.3 Data collection methods

The author will use two methods to collect data: interviews and document analysis.<sup>73</sup>

The interview, defined simply as “a conversation with a purpose”,<sup>74</sup> is used to answer why and how questions,<sup>75</sup> Interviews present the advantage of allowing the researcher to focus directly on the topic of the case study, as well as of being very insightful.<sup>76</sup> The use of face-to-face semi-structured interviews, which include topics to cover but allow scope for the interviewee to develop his/her answer,<sup>77</sup> is considered appropriate in the context of this thesis. Specific topics may thus be covered, but new ideas and issues may also be introduced.

Documents analysis is the second data collection method that will be used. Documents range from e-mails to minutes of meetings to internal reports to newspaper articles. They mainly allow the author to confirm and argument evidence from other sources, and are therefore considered to be of high value for case research.<sup>78</sup>

## 5 Structure

The structure of the thesis is summarized in **Figure I.8**.

Chapter I is the introduction. It includes the relevance of the topic, the objectives, the scientific positioning, the research methodology and the structure of the thesis.

Chapter II explores the field of strategic management. After a brief introduction, the history of strategic thinking from its military and political origins to its applications to business will be presented in the second section. In the third section, the definition, various forms and objectives of strategy will be exposed. The different levels of strategy will be looked at in the fourth section. The fifth section will cover strategic management. Its definition, purpose and tasks, namely strategic planning, implementation of strategies and strategic control, will be described. It will also include an overview of the important tools used in the process of strategic planning.

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<sup>73</sup> Yin, 2009, p. 99ff. Other sources include archival records, direct observations, participant observations and physical artifacts.

<sup>74</sup> Berg, 2007, p. 89.

<sup>75</sup> Maylor & Blackmon, 2005, p. 220.

<sup>76</sup> Yin, 2009, p. 102; 108.

<sup>77</sup> Willis, 2006, p. 144.

<sup>78</sup> Yin, 2009, p. 103.

Chapter I:	Introduction
Chapter II:	Strategic management
Chapter III:	Foreign aid, international aid organizations and their specificities in the context of strategic management
Chapter IV:	State of literature on strategic management in international aid organizations
Chapter V:	Case research approach and chosen procedure
Chapter VI:	Designing and preparing case research
Chapter VII:	Collecting and preparing the data and elaborating the case descriptions
Chapter VIII:	Analyzing the cases
Chapter IX:	Recommendations for strategic management in international aid organizations
Chapter X:	Final remarks

**Figure I.8: Structure of the thesis**<sup>79</sup>

Chapter III is dedicated to foreign aid, aid organizations and the specificities in the context of strategic management. Following a brief introduction in the first section, an overview of foreign aid and its two types will be given in the second section. The histories, definitions, spaces of action, financing and coordination of aid will be presented. The third section is dedicated to aid organizations. Two kinds of international aid organizations, namely UN organizations and NGOs, will be presented in more detail. Their histories, mandates, organizational cultures and activities in the field of humanitarian and development aid will be described. Finally, the specificities of aid and aid organizations, as well as the consequences on strategic management, will be explored.

<sup>79</sup> Own elaboration.

Chapter IV analyzes the literature on strategic management in international aid organizations. After an introduction, the procedure adopted by the author for the literature search will be presented, as well as the results of the search of literature on strategic management in international aid organizations.

Chapter V is dedicated to the case research approach. After a presentation of the general understanding of case research in literature, Yin's procedure will be presented. Then, the procedure adopted by the author will be described.

Chapter VI presents the designing and preparation of the case research in the thesis. The different steps presented in the previous chapter will be commented. The preparation of data collection will also notably be presented.

Chapter VII is dedicated to the collection of the data and the elaboration of the case descriptions. Three cases on strategic management in international aid organizations will be produced to illustrate how and why strategic management is used, as well as the tools applied, if any. The different challenges faced will also be included.

Chapter VIII is dedicated to the analysis of the different cases. This will be carried out by discussing propositions and challenges at the individual and then the cross-case level.

In Chapter IX, a number of strategic management recommendations for international aid organizations will be developed.

Chapter X is dedicated to the final remarks.

## **II STRATEGIC MANAGEMENT**

### **1 Introduction**

In order to understand the state of art of strategic planning in international aid organizations, and to be able to develop recommendations that meet their specific needs, a thorough understanding of strategic management, and more particularly of strategic planning, is necessary. Chapter II therefore aims to explore the bases of the field of strategic management by reviewing relevant literature.

The structure of the chapter is as follows:

- Section 1 is the introduction.
- Section 2 presents the history of strategic thinking from its military and political origins to its applications to business.
- Section 3 exposes the definition, various forms and objectives of strategy.
- Section 4 looks at the different levels of strategy.
- Section 5 covers strategic management. Its definition, purpose and tasks, namely strategic planning, strategic implementation and strategic control, are described. An overview of the important tools used in the process of strategic planning is also given.
- Section 6 presents the conclusions for the research project.

### **2 History of strategic thinking**

#### **2.1 Military and political origins**

The term *strategy* can be traced back to the ancient Athenian position of *strategos*, instituted after the democratic reforms of Kleisthenes in 508-7 BC. After leading a popular revolution against the Spartan-supported oligarchy, the noble Athenian Kleisthenes set up a new sociopolitical structure based on ten tribal divisions, which acted as military and political subunits. Each of these was headed by an elected *strategos*, who, collectively, formed the Athenian war council. The term combined the word *stratos*, which signifies army, or more precisely “an encamped army *spread out* over the ground”, and the word *agein*, which means “to lead”. Its appearance paralleled the development of military decision-making, during which coordination and synergies became increasingly important.<sup>80</sup>

Strategy has been applied in a military or political context throughout history. The earliest writings on military strategy include the very influential *The art of war* by the Chinese general Sun Tzu, believed to have been written in approximately 400 BC. He stressed the importance of information on the enemy and the

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<sup>80</sup> Cummings, 2010, p. 25.

environment.<sup>81</sup> In the mid-4<sup>th</sup> century BC, Aeneas Tacticus (Aineias the Tactician) discussed “how to deploy available manpower and other resources to best advantage” in *How to survive under siege*.<sup>82</sup> In the beginning of the 16<sup>th</sup> century, Italian political philosopher Niccolò Machiavelli applied military concepts to politics in *The prince*.<sup>83</sup>

The Napoleonic wars represented a change in organization and strategy during war. Whereas in the 17<sup>th</sup> and 18<sup>th</sup> century, armies were similar in organization and tactics, and war followed a similar pattern, Napoleon’s victories were military *and* intellectual, and he showed “the obsolescence of traditional ideas about organization and strategy”. The Prussian officer and military theorist Carl von Clausewitz drew upon the experiences of these wars to elaborate a number of strategic principles. Clausewitz defined strategy as “the use of the engagement for the purpose of the war. The strategist must therefore define an aim for the entire operational side of the war that will be in accordance with its purpose. The aim will determine the series of actions intended to achieve it.”<sup>84</sup>

More recently, the English military historian Basil Liddell Hart concentrated on strategies minimizing the duration and the costs of war. He highlighted the need for strategy to make use of the unexpected in order to unbalance the enemy and disrupt its ability to respond. Other modern writings on strategy include those of American Colonel Harry Summers who analyzed the war in Vietnam based on the fundamentals of strategy outlined by Clausewitz.<sup>85</sup>

## 2.2 Applications to business

One of the first applications of strategy to business was given when Socrates showed Nichomachides, the Greek militarist that had lost an election to a businessman, that a businessman and a general had the same duties: both plan the use of resources to meet objectives.<sup>86</sup> The link to business disappeared when the Greek city states fell and did not reappear until after the Industrial Revolution.<sup>87</sup> However, writers on military strategy did occasionally refer to business. Clausewitz, for example, argued that “it would be better, instead of comparing war with any art, to liken it to business competition, which is also a conflict of human interests and activities”.<sup>88</sup>

<sup>81</sup> Mintzberg, Ahlstrand & Lampel, 1998, p. 85ff.

<sup>82</sup> Cummings, 2010, p. 25.

<sup>83</sup> Courtney, 2002, p. 59.

<sup>84</sup> Mintzberg, Ahlstrand & Lampel, 1998, p. 87ff.

<sup>85</sup> Mintzberg, Ahlstrand & Lampel, 1998, p. 89ff.

<sup>86</sup> Bracker, 1980, p. 219; Courtney, 2002, p. 59.

<sup>87</sup> Bracker, 1980, p. 219.

<sup>88</sup> Clausewitz, 1997, p. 102. Several concepts characterize strategy in both a military and a business context. One consists of the distinction between strategy and tactics. While strategy



In the second half of the 19th century, strategy began its transfer into the world of business: it began to be considered as a possible means of controlling markets and the competitive environment. With the building of railroads in the United States in the 1850s came the development of mass markets. Consequently, a new type of firm appeared at the end of the century: the vertically integrated, multidimensional corporation. The top executives of these firms stressed the need for a formal approach to corporate strategy. For example, Alfred Sloan, the chief executive of General Motors, elaborated a strategy based on the strengths and weaknesses of Ford. During the Second Industrial Revolution, the first business schools, Wharton (1881) and Harvard Business School (1908), were also founded.<sup>89</sup> It is in these schools that the study of strategic management would later originate.<sup>90</sup>

World War II generated a number of organizational challenges, namely the allocation of scarce resources. This led to the development of new management techniques, such as linear programming, and played an important role in the development of strategic thinking.<sup>91</sup>

The concept of strategy in economic literature first appeared in game theory.<sup>92</sup> In their 1944 *Theory of games and economic behavior*, the fathers of this new field, Von Neumann and Morgenstern, defined strategy as “a plan which specifies what choices (...) [the player] will make in every possible situation, for every possible actual information which he may possess at that moment in conformity with the pattern of information which the rules of the game provide for him for that case”.<sup>93</sup>

In 1954, Peter Drucker argued that the management of firms required taking action, and “not just passive, adaptive behavior” to markets considered until then to be beyond control. He argued that “managing goes way beyond passive reaction and adaptation. It implies responsibility for attempting to shape the economic environment, for planning, initiating and carrying through changes in that economic environment, for constantly pushing back the limitations of economic circumstances on the enterprise's freedom of action”.<sup>94</sup>

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is “the overall plan for deploying resources to establish a favorable position”, a tactic is “a scheme for specific action”. As Grant (2008, p. 14) states, “whereas tactics are concerned with the maneuvers necessary to win battles, strategy is concerned with winning the war”. Grant distinguishes three characteristics common to decisions in both contexts: importance, significant commitment of resources and uneasiness of reversal. However, differences also exist. For example, “the objective of war is (usually) to defeat the enemy. The purpose of business rivalry is seldom so aggressive: most business enterprises limit their competitive ambitions, seeking coexistence rather than the destruction of competitors.”

<sup>89</sup> Ghemawat, 2002, p. 38ff.

<sup>90</sup> Rumelt, Schendel & Teece, 1994, p. 10.

<sup>91</sup> Ghemawat, 2002, p. 39.

<sup>92</sup> Gälweiler, 2005, p. 55.

<sup>93</sup> Von Neumann & Morgenstern, 1947, p. 79.

<sup>94</sup> Drucker, 1954, p. 11.

However, little attention was paid to such contributions in the following years; as the war had led to massive destruction, and thus to excess demand, competition remained limited.<sup>95</sup> However, in the mid-1950s, the previously stable business environment became more rapidly changing, competitive, and characterized by increasing internationalization and complexity following the increase in the number of actors and factors. Firms faced unprecedented challenges such as the leveling-off of market demand, the decline in demand following substitute products offered by new technologies, and the arrival of foreign competitors. The management techniques available at the time, which consisted of long-term planning, long-term budgeting and financial control, proved to be insufficient to face the new business environment. This led to the development of a new management approach: strategic planning.<sup>96</sup>

Three works are considered to have constituted the basis of this new field:<sup>97</sup>

Strategy's link to business was explicitly referred to for the first time in 1962 by Alfred Chandler in the work *Strategy and structure: Chapters in the history of the industrial enterprise*.<sup>98</sup> Chandler defined strategy as "the determination of the basic long-term goals of an enterprise, and the adoption of courses of action and the allocation of resources necessary for carrying out these goals". With the help of an analysis of the history of American business, Chandler illustrated the relationship between strategy and structure: the latter needed to be determined by the former: "a long-term coordinated strategy is necessary to give a company structure, direction, and focus", hence the dictum "structure follows strategy".<sup>99</sup>

The 1965 textbook *Business policy: Text and cases* by Learned, Christensen, Andrews & Guth from the Harvard Business School General Management Group represents the second seminal work. In the declarative text, Kenneth R. Andrews developed a model assessing the strengths and weaknesses of the firm with the opportunities and threats in the business environment. This idea was based on Philip Selznick's 1957 work *Leadership and administration*, which introduced the notion of "distinctive competence" and stressed the importance of obtaining a *fit* between the organization's internal factors ("internal state") and external environmental circumstances ("external expectations").<sup>100</sup>

In 1965, in *Corporate strategy*, Igor Ansoff defined strategy as "the rule for making decisions determined by product/market scope, growth vector, competitive advantage and synergy". An important contribution, still used today, consists of a

<sup>95</sup> Ghemawat, 2002, p. 39.

<sup>96</sup> Ansoff, Declerck & Hayes, 1976, p. 39. Business strategy therefore originated from practical needs rather than from theory (Grant, 2008, p. 14).

<sup>97</sup> Rumelt, Schendel & Teece, 1994, p. 16.

<sup>98</sup> Courtney, 2002, p. 60; 63.

<sup>99</sup> Chandler, 1962, p. 13.

<sup>100</sup> Selznick, 1957, p. 42ff.; 67ff.

matrix resulting in four possible product/market combinations and thus four different strategies. This matrix is shown in **Figure II.1**. Ansoff argued that “the end product of strategic decisions is deceptively simple; a combination of products and markets is developed by the firm. This combination is arrived at by addition of new product-markets, divestment from some old ones, and expansion of the present position.”<sup>101</sup>

	Current products	New products
Current markets	Market-penetration strategy	Product-development strategy
New markets	Market-development strategy	Diversification strategy

**Figure II.1: Product market expansion grid**<sup>102</sup>

These three works set the bases of the field, but had no direct or immediate influence on practice.<sup>103</sup>

Major influence on practice would come from strategy consultancy firms, founded in the 1960s and early 1970s, and notably from the Boston Consulting Group (BCG). From the beginning of the 1970s, portfolio methods were developed by these consultants in order to plan at the corporate level. The first of these methods was the growth-share matrix, developed by the BCG based on the implications of the experience curve and of the market life cycle.<sup>104</sup> Many other portfolio methods were developed by other consulting firms, including, for example, the McKinsey & General Electrics industry attractiveness-competitive strength portfolio.<sup>105</sup>

By the end of the 1970s and the beginning of the 1980s, strategic planning for individual businesses started complementing portfolio methods. Increased focus was put on competitive strategies and strategic planning at the business level, based particularly on the work of Harvard Professor Michael Porter,<sup>106</sup> who

<sup>101</sup> Ansoff, 1987, p. 37; Ansoff, 1965, p. 25f.; 118.

<sup>102</sup> Ansoff, 1987, p. 108ff.

<sup>103</sup> Rumelt, Schendel & Teece, 1994, p. 18.

<sup>104</sup> Ghemawat, 2002, p. 46; Grünig & Kühn, 2011, p. 17; 161ff. The experience curve asserted that the “cost of value added declines approximately 20 to 30 percent each time accumulated experience is doubled” (Henderson, 2006, p. 15). Rumelt, Schendel & Teece (1994, p. 18) summarized the idea: “whoever captured market share early, whoever gained the most experience in production would end up with the lowest cost (assuming efficient operational management practice), and whoever had the lowest cost would have the highest margin”.

<sup>105</sup> Ghemawat, 2002, p. 47; Grünig & Kühn, 2011, p. 161f.

<sup>106</sup> Grünig & Kühn, 2011, p. 17.

transferred industrial organization economics concepts to field of strategy.<sup>107</sup> In his 1980 work *Competitive strategy*, Porter moved towards the positioning of individual businesses.<sup>108</sup> Businesses must select one of limited number of strategies, known as generic competitive strategies, in order to outperform other competitors.<sup>109</sup>

The term *strategic management* was first introduced by Ansoff, Declerck & Hayes in 1976 in their publication *From strategic planning to strategic management*<sup>110</sup> and its use increased significantly in the following years. In 1979, an important contribution was made with Schendel & Hofer's *Strategic management*.<sup>111</sup> Integrating not only strategy planning, but also strategy implementation and strategic control, strategic management offers a wider view and has been preferred to the term *strategic planning* since the mid-1980s. This was deemed necessary as strategic planning alone did not lead to improved performance in practice.<sup>112</sup>

In the mid-90s, interest shifted to sources of competitive advantages within the firm, in particular to resources.<sup>113</sup> The consideration of the resources of firms was revived following Wernerfelt's 1984 article "A resource-based view of the firm".<sup>114</sup> Barney's 1991 contribution on the link between the resources of a firm and sustained competitive advantage has proven to be particularly important. Barney argued that, in order for a resource to have the potential of generating a sustained competitive advantage, it must possess several attributes; it must be valuable, rare, imperfectly imitable and imperfectly substitutable.<sup>115</sup> Following these contributions, focus shifted to the analysis and planning of resources, developing into what is known as the resource-based view, or the Resources-Conduct-Performance paradigm. Adherents to this view argue that unique resources constitute the basis of superior offers and better performance in the long-term.<sup>116</sup>

<sup>107</sup> Rumelt, Schendel & Teece, 1994, p. 22.

<sup>108</sup> Grünig & Kühn, 2011, p. 17.

<sup>109</sup> Porter, 1980, p. 3ff.; 34ff.

<sup>110</sup> Ansoff, Declerck & Hayes, 1976, p. 39ff.; Grünig & Kühn, 2011, p. 17; Nutt & Backoff, 1992, p. 56.

<sup>111</sup> Nutt & Backoff, 1992, p. 57.

<sup>112</sup> Grünig & Kühn, 2011, p. 17.

<sup>113</sup> Rumelt, Schendel & Teece, 1994, p. 21f.

<sup>114</sup> Ghemawat, 2002, p. 67; Wernerfelt, 1984, p. 171ff.

<sup>115</sup> Barney, 1991, p. 106ff.; Grünig & Kühn, 2011, p. 18. Resources are "assets including specific elements of market positions and human resources which are under the control of the company and which form the basis of competitive advantages in the offer" (Grünig & Kühn, 2011, p. 266).

<sup>116</sup> Grünig & Kühn, 2011, p. 342f.

### 3 Strategy

#### 3.1 Definition

Strategy, from the business point of view, can generally be defined as a set of decisions to achieve an organization's goals, although specific aspects tend to vary in literature.

Hill & Jones, for example, define strategy as "a set of related actions that managers take to increase their company's performance".<sup>117</sup> Grünig & Kühn give the following definition: strategy is a "long-term managerial guideline guaranteeing the permanent accomplishment of the company's overriding objectives and values".<sup>118</sup> Finally, Schermerhorn states it is "a comprehensive plan guiding resource allocation to achieve long-term organization goals".<sup>119</sup>

A more specific definition that integrates stakeholders<sup>120</sup> is given, for example, by Johnson, Scholes & Whittington: Strategy is "the direction and scope of an organisation over the long term, which achieves advantage in a changing environment through its configuration of resources and competences with the aim of fulfilling stakeholder expectations".<sup>121</sup> Thompson, Gamble & Strickland, who also have a stakeholder view, argue that strategy is "the combination of competitive moves and business approaches that managers employ to please customers, compete successfully, conduct operations, and achieve organizational objectives".<sup>122</sup>

Mintzberg argues that the concept of strategy can be understood differently. These different ways of viewing strategy complement each other by focusing on different aspects. Five "Ps" are distinguished:<sup>123</sup>

- Strategy is generally thought of as a *plan*, or "a direction, a guide or course of action into the future, a path from here to there". In this view, strategy corresponds to "looking ahead".
- Strategy may also be viewed as a *pattern*, or "consistency in behaviour over time" and refers to "looking at past behaviour".
- Strategy can also be seen as *position*, that is, "the locating of particular products in particular markets". In this view, strategy "looks down" at its environment to find products that meet the customer's needs.

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<sup>117</sup> Hill & Jones, 2009, p. 3.

<sup>118</sup> Grünig & Kühn, 2011, p. 9.

<sup>119</sup> Schermerhorn, 2008, p. 207.

<sup>120</sup> Stakeholders are "individuals or groups that have an interest, claim, or stake in the company, in what it does and in how well it performs". They include stockholders, employees, customers, suppliers, etc. (Hill & Jones, 2009, p. 16).

<sup>121</sup> Johnson, Scholes & Whittington, 2008, p. 3.

<sup>122</sup> Thompson, Gamble & Strickland, 2004, p. 3.

<sup>123</sup> Mintzberg, 1994, p. 23ff. See also Mintzberg, Ahlstrand & Lampel, 1998, p. 9ff.

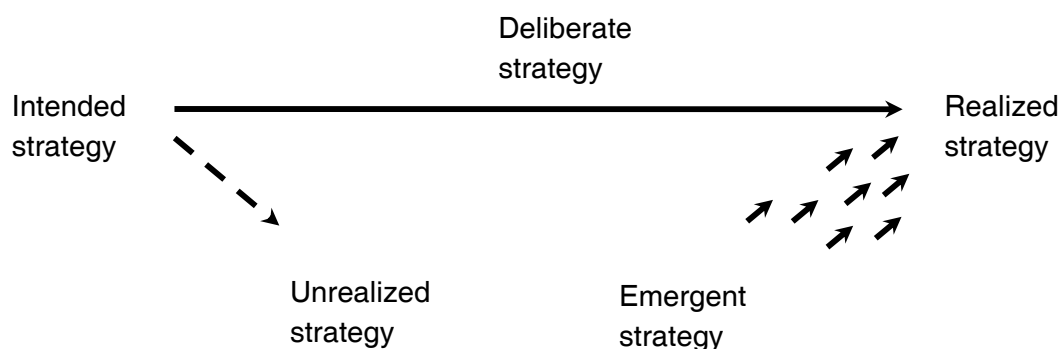
- Strategy as a *perspective* is “an organization's fundamental ways of doing things”. Strategy as perspective looks “in” the organization and the heads of its strategists, as well “up to” its vision.
- Finally, strategy in the sense of a *ploy* is “a specific maneuver intended to outwit an opponent or competitor”.

As shown, many different understandings of the term strategy exist. The understanding of strategy that underlies the present work is that of strategy as a plan: organizations develop guidelines for the future in order to reach their goals.

### 3.2 Forms

Two forms of strategies, shown in **Figure II.2**, can be distinguished:<sup>124</sup>

- **Intended strategies:** When organizations develop plans for the future, this is known as an intended strategy. An intended strategy corresponds to the view of strategy as a plan and is defined as “a system of long-term guidelines”.<sup>125</sup> Intended strategies may be divided into corporate strategies and business strategies, which are discussed in section 4 of this chapter.
- **Realized strategies:** A realized strategy, which corresponds to the view of strategy as a pattern, may or may not be based on an intended strategy. Fully realized intentions are known as deliberate strategies. However, in reality, intended strategies are rarely realized as desired. Few strategies can be entirely deliberate. Intentions that are not realized are known as unrealized strategies. An emergent strategy corresponds to a realized pattern that was not deliberately intended. It is “simply the product of a large number of individual decisions which are more or less coordinated”.<sup>126</sup> Fully emergent strategies are also a rare occurrence.



**Figure II.2: Intended and realized strategies**<sup>127</sup>

<sup>124</sup> Mintzberg, 1994, p. 23ff.; Mintzberg, Ahlstrand & Lampel, 1998, p. 9ff.

<sup>125</sup> Grünig & Kühn, 2011, p. 340.

<sup>126</sup> Grünig & Kühn, 2011, p. 339.

<sup>127</sup> Adapted from Mintzberg, 1994, p. 24; Mintzberg, Ahlstrand & Lampel, 1998, p. 12.

In this thesis, the term strategy refers to intended strategies. This is consistent with the view of strategy highlighted in the previous section: strategy as a plan.

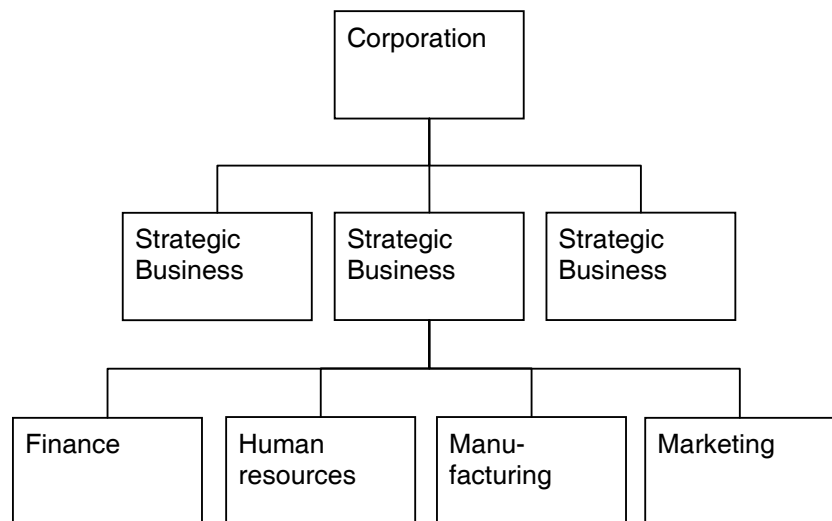
## 4 Levels of strategy

Three different levels of strategy are generally distinguished in literature: corporate strategy, business strategy and functional strategy.<sup>128</sup> **Figure II.3** shows these levels.

Corporate strategy:  
What businesses are we in?

Business strategy:  
How do we compete in each  
of our major businesses?

Functional strategy:  
How do we best support each  
of our business strategies?



**Figure II.3: Levels of strategy**<sup>129</sup>

### 4.1 Corporate strategy

Corporate strategy is defined by Kenneth R. Andrews, who is known for his definition, as “the pattern of decisions in a company that determines and reveals its objectives, purposes, or goals, produces the principal policies and plans for achieving those goals, and defines the range of business the company is to pursue, the kind of economic and human organization it is or intends to be, and the nature of the economic and noneconomic contribution it intends to make to its shareholders, employees, customers, and communities”. Corporate strategy is generally applied to the whole organization<sup>130</sup> and should indicate the current businesses to maintain or to push, the new businesses that will be set up and the

<sup>128</sup> Other levels are found in literature. Thompson, Gamble & Strickland (2004, p. 24ff.), for example, distinguish strategies at the operating level. This type of strategy is even narrower and is intended for basic operating units, such as plants, sales districts and regions and departments within functional areas. Hill & Jones (2009, p. 20) speak of global strategies, and Miller & Dess (1996, p. 40ff.) of international strategies.

<sup>129</sup> Adapted from Schermerhorn, 2008, p. 214.

<sup>130</sup> Andrews, 2010, p. 74.

businesses that the company will liquidate. The target competitive positions of the businesses, usually in terms of absolute or relative market share, and the investments required should also be specified.<sup>131</sup> It should answer the following question: “In what industries or markets should we compete?”<sup>132</sup>

## 4.2 Business strategy

Andrews defines business strategy as “the determination of how a company will compete in a given business and position itself among its competitors”.<sup>133</sup> Business strategy is less inclusive than corporate strategy and is applied to each of the defined businesses. It specifies “the choice of product or service and market of individual businesses within the firm”. The following question is answered: “How are we going to compete for customers in this industry and market?”<sup>134</sup>

## 4.3 Functional strategy

Functional strategy “guides the use of organizational resources to implement business strategy” for functional areas of a company, such as R&D, manufacturing, marketing, finance, and human resources. The question is the following: “How can we best utilize resources within a function to implement our business strategy?”<sup>135</sup> However, Grünig & Kühn argue that, as functional strategies do not primarily serve to achieve the objective of strategic management, they cannot be considered as strategies, and terms such as *plans* or *agendas* should be preferred in order to designate them.<sup>136</sup>

# 5 Strategic management

## 5.1 Definition and purpose

Since Ansoff, Declerck & Hayes introduced the term *strategic management* in 1976, numerous definitions have been given by key writers in the field. However, several common characteristics can be distinguished.

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<sup>131</sup> Grünig & Kühn, 2011, p. 33; 119.

<sup>132</sup> Schermerhorn, 2008, p. 214.

<sup>133</sup> Andrews, 2010, p. 74.

<sup>134</sup> Schermerhorn, 2008, p. 214.

<sup>135</sup> Schermerhorn, 2008, p. 214.

<sup>136</sup> Grünig & Kühn, 2011, p. 339.



A sub-set of management, strategic management covers the strategic activities of an organization.<sup>137</sup> More precisely, it is concerned with the general long-term direction of the company. Its objective is to ensure the long-term success of a company.<sup>138</sup>

Gälweiler argues that it can achieve its overriding goals and objectives by constructing and maintaining success potentials.<sup>139</sup> Three types of success potentials can be distinguished:<sup>140</sup>

- Strong positions in attractive markets: Strong positions mean important market shares in the served markets or niches. Attractive markets have growth potential and relatively low competitive intensity.
- Long-term competitive advantages in market offers: These include better product quality, better customer service, advertising that is more effective or intensive, long-term price advantages, etc.
- Long-term competitive advantages in resources: These include, for example, human resources, financial resources, company culture, brand image, innovation capabilities, cooperation capabilities, ability to change, etc.

These success potentials interact with each other. Long-term competitive advantages in resources influence long-term competitive advantages in offers, which then allow the firm to occupy strong positions in attractive markets. Long-term competitive advantages in resources may also directly influence strong positions in attractive markets. While strong positions in attractive markets are primarily a matter of corporate strategy, long-term competitive advantages in both resources and offers are primarily a matter of business strategies.<sup>141</sup>

## 5.2 Tasks

Three sub-systems of strategic management can be distinguished:<sup>142</sup>

- Strategic planning
- Implementation of strategies
- Strategic control

Although these tasks constitute a process, they can take place simultaneously.<sup>143</sup>

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<sup>137</sup> Grünig & Kühn, 2011, p. 344.

<sup>138</sup> Grünig & Kühn, 2011, p. 1.

<sup>139</sup> Gälweiler, 2005, p. 26f.

<sup>140</sup> Grünig & Kühn, 2011, p. 9f.

<sup>141</sup> Grünig & Kühn, 2011, p. 32ff.

<sup>142</sup> Grünig & Kühn, 2011, p. 18; 344.

### 5.2.1 Strategic planning

Strategic planning is “a systematic process which defines the way to guarantee the permanent accomplishment of the company’s overriding objectives and values”.<sup>144</sup>

Given the difficulties associated with predicting the long term,<sup>145</sup> rapidly changing markets and intense competition, a systematic process for carrying out strategic planning has been questioned by some. However, the need for such a systematic approach has also been stressed. Grünig & Kühn argue that the difficulties mentioned above should lead to increased efforts to plan, and not to an abandonment of the idea altogether. Investing in resources without a planned strategy is risky. A clear strategy also allows companies to focus on attractive markets.<sup>146</sup>

An important number of processes are proposed in academic literature on strategic planning.<sup>147</sup> The process proposed by Grünig & Kühn, made up of a sequence of related steps, is shown in **Figure II.4**.

Several elements underpin this process: criteria for the assessment of strategic success potentials, processes of strategic planning in literature, heuristic principles and practical experience in developing strategies.<sup>148</sup>

This standard process is geared towards companies with several product groups and several geographical markets active in one industry. However, it may be adapted according to the specificities of the firm, such as reduced or greater complexity of structure. For example, a company offering only one product group in one geographical market will use a simplified process, whereas a company active in several industries and geographic markets will require an extended process. The process of strategic planning may also require adapting when dealing with specific strategic questions.<sup>149</sup>

Step 0 in the process, which deals with the planning of the strategy project, consists of several tasks, namely the determination of the project scope, its objectives and boundary conditions, the decision on whether to hire a consultant or not, the fixing of the project organization, the process and the milestones, and finally, the budgeting of the cost.<sup>150</sup>

<sup>143</sup> Grünig & Kühn, 2011, p. 18.

<sup>144</sup> Grünig & Kühn, 2011, p. 9.

<sup>145</sup> Mintzberg, 1994, p. 227ff.

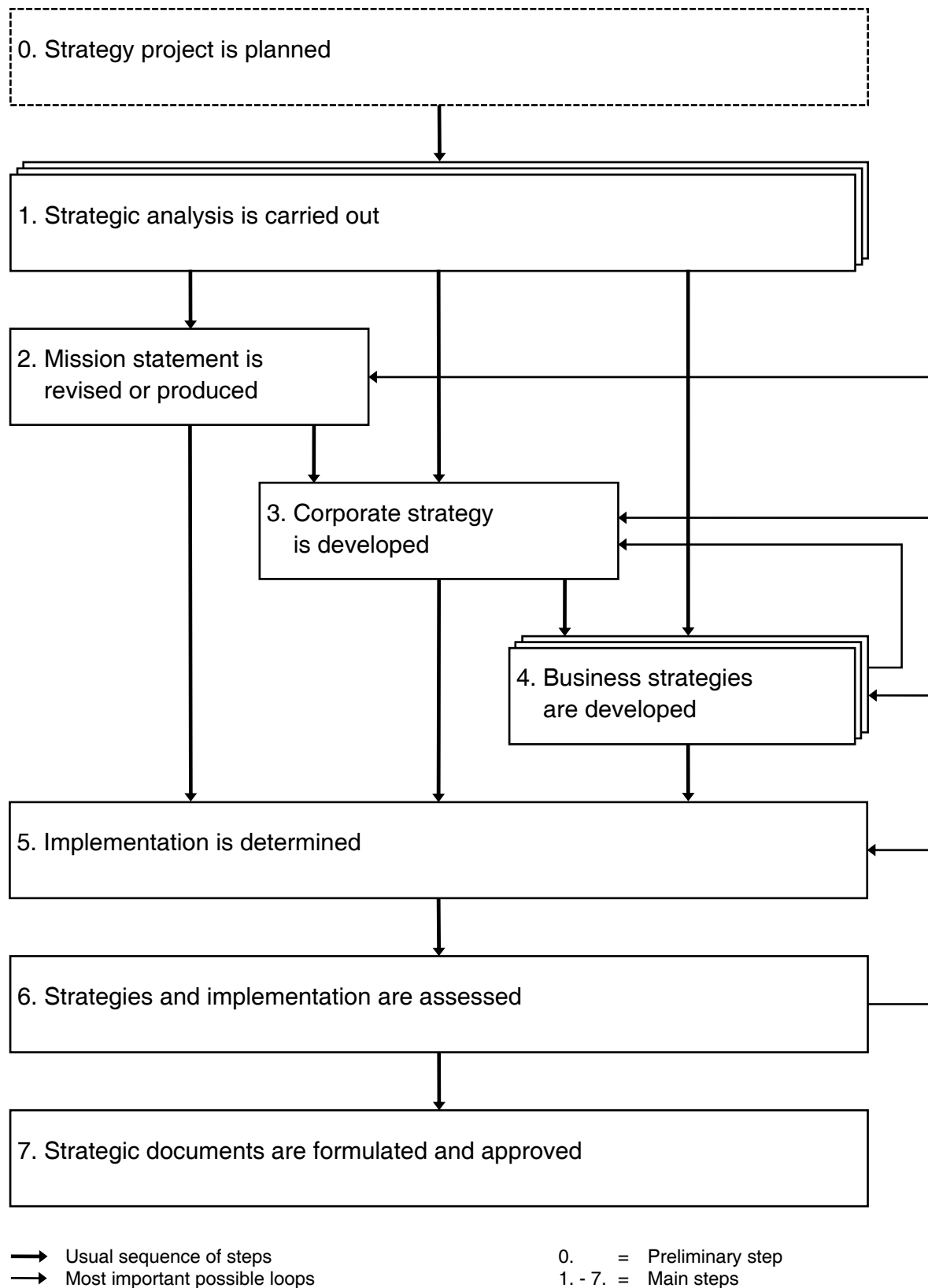
<sup>146</sup> Grünig & Kühn, 2011, p. 45f.

<sup>147</sup> See, for example, Hill & Jones, 2009, p. 11ff.; Schermerhorn, 2008, p. 209ff.

<sup>148</sup> Grünig & Kühn, 2011, p. 46.

<sup>149</sup> Grünig & Kühn, 2011, p. 60ff.

<sup>150</sup> Grünig & Kühn, 2011, p. 50; 75ff.



**Figure II.4: Process of strategic planning**<sup>151</sup>

<sup>151</sup> Grünig & Kühn, 2011, p. 47.

Step 1, strategic analysis, focuses on the collection and structuring of data in three fields: the global environment, specific task environments or industries, and the company.<sup>152</sup>

- The environment includes economic conditions and developments, social and cultural developments, ecological developments, technological change, as well as political and legal developments. These elements are frequently related and may therefore influence each other.<sup>153</sup>
- An industry includes the buyers' market, the suppliers' market and the competitive situation.
- The company itself comprises two sub-fields of analysis: stakeholder demands, as well as processes, resources and competencies.

At the end of strategic analysis, opportunities and threats are identified for the corporate level and for each area of activity.

Step 2 is dedicated to the production of a mission statement, if inexistent, or the revision of the mission statement. The mission statement describes the "raison d'être", the overriding goals and values of the company and outlines its areas of activity.<sup>154</sup>

Step 3 of the strategic planning process consists of the development of the corporate strategy.<sup>155</sup>

- First, this requires the definition of strategic businesses. A strategic business is defined as "a three-dimensional construct which identifies a particular market, specific market offers and specific resources".<sup>156</sup>
- The current market positions of the businesses are determined. For this, the criteria of industry attractiveness and competitive strengths are used.
- The target market positions and the investment priorities for each of the businesses are determined.

In Step 4, business strategies are developed. This includes the evaluation of the competitive intensity of each business. Then, the intended business strategy is defined. Business strategies involve the choice of the target market (niche or whole market) and of the competitive positioning (cost leadership or differentiation). The competitive advantages at the level of the market offer and at the level of the resources are subsequently determined.<sup>157</sup>

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<sup>152</sup> Grünig & Kühn, 2011, p. 51; 87ff.

<sup>153</sup> Miller & Dess, 1996, p. 59.

<sup>154</sup> Grünig & Kühn, 2011, p. 51f.; 111ff.

<sup>155</sup> Grünig & Kühn, 2011, p. 52; 119ff.

<sup>156</sup> Grünig & Kühn, 2011, p. 123.

<sup>157</sup> Grünig & Kühn, 2011, p. 52f.; 217ff.

In Step 5 of the process, the implementation measures are planned. This notably includes the creation of strategic programs to realize the corporate strategy and the business strategies, to utilize synergies, to improve the management system, and to motivate and qualify staff.<sup>158</sup>

Step 6 consists of a global assessment of strategies and programs. This is done in order to ensure coordination at all levels.<sup>159</sup>

In Step 7, the result of strategic planning – strategic documents – are formulated and approved. These include the mission statement, the corporate strategy, the business strategies and the strategic programs.<sup>160</sup>

### 5.2.2 Implementation of strategies

During the second task of strategic management – implementation – strategies are put into action. This activity takes place in the context of the ongoing day-to-day management process. During implementation, strategies are realized at different levels: market offers, hard resources and personnel.<sup>161</sup>

Jones, George & Hill distinguish five steps in the implementation process:<sup>162</sup>

- Allocating responsibility for implementation to the appropriate individuals or groups
- Drafting detailed action plans to specify how strategy is to be implemented
- Establishing a timetable for implementation that includes precise, measurable goals linked to the attainment of the action plan or of the projects
- Allocating appropriate resources to responsible individuals or groups
- Holding specific individuals or groups responsible for the achievement of corporate, divisional, and functional goals.

### 5.2.3 Strategic control

Like strategic implementation, strategic control is part of the ongoing day-to-day management process. It gives feedback on the realization of strategies and checks the correspondence to reality of strategic plan premises.<sup>163</sup>

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<sup>158</sup> Grünig & Kühn, 2011, p. 53; 301ff.

<sup>159</sup> Grünig & Kühn, 2011, p. 53; 315ff.

<sup>160</sup> Grünig & Kühn, 2011, p. 31ff.; 53; 329ff. Hofer & Schendel (1978, p. 27ff.) identify four types of strategic documents: corporate strategies, business strategies, mission statements and functional area strategies.

<sup>161</sup> Grünig & Kühn, 2011, p. 19.

<sup>162</sup> Jones, George & Hill, 1998, p. 221.

Strategic control includes three elements:<sup>164</sup>

- First, strategic realization checking guarantees the realization of strategic measures, mainly of the projects.
- Second, strategic monitoring is carried out with the help of an early warning system. Indicators for key premises are observed.
- Third, strategic scanning is used to see future developments in a broad way and to minimize risk of being surprised by unforeseen events. Scanning is done by intuitively observing the environment.

### 5.3 Tools

An important number of strategic management tools or methods are given in literature. The purpose of such tools is “to help in the gathering, analysis and interpretation of information”.<sup>165</sup> To designate the same or similar methods, different terms are also sometimes used.<sup>166</sup>

Grünig & Kühn propose a practical overview of the tools considered the most important. This overview is shown in **Figure II.5**.

As seen in the figure, the tools can be allocated to the three sections of strategic analysis and to the different steps of the process proposed in section 5.

## 6 Conclusions for the research project

Chapter II explored the discipline of strategic management, from its military and political origins of strategy and to its first links to business.

The different understandings and forms of strategy were exposed. It was shown that strategy is generally defined as a set of decisions to achieve an organization's goals, although specific aspects tend to vary, with some definitions integrating, for example, stakeholders,<sup>167</sup> a long-term timeframe<sup>168</sup> and/or the environment.<sup>169</sup>

<sup>163</sup> Grünig & Kühn, 2011, p. 18f.

<sup>164</sup> Grünig & Kühn, 2011, p. 20; Steinmann & Schreyögg, 2005, p. 279ff.

<sup>165</sup> Anheier, 2005, p. 264.

<sup>166</sup> Grünig & Kühn, 2011, p. 265.

<sup>167</sup> See, for example, Johnson, Scholes & Whittington, 2008, p. 3; Thompson, Gamble & Strickland, 2004, p. 3.

<sup>168</sup> See, for example, Grünig & Kühn, 2011, p. 9; Johnson, Scholes & Whittington, 2008, p. 3; Schermerhorn, 2008, p. 207.

<sup>169</sup> See, for example, Johnson, Scholes & Whittington, 2008, p. 3.

Analysis fields Steps in the process	Global environment	Industries	Company
Step 1: Strategic analysis is carried out	Global environment analysis	Market system analysis Identifying strategic success factors	Stakeholder value analysis Strengths + weaknesses analysis
		Identifying opportunities + threats	
Step 2: Mission statement is revised or produced			Mission statement prod. method
Step 3: Corporate strategy is developed	Scenario analysis	Five forces model Strategic groups model	Defining strategic businesses Corporate options matrix
		General Electrics + McKinsey Portfolio	Boston Consulting Group Portfolio
Step 4: Business strategies are developed		Industry segment analysis	Value chain analysis Generic business strategies Resource analysis Network of success potentials
Step 5: Implementation is determined			Balanced scorecard Strategic program planning
<div> <div></div> = method is usually used once only <div></div> = method is usually applied in a number of parallel problems </div>			

Figure II.5: Matching the tools to analysis fields and planning steps<sup>170</sup><sup>170</sup> Grünig & Kühn, 2011, p. 70.

Furthermore, the chapter also showed that different levels of strategy are defined in literature and used in large companies. The field of strategic management was then presented. Its main purpose was notably exposed: to build and maintain success potentials at the level of resources, offers and position in order to form the basis for success in the long-term. Strategic management is therefore considered necessary for organizations to be successful in the long-term. It presents an approach that is useful to help organizations deal with the challenges they face by setting a clear overall direction. Resources can also be directed towards priorities.

Three tasks of strategic management were also identified: strategic planning, implementation and control. The need for a systematic strategic planning process was notably stressed. One such process is the one developed by Grünig & Kühn. It is constituted of a sequence of steps, including strategic analysis, the production of a mission statement, the development of corporate and business strategies, the planning of implementation measures, the assessment of strategies and programs, as well as the formulation and approval of strategic documents. These documents constitute the result of the planning process and set the basis for effective and efficient implementation and control.

Finally, a brief overview of important analysis and planning tools, which can be allocated to the different steps of the strategic planning process, was given in the fifth section. Such tools constitute an important part of strategic planning, as they allow concrete results to be obtained.

This chapter presented a basis for understanding the field of strategic management. This was necessary in order to reach the first intermediate objective of the thesis: to enable the understanding of strategic management in international aid agencies. Such a review will constitute an important basis to reach the major objective of the thesis: the development of strategic management recommendations that meet the specific needs of aid organizations.



### **III FOREIGN AID, INTERNATIONAL AID ORGANIZATIONS AND THEIR SPECIFICITIES IN THE CONTEXT OF STRATEGIC MANAGEMENT**

#### **1 Introduction**

Foreign aid currently occupies a central place in international relations and a growing number of organizations are active in its provision. In order to reach the first intermediate objective of the thesis, that is, to acquire a better understanding of international aid organizations and of their specific needs in strategic management, a thorough understanding of foreign aid and of aid organizations, achieved by reviewing literature, is necessary.

Chapter III is dedicated to foreign aid, aid organizations and the implications on strategic management.

- Section 1 is the introduction.
- Section 2 exposes the task of foreign aid: its definition, types and motives. Two increasingly interlinked types of foreign aid – humanitarian aid and development aid – are also exposed.
- Section 3 presents the task of aid and the implications on strategic management.
- Section 4 is dedicated to aid organizations – notably the UN system and NGOs. Their histories, organizational structures, activities and financing are described.
- Section 5 presents the specificities of aid organizations and the consequences that these have on strategic management.
- Section 6 is dedicated to the conclusions for the research project.

#### **2 The task of aid**

##### **2.1 Definition**

There is a lack of an agreed definition of the term *foreign aid*, also known as *foreign assistance*,<sup>171</sup> *international aid* or *overseas aid*. A very broad definition is given by Riddell: “it consists of all resources – physical goods, skills and technical know-how, financial grants (gifts), or loans (at concessional rates) – transferred by donors to recipients”.<sup>172</sup> Such a definition, however, could include many elements, ranging from military assistance or expenditures, to trade financing, to funding for anti-drug or anti-terrorism activities, to aiding the poor. Therefore, a number of more precise definitions are often used according to interests.

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<sup>171</sup> This term is more commonly used in the United States (Riddell, 2007, p. 415).

<sup>172</sup> Riddell, 2007, p. 17.

In this thesis, foreign aid (hereafter aid) will focus on the types of aid transferred from developed countries to developing countries<sup>173</sup> and “which help to address acute human suffering and which contribute to human welfare, poverty reduction and development”.<sup>174</sup>

Also, while many authors use the term *foreign aid* to cover aid intended for development purposes solely, the author argues here, following Riddell, that foreign aid covers both *humanitarian aid*, which refers to “aid used, or intended for, humanitarian and emergency purposes”, as well as *development aid*, which refers to “aid provided or used for development purposes”.<sup>175</sup>

It is important to note that the separation between humanitarian aid and development aid has become less evident in recent years. The two types of aid used to be distinct from one another, and were delivered by different specialized organizations. The notion of a “relief to rehabilitation to development continuum” was introduced from the 1980s, making the borders less clear, and from the early 1990s, it was recognized that synergies exist between the two types.<sup>176</sup> Many organizations are currently active in both types of aid.<sup>177</sup> Riddell also states that, today, “a growing proportion of funds raised for emergencies is used to fund projects similar, and in some case identical to, projects funded with development aid money”.<sup>178</sup> However, despite a border that is less clear, the author has chosen to present each of these two types of aid separately.

Literature on foreign aid generally focuses on one part of aid: official development assistance (ODA).<sup>179</sup> This is understandable, as it amounted to USD 104.42 billion in 2006,<sup>180</sup> that is, the majority of all development and humanitarian aid.<sup>181</sup> The

<sup>173</sup> In this thesis, the term *developed countries* will be used to designate high-income countries, and the term *developing countries* to designate middle- and low-income countries, following the World Bank. Other terms, such as *under-developed* or *Third World*, - used to designate countries that aligned themselves with neither the capitalist *First World*, nor with the Communist *Second World* - have been used (Nafziger, 2006, p. 20ff.).

<sup>174</sup> Riddell, 2007, p. 17.

<sup>175</sup> Riddell, 2007, p. 17; 21; 311. The term *development cooperation* is frequently used today, and preferred to the term *development aid*. Dijkzeul (1997a, p. 4) argues, that “in this way, UN organizations usually express the partnership that exists – at least formally – between UN organizations and the national governments of the countries receiving support. It shows, either as lip service or in truth, the status and independent role of the sovereign national governments”. However, in this thesis, the term development aid will be used for simplification purposes.

<sup>176</sup> Smillie, 2000, p. 17.

<sup>177</sup> Degnol-Martinussen & Engberg-Pedersen, 2005, p. 42; 199; Riddell, 2007, p. 8f.; Thomas & Kopczak, 2005, p. 3.

<sup>178</sup> Riddell, 2007, p. 9.

<sup>179</sup> Riddell, 2007, p. 8.

<sup>180</sup> The largest donors from an absolute point of view (in USD billion) included the United States (23.53), the United Kingdom (12.46), Japan (11.19), France (10.6) and Germany (10.43). If the percentage of gross national income is considered, the largest donors were Sweden (1.02), Norway (0.89), Luxembourg (0.89), the Netherlands (0.81) and Denmark (0.8) (Manning, 2008, p. 16; 137).

definition of ODA, developed by the Development Assistance Committee (DAC)<sup>182</sup> of the Organisation for Economic Co-operation and Development (OECD), which reunites major donor governments, is the following: “grants or loans to countries and territories on the DAC List of ODA Recipients and multilateral agencies that are undertaken by the official sector at concessional terms (i.e. with a grant element of at least 25%) and that have the promotion of the economic development and welfare of developing countries as their main objective.”<sup>183</sup> Four elements characterize ODA:

- Provision by official donors, that is, by governments and IGOs: It therefore does not include funds *from* private organizations or foundations, NGOs or individuals, although it includes funds provided *to* or channeled *through* NGOs.<sup>184</sup>
- Provision to developing countries: The DAC uses the term “developing country” to refer to countries eligible for ODA. It is consistent with the World Bank definition, except that members of the G8, as well as of the European Union (or its future members) are excluded.<sup>185</sup>
- Promotion of economic development and welfare as the main objective: A number of aspects are understood by the DAC under the notion of “development”, such as, for example, the support of economic and social progress and the promotion of democracy.<sup>186</sup> Humanitarian aid is also covered. While its share was lower than 3% in the 1970s and 1980s, it has increased considerably, and currently represents approximately 10%.<sup>187</sup> Aid provided for military purposes, enforcement of peacekeeping, anti-drug or anti-terrorism activities, for example, is excluded.<sup>188</sup>
- Favorable financial conditions: Resources (cash, commodities or services) can either be transferred in the form of a grant, which does not require repayment, or in the form of a loan, which does require repayment. If the resource is in the form of a loan, it must include a grant element of at least 25%.<sup>189</sup>

While the development aid provided by official donors is generally the focus of literature, two other “aid worlds” can also be distinguished: development aid provided by non-official donors, such as NGOs, as well as humanitarian and emergency aid.<sup>190</sup> As these play an increasingly important role, they also deserve

<sup>181</sup> Riddell (2007, p. 51) estimates that this proportion is 70%.

<sup>182</sup> Created in 1960 to coordinate and promote aid from donor governments, the DAC currently has 23 members: Australia, Austria, Belgium, Canada, Denmark, Finland, France, Germany, Greece, Ireland, Italy, Japan, Luxembourg, the Netherlands, New Zealand, Norway, Portugal, Spain, Sweden, Switzerland, the United Kingdom, the United States and the Commission of the European Communities (Manning, 2008, p. 108ff.).

<sup>183</sup> Manning, 2008, p. 232.

<sup>184</sup> Riddell, 2007, p. xv; 8; 415.

<sup>185</sup> OECD, 2008.

<sup>186</sup> Lancaster, 2007, p. 10.

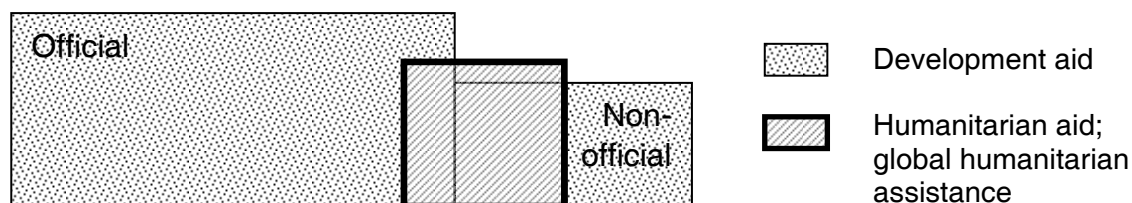
<sup>187</sup> Smillie & Minear, 2004, p. 10.

<sup>188</sup> Lancaster, 2000, p. 9f.

<sup>189</sup> Manning, 2008, p. 231f.

<sup>190</sup> Riddell, 2007, p. 8.

consideration. In 2006, global humanitarian assistance amounted to USD 14.2 billion.<sup>191</sup> The humanitarian and development aid budgets of NGOs amounted to approximately USD 23 billion in 2004. In fact, as Riddell states, “today (in current price terms), emergency and NGO aid account for more than the total value of all official aid provided in the mid-1980s”.<sup>192</sup> **Figure III.1** shows the three aid worlds.



**Figure III.1: The three aid worlds**<sup>193</sup>

## 2.2 Motives

Motives for allocating aid are often discussed at length in literature on foreign aid (“Who gives to whom and why?”) and vary according to country, actor and period of time in history. Moreover, important differences may exist between the motives that are declared and the real ones, particularly when official bilateral foreign aid is concerned.<sup>194</sup> The main historical motives for government donors can be summarized, according to Riddell, as follows:<sup>195</sup>

- To address emergency needs: For example, aid may be provided to meet the basic needs of victims of disasters, such as food, water, shelter and health care.
- To help recipient countries achieve their development goals: This is known as aid for development and may include aid for growth or poverty-reduction.
- To show solidarity: Notably stressed by Scandinavian countries, solidarity includes both sympathies and common bonds.<sup>196</sup>
- To further national political and strategic interests: During the Cold War, for example, the perceived threat of communism pushed the United States to distribute aid. Socialist governments also provided aid to promote their system.<sup>197</sup> Following the September 2001 attacks, the United States increased aid to “countries perceived as critical to US geopolitical interests”.

<sup>191</sup> This includes the official humanitarian assistance expenditure of the DAC, but also expenditure by non-DAC governments, general public donations to NGOs, UN agencies and the Red Cross and Red Crescent Movement, as well as humanitarian expenditure excluded from the DAC definition of ODA, such as post-conflict peace activities and landmine clearance (Development Initiatives, 2008, p. 9).

<sup>192</sup> Riddell, 2007, p. xv; 9. This includes USD 10 billion from governments, included in ODA.

<sup>193</sup> Own elaboration.

<sup>194</sup> Degnbol-Martinussen & Engberg-Pedersen, 2005, p. 7; 17.

<sup>195</sup> Riddell, 2007, p. 91ff.

<sup>196</sup> Riddell, 2007, p. 139; 429.

<sup>197</sup> Robinson & Tarp, 2000, p. 2.

- To promote commercial interests: Donors may do so by tying their aid; a donor may require that the aid provided be used to buy its own goods and services.
- For historical reasons: The allocation of aid to former colonies has constituted another important motive, notably for France and the United Kingdom.
- To provide and strengthen global public goods: For example, aid's contribution to sustaining and improving the environment has been recognized.<sup>198</sup>
- On human rights records: For example, donor countries may reduce or decide not to give aid if they consider that human rights are being violated.

Aid has been given mostly on a combination of these motives; however the importance of each has varied between donors and over time.<sup>199</sup> Where multilateral and NGO aid is concerned, moral motives dominate, although in varying degrees.<sup>200</sup>

Finally, motives for receiving aid also exist, but are generally given less importance in literature. They include support for social and economic development, as well as the maintenance of political and economic power. It is also interesting to note that aid has not always been accepted by developing countries. Former British colonies, for example, refused aid out of fear of maintaining dependency relations.<sup>201</sup>

## 2.3 Types

### 2.3.1 Humanitarian aid

#### *a History*

The origins of humanitarian action are diverse, but can notably be found in religion and in the ideas of the philosophers of the Age of Enlightenment.<sup>202</sup>

The American Revolution, with its establishment of a new democracy, provided an opportunity for humanitarian action to materialize. In 1793, relief was provided by the United States to French aristocrats fleeing from a slave uprising in Santo Domingo. The first international aid operation on the site of the catastrophe took place in 1812. After an earthquake in Caracas during Venezuela's war of independence, the United States, pushed by private charitable movements, organized a large-scale emergency operation to assist victims.<sup>203</sup>

<sup>198</sup> Degnbol-Martinussen & Engberg-Pedersen, 2005, p. 15ff.; Lancaster, 2007, p. 15f.

<sup>199</sup> Riddell, 2007, p. 92.

<sup>200</sup> Degnbol-Martinussen & Engberg-Pedersen, 2005, p. 12.

<sup>201</sup> Degnbol-Martinussen & Engberg-Pedersen, 2005, p. 19ff.

<sup>202</sup> Ryfman, 2008, p. 6ff.; Walker & Maxwell, 2009, p. 14.

<sup>203</sup> Curti, 1963, p. 9f.; Grossrieder, 2003, p. 6; Ryfman, 2009, p. 9; Ryfman, 2008, p. 14.

In 19<sup>th</sup> century Europe, humanitarian ideas could be found in two areas. First, it existed in medical assistance and research during the colonization of Africa and Asia, starting from the 1830s. Second, humanitarian ideas were found in the battlefields. Medical services slowly began to be integrated into armies, such as those of Louis XIV or Napoleon I, as a result of technical progress which had translated into an increase in the number of victims. During the Crimean war (1854-1955), the British nurse Florence Nightingale assisted the wounded and sick. However, care was generally given to the soldiers of one side only, and these actions remained punctual.<sup>204</sup>

A permanent solution, and what is often considered to represent the beginning of modern humanitarian action,<sup>205</sup> would only come in the second half of the 19<sup>th</sup> century. In 1859, after witnessing the suffering of the wounded in the terrible battle of Solferino (Italy), the Swiss businessman Henry Dunant improvised assistance to victims of both sides with the help of the locals.<sup>206</sup> On his return, Dunant published *A Memory of Solferino*, in which he described his experience and asked the following: “Would it not be possible, in time of peace and quiet, to form relief societies for the purpose of having care given to the wounded in wartime by zealous, devoted and thoroughly qualified volunteers?” and “would it not be desirable (...) to formulate some international principle, sanctioned by a Convention inviolate in character, which, once agreed upon and ratified, might constitute the basis for societies for the relief of the wounded in the different European countries?”.<sup>207</sup>

In February 1863, a committee later renamed the ICRC was formed to examine Dunant’s ideas. In October 1863, an international conference organized by the Committee adopted ten resolutions, including the creation of national relief committees and the use of a distinctive sign for uniforms of medical personnel (a white armlet with a red cross). It also recommended that governments extend their patronage to the committees, and that neutrality be given to ambulances and military hospitals, to official and voluntary medical personnel, to inhabitants assisting the wounded, and to the wounded themselves.<sup>208</sup> In August 1864, the legally-binding *Geneva Convention for the Amelioration of the Condition of the*

<sup>204</sup> Ryfman, 2008, p. 41.

<sup>205</sup> Barnett & Weiss, 2011, p. 35.

<sup>206</sup> Forsythe & Rieffer-Flanagan, 2008, p. 1; 6; McAllister, 1993, p. 5; Ryfman, 2008, p. 20f.; Walker & Maxwell, 2009, p. 22.

<sup>207</sup> ICRC, 1986, p. 27ff.

<sup>208</sup> Forsythe & Rieffer-Flanagan, 2008, p. 9ff.; Ryfman, 2008, p. 22f.; Walker & Maxwell, 2009, p. 23. The Ottoman Empire introduced the red crescent in the 1870s, and in 2005, the red crystal emblem was adopted for National Societies wishing to use neither the cross nor the crescent (Forsythe & Rieffer-Flanagan, 2008, p. 11; 51; McAllister, 1993, p. 6; Ryfman, 2008, p. 26ff.).

*Wounded in Armies in the Field* was adopted, forming the basis of international humanitarian law.<sup>209</sup>

During the First World War, ICRC activities developed substantially, going beyond medical aid to soldiers to include activities for prisoners of war and civilians, as well as campaigning against chemical weapons.<sup>210</sup> In order to guarantee on-going action in times of peace and to ensure the coordination and cooperation of the national societies, the League of Red Cross Societies, later renamed the League of Red Cross and Red Crescent Societies and then the International Federation of Red Cross and Red Crescent Societies (IFRC), was formed by the national societies of Britain, France, Italy, Japan and the United States in 1919.<sup>211</sup> While the ICRC was to be active in times of war and conflict, the league was to focus on public health and disaster relief.<sup>212</sup>

In the years following the war, several humanitarian organizations were also founded often in order to assist victims of war and conflict.<sup>213</sup> Humanitarian action would, however, be challenged by two totalitarian regimes in the years to come: the Bolshevik regime and the Nazi regime.

The famine that ravaged the Soviet Union in 1921 showed that aid could be used for political reasons. After debating whether or not to assist a non-democratic regime, Western countries responded with massive amounts of aid. It was, however, used by the Bolshevik regime to establish diplomatic and economic relations, to have its regime recognized and to control its population.<sup>214</sup>

The Second World War also showed the limits of humanitarian action. As it had during the First World War, the ICRC organized a massive relief response. However, the Geneva Conventions, on which its actions are based, proved to be inadequate and insufficient. For one, having not been signed by the Soviet Union, they did not apply to Soviet prisoners. Furthermore, at the time, the Conventions did not include rules concerning the treatment of civilian populations.<sup>215</sup> The ICRC argues that it “was therefore able to carry out activities to protect and assist prisoners of war, whereas its work for certain categories of civilians – in particular, civilians held in concentration camps – was to be very limited, or even non-

<sup>209</sup> Forsythe & Rieffer-Flanagan, 2008, p. 8; 42f.; ICRC, 2004, p. 8; 10; McAllister, 1993, p. 5; Ryfman, 2008, p. 23; Walker & Maxwell, 2009, p. 23.

<sup>210</sup> Forsythe & Rieffer-Flanagan, 2008, p. 11f.; Ryfman, 2008, p. 29f.

<sup>211</sup> Grossrieder, 2003, p. 9; McAllister, 1993, p. 6; Walker & Maxwell, 2009, p. 27f.

<sup>212</sup> Walker & Maxwell, 2009, p. 27.

<sup>213</sup> Barnett & Weiss, 2011, p. 41f.; Ryfman, 2008, p. 33; Walker & Maxwell, 2009, p. 24ff.

<sup>214</sup> Rufin, 2001, p. 68f.; Ryfman, 2008, p. 33f.

<sup>215</sup> Forsythe & Rieffer-Flanagan, 2008, p. 14ff.; Ryfman, 2008, p. 30f.

existent”.<sup>216</sup> The ICRC was also criticized for not speaking out against the deportations and persecutions.<sup>217</sup>

Following the war, international government structures and organizations were created in order to assist populations, including NGOs and the agencies of the newly-established UN.<sup>218</sup> These organizations are presented in greater detail in section 3 of this chapter.

The 1950s and 60s were characterized by two events: the Cold War and decolonization. As a result, actors moved from urgency to the new concept of development, and from a now-stable Europe to the newly independent countries of Africa, Asia and Latin America.<sup>219</sup>

A new type of humanitarian action would be born following the events of the end of the 1960s. In 1967, the Biafra province of Nigeria declared independence. Nigeria responded by putting a food blockade into place, causing a widespread famine. Classical humanitarian aid organizations found themselves unable to act: the UN because it was an internal conflict, the Red Cross because of the Nigerian government's refusal, and NGOs because their activities were turned towards development.<sup>220</sup> Frustrated by the strict neutrality observed by the ICRC, a group of doctors working for the French Red Cross began to question the acceptance at all times of the sovereignty of countries, as well as the regulations forbidding public statements on the witnessing of human rights violations and genocide. In 1971, they founded the medical aid organization MSF.<sup>221</sup> It believed that the needs of victims were more important than state sovereignty and neutrality. It also stressed the need to speak out against the suffering it witnessed,<sup>222</sup> as well as the mobilization of public opinion with the help of the media.<sup>223</sup>

The second half of the 1970s was characterized by a proliferation of “periphery” conflicts, with little military or political interest shown by superpowers. These “signaled a return to urgency”.<sup>224</sup> As most conflicts were internal, classical aid organizations found themselves unable to intervene, and the “borderless” movement developed strongly. These organizations were then also inspired to turn their activities towards emergencies, and to adapt procedures and jurisdiction. A

<sup>216</sup> ICRC, 2005a. In order to fill this gap, a fourth convention relative to the protection of the civilian population was adopted in 1949 (ICRC, 2004, p. 10f.).

<sup>217</sup> Rufin, 2001, p. 71f.

<sup>218</sup> Barnett & Weiss, 2011, p. 47ff.; Ryfman, 2008, p. 37ff.; Walker & Maxwell, 2009, p. 32ff.

<sup>219</sup> Rufin, 2001, p. 82.

<sup>220</sup> Rufin, 2001, p. 88.

<sup>221</sup> DeChaine, 2005, p. 70; Phelan, 2009, p. 1ff.; Tanguy, 1999, p. 226ff.; Terry, 2002, p. 20f.

<sup>222</sup> Ryfman, 2008, p. 52; Terry, 2002, p. 21.

<sup>223</sup> Ryfman, 2008, p. 53.

<sup>224</sup> Grossrieder, 2003, p. 13; Rufin, 2001, p. 90f.



new category of persons also began to appear as a result of these conflicts: internally displaced persons.<sup>225</sup>

In the 1980s, an increasing proportion of ODA began to be allocated to humanitarian aid, due to the increase in the number of natural disasters, to the use of the media to raise awareness and to the nature of approaches and responses to emergencies. Funds channeled through NGOs also increased.<sup>226</sup> Once again, the media played an important role by bringing to light the famine in Ethiopia (1983-4). The Ethiopian regime's use of aid to force populations to resettle showed once again that humanitarian aid could be manipulated.<sup>227</sup>

Contrary to hopes and predictions, the end of the Cold War saw a rise in the number of violent local and regional conflicts, increasingly involving civilian victims. The number of natural disasters also continued to rise. In order to respond, the humanitarian phenomenon developed strongly and the funds allocated to it increased.<sup>228</sup> States, previously inactive because of the principle of neutrality and the Cold War, also became present in humanitarian arena again. Military interventions in the name of humanitarian aid increased in Somalia, Rwanda, Kosovo and Afghanistan, for example, further confusing politics and humanitarianism.<sup>229</sup>

This confusion has continued since the beginning of the new millennium and the "war on terrorism" launched by the United States.<sup>230</sup> Three crises of the beginning of the new millennium have introduced new elements. First, the Indian Ocean tsunami of 2004 was given extensive media coverage and raised an important amount of funds in a record amount of time. The borders between relief, rehabilitation and development were also blurred. Second, the complex armed conflict in Darfur, ongoing since 2002, is one of the largest humanitarian operations in history, and is characterized by access difficulties, the absence of respect of humanitarian principles and generalized insecurity. Finally, the serious food crisis in Niger in 2005 was controversial within the aid community. The nature of the crisis and the necessary solutions were disputed.<sup>231</sup>

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<sup>225</sup> Internally displaced persons are "persons or groups of persons who have been forced or obliged to flee or to leave their homes or places of habitual residence, in particular as a result of or in order to avoid the effects of armed conflict, situations of generalized violence, violations of human rights or natural or human-made disasters, and who have not crossed an internationally recognized State border" (OCHA, 2004, p. 1). See also OCHA, 2003, p. 16f.

<sup>226</sup> Riddell, 2007, p. 36f.

<sup>227</sup> Rufin, 2001, p. 104f.

<sup>228</sup> Riddell, 2007, p. 38f.

<sup>229</sup> Rufin, 2001, p. 112ff.

<sup>230</sup> Walker & Maxwell, 2009, p. 72ff.

<sup>231</sup> Ryfman, 2008, p. 93ff.

## **b      *Operating space***

Humanitarian aid is provided in the context of *disaster*, a term for which many different definitions have been given. In 1992, the UN defined it as “a serious disruption of the functioning of a community or a society causing widespread human, material, economic or environmental losses which exceed the ability of the affected community or society to cope using its own resources”.<sup>232</sup> This definition and similar definitions are still used today by a number of humanitarian actors.

Disasters vary in their forms (sudden and unexpected, such as earthquakes or floods, as opposed to slowly-developing and predictable, such as drought or the HIV/AIDS epidemic),<sup>233</sup> their size and their effects (deaths, injuries, homeless, etc.).<sup>234</sup> The distinction according to cause (natural and man-made) is also often made.<sup>235</sup>

Finally, it is worth noting that disasters strike both developed and developing countries. However, the overwhelming majority of those affected live in developing countries.<sup>236</sup> Developed countries are more able to cope with the effects of disasters. This thesis therefore focuses on assistance to developing countries.

A *humanitarian crisis* results from “a combination of the realized consequences of a hazard and the severely diminished coping mechanisms of an affected population”. Several elements generally appear in mass: starvation/malnutrition, disease, insecurity, lack of shelter, and an increasing number of victims.<sup>237</sup> A humanitarian emergency, defined as “an urgent organizational effort to move human, financial and material resources to the site of the crisis”, then results.<sup>238</sup>

The term *complex (humanitarian) emergency* appeared in the late 1980s in Africa in order to designate the new type of humanitarian crisis, which began to appear at the end of the Cold War. The notion was introduced in order to distinguish the response to conflicts from the response to natural disasters. It also aimed to underline the complex nature and the multiple causes of conflicts.<sup>239</sup> It has been defined as “a multifaceted humanitarian crisis in a country, region or society where there is a total or considerable breakdown of authority resulting from internal or external conflict and which requires a multi-sectoral, international response that

<sup>232</sup> UN Department of Humanitarian Affairs, 1992, p. 27.

<sup>233</sup> Coppola, 2011, p. 30.

<sup>234</sup> Coppola, 2011, p. 30; Riddell, 2007, p. 311.

<sup>235</sup> Barnett & Weiss, 2011, p. 9. The authors argue, however, that “a fine line” separates the two types.

<sup>236</sup> Coppola, 2011, p. 18; 22ff.; Walker & Maxwell, 2009, p. 137.

<sup>237</sup> Coppola, 2011, p. 31.

<sup>238</sup> Stockton, 2004, p. 16.

<sup>239</sup> Harvey, 2005a, p. 107ff.

goes beyond the mandate or capacity of any single agency and/or the ongoing UN country programme”.<sup>240</sup> Several characteristics are given by Natsios:<sup>241</sup>

- Deterioration or complete collapse of central government authority
- Ethnic or religious conflict and widespread human rights abuses
- Episodic food insecurity, frequently deteriorating into mass starvation
- Macroeconomic collapse
- Mass population movements of displaced people and refugees

States are considered to have the primary responsibility in providing aid to their citizens. Aid from the outside is required if States are unable or unwilling to assume their responsibilities. If they are *unable* to provide assistance, an appeal for assistance from the international community may be made.<sup>242</sup> If there is *unwillingness* to act, the issue of humanitarian intervention is brought up. This is the “coercive action by States involving the use of armed force in another State without the consent of its government, with or without authorization from the UN Security Council, for the purpose of preventing or putting a halt to gross and massive violations of human rights or international humanitarian law”.<sup>243</sup>

### **c      *Definition and areas of action***

A number of related terms are found in literature to designate what is provided in this context. These include: *disaster relief*, *disaster response*, *emergency aid*, *emergency assistance*, *emergency humanitarian assistance*, *emergency relief*, *humanitarian action*, *humanitarian aid*, *humanitarian assistance*, *humanitarian emergency assistance*, *humanitarian relief*, *humanitarian response*, *international disaster relief assistance*, *relief* and *relief aid*. Many of these are often used interchangeably. Riddell, for example, says that humanitarian aid is “more widely referred to” as emergency aid or relief aid.<sup>244</sup> Harvey also states that emergency assistance is also “often used interchangeably with (...) disaster relief and humanitarian aid”.<sup>245</sup>

However, Harvey stresses that “important nuances in meanings” exist between terms. The reference to humanitarianism relates to “a specific tradition of providing assistance in conflicts”, contrary to the term emergency assistance, which is “less associated with conflict”. Also, humanitarianism “comes with a set of widely agreed principles”, contrary to emergency assistance, which “by contrast does not

<sup>240</sup> Inter-Agency Standing Committee cited in Coppola, 2011, p. 31; UN Department of Humanitarian Affairs, 1997, p. 9.

<sup>241</sup> Natsios, 1996, p. 67.

<sup>242</sup> Walker & Maxwell, 2009, p. 9; 82. See UN General Assembly Resolution 46/182, Annex 1, §4.

<sup>243</sup> OCHA, 2003, p. 14.

<sup>244</sup> Riddell, 2007, p. 17; 21; 311.

<sup>245</sup> Harvey, 2005b, p. 196.

automatically bring with it an association with humanitarian values and principles".<sup>246</sup> Several core principles guide delivery.<sup>247</sup>

- Humanity refers to "the centrality of saving human lives and alleviating suffering wherever it is found".
- Impartiality is "the implementation of actions solely on the basis of need, without discrimination between or within affected populations".
- Neutrality signifies that "humanitarian action must not favour any side in an armed conflict or other dispute where such action is carried out".
- Independence refers to "the autonomy of humanitarian objectives from the political, economic, military or other objectives that any actor may hold with regard to areas where humanitarian action is being implemented".

These principles are drawn from the seven fundamental principles of the International Red Cross and Red Crescent Movement, adopted in 1965.<sup>248</sup> Other humanitarian actors share these principles; however, different understandings and interpretations exist.<sup>249</sup> While the principle of humanity "remains the least controversial", the principle of neutrality has been the object of considerable debate.<sup>250</sup> Some agencies, such as MSF, argue that "a failure to speak out against and attempt to dissuade those perpetrating inhumane activities for fear that it prevents the delivery of relief items to those who desperately needed it (...) compromises or even distorts the humanitarian imperative". Other agencies, such as the ICRC, adopt a neutralist position, and maintain that agencies should avoid taking sides, because this is necessary to assure the provision of aid.<sup>251</sup> According to Slim, "there is now a majority view that neutrality is either undesirable, because it is equated with being unprincipled, or is simply unachievable in practice, because relief aid is so frequently manipulated". As a result, there is a strong attraction to the similar principle of impartiality.<sup>252</sup>

A review of literature showed that, in addition to a large number of similar terms, a large number of different definitions of humanitarian aid also exist.<sup>253</sup> There is

<sup>246</sup> Harvey, 2005b, p. 196f.

<sup>247</sup> Good Humanitarian Donorship principle no. 2. Three of these principles (humanity, impartiality and neutrality) are stated in UN General Assembly Resolution 46/182 of December 1991, "which attempted to define humanitarian assistance in the 'new world order' after the Cold War" (Slim, 1997, p. 345).

<sup>248</sup> On top of the three principles listed above, the Movement's action is guided by the principles of voluntary service, unity, and universality (ICRC, 1996, p. 9; 12; 15; 17). Several principles are also given in the Code of Conduct for The International Red Cross and Red Crescent Movement and NGOs in Disaster Relief, developed to set common standards in the response to disasters.

<sup>249</sup> Smillie & Minear, 2004, p. 8; 16.

<sup>250</sup> Slim, 1997, p. 345ff.

<sup>251</sup> Riddell, 2007, p. 327f.

<sup>252</sup> Slim, 1997, p. 345ff. For a discussion on the future of humanitarian principles, see Walker & Maxwell, 2009, p. 136ff.

<sup>253</sup> A Development Initiatives study also showed that "there is no similar definition of what constitutes 'humanitarian assistance' " (Development Initiatives, 2003, p. 8).

however a general consensus among actors in the aid community that humanitarian action includes “saving lives, reducing suffering and maintaining human dignity”.<sup>254</sup> To do so, humanitarian action is widely understood to consist in the restoration of access to vital necessities. Several areas are generally distinguished:<sup>255</sup>

- Water supply, sanitation and hygiene promotion: Disasters increase susceptibility to diseases related to inadequate sanitation and water, as well as to poor hygiene. In order to reduce transmission of diseases and exposure to disease-bearing vectors, sufficient safe drinking water, sanitation facilities as well as information on prevention must be provided, and the involvement of those affected must be mobilized.
- Food security and nutrition: During disasters, food and nutrition are determinants of health and are critical to survival. Malnutrition may be a direct or indirect cause of death.
- Shelter, settlement and non-food items: Shelter is important for several reasons, including survival, security and personal safety, protection from climate, and better resistance to ill health and disease. Basic items are also needed for personal hygiene, preparation and eating of food and for thermal comfort. Non-food items include clothing, blankets, bedding and other household items.
- Health services: Health care is also critical to survival. Disasters may have direct impacts on public health, such as injury or death, or indirect impacts such as increased rates of infectious diseases and/or malnutrition, which generally result from inadequate water and sanitation, from insufficient food and health care, as well as from overcrowding and displacement.

The inclusion of other areas is debated, in particular the issue of protection of vulnerable civilian populations in conflict situations.<sup>256</sup> Protection is defined as “ensuring respect for the human rights of vulnerable populations”.<sup>257</sup> Harvey argues that protection is generally understood at the international level to be included,<sup>258</sup> and many authors, such as Weiss & Collins, distinguish in humanitarian action both “the provision of relief to civilian populations and the protection of their basic human rights”.<sup>259</sup> A few aid agencies, such as the ICRC and UNHCR, specifically include the issue of protection in their mandate.<sup>260</sup> It is however omitted by many.<sup>261</sup>

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<sup>254</sup> Riddell, 2007, p. 326.

<sup>255</sup> The Sphere Project, 2011, p. 4; 84; 144; 244; 292. See also Coppola, 2011, p. 318ff.; Natsios, 1996, p. 69.

<sup>256</sup> Riddell, 2007, p. 326.

<sup>257</sup> Weiss & Collins, 2000, p. 208.

<sup>258</sup> Harvey, 2005b, p. 197. He argues that “emergency assistance”, by contrast, does not include the issue of protection.

<sup>259</sup> Weiss & Collins, 2000, p. 2. See also Hoffman & Weiss, 2006, p. 2; 11.

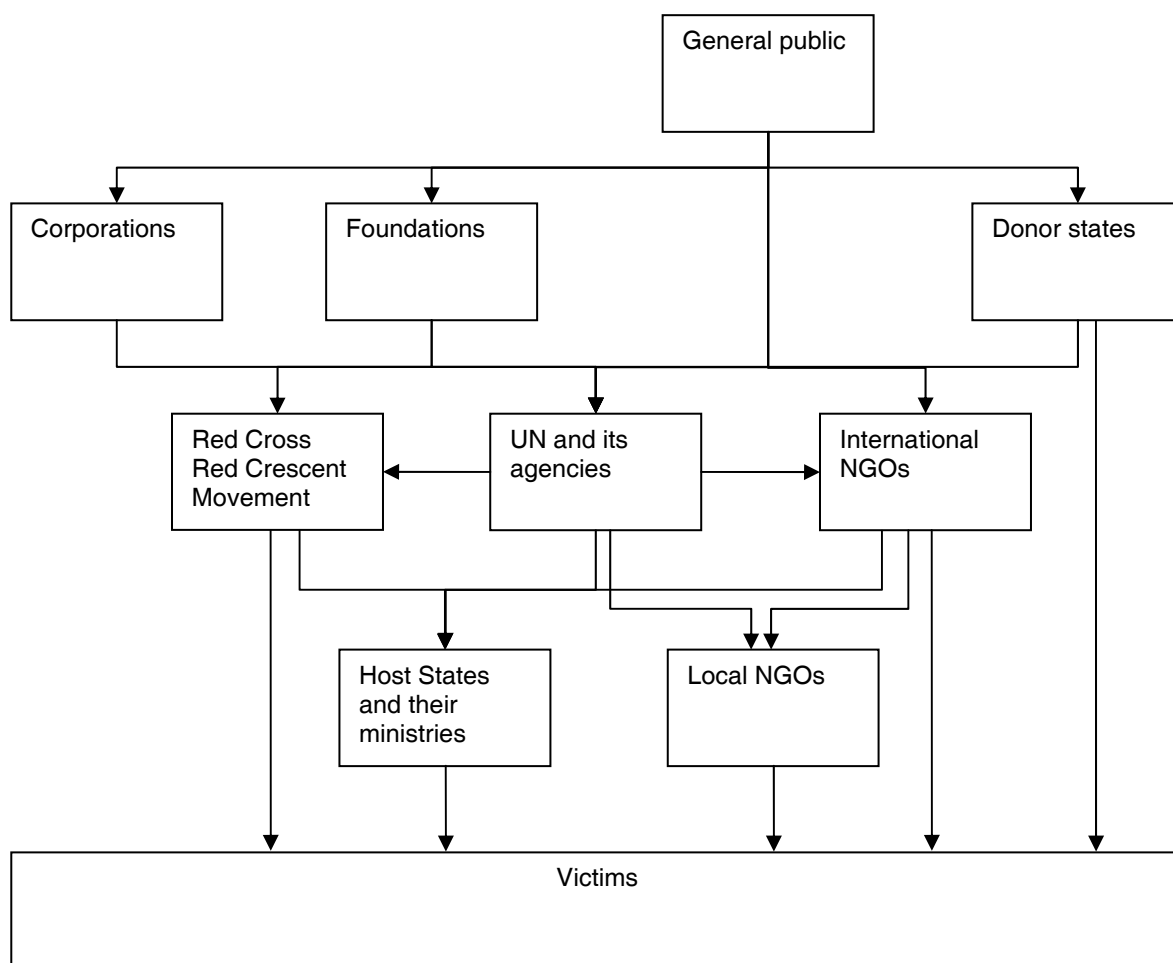
<sup>260</sup> Harvey, 2005b, p. 197.

<sup>261</sup> Fink, 2007, p. 36.

Humanitarian aid may be provided in different forms. These include funds; medical, food, and housing supplies; transportation vehicles and communications equipment; staff; diplomatic tools, and if necessary, military personnel and equipment.<sup>262</sup>

#### d **Financing**

The international humanitarian system, also referred to as the international humanitarian community,<sup>263</sup> is characterized by complexity.<sup>264</sup> A simplified structure and the flow of resources are shown in **Figure III.2**.



**Figure III.2: Humanitarian cash flow**<sup>265</sup>

Humanitarian assistance is funded through different sources:<sup>266</sup>

<sup>262</sup> Weiss & Collins, 2000, p. 48.

<sup>263</sup> Weiss & Collins, 2000, p. 2.

<sup>264</sup> Riddell, 2007, p. 315; Walker & Maxwell, 2009, p. 4.

<sup>265</sup> Adapted from Walker & Maxwell, 2009, p. 5.

<sup>266</sup> Walker & Maxwell, 2009, p. 4.

- **Governments:** This source of humanitarian funding is both the most dependable and the largest.<sup>267</sup> Governments, through their bilateral aid agencies, may distribute aid directly, or they may use partners such as NGOs, the Red Cross and UN agencies. These in turn, may also then use other partners to distribute aid.<sup>268</sup>
- **General public:** Individuals fund humanitarian assistance in two ways: through governments via taxation, or through voluntary contributions to NGOs, UN agencies and the Red Cross/Red Crescent Movement.
- **Foundations:** These may give philanthropic donations or establish contracts.
- **Corporations:** Recognizing opportunities in the humanitarian sector, companies also increasingly contribute, in amounts of up to tens of millions of dollars.

These last three sources are termed “the private sector”. The importance of this sector in funding humanitarian aid has increased significantly from 1995 to 2005. The proportion of each private sector source in aid agencies varies.<sup>269</sup>

Finally, it must also be noted that significant resources also come from local response and remittances from family members and diaspora communities; however these numbers are very difficult to estimate.<sup>270</sup>

Several initiatives have been launched by donors to reform funding of humanitarian aid. The Good Humanitarian Donorship Initiative, developed in 2003, provides guidelines for donors and seeks to address the meeting of needs. A list of 23 principles and best practices central to the initiative notably include (1) the provision of humanitarian assistance to save lives and alleviate suffering, (2) this according to need, (3) the need for adequate, predictable and flexible funding, as well as (4) donor accountability and learning.<sup>271</sup> Within the UN system, there are also several initiatives designed to improve the coherence and the predictability of funding:

- Funds are mobilized by means of the Consolidated Appeals Process, adopted in 1991 to strengthen coordination of humanitarian assistance. The process is shown in **Figure III.3**. It was first a consolidation of UN agencies’ funding

<sup>267</sup> Weiss & Collins, 2000, p. 48. The most important donors of total humanitarian assistance in 2006 were the European Union and European Community member states (50%), the United States (35%), Norway (5%), Canada (3%), Japan (2%), Australia (2%) and Switzerland (2%). The United States represented the largest single donor, while from a collective point of view, European Union and European Community member states represented the largest donor (Development Initiatives, 2008, p. 11).

<sup>268</sup> Riddell, 2007, p. 315f.; Smillie & Minear, 2004, p. 12; Walker & Maxwell, 2009, p. 4. When aid is given from a government directly to another, it is known as bilateral aid, and when it is given from a government to an inter-governmental agency, it is termed multilateral aid. Multilateral aid is often preferred to bilateral aid, as it is considered less political, less conditional, and more needs-based (Riddell, 2007, p. 51; 77).

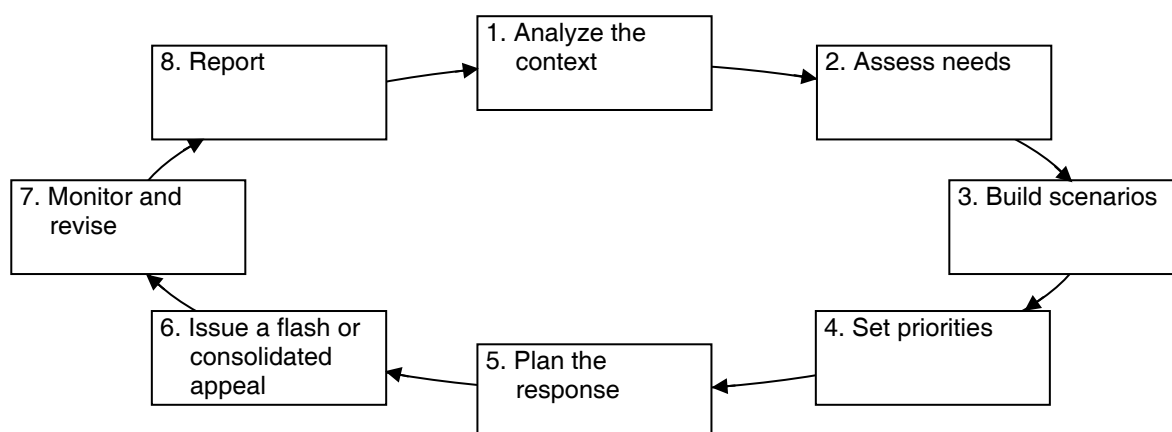
<sup>269</sup> Altinger & Tortella, 2007, p. 1.

<sup>270</sup> Development Initiatives, 2008, p. 9.

<sup>271</sup> Riddell, 2007, p. 323; Walker & Maxwell, 2009, p. 92f. In January 2009, 35 donors were part of this initiative.

appeals, but today it reunites agencies through joint planning, coordination, implementation and monitoring of humanitarian response. It serves to appeal for funds “cohesively instead of competitively”. Consolidated appeals are issued in response to complex and/or major emergencies. With the help of Flash Appeals, additional funds are raised for sudden onset emergencies.<sup>272</sup>

- The Central Emergency Revolving Fund first consisted in a fund of USD 50 million for use by UN agencies for immediate response to crises. It was significantly expanded in 2005 and renamed the Central Emergency Response Fund.<sup>273</sup>
- The Common Humanitarian Fund is a common fund, established to address the flaw in the Consolidated Appeals Process related to donors only giving attention to certain projects. It allows for channeling of funds to priorities.<sup>274</sup>
- Emergency response funds provide funding to in-country organizations, including NGOs and UN agencies.<sup>275</sup>



**Figure III.3: The Consolidated Appeals Process**<sup>276</sup>

### **e Coordination**

The coordination of humanitarian aid is necessary due to the important number of aid agencies and resources in disaster areas. The UN plays a central role in the coordination of humanitarian aid.<sup>277</sup> For this reason, focus is put here on coordination in the UN system. Other coordination mechanisms do exist, however.<sup>278</sup>

<sup>272</sup> Riddell, 2007, p. 318; Walker & Maxwell, 2009, p. 107.

<sup>273</sup> Riddell, 2007, p. 323; Walker & Maxwell, 2009, p. 107.

<sup>274</sup> Walker & Maxwell, 2009, p. 108.

<sup>275</sup> Walker & Maxwell, 2009, p. 108.

<sup>276</sup> Adapted from OCHA, 2009.

<sup>277</sup> Coppola, 2011, p. 346f.

<sup>278</sup> Coppola, 2011, p. 492.



The Department of Humanitarian Affairs was established in 1991. It was reorganized in 1998 into the United Nations Office for the Coordination of Humanitarian Affairs and is responsible for the coordination of response and activities of humanitarian aid agencies on the ground in order to avoid the neglect of populations or sectors, and to avoid overlapping. This includes the UN system, but also NGOs, the Red Cross and Red Crescent Movement and others.<sup>279</sup>

The Inter-Agency Standing Committee was also established “to serve as the primary mechanism for inter-agency coordination of humanitarian assistance in response to complex and major emergencies”.<sup>280</sup> It reunites UN operational humanitarian agencies, with standing invitation to other agencies, and aims to “facilitate inter-agency decision-making through organizing disaster relief, including the performance of needs assessment, consolidated appeals, field coordination and humanitarian policies”. The Committee is chaired by the Emergency Relief Coordinator, who is also the Under-Secretary General for Humanitarian Affairs, and whose role is to ensure the address of all crises, the advocacy of humanitarian issues, and the effective coordination of response.<sup>281</sup>

While the Consolidated Appeals Process is used to request funding, it is also a tool for joint planning, coordination, implementation and monitoring of humanitarian response. Its basis is the Common Humanitarian Action Plan. It includes: an analysis of the context, scenarios, an assessment of needs and a statement of priorities, response plans that identify roles and responsibilities, long-term objectives and goals, as well as a framework for monitoring the strategy and revising it if necessary.<sup>282</sup>

Finally, the Humanitarian Response Review, launched in 2005, studies humanitarian response and recommended the formation of clusters in priority sectors in order to improve coordination and fill certain other gaps.<sup>283</sup>

### 2.3.2 Development aid

#### **a History**

In literature, the end of the 1940s is often said to represent the beginning of the modern era of development aid, although it should be noted that aid for

<sup>279</sup> Walker & Maxwell, 2009, p. 99f.

<sup>280</sup> General Assembly Resolution 46/182, §38.

<sup>281</sup> Walker & Maxwell, 2009, p. 99f.

<sup>282</sup> OCHA, 2009.

<sup>283</sup> A lead agency is “the U.N. organization designed by the secretary-general to assume a leadership position in a particular relief operation. Its functions are to coordinate relief activities among a multitude of humanitarian actors within and outside of the U.N. system and to serve as a focal point for the dissemination of information” (Weiss & Collins, 2000, p. 206).

development is older than this.<sup>284</sup> For example, during the 1920s, European colonial powers such as the United Kingdom and France supported the development of their colonies.<sup>285</sup> The United Kingdom introduced the Colonial Development Act for the funding of infrastructure in 1929 and the Colonial Development and Welfare Act for the funding of social activities in 1940.<sup>286</sup> From 1921 to 1941, the League of Nations gave technical experts to China in the areas of health, education, transport and rural cooperatives.<sup>287</sup> During World War II, the United States had provided technical assistance for development to Latin America.<sup>288</sup> Finally, many voluntary agencies (churches and their agencies) provided aid for development purposes.<sup>289</sup>

The signification of the term *development* and the ways to achieve it have varied in time and according to different actors. In consequence, the dominant aid strategies used by donors to achieve development also evolved. These however have always been based on the belief that outside interventions are necessary for development.<sup>290</sup>

It is at the end of the Second World War that aid started to become institutionalized. The war had devastated Europe, which lacked capital for reconstruction.<sup>291</sup> Meanwhile, the United States and the Soviet Union emerged as the world's leading powers. Concerned with the Soviet Union's increasing influence in the region, the United States began to assist Greece and Turkey after the withdrawal of British support in 1947.<sup>292</sup> The same year, United States foreign minister George C. Marshall developed a plan comprising the allocation of massive amounts of aid in order to help rebuild and modernize Europe. Two motives were behind the Plan: to ensure national security by preventing the spread of communism to Western Europe and to promote trade. Initiated in 1948, the plan became "the earliest comprehensive proposal regarding development assistance" and proved to be a success: Western Europe recovered rapidly and

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<sup>284</sup> Riddell, 2007, p. 24.

<sup>285</sup> Lancaster, 2007, p. 26f.

<sup>286</sup> Hjertholm & White, 2000, p. 82; Riddell, 2007, p. 24.

<sup>287</sup> Rist, 2009, p. 65.

<sup>288</sup> Aid was provided because of Germany's desire to create closer ties with the region and of a disruption of its exports to Europe (Lancaster, 2007, p. 27). Technical assistance, also known as technical cooperation, is "the provision of skills, knowledge, know-how and advice" (Riddell, 2007, p. 202).

<sup>289</sup> Riddell, 2007, p. 25.

<sup>290</sup> Degnbol-Martinussen & Engberg-Pedersen, 2005, p. 44. However, it is important to note that "development assistance is neither a necessary nor sufficient condition for growth and development". The authors argue that "national economic growth, and development in a broader sense, can be achieved without foreign aid, and foreign aid does not necessarily result in growth and development" (Degnbol-Martinussen & Engberg-Pedersen, 2005, p. 18).

<sup>291</sup> Robinson & Tarp, 2000, p. 3.

<sup>292</sup> Lancaster, 2007, p. 28.

aid was gradually brought to an end in the 1950s.<sup>293</sup> This accomplishment “provided the impetus for turning focus to the problems of the developing world”.<sup>294</sup>

In 1949, “the idea that there could be a concerted international effort to address poverty and underdevelopment” originated.<sup>295</sup> In Point Four of his inaugural address, United States President Harry Truman stressed the necessity of providing aid for the development of poor countries; he declared the need to “embark on a bold new program for making the benefits of our scientific advances and industrial progress available for the improvement and growth of underdeveloped areas. More than half the people of the world are living in conditions approaching misery. Their food is inadequate. They are victims of disease. Their economic life is primitive and stagnant. Their poverty is a handicap and a threat both to them and to more prosperous areas. For the first time in history, humanity possesses the knowledge and skill to relieve suffering of these people. (...) The old imperialism — exploitation for foreign profit — has no place in our plans. What we envisage is a program of development based on the concepts of democratic fair-dealing”.<sup>296</sup> With these remarks, President Truman launched what is known as “the era of development”.<sup>297</sup>

Two motives underpinned the provision of foreign aid for development. The end of the war had generated a fear of a collapse in demand from the military sector and of widespread unemployment. Foreign aid and development constituted an opportunity to create demand and avoid international economic stagnation.<sup>298</sup> However, the main motive of the United States for providing aid to these “underdeveloped areas” consisted of preventing the extension of communism: improving living standards in poor countries would decrease their receptiveness to communist ideas.<sup>299</sup> This idea would remain throughout the Cold War, and not be used solely by the United States: similarly, the USSR and China used aid as an instrument during the Cold War by supporting Eastern Europe and then Asia and Africa.<sup>300</sup>

During the 1950s, dominant doctrines focused on economic growth, considered to be a necessary and sufficient condition for development, other objectives such as health and education considered to be complementary to or resulting from growth. The generated growth was expected to ‘trickle down’ to benefit the poor.<sup>301</sup> To achieve growth, industrialization was seen as key, and import substitution was

<sup>293</sup> Degnbol-Martinussen & Engberg-Pedersen, 2005, p. 8.

<sup>294</sup> Hjertholm & White, 2000, p. 82.

<sup>295</sup> Hunt, 2004, p. 68.

<sup>296</sup> Cited in Rist, 2009, p. 71.

<sup>297</sup> Esteva, 2005, p. 6.

<sup>298</sup> Remenyi, 2004, p. 23f.

<sup>299</sup> Degnbol-Martinussen & Engberg-Pedersen, 2005, p. 8.

<sup>300</sup> Hunt, 2004, p. 68.

<sup>301</sup> Degnbol-Martinussen & Engberg-Pedersen, 2005, p. 26; Thorbecke, 2000, p. 19f.; Todaro & Smith, 2009, p. 110.

used to achieve it.<sup>302</sup> Foreign aid could contribute to the accumulation of capital, considered necessary, as poor countries lacked savings to finance investments, as well as private foreign investments.<sup>303</sup> The United States represented the principal aid donor, accounting for more than half of all official aid of the decade.<sup>304</sup> From 1956, aid from the Soviet Union also began to gain importance.<sup>305</sup>

Throughout the 1960s, growth remained a key goal. However, two other objectives came to complement it: balance-of-payments equilibrium and employment. Aid could contribute significantly to “removing either a savings deficiency through an increased flow of foreign savings or a deficit in the current account of the balance-of-payments by providing the necessary foreign exchange”. The role of agriculture was also perceived differently. The interdependence between industry and agriculture were recognized: the role of agricultural sector became to release resources for the industrial sector.<sup>306</sup> The 1960s also saw the establishment of bilateral programs in developed countries to manage the rising levels of aid. A number of multilateral institutions were also born for this purpose.<sup>307</sup>

A turning point came towards the end of the 1960s. In the 1950s and 1960s, many developing countries reached or even exceeded growth targets, but the level of living of numerous individuals remained unchanged. Its benefits had not been equally redistributed and “disillusionment with the decade’s progress was widespread”.<sup>308</sup> Growth proved therefore to be a necessary but insufficient condition to reach development. A number of issues had also been noted, namely, un- and underemployment, unequal income distribution, widespread poverty, rural-urban migration, increasing balance of payments pressures and indebtedness.<sup>309</sup>

Therefore, by the mid-1970s, the central focus shifted towards poverty, a problem which had never been mentioned explicitly before. This shift was brought about by Robert McNamara of the World Bank and the World Employment Programme of the International Labour Organization. Both argued that “to tackle poverty it was insufficient merely to try to raise growth rates and to try to stimulate structural and institutional changes to an economy which would – eventually and mostly indirectly – lead to a reduction in poverty”. The importance of addressing poverty was directly stressed. The World Bank presented a redistribution-with-growth approach, while the International Labour Organization had a basic needs

<sup>302</sup> Thorbecke, 2000, p. 22. Import substitution industrialization is “an inward-looking strategy which consists of setting up domestic industry to supply markets previously served by imports” (Hewitt, 2000, p. 294).

<sup>303</sup> Degnbol-Martinussen & Engberg-Pedersen, 2005, p. 18.

<sup>304</sup> Riddell, 2007, p. 26f.

<sup>305</sup> Hjertholm & White, 2000, p. 81.

<sup>306</sup> Thorbecke, 2000, p. 23ff.

<sup>307</sup> Riddell, 2007, p. 28.

<sup>308</sup> Nafziger, 2006, p. 15f. See also Todaro & Smith, 2009, p. 15.

<sup>309</sup> Thorbecke, 2000, p. 28; 31.

approach.<sup>310</sup> In this new light, aid was provided in the form of projects in specific sectors, such as education, health and water. Whereas ODA had stagnated since the mid-1960s, and declined even in the early 70s, during the oil crisis, it began to rise again starting from the mid/late 1970s. Aid from oil-exporting countries increased, as well as the share of multilateral aid. A number of initiatives for low-income countries were also developed.<sup>311</sup>

The emergence of a debt crisis, higher interest rates, and a recession in creditor countries marked the beginning of the 1980s.<sup>312</sup> These events, as well as the coming into power of conservative governments in countries such as the United Kingdom, the United States and Germany, implied yet another shift: neo-liberalism became the dominant view.<sup>313</sup> Focus shifted away from poverty and back towards growth. The World Bank, often with the International Monetary Fund, took on a leading role in determining development goals, and conditions were attached to aid.<sup>314</sup> Structural adjustment was seen as the principal way of achieving the growth required for development. It aimed to limit the intervention of the state and included measures such as opening markets, privatization, as well as reduced government spending in areas such as health and education. ODA decreased significantly, before expanding again in the mid/late 1980s, due to the lack of results of structural adjustment and the increase of public spending in developed countries. Another characteristic of the 1980s was the increase in profile and income of NGOs engaged in development work.<sup>315</sup>

The end of the Cold War had several important impacts on aid. Besides eliminating the group of Eastern European donor countries, which increased the demand for aid from DAC countries, the end of the war decreased motivation to allocate aid, as national security had previously been a main justification. Finally, as stated above in the presentation of humanitarian aid, the end of the Cold War caused previously-controlled conflicts to become more frequent, thus requiring increased aid funding for peacekeeping and humanitarian aid.<sup>316</sup> Other elements characterizing the aid world included competition from other concerns such as the environment, the distrust of bilateral and multilateral aid agencies, discussions on the effectiveness of aid, failed projects, and skepticism about the sincerity and credibility of beneficiary governments (bad governance, corruption).<sup>317</sup> Furthermore, many developed countries suffered from economic problems at the beginning of the 1990s.<sup>318</sup> Thus, while ODA had increased steadily from 1970, it

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<sup>310</sup> Riddell, 2007, p. 31f.

<sup>311</sup> Hjertholm & White, 2000, p. 81; Lancaster, 2007, p. 33f.; Riddell, 2007, p. 22f.; 32f.

<sup>312</sup> Thorbecke, 2000, p. 33.

<sup>313</sup> Hewitt, 2000, p. 300.

<sup>314</sup> These are considered to represent the first conditionalities imposed by donors or "conditions for receiving foreign aid" (Degnbol-Martinussen & Engberg-Pedersen, 2005, p. 27).

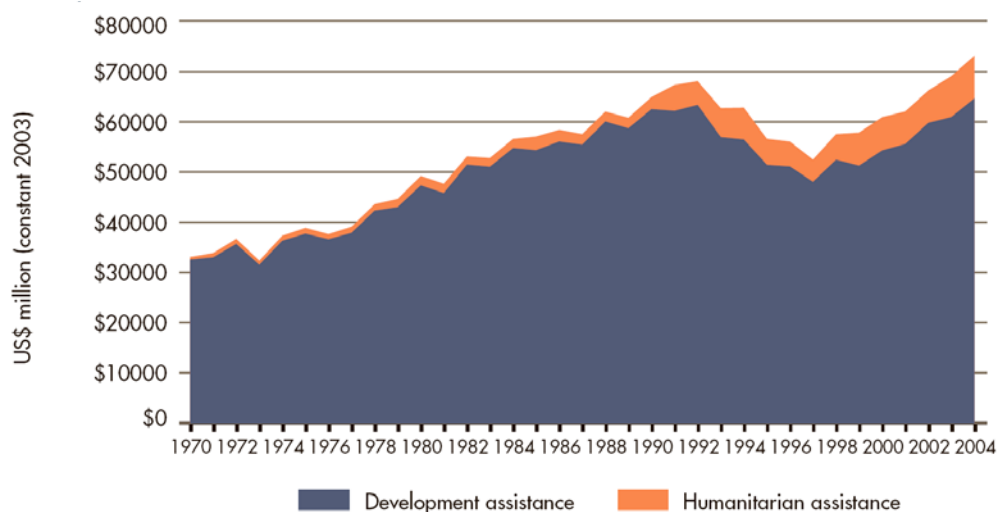
<sup>315</sup> Riddell, 2007, p. 22f.; 34ff. It must be noted that poverty was not completely forgotten though.

<sup>316</sup> Degnbol-Martinussen & Engberg-Pedersen, 2005, p. 23f.

<sup>317</sup> Robinson & Tarp, 2000, p. 4.

<sup>318</sup> Lancaster, 2007, p. 47f.

declined sharply throughout much of the 1990s.<sup>319</sup> **Figure III.4** shows the evolution of ODA from 1970 to 2004.



**Figure III.4: Development and humanitarian aid as proportions of ODA, 1970-2004<sup>320</sup>**

In the 1990s, poverty was “rediscovered” and became the focus of development aid once again, following work by the UN and the World Bank. Reflections on the human side of development also began, based notably on the work of Amartya Sen, who viewed development through freedoms and capabilities.<sup>321</sup> Goals focusing on the environment<sup>322</sup> and on women and gender equality were formulated. Democratization, good governance and respect for human rights were also integrated in development goals (by bilateral donors).<sup>323</sup> In 1999, the World Bank introduced Poverty Reduction Strategy Papers as broad development planning documents, produced by recipient countries in consultation with civil society. Sector-wide approaches were also introduced in the mid-to late 1990s, which aimed to support sectors (e.g. health or education) or sub-sectors (e.g. primary education). The burden of debt was also seen as an important obstacle to development: In 1996, the Heavily Indebted Poor Countries Initiative was launched in order to alleviate the debt of most indebted low-income countries.<sup>324</sup>

Finally, a number of international conferences on specific development themes, such as children, the environment and human rights, also characterized the 1990s. These often called for increased amounts of aid from donors and also formulated specific goals. These would be brought together at the UN Millennium Summit in

<sup>319</sup> Riddell, 2007, p. 2; 22f.

<sup>320</sup> Development Initiatives, 2006, p. 8.

<sup>321</sup> Riddell, 2007, p. 39f.; 133f.; 417. See also Todaro & Smith, 2009, p. 16ff.

<sup>322</sup> The notion of sustainable development was introduced in 1987. It was defined as “development that meets the needs of the present without compromising the ability of future generations to meet their own needs” (World Commission on Environment and Development, 1987, p. 43).

<sup>323</sup> Degnbol-Martinussen & Engberg-Pedersen, 2005, p. 27ff.

<sup>324</sup> Riddell, 2007, p. 47; 196; 238ff.; 296.

September 2000. Countries agreed to a set of time-bound and measurable objectives, which became known as the Millennium Development Goals.<sup>325</sup> These goals, shown in **Figure III.5**, represented a “renewed commitment to development”.<sup>326</sup> Since then, attention has grown and repeated pledges have been made to increase aid. At the end of the 1990s, ODA began to increase again, and in 2005, it reached its highest amount ever: USD 100 billion.<sup>327</sup>

- 1. Eradicate extreme poverty and hunger**
  - Halve the proportion of people with less than one dollar a day.
  - Halve the proportion of people who suffer from hunger.
- 2. Achieve universal primary education**
  - Ensure that boys and girls alike complete primary schooling.
- 3. Promote gender equality and empower women**
  - Eliminate gender disparity at all levels of education.
- 4. Reduce child mortality**
  - Reduce by two thirds the under-five mortality rate.
- 5. Improve maternal health**
  - Reduce by three quarters the maternal mortality ratio.
- 6. Combat HIV/AIDS, malaria and other diseases**
  - Reverse the spread of HIV/AIDS.
- 7. Ensure environmental sustainability**
  - Integrate sustainable development into country policies and reverse loss of environmental resources.
  - Halve the proportion of people without access to potable water.
  - Significantly improve the lives of at least 100 million slum dwellers.
- 8. Develop a global partnership for development**
  - Raise official development assistance.
  - Expand market access.
  - Encourage debt sustainability.

**Figure III.5: The Millennium Development Goals**<sup>328</sup>

### ***b Operating space***

Development aid is provided to *developing countries*, a term widely used today in the international community.<sup>329</sup> However, these countries do not constitute a homogeneous group and can be classified in a number of different ways.

- One method, considered to be the most common, is the use of per capita income (gross national income or gross national product per capita). The World Bank, for example, classifies countries by their level of per capita income, distinguishing high-income, middle-income and low-income countries,

<sup>325</sup> Lancaster, 2007, p. 46; 55; Riddell, 2007, p. 40f.

<sup>326</sup> Lancaster, 2007, p. 55.

<sup>327</sup> Riddell, 2007, p. 2; 22f.

<sup>328</sup> Devarajan, Miller & Swanson, 2002, p. 2.

<sup>329</sup> Countries with low or middle income per capita are generally understood (Nafziger, 2006, p. 22).

*developed* countries designating high-income countries, and *developing* countries being those with low or middle income. Furthermore, among upper-middle-income economies, *newly industrializing countries* can be distinguished.<sup>330</sup> The expression *least developed countries* is used to designate countries with low per capita income, but also with weaknesses in human resources and high economic vulnerability.<sup>331</sup>

- Development indicators have also been developed. UNDP uses a classification based on the level of human development, and uses indicators such as the human development index. A number of aspects of development, such as longevity, knowledge and standard of living, are integrated.<sup>332</sup>

These classifications show the diversity present. Other elements showing diversity include, for example, geographic area, population, history, ethnic and religious composition, industrial structure and external dependence. However, despite this, a number of common features generally exist. These include the following:<sup>333</sup>

- Lower levels of living and productivity
- Lower levels of human capital
- Higher levels of inequality and absolute poverty
- Higher population growth rates
- Greater social fractionalization
- Larger rural populations but rapid rural-to-urban migration
- Lower levels of industrialization and manufactured exports
- Adverse geography
- Undeveloped financial and other markets
- Lingering colonial impacts such as poor institutions and varying levels of external dependence

### **c      *Definition and areas of action***

Development aid is provided for the purpose of development. However, as shown, the meanings of the term development and the ways to achieve it have varied.

Development usually denotes “positive change or progress”.<sup>334</sup> Chambers, for example, defines it simply as a “good change”.<sup>335</sup> Generally, the number of goals

<sup>330</sup> Todaro & Smith, 2009, p. 41. High income countries had, in 2004, a gross national income per capita of USD 10'066 or more. For middle income countries, this figure was situated between USD 826 and USD 10'065, while for low income countries, the figure was of USD 825 or less.

<sup>331</sup> UN Committee for Development Policy, 2004, p. 15.

<sup>332</sup> Todaro & Smith, 2009, p. 41ff.; 49ff. Countries with a human development index of 0.800 to 1.0 are considered to have high human development. Those with an index situated between 0.500–0.799 are considered to have medium human development. Low human development countries are those with an index of less than 0.500 (Todaro & Smith, 2009, p. 50).

<sup>333</sup> Todaro & Smith, 2009, p. 40; 56ff.

<sup>334</sup> Lewis, 2007, p. 25.



and areas included has increased.<sup>336</sup> Today, a human rights-based approach is increasingly taken in viewing development. The role of aid recipients in implementation, but also in deciding the use and forms of aid, is stressed.<sup>337</sup> Former UN Secretary-General Kofi Annan states that such an approach “describes situations not simply in terms of human needs, or of developmental requirements, but in terms of a society’s obligations to respond to the inalienable rights of individuals, empowers people to demand justice as a right, not as charity, and gives communities a moral basis from which to claim international assistance when needed”.<sup>338</sup>

However, there is still no clear consensus on the definition of development: It remains “one of the most problematic and contested terms of the current age”.<sup>339</sup> Furthermore, a variety of terms are also discussed in literature; these include economic growth, economic development, social development, human development, integrated development, sustainable development, and sustainable human development. This thesis does not aim to discuss these different views of development.<sup>340</sup> However, as Thomas notes, “despite the huge differences surrounding the idea of development, what exactly it means and how it is to be achieved, there is general agreement (...) that it must include tackling poverty”.<sup>341</sup>

As there is no clear agreement on the meaning of development, aid for development can cover a wide variety of tasks and activities. These can consist of economic growth, social welfare, resource redistribution, political process, empowerment and human rights.<sup>342</sup> Interrelated areas such as water, sanitation, health, education, shelter, livelihoods, finance, etc. can also be included.

#### **d      Financing**

The structure of development aid cash flow is considered to be similar to that of humanitarian aid.<sup>343</sup> Funding sources also include governments, individuals,

<sup>335</sup> Chambers, 1997, p. xiv.

<sup>336</sup> Degnbol-Martinussen & Engberg-Pedersen, 2005, p. 4; 37.

<sup>337</sup> Riddell, 2007, p. 6.

<sup>338</sup> Cited in Nygren-Krug, 2008, p. 41.

<sup>339</sup> Lewis, 2007, p. 84.

<sup>340</sup> For a review of the different meanings of development, see Thomas, 2000a, p. 23 ff.

<sup>341</sup> Thomas, 2000b, p. 10. However, this is complicated by the fact that the concept of poverty may be defined and viewed in a number of ways. Views of poverty have evolved, starting from calorie intake, and gradually incorporating other basic human needs such as shelter and clothing, and then quality of life and capabilities (Fowler, 1997, p. 3f.).

<sup>342</sup> Lewis, 2007, p. 27.

<sup>343</sup> For similar structures, see Fowler, 2000, p. 4; Gardner & Lewis, 1996, p. 9.

foundations and corporations.<sup>344</sup> The principal source of financing remains ODA,<sup>345</sup> but an important increase in private funding has been observed in recent years.<sup>346</sup>

### **e      Coordination**

As with humanitarian aid, a variety of mechanisms also exist for the coordination of development aid.

Within the UN system, several mechanisms exist. The Economic and Social Council is the main body responsible for the coordination of development activities. Issues are discussed and policy recommendations are also made within this council.<sup>347</sup> The Development Cooperation Forum was created under its guidance and reunites multiple actors from within and outside of the UN system.<sup>348</sup> The United Nations Development Group, established in 1997,<sup>349</sup> includes 32 UN organizations and aims to coordinate development work.<sup>350</sup> Under the resident coordinator system, single offices have now been set up at the country level in order to increase coherence. Finally, the United Nations Development Assistance Framework was also created to increase coordination at the country level.<sup>351</sup>

Development aid is also coordinated outside of the UN system. NGO coordination notably takes place. It may be formal, such as within a national council, or informal, such as within a flexible grassroots network.<sup>352</sup>

## **3      Specificities of aid and implications on strategic management**

The nature of the aid task has specificities that are likely to have implications on strategic management for the agencies providing it. Several of these have been distinguished by the author: the environment, the objectives, financing and accountabilities. This section presents these specificities and their implications on strategic management.

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<sup>344</sup> Lancaster, 2007, p. 225.

<sup>345</sup> Zedillo, 2001, p. 19.

<sup>346</sup> Lancaster, 2007, p. 225.

<sup>347</sup> UN, 2011, p. 129.

<sup>348</sup> Basu, 2011, p. 411.

<sup>349</sup> Basu, 2011, p. 410; Riddell, 2007, p. 82.

<sup>350</sup> UN, 2011, p. 129.

<sup>351</sup> Basu, 2011, p. 410f.

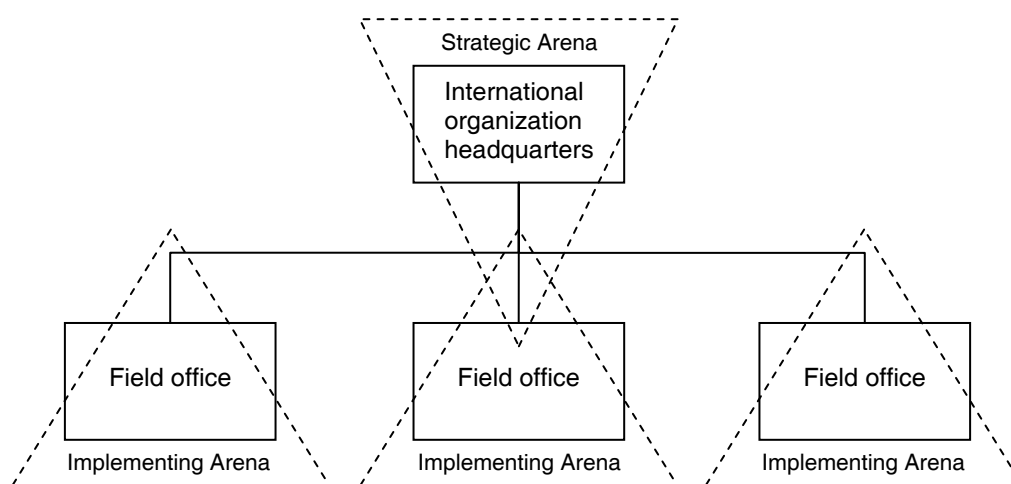
<sup>352</sup> Lewis, 2007, p. 184.

### 3.1 Environment

Because of the nature of the aid task, organizations providing aid carry out their activities in developing countries. With their headquarters often in developed countries and their activities carried out in developing countries, Dijkzeul & Gordenker argue that international organizations are present in several arenas, and are thus considered as “outsiders”.<sup>353</sup>

- A strategic arena: In this arena, goals and policies are set and decided upon.
- Several implementing arenas in developing countries: In these arenas, the goals set in the strategic arena are implemented.

**Figure III.6** shows the international organization and the multiplication of its arenas.



**Figure III.6: Multiplication of arenas**<sup>354</sup>

In the strategic arena, donors, recipient governments and other actors may all have an influence on the decisions taken. Issues are “highly contentious”, and include financing, intervention, and power relations. As a consequence, diplomatic skills are necessary to find compromise between the different interests.<sup>355</sup>

Several challenges linked to the implementing arenas can also be distinguished.

A first challenge consists of the variety of implementing spaces. Agencies may be confronted with very diverse operational environments, with very different political, historical, cultural and geographical aspects. As Dijkzeul & Gordenker argue, “The Gambia is not Bangladesh; eradicating polio differs from building roads”.<sup>356</sup>

<sup>353</sup> Dijkzeul & Gordenker, 2006, p. 320ff.

<sup>354</sup> Dijkzeul & Gordenker, 2006, p. 327.

<sup>355</sup> Dijkzeul & Gordenker, 2006, p. 322f.

<sup>356</sup> Dijkzeul & Gordenker, 2006, p. 326.

This diversity of operational environments makes it necessary to adopt different approaches.<sup>357</sup> It “makes it difficult to draw management lessons from a specific country (...) and then unthinkingly apply them to other countries”.<sup>358</sup> This means that no single model can be used. Consequently, agencies have been slower in using management tools.<sup>359</sup> Also, as international aid agencies are outsiders, at least in the beginning,<sup>360</sup> the effective and efficient provision of aid requires a thorough understanding of local dimensions.<sup>361</sup> To do so, good local and expatriate staff is needed, as well as effective partnerships with local actors.<sup>362</sup>

Besides varying in space, operating environments can also vary in time. This also has its effects on the activities of aid agencies. A change in government, for example, may make carrying out activities easier or harder.<sup>363</sup>

On top of diversity, the environment in developing countries is characterized by complexity and uncertainty.<sup>364</sup> To begin their activities, organizations must obtain permission from the national government. They must also deal with a variety of other actors, ranging from institutions, to the private sector and local populations.<sup>365</sup> Other challenges in the implementing area include poor infrastructure, corruption, and the lack of competence of actors.<sup>366</sup>

Humanitarian agencies work in the environment described in the paragraphs above, as they are also active in developing countries. However, they face specific challenges in their task environment.

First, humanitarian crises are often characterized by unpredictability in both their frequency and magnitude,<sup>367</sup> and this makes planning more difficult. As Mitchell argues, “humanitarian emergencies, almost by definition, are difficult to predict and plan for”.<sup>368</sup> Humanitarian activities are often considered to be reactive.<sup>369</sup> The planning of human resources is more complicated. Recruitment and training must be increased and decreased strongly and this can often not be planned.<sup>370</sup>

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<sup>357</sup> Minear, 2002, p. 150.

<sup>358</sup> Lewis, 2007, p. 15.

<sup>359</sup> Fitz-Gerald & Neal, 2002, p. 10.

<sup>360</sup> Dijkzeul & Gordenker, 2006, p. 326.

<sup>361</sup> Minear, 2002, p. 150; Smillie, 1998, p. 61ff. This is valid for aid in general, but can prove to be particularly difficult during emergency situations, because there is extreme time pressure to provide assistance (Smillie, 1998, p. 61ff.).

<sup>362</sup> Smillie, 1998, p. 61ff.

<sup>363</sup> Lewis, 2007, p. 15.

<sup>364</sup> Edwards & Fowler, 2002, p. 5; Wigley, 2005, p. 3.

<sup>365</sup> Dijkzeul & Gordenker, 2006, p. 318; James, 2008, p. 121f.

<sup>366</sup> Dijkzeul & Gordenker, 2006, p. 318.

<sup>367</sup> Forman, 1999, p. 294.

<sup>368</sup> Mitchell, 2007, p. 5.

<sup>369</sup> Kent, 2004a, p. 5.

<sup>370</sup> Forman, 1999, p. 294.

Furthermore, geographical separateness is common in the environment. Emergencies occur over large areas, as well as very remote areas. For example, those fleeing conflicts settle along borders that may be difficult to access. This implies that humanitarian aid agencies must multiply offices and staff.<sup>371</sup>

On top of an increase in the number of conflicts, humanitarians face a change in the nature of conflict, which alters operating conditions and poses new challenges. They are now commonly confronted with what Hoffman & Weiss have termed “new wars”, or “internal armed conflicts primarily waged by (...) [nonstate actors] who subside on illicit and parasitic economic behavior, use small arms and other low-technology hardware, largely prey on and victimize civilians, and are media savvy”.<sup>372</sup> These wars have six characteristics:<sup>373</sup>

- Fragmented authority with meaningless borders
- Proliferation of nonstate actors
- Illegal economies based on plunder
- Prevalence of civilian casualties
- New technologies
- New media power

**Figure III.7** shows the different characteristics of old and new wars, and their implications on humanitarian action.

A constant challenge for humanitarian aid agencies in this new environment is finding victims and securing access to them. Contrary to interstate conflicts, during which humanitarian space<sup>374</sup> was guaranteed, the belligerents of new wars rarely permit the passage of aid or respect international humanitarian law.<sup>375</sup> Agencies are regularly obliged to negotiate access to victims, and this is now often with those who are responsible for the emergency.<sup>376</sup>

This is complicated by the uneasy identification of which actors, if any, aid agencies must negotiate with. Furthermore, the permission granted by one actor does not necessarily imply the permission of all actors. As Weiss & Collins state, “even in cases where political authorities have given humanitarian organizations permission to access vulnerable populations, local military or external mercenary

<sup>371</sup> James, 2008, p. 91.

<sup>372</sup> Hoffman & Weiss, 2006, p. 79.

<sup>373</sup> Hoffman & Weiss, 2006, p. 57ff. The authors note that not all elements are new (Hoffman & Weiss, 2006, p. 6).

<sup>374</sup> Humanitarian space is “the range of operational freedom humanitarian actors have in providing assistance” (Weiss & Collins, 2000, p. 205) or “room to maneuver and help in providing protection and relief to war ravaged populations” (Hoffman & Weiss, 2006, p. 89).

<sup>375</sup> Hoffman & Weiss, 2006, p. 89.

<sup>376</sup> Barnett, 2006, p. xvif.

groups may refuse to honor the permission granted by supposedly higher authorities".<sup>377</sup>

	<b>Old (interstate) wars</b>	<b>Humanitarian implications</b>	<b>New wars</b>	<b>Humanitarian implications</b>
<b>Locus</b>	Coincide with state borders	Access granted by states	Areas of fragmented authority; state borders meaningless	Difficult to monitor, relieve, and protect in areas without clear authority
<b>Agents</b>	States and their militaries	Mostly military fatalities	Increased role of nonstate actors	<ul style="list-style-type: none"> <li>▪ Engagement dilemmas: access versus abuse</li> <li>▪ Legal status of belligerents</li> </ul>
<b>Economies</b>	Extraction through domestic tax revenues and conquest of foreign lands	State-based war economy	Illegal activities, skewed aid, and plunder are crucial	<ul style="list-style-type: none"> <li>▪ Greed- and grievance-based war economies</li> <li>▪ Aid economies</li> </ul>
<b>Targets and victims of war</b>	Mainly combatants	<ul style="list-style-type: none"> <li>▪ Negotiating protection for defeated soldiers</li> <li>▪ Address displacement of civilians</li> </ul>	Prevalence of civilians	<ul style="list-style-type: none"> <li>▪ Increased scope of humanitarian crisis; multiple crises, many "permanent"</li> <li>▪ Violence against aid workers</li> </ul>
<b>Technologies</b>	Mass-produced conventional weaponry	National-scale humanitarian crises	New technologies; revolution in military affairs	<ul style="list-style-type: none"> <li>▪ Increased lethality of force may increase casualties, worsen crises</li> <li>▪ Transportation and logistics innovations improve speed and response</li> </ul>
<b>Media coverage of humanitarian issues in war</b>	Nonexistent to minimal propaganda	-	Intermittent coverage, only when geopolitics disturbed	<ul style="list-style-type: none"> <li>▪ More resources for visible crises, other ignored ("forgotten emergencies")</li> <li>▪ Political will for humanitarian action obviates responsibility for political intervention</li> </ul>

**Figure III.7: Old and new wars and their humanitarian implications**<sup>378</sup>

<sup>377</sup> Weiss & Collins, 2000, p. 34.

The provision of relief supplies may also be allowed only for certain groups of the population.<sup>379</sup> The negotiation of access may also put resources into the hands of combatants, further fueling conflict.<sup>380</sup> The issue of access has consequences on strategic management: aid agencies are not always able to freely decide on the location of their activities.<sup>381</sup>

Once permission to access victims is negotiated, challenges remain. These may include infrastructural problems, such as inadequate roads,<sup>382</sup> and security problems.<sup>383</sup> Aid workers risk robberies, being taken hostage or killed. They are increasingly being targeted, because they deliver resources to populations, and because attacks send political messages.<sup>384</sup> Agencies may push for armed protection, but this may compromise humanitarian principles. As Barnett states, “Humanitarian organizations (...) frequently lobby external actors (...) to intervene and provide armed protection for aid workers and vulnerable populations. Sometimes states oblige. Yet this development creates its own complications for humanitarian organizations: to associate themselves too closely with militaries can compromise agencies’ impartiality, independence, and neutrality”.<sup>385</sup>

The different challenges described above illustrate the very complex and uncertain environment in which humanitarian aid agencies work. Complex emergencies are particularly hard to cope with.<sup>386</sup>

As shown above, international agencies are also intermediaries between two arenas – a strategic arena and multiple implementing arenas, both in which political logic is required. They also need managerial logic to carry out their activities. As a result, they have to manage two arenas and two logics. This presence in several arenas increases complexity.<sup>387</sup>

## 3.2 Objectives

The main objective of aid is to “help to address acute human suffering and which contribute to human welfare, poverty reduction and development”.<sup>388</sup> Societal

<sup>378</sup> Adapted from Hoffman & Weiss, 2006, p. 50; 88.

<sup>379</sup> Heyse, 2006, p. 2.

<sup>380</sup> Barnett, 2006, p. xvif.

<sup>381</sup> Heyse, 2006, p. 2.

<sup>382</sup> Gonçalves, 2008, p. 2; Heyse, 2006, p. 2.

<sup>383</sup> Commins, 2010, p. 863; Heyse, 2006, p. 2.

<sup>384</sup> Hoffman & Weiss, 2006, p. 108; 111; Weiss & Collins, 2000, p. 34. For a detailed analysis of incidents of violence against aid workers, see Stoddard, Harmer & DiDomenico, 2009.

<sup>385</sup> Barnett, 2006, p. xvif.

<sup>386</sup> Dijkzeul & Gordenker, 2006, p. 326; James, 2008, p. 2.

<sup>387</sup> Dijkzeul & Gordenker, 2006, p. 320ff.

<sup>388</sup> Riddell, 2007, p. 17.

issues are focused on,<sup>389</sup> that governments are unable or unwilling to address.<sup>390</sup> These social goals are also located outside of the organization.<sup>391</sup> Goals are “externally directed to the public sphere rather than, as in most organizations, being principally internal. They (...) have to do with the quality of people’s lives rather than simply with production or profits”.<sup>392</sup>

The objectives of the two types of aid can also be considered separately.

There is general agreement that humanitarian action primarily aims to save lives.<sup>393</sup> However, this comes with its difficulties. Humanitarian aid activities must be carried out under extreme time pressure.<sup>394</sup> To save lives, agencies must also decide on whether to address the consequences of crises, or the underlying causes of crises, which include poverty, climate change, deterioration of natural resources and marginalization. Although most agree that these approaches are complementary, doing both at the same time proves to be very difficult in practice. Attention and funds tend to go to acute crises. Highlighting the causes of a crisis may also restrict the access of aid agencies.<sup>395</sup> Furthermore, aid agencies must ensure that aid does not cause more harm than good. For example, food aid may destroy local production<sup>396</sup> or it may sustain conflict.<sup>397</sup> Finally, the realization of humanitarian goals also depends on numerous actors; the definition of complex humanitarian emergencies highlights this.

Because of the nature of humanitarian aid objectives and tasks, long-term strategic thinking is considered difficult and is therefore often avoided. The main argument is the following: “the heat of the battle does not permit such reflection”.<sup>398</sup> Wigley highlighted, for example, that UNHCR was “drawn to a crisis mode of operation, avoiding reflection and long term planning”. As one interviewee stated, “We’re CNNish. We respond; we don’t do long term strategic planning”.<sup>399</sup>

The achievement of development goals is also difficult and complicated for all agencies.<sup>400</sup> They are vulnerable to trends and the changing fads and fashions of development, highlighted in the section on the history of development aid. The signification of development and the ways to achieve it have varied in time and

<sup>389</sup> Dijkzeul & Beigbeder, 2006, p. 4f.; Dijkzeul & Gordenker, 2006, p. 320.

<sup>390</sup> Dijkzeul & Gordenker, 2006, p. 320.

<sup>391</sup> Thomas, 1996, p. 102. Thomas refers to development, but the author also considers this statement to be true for humanitarian aid.

<sup>392</sup> Robinson, Hewitt & Harriss, 2000, p. 3. The authors speak in reference to development, but the author of the thesis also considers this statement to be true for humanitarian action.

<sup>393</sup> Hoffman & Weiss, 2006, p. 202.

<sup>394</sup> Frerks & Hilhorst, 2002, p. 3; Gonçalves, 2008, p. 2; James, 2008, p. 89f.

<sup>395</sup> Walker & Maxwell, 2009, p. 4; 140ff.

<sup>396</sup> Weiss, 1996, p. 453.

<sup>397</sup> Prendergast, 1996, p. 17.

<sup>398</sup> Barnett, 2006, p. xvii. See also Weiss, 1996, p. 453.

<sup>399</sup> Wigley, 2005, p. 79.

<sup>400</sup> Dijkzeul & Gordenker, 2006, p. 314; Fowler, 1997, p. 5f.



according to actors. Also, even if there is a general consensus today that development includes the reduction of poverty, this task is also complicated. This is because many factors are at its root. Agencies must decide on the causes and how to act on these, avoiding addressing only the symptoms. Also, some actors are not interested in fighting poverty, because of its existential role or because it can be exploited.<sup>401</sup> Finally, the achievement of these goals does not only depend on the organization; it also depends on other actors and forces that they are unable to control.<sup>402</sup> Development notably depends on the beneficiaries themselves: Fowler argues that “the actual process of ‘producing’ development is rooted within communities themselves”.<sup>403</sup>

Because of the longer-term orientation of goals and tasks,<sup>404</sup> aid for development appears to be more favorable to strategic planning than humanitarian aid.

### 3.3 Financing

Official humanitarian aid is characterized by the dominance of a small number of donors, and as a result, their influence is significant.<sup>405</sup> Donors are able to tie conditions to the funds they provide, such as demanding that the aid go to specific crises, such as high-profile emergencies, or to specific areas or groups.<sup>406</sup> As Hoffman & Weiss argue, “donors are prime movers in the humanitarian field and affect agency decision making at every level. Preferences from funders structure how operational agencies cast their programs to qualify for as large a share of the humanitarian resource pie as possible; or in business parlance, agencies engage in niche marketing. Since donors’ interests fluctuate with electoral results and fads, aid agencies are obliged to dedicate their energies as much to currying favor with donors as to analyzing the new terrain and designing appropriate projects and programs”.<sup>407</sup> The source of funding may have effects on the principles of agencies, notably on independence. As Walker & Maxwell ask, “if an agency receives funding from one government, is it still independent?”.<sup>408</sup>

Another notable problem of humanitarian financing is the unpredictability and high volatility of the funds provided.<sup>409</sup> Unpredictability stems from the shortness of donor funding cycles, and this complicates strategic planning.<sup>410</sup> The funding response varies year to year, according to emergencies. Funding also varies

<sup>401</sup> Fowler, 1997, p. 3ff. See also Chambers, 1983, p. 108ff.

<sup>402</sup> Dijkzeul & Gordenker, 2006, p. 326; Edwards & Fowler, 2004, p. 4.

<sup>403</sup> Fowler, 1997, p. 24.

<sup>404</sup> Thomas & Kopczak, 2005, p. 3.

<sup>405</sup> Macrae, 2002a, p. 11.

<sup>406</sup> Gordenker & Weiss, 1996, p. 32; Hoffman & Weiss, 2006, p. 134.

<sup>407</sup> Hoffman & Weiss, 2006, p. 134.

<sup>408</sup> Walker & Maxwell, 2009, p. 3.

<sup>409</sup> Riddell, 2007, p. 318; 368.

<sup>410</sup> Smillie & Minear, 2004, p. 209; 237.

according to different sectors and agencies. For example, sudden disasters are given priority over slow-onset and chronic disasters, and food aid is generally favored over health, water and sanitation.<sup>411</sup> Donors are also more interested in some crises for political reasons. As Binder & Witte argue, “practitioners complain that donors often respond disproportionately to emergencies, as contributions are not always made where the need is greatest, but rather serve donors’ own political agendas and priorities”.<sup>412</sup>

Agencies are also vulnerable to donor fatigue, also known as compassion fatigue and appeal fatigue.<sup>413</sup> Resources donated decrease following a decrease in the interest of donors. Weiss & Collins argue that this fatigue “implies that donors have become overwhelmed by the increase in humanitarian needs and the rise in conflicts in recent years, (...) and have reduced their contributions because of personal or institutional resignation to the inevitability of the conflict and the inability of past efforts to produce measurable or meaningful success”.<sup>414</sup>

It is also widely recognized that the media have an important role in determining the funding response.<sup>415</sup> Benthall argues that “disasters do not exist – except for their unfortunate victims and those who suffer in their aftermaths – unless publicized by the media. In this sense the media actually *construct* disasters”. As Weiss & Collins state, “the media have the ability to draw attention and donations toward or away from human tragedy”. This is known as the CNN effect, or “the presumed causal phenomenon, coming to light especially during the Gulf War, in which the media (CNN in particular) demonstrate their power to inform and sway public opinion, which in turn affects international responses to humanitarian emergencies”.<sup>416</sup>

Attention and resources are allocated to high-profile or “loud” emergencies, while “silent” emergencies tend to be neglected.<sup>417</sup> Therefore, agencies seek to be present at the scene of high-profile crises in order to raise funds.<sup>418</sup> Ambulance chasing is not unheard of. As Natsios states, “the more dramatic the event, the greater the media coverage and the greater the ease of fundraising around it”.<sup>419</sup>

<sup>411</sup> Binder & Witte, 2007, p. 5; Development Initiatives, 2006, p. 28; Walker & Pepper, 2007, p. 12.

<sup>412</sup> Binder & Witte, 2007, p. 5.

<sup>413</sup> Benthall, 1993, p. 39. See also Coppola, 2011, p. 647f.

<sup>414</sup> Weiss & Collins, 2000, p. 204.

<sup>415</sup> The Economist, 2000, p. 26; Weiss & Collins, 2000, p. 40; 203.

<sup>416</sup> Weiss & Collins, 2000, p. 40; 203.

<sup>417</sup> Heyse, 2006, p. 2; Hoffman & Weiss, 2006, p. 134; James, 2008, p. 143; Riddell, 2007, p. 369; Terry, 2002, p. 23.

<sup>418</sup> An exception is the ICRC, which has less of a need to use public communication and the media to raise funds from the public. It is funded mainly by governments, but “meticulously safeguards its independence”. It generally stays out of the media spotlight (Dijkzeul & Moke, 2005, p. 679f.).

<sup>419</sup> Natsios, 1996, p. 71.

The fact that the need for aid is greater than the available resources means that “difficult choices about life and death” must be made. Agencies must decide on the location and the nature of their activities, as well as on the persons to assist and protect. They must also decide when to begin, prolong and end their activities.<sup>420</sup>

Competition between agencies also ensues. In the 1990s, the number of actors in the humanitarian “market”, characterized by low barriers to entry,<sup>421</sup> increased considerably, especially the number of NGOs and quasi-governmental organizations.<sup>422</sup> Several UN agencies, such as UNDP, have become active in humanitarian action in the past twenty years.<sup>423</sup> The private sector has also become increasingly involved.<sup>424</sup> This increase in the number of actors, insufficient funds to address simultaneously occurring disasters, as well as donor earmarking of funds creates intense competition among aid agencies for both attention and funds.<sup>425</sup>

As a result, agencies maintain a high profile and fight for visibility.<sup>426</sup> The ICRC and WHO, for example, both use communication more than previously.<sup>427</sup> Agencies also need to create a distinctive image.<sup>428</sup> Hoffmann & Weiss argue that, “Despite sharing many values, NGOs and UN agencies are often obliged to define themselves in contrast to what other agencies offer—in the language of other industries, such agencies are engaging in ‘product differentiation’. Attempts to become identified as being uniquely capable in a sector or task are a form of ‘branding’”. For example, the ICRC is notably known and preferred for its ability to gain access.<sup>429</sup>

In well-functioning markets, competition encourages innovation, reduced costs and response to customer demands.<sup>430</sup> However, this is different with aid. According to Smillie & Minear, the “dog-eat-dog competition” in the humanitarian system is “as relentless as it is unconstructive”.<sup>431</sup> It creates coordination problems,<sup>432</sup> as well as waste and duplication. Competition also pushes aid agencies to focus on the survival of their own organization, and this may go against their ideals and the

<sup>420</sup> Heyse, 2006, p. 1; Smillie, 1998, p. xiv; 25.

<sup>421</sup> Cooley & Ron, 2002, p. 11. De Waal also states that “there are no formal barriers to entry to the relief NGO sector: literally anyone can start an NGO, obtain funds by public appeal or other means, and try their hand at feeding centres, clinics or orphanages” (De Waal, 1997, p. 81).

<sup>422</sup> Bowden, 2004, p. vii.

<sup>423</sup> Ryfman, 2008, p. 66f.; Smillie, 1998, p. 41.

<sup>424</sup> Bowden, 2004, p. vii; Smillie, 1998, p. 42.

<sup>425</sup> Benthall, 1993, p. 37; Smillie & Minear, 2004, p. 8; 183; Weiss & Collins, 2000, p. 48.

<sup>426</sup> De Waal, 1997, p. 138; 196; Reindorp & Wiles, 2001, p. 9.

<sup>427</sup> Benthall, 1993, p. 38.

<sup>428</sup> Heyse, 2006, p. 2.

<sup>429</sup> Hoffman & Weiss, 2006, p. 135.

<sup>430</sup> Harford, Hadjimichael & Klein, 2004, p. 3.

<sup>431</sup> Smillie & Minear, 2004, p. 183.

<sup>432</sup> Binder & Witte, 2007, p. 5; Cooley & Ron, 2002, p. 17; Dijkzeul & Moke, 2005, p. 676; Reindorp & Wiles, 2001, p. 9; Smillie, 1998, p. 42f.

interests of their beneficiaries. Hoffman & Weiss argue that aid agencies “often publicly espouse altruistic objectives but essentially pursue more self-centered ones not only to address the emergency needs of distressed populations but also to thrive as institutions”.<sup>433</sup> De Waal refers to “the humanitarian Gresham’s law”: institutional interests of the organization compete with the aims it affirms.<sup>434</sup> The challenge is to find a balance between obtaining the funds necessary for survival and their ideals.

Some funds to finance development activities come from assessed contributions.<sup>435</sup> However, voluntary contributions generally fund development activities. This is because development “has traditionally been viewed as a time-bound investment, the need for which will diminish as countries grow out of poverty”. Voluntary funding is generally less predictable and reliable than assessed contributions.<sup>436</sup> Similarly to humanitarian aid, this voluntary funding “can be patchy, cumbersome, and rigid”.<sup>437</sup> As a result, strategic choices must be made. Year-to-year uncertainty with regard to funding is notably damageable because of the long-term nature of development work.<sup>438</sup> Such insecure funding constrains planning.<sup>439</sup>

As with humanitarian aid, financing for development is also vulnerable to donor fatigue. The lack of success of development aid over time brought a decrease in interest and a reduction of resources from donors.<sup>440</sup> Agencies also have to deal with the influence of donors and the limited independence that this may imply.<sup>441</sup>

The shifting of aid towards emergencies is an issue for development aid. Humanitarian aid now takes a more important part of ODA; this signifies that funds for development have decreased.<sup>442</sup> This, along with the entrance of new actors, has intensified competition. It takes place not only between agencies specialized in development themselves, but also with humanitarian agencies.<sup>443</sup>

Development aid has a disadvantage compared to humanitarian aid. Funding for development activities is harder to obtain, because humanitarian aid “has a proven track record in saving lives, and, unlike development aid, it is usually not well or closely evaluated. Coming to the rescue of victims is for most donors and the public at large a sufficient justification, whereas more is expected of development

<sup>433</sup> Hoffman & Weiss, 2006, p. 120; 133.

<sup>434</sup> De Waal, 1997, p. 138.

<sup>435</sup> Macrae, 2002b, p. 20.

<sup>436</sup> UN, 2006, p. 2.

<sup>437</sup> Smillie, 1998, p. xiv; 35.

<sup>438</sup> Childers, 1994, p. 101.

<sup>439</sup> Lewis, 2007, p. 24.

<sup>440</sup> Weiss & Collins, 2000, p. 204.

<sup>441</sup> Ahmed & Potter, 2006, p. 112; Smillie, 1998, p. xv.

<sup>442</sup> Degnbol-Martinussen & Engberg-Pedersen, 2005, p. 24.

<sup>443</sup> Smillie, 1998, p. 41f.; Smillie, 1995, p. 149.

assistance”.<sup>444</sup> However, as presented previously, the underlying causes of humanitarian crises are all areas of development work.

## 4 Aid organizations

### 4.1 Overview

Numerous types of organizations are active in providing aid:<sup>445</sup>

- Donor governments: These include the members of the DAC, the traditional donors’ club, which provide the majority of official aid, but also increasingly other governments. Bilateral aid agencies (ministries, local governments or executive agencies) are set up to coordinate aid.<sup>446</sup>
- IGOs: Also known as multilateral organizations<sup>447</sup> or international organizations,<sup>448</sup> these organizations are “associations whose members are composed of states and whose functions, in theory, are to reflect the common concerns of members”.<sup>449</sup> Three types are distinguished:<sup>450</sup>
  - International financial institutions: These include the World Bank group, the International Monetary Fund and regional development banks.
  - UN system: Around 30 agencies, programs or funds are active in humanitarian and/or development aid.
  - Other funds and agencies: These include environmental funds, funds of the Organisation for Petroleum Exporting Countries and global funds for health.
- NGOs: This actor is very diverse and varies in sizes, structures, and the geographical range of activities.
- The International Red Cross and Red Crescent Movement: It includes the ICRC, whose mission is exclusively humanitarian, the IFRC, which carries out both humanitarian and development activities, and 186 National Societies.<sup>451</sup> Although often classified as an NGO,<sup>452</sup> the ICRC has a unique status; it is a private association, but its mandate is given by States.<sup>453</sup>

<sup>444</sup> Smillie, 1998, p. 41.

<sup>445</sup> Degnbol-Martinussen & Engberg-Pedersen, 2005, p. 1f.; Riddell, 2007, p. 315f.; Smillie & Minear, 2004, p. 11ff.; Thomas & Allen, 2000, p. 189ff.; Weiss, 1996, p. 437ff.; Weiss & Collins, 2000, p. 39ff.

<sup>446</sup> Hoebink, 2005, p. 36.

<sup>447</sup> Coppola, 2011, p. 549.

<sup>448</sup> The term *international* is often used in literature to designate IGOs. However, as these are made up of Member States, the term *inter-governmental* is preferred.

<sup>449</sup> Weiss & Collins, 2000, p. 206.

<sup>450</sup> Riddell, 2007, p. 78ff.; p. 85f.

<sup>451</sup> Walker & Maxwell, 2009, p. 3.

<sup>452</sup> See, for example, Coppola, 2011, p. 485; Weiss & Collins, 2000, p. 40.

<sup>453</sup> Rona, 2004. See also Barrow & Jennings, 2001, p. 10; Ronalds, 2010, p. 16; Winter, 2001, p. 39.

- Other actors also play an increasingly important role in aid. The military, for example, may provide security for humanitarian aid agencies, support them in the delivery of aid, or distribute aid itself. Commercial contractors, both national and international, may also carry out aid tasks.<sup>454</sup>

This thesis focuses on two types: UN agencies and NGOs. There are several reasons for this. Firstly, strategic planning in government agencies is strongly influenced by politics. Secondly, the author already has established contacts. Finally, literature is also available.

A special remark is necessary with regards to the organizations of the International Red Cross and Red Crescent Movement. The ICRC was established as a private association, and not by governments. However, due to the fact that its mandate is given by governments, the organization has a unique status,<sup>455</sup> and can therefore be distinguished from “real” NGOs, according to Beigbeder.<sup>456</sup> This special status is recognized. However, due to the fact that it has common characteristics with NGOs, the author therefore considers it to be covered in the text on NGOs.

## 4.2 UN aid organizations

### 4.2.1 The UN in general

#### *a Type of organization*

Also sometimes referred to as “international public organizations”,<sup>457</sup> UN organizations can be classified in the IGO category. According to the Union of International Associations, an IGO:<sup>458</sup>

- Is based on a formal instrument of agreement between governments of states.
- Includes three or more states as parties to the agreement.
- Possesses a permanent secretariat performing on-going tasks.

#### *b History*

The history of the UN can be traced back to the League of Nations, established under the Treaty of Versailles in 1919, following the First World War. The League of Nations aimed “to promote international cooperation and to achieve peace and

<sup>454</sup> Smillie & Minear, 2004, p. 17f.; 153.

<sup>455</sup> Rona, 2004.

<sup>456</sup> Beigbeder, 1991, p. 79f.

<sup>457</sup> Dijkzeul, 1997a, p. 23.

<sup>458</sup> Dijkzeul & Beigbeder, 2006, p. 3.

security.”<sup>459</sup> Despite several successful resolutions (before 1935 and concerning small States), it failed when key States were involved. Its failure was considered permanent when it proved incapable of preventing the Second World War.<sup>460</sup>

After the outbreak of the Second World War, a project for an international organization destined to replace the League of Nations, aiming to maintain peace and prevent another world war, took shape. This idea of a universal organization for peace was first expressed in the Atlantic Charter of 1941, and in 1942, the *Allies' Declaration by United Nations* reiterated these principles.<sup>461</sup> From August to October 1944, the draft Charter was drawn up at Dumbarton Oaks, Washington D.C. In April 1945, at the UN Conference on International Organization in San Francisco, convened by the United States, the Charter of the UN was drawn up by 50 countries, the majority of the international community at the time. It was signed on June 26<sup>th</sup>. On October 24<sup>th</sup>, 1945, the UN officially came into existence with its ratification.<sup>462</sup> The preamble of the Charter is shown in **Figure III.8**.

From the end of the 1940s to the 1950s, the United States and the West dominated the organization. However, soon after, the new states created after decolonization also joined the UN, increasing the number of Member States significantly and shifting the majority in their favor. This also led to the introduction of debates on the relationship between the North and the South, as well as on social and economic issues. Also, the tensions between the superpowers during the Cold War rendered the UN ineffective and powerless in security-related matters.<sup>463</sup> With this, the Cold War “deflated (...) [the] political promise” of the organization, created in order to maintain peace in the world.<sup>464</sup> At the end of the Cold War, optimism returned, but the UN found itself faced with financial difficulties and the need to adapt to the political changes of the 1990s.<sup>465</sup> A set of reforms of the UN system were initiated. In 2009, the UN had 192 Member States, including the “enemy states” at its founding.<sup>466</sup>

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<sup>459</sup> UN, 2011, p. 3. Previous initiatives for an international organization for peace and security exist, but the League of Nations was the first to materialize the idea (Cede, 2001a, p. 3).

<sup>460</sup> The reasons for its failure have been analyzed in depth. These include structural weaknesses (decision-making required unanimity), “the deficient regulation of the prohibition to use military force” and the lack of universal membership. Key states in international relations were not members. The United States never ratified the Covenant of the League; Japan, Germany and Italy all left. The Soviet Union was excluded (Cede, 2001a, p. 5).

<sup>461</sup> During the Second World War, the term *United Nations* was used to designate the Allies (Black, 2008, p. 11; Walker & Maxwell, 2009, p. 32; UN, 2011, p. 3).

<sup>462</sup> Black, 2008, p. 11ff.; UN, 2011, p. 3; Walker & Maxwell, 2009, p. 32f. Poland, not represented, signed the Charter only later to become the 51<sup>st</sup> member state (UN, 2011, p. 3).

<sup>463</sup> Cede, 2001a, p. 7f.

<sup>464</sup> Black, 2008, p. 11.

<sup>465</sup> Cede, 2001a, p. 7f.

<sup>466</sup> Cede, 2001a, p. 7. Italy joined in 1955, Japan in 1956 and Germany in 1973 (UN, 2011, p. 272).

We the peoples of the United Nations determined

- to save succeeding generations from the scourge of war, which twice in our lifetime has brought untold sorrow to mankind, and
- to reaffirm faith in fundamental human rights, in the dignity and worth of the human person, in the equal rights of men and women and of nations large and small, and
- to establish conditions under which justice and respect for the obligations arising from treaties and other sources of international law can be maintained, and
- to promote social progress and better standards of life in larger freedom,

and for these ends

- to practice tolerance and live together in peace with one another as good neighbours, and
- to unite our strength to maintain international peace and security, and
- to ensure, by the acceptance of principles and the institution of methods, that armed force shall not be used, save in the common interest, and
- to employ international machinery for the promotion of the economic and social advancement of all peoples,

have resolved to combine our efforts to accomplish these aims.

Accordingly, our respective Governments, through representatives assembled in the city of San Francisco, who have exhibited their full powers found to be in good and due form, have agreed to the present Charter of the United Nations and do hereby establish an international organization to be known as the United Nations.

**Figure III.8: Preamble of the Charter of the UN<sup>467</sup>**

### ***c Purposes and principles***

As set forth in the Charter, the purpose of the UN is to maintain international peace and security; to develop friendly relations among nations; to cooperate in solving international economic, social, cultural and humanitarian problems; to promote respect for human rights; and to be a center for harmonizing the actions of nations.<sup>468</sup>

The UN also acts in accordance with the several principles:<sup>469</sup>

- Sovereign equality of all Members
- Good faith in fulfillment of Charter obligations
- Settlement of international disputes by peaceful means
- Refrain from the threat or use of force in international relations
- Assistance by all Members to the UN
- Respect of UN principles by non-members<sup>470</sup>
- Non-intervention in internal affairs

<sup>467</sup> UN, 1945, preamble.

<sup>468</sup> Cede, 2001b, p. 14ff.; UN, 2011, p. 4; UN, 1945, Art. 1 §1-4.

<sup>469</sup> UN, 2011, p. 4ff. These principles are stated in Chap. I, Art. 2 of the Charter. For a detailed description of these principles, see Cede, 2001b, p. 18ff.

<sup>470</sup> This principle has lost its relevance, because nearly all countries of the world are members of the UN (Cede, 2001b, p. 22f.).



#### **d      Activities**

The UN covers a wide variety of activities,<sup>471</sup> classified into five broad groups:<sup>472</sup>

- **Peace and security:** A primary purpose of the UN, this includes conflict prevention (preventive diplomacy and preventive disarmament), peacemaking (diplomatic means to negotiate peace), enforcement (economics sanctions, military action), peacebuilding (assistance in transition to peace) and peacekeeping. Peacekeeping operations include tasks such as the maintenance of ceasefires, the separation of forces, the protection of humanitarian operations and the implantation of peace settlements. Since 1948, the UN has established 67 peacekeeping operations. As of beginning 2011, there are 14 active operations.
- **Economic and social development:** The promotion of better living standards is the second key purpose in the Charter of the UN. The UN works in this field by carrying out activities such as formulating policies, advising countries, setting norms and standards and mobilizing funds.
- **Human rights:** The UN has succeeded in establishing a body of human rights law – “a universal and internationally protected code to which all nations can subscribe and to which all people can aspire”. It has defined internationally-accepted rights and has mechanisms for their promotion and protection.<sup>473</sup>
- **Humanitarian affairs:** This activity, also set forth in the Charter purposes, was carried out from the founding of the UN, with the provision of relief in Europe. The provision of aid was not considered a core task until the 1980s and 1990s, when its link to international security became stronger.<sup>474</sup> Today, the UN plays an important role, by providing both assistance and protection to victims, but also by designing strategies to prevent emergencies.
- **International law:** The UN is active in the development of conventions, treaties and standards, which are essential to development and peace and security. It is also active in the judicial settlement of disputes by peaceful means.

#### **e      Organizational structure**

The UN Charter established six main bodies, only five of which are active today. The UN System, also known as the UN family,<sup>475</sup> is much larger and complex, including a number of other entities and organizations. It is shown in **Figure III.9**.

<sup>471</sup> Dijkzeul, 1997a, p. 3.

<sup>472</sup> UN, 2011, p. 59ff.; 128; 207; 233ff.; 247ff.

<sup>473</sup> This body includes the Universal Declaration of Human Rights (1948), International Covenant on Economic, Social and Cultural Rights (1966), the International Covenant on Civil and Political Rights (1966) and other conventions and declarations.

<sup>474</sup> Black, 2008, p. 55.

<sup>475</sup> UN, 2011, p. 5; 16; 29.



The six main bodies, also known as principal organs, are the following:<sup>477</sup>

- The General Assembly is the main deliberative organ. It is composed of representatives of all Member States, each with one vote. Important questions require a two-thirds majority, while other questions are by simple majority.
- The Security Council has the primary responsibility in the field of the maintenance of international peace and security.<sup>478</sup> There are 5 permanent members<sup>479</sup> and 10 non-permanent members elected for two-year terms, each of which has one vote. Decisions on procedural matters require the affirmative vote of nine of the members, whereas decisions on substantive matters require nine votes, as well as the absence of a negative vote by any of the five permanent members.
- The Economic and Social Council coordinates the economic, social and related work of the UN. It has 54 geographically-distributed members, elected by the General Assembly for overlapping three-year terms, each of which has one vote. Decisions are made by simple majority.
- The Trusteeship Council was established for the supervision of Trust Territories and for their preparation for self-government and independence. By 1994, all were self-governed or independent, and the Council suspended its operations.
- The International Court of Justice, the principal judicial organ, has the role of settling legal disputes and giving advisory opinions. It is composed of 15 independent judges, each from a different country, elected by the General Assembly and the Security Council for a period of 9 years.
- The Secretariat is responsible for carrying out daily work and to aid the other main bodies. Its tasks vary and include, for example, the administration of peacekeeping operations, the survey of trends and the preparation of studies. The head of the Secretariat, elected for a five year term is the Secretary-General, also the “chief administrative officer” of the UN.

The bodies are located at headquarters in New York, except for the International Court of Justice, which has its headquarters in The Hague, Netherlands.<sup>480</sup>

As shown in the figure, the UN system is much larger and includes a number of other entities. Of particular importance in the context of this thesis are:<sup>481</sup>

- Specialized Agencies are independent organizations linked to the UN through special agreements, with their own governing structures, separate budgets and

<sup>477</sup> Black, 2008, p. 18ff.; Coppola, 2011, p. 550; Trauttmansdorf, 2001, p. 25ff.; UN, 2011, p. 5ff.; UN, 1945, Chap. III, Art. 7 §1.

<sup>478</sup> UN, 1945, Chap. V, Art. 24 §1.

<sup>479</sup> China, France, the Russian Federation, the United Kingdom and the United States

<sup>480</sup> Coppola, 2011, p. 550; UN, 2011, p. 16.

<sup>481</sup> Black, 2008, p. 26f.; Riddell, 2007, p. 82ff.; UN, 2011, p. 29.

funding sources.<sup>482</sup> Related organizations are those that focus on special issues. They have their own legislative bodies and their budgets are separate.

- Funds and programs report directly to the General Assembly and their boards are not independent. Their budgets are separate.

## **f      *Financing***

The UN is funded mainly through the contributions of its Member States.<sup>483</sup> Three main ways can be distinguished:<sup>484</sup>

- Assessed contributions to the regular budget
- Assessed contributions to peacekeeping operations
- Voluntary contributions

All States of the UN are obligated by the Charter to make contributions. These are based on their share of the world economy and their capacity to pay.<sup>485</sup> The UN puts forward its financial difficulties, resulting from unpaid dues – notably those of the United States – and the delayed payment of dues.<sup>486</sup>

## **4.2.2 UN aid organizations**

### **a      *Overview***

The UN has been active in aid since its founding. In 1943, the Allies established the United Nations Relief and Rehabilitation Administration on a temporary basis to aid victims of the Second World War; it focused on the repatriation of displaced persons, the management of camps of displaced persons and the provision of aid, such as food and shelter.<sup>487</sup> At the founding of the UN and during its history, a number of agencies were also created to provide aid.

Today, in the UN system, approximately 30 bodies or groupings are active in these areas.<sup>488</sup> Two types can be distinguished: the Specialized Agencies, several of

<sup>482</sup> The Economic and Social Council coordinates work at the inter-governmental level, while the Chief Executives Board for Coordination is responsible for coordination at the inter-secretariat level. It reunites executive heads, under the chairmanship of the Secretary General.

<sup>483</sup> UN, 2011, p. 27.

<sup>484</sup> Hüfner, 2006, p. 29ff.

<sup>485</sup> Black, 2008, p. 27; Hüfner, 2006, p. 32ff. This is based on gross national product and adjustments, which consider external debt and low per capita income.

<sup>486</sup> Black, 2008, p. 27.

<sup>487</sup> Ryfman, 2008, p. 38f.

<sup>488</sup> Riddell, 2007, p. 82.

which play a supporting and assisting role, and the different funds and programs, many of which carry out operational activities.<sup>489</sup>

The most important UN agencies, in terms of proportion of ODA, are:<sup>490</sup>

- UNDP, the UN's global development network, was established in 1966 when the UN's arm for technical assistance and the pre-investment Special Fund merged. Its key role until the 1980s was to transfer program funds to specialized agencies. Today, UNDP takes on an in-country coordinating role and works "to link and align UN activities more closely to the needs, policies and strategies of the host country".<sup>491</sup> UNDP "advocates for change and connects countries to knowledge, experience and resources, to help their people build a better life". It also works to link and coordinate efforts to meet the Millennium Development Goals. It focuses on poverty reduction (through improved food security, access to land, credits, etc., basic services and participation in political processes) and the achievement of the Millennium Development Goals, democratic governance, crisis prevention and recovery, as well as the environment and sustainable development.<sup>492</sup>
- The United Nations Population Fund (UNFPA),<sup>493</sup> founded in 1969, "assists countries in improving reproductive health and family planning services on the basis of individual choice, as well as in formulating population policies for sustainable development".<sup>494</sup> UNFPA works in both the humanitarian and development field.<sup>495</sup>
- UNHCR was created in 1950 to assist refugees, initially in Europe and gradually worldwide.<sup>496</sup> Its mandate is to ensure international protection of refugees and to find a durable solution to their plight.<sup>497</sup> Protection includes ensuring basic human rights, such as the ability to seek asylum and preventing involuntary repatriation, where prosecution is feared. UNHCR also provides material assistance and monitors compliance with international law.<sup>498</sup> Since its founding, UNHCR has also expanded its mandate to cover other "persons of concern", including internally displaced persons, returnees and stateless persons.<sup>499</sup> UNHCR plays a primary role in humanitarian aid.<sup>500</sup>

<sup>489</sup> Riddell, 2007, p. 83f.; UN, 2011, p. 129.

<sup>490</sup> Riddell, 2007, p. 84.

<sup>491</sup> Riddell, 2007, p. 84.

<sup>492</sup> UN, 2011, p. 32; 132; 158.

<sup>493</sup> The acronym UNFPA originally stood for the United Nations Fund for Population Activities. It changed its name in 1987 (Dijkzeul, 1997a, p. 5).

<sup>494</sup> UN, 2011, p. 34.

<sup>495</sup> Riddell, 2007, p. 85.

<sup>496</sup> Black, 2008, p. 56; Loescher, Betts & Milner, 2008, p. 79.

<sup>497</sup> Loescher, Betts & Milner, 2008, p. 71f. UNHCR's mandate is given by its 1950 Statute.

<sup>498</sup> UN, 2011, p. 35.

<sup>499</sup> Loescher, Betts & Milner, 2008, p. 71; UN, 2011, p. 242.

<sup>500</sup> UN, 2011, p. 238; Weiss, 1996, p. 438.

- UNICEF<sup>501</sup> was established in 1946 to assist children,<sup>502</sup> who were considered to be neutral in times of war.<sup>503</sup> It works to achieve goals related to children, including health, education, protection and participation in decision-making. It plays a primary role in humanitarian aid. It is active in the provision of water, sanitation, schools, immunization, and medicines. It also works for the protection of children, the reunification of children with their parents and the assistance of traumatized children. Over time, the fund has also become active in the development field.<sup>504</sup>
- The United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA) was founded in 1949 to assist the Palestine refugees of the Arab-Israeli conflict of 1948. It provides basic services, such as health and education, and is active in microfinance and infrastructure. Its focus is on education.<sup>505</sup> UNRWA carries out both humanitarian and development work.<sup>506</sup>
- WFP was established in 1963 as an experimental program under the Food and Agriculture Organization of the United Nations (FAO) and became permanent in 1965. WFP aims to end hunger. It plays a primary role in humanitarian aid, providing food assistance to victims of disasters, but is also active in the delivery of development aid.<sup>507</sup>

This thesis focuses on these six funds or programs. Key facts and figures are shown in **Figure III.10**.

## **b Financing**

Although the regular budget of the UN and many specialized agencies does provide for development activities, these are financed in a large part through voluntary contributions.<sup>508</sup> Assessed contributions make up very little of humanitarian funding; voluntary contributions are the main form of finance.<sup>509</sup> In 2009, some USD 14.3 billion was spent on operational activities for development and USD 7.7 billion on humanitarian action.<sup>510</sup> UN funds and programs are financed separately, primarily through voluntary contributions.<sup>511</sup>

Key figures of selected funds and programs are given in **Figure III.11**.

<sup>501</sup> The acronym UNICEF originally stood for the United Nations International Children's Emergency Fund. It changed its name in 1953 (Dijkzeul, 1997a, p. 5).

<sup>502</sup> Black, 2008, p. 56; UN, 2011, p. 36.

<sup>503</sup> Black, 2008, p. 56.

<sup>504</sup> UN, 2011, p. 36; 238; Weiss, 1996, p. 438.

<sup>505</sup> UN, 2011, p. 37; 243f.

<sup>506</sup> Riddell, 2007, p. 85.

<sup>507</sup> Shaw, 2009, p. 2; UN, 2011, p. 37f.; 238; Weiss, 1996, p. 438.

<sup>508</sup> Osmańczyk & Mango, 2003, p. 530.

<sup>509</sup> Reindorp & Wiles, 2001, p. 9. See also Mathiason, 2007, p. 232.

<sup>510</sup> UN, 2011, p. 131.

<sup>511</sup> Black, 2008, p. 27; Hüfner, 2006, p. 30; UN, 2011, p. 29.

	Location of headquarters	Governing structure	Number of staff worldwide	Number of countries, areas and territories
<b>UNDP</b>	New York, United States	Executive Board (36 Member States)	~7'000 (83% in the field)	>160
<b>UNFPA</b>	New York, United States	Same Executive Board as UNDP	1'119 (>80% in the field)	155
<b>UNHCR</b>	Geneva, Switzerland	Executive Committee (79 Member States)	> 6'800 (~87% in the field)	118
<b>UNICEF</b>	New York, United States	Executive Board (36 Member States)	9'000	>150
<b>UNRWA</b>	Gaza and Amman, Jordan	Commissioner-General, Advisory Commission (23 Member States)	> 30'000 local staff 133 international staff	Jordan, Lebanon, Syria, West Bank and Gaza Strip
<b>WFP</b>	Rome, Italy	Executive Board (36 Member States)	10'200 (>90% in the field)	75

Figure III.10: Key facts and figures of selected funds and programs<sup>512</sup>

	Nature of funding <sup>513</sup>	Expenditures (rounded in USD million) <sup>514</sup>	Income (rounded in USD million) <sup>515</sup>
<b>UNDP</b>	Entirely voluntary	3861	3955
<b>UNFPA</b>	Entirely voluntary	629	752
<b>UNHCR</b>	Almost entirely voluntary	1346	1542
<b>UNICEF</b>	Entirely voluntary	2767	3013
<b>UNRWA</b>	Almost entirely voluntary	654	671
<b>WFP</b>	Entirely voluntary	2753	2705

Figure III.11: Key financial figures of selected funds and programs<sup>516</sup>

<sup>512</sup> Own elaboration based on UN, 2011, p. 32ff. except UNDP staff figure (Browne, 2011, p. 81).

<sup>513</sup> Mathiason, 2007, p. 232; Reindorp & Wiles, 2001, p. 9; UN, 2011, p. 32ff. For UNHCR and UNRWA, a very limited part of funds comes from the UN regular budget (UN, 2011, p. 35; 37).

<sup>514</sup> Global Policy Forum, 2011. Figures for WFP are operational expenditures only.

<sup>515</sup> Global Policy Forum, 2011.

### **c      *WFP as an example***

WFP was established as a three-year experimental program under the FAO in 1961 and began its operations in 1963. The organization's original purpose was "to provide emergency assistance and explore the possibilities of using food aid to promote economic and social development through school lunch programs and labor-intensive projects".<sup>517</sup>

In the first 30 years of its existence, it focused on development projects, because it lacked the capacity to respond to emergencies. This was due to limited financial resources for purchases, to food stocks held by donors and not by the organization itself, as well as to significant amount of time required to respond. With the increase in the number of conflicts after the end of the Cold War, its activities shifted towards emergency assistance.<sup>518</sup>

WFP's mission is "to save lives and end hunger". To do so, it provides food assistance in emergency situations, such as natural and man-made disasters. It is also active in the delivery of development aid, with school feeding programs and food and nutrition assistance to individuals living with HIV/AIDS.<sup>519</sup> WFP also uses its ability to buy food commodities from farmers to stimulate and improve agricultural production through its Purchase for Progress project, which was launched in 2008.<sup>520</sup> In 2009, WFP provided food to approximately 102 million people in 75 countries. A total of 4.6 million metric tons were delivered.<sup>521</sup> WFP puts special focus on women and children. Of the 102 million people it assisted in 2009, 84 million of them were women and children.<sup>522</sup>

WFP headquarters are in Rome, Italy. It is governed by an Executive Board made up of 36 Member States,<sup>523</sup> whose functions are notably to implement policies by the UN General Assembly and the guidance from the Economic and Social Council, to ensure that activities and operational strategies are consistent with policy guidance, as well as to decide on plans and budgets.<sup>524</sup> WFP is headed by the Executive Director, who is appointed by the UN Secretary General and the Director General of the FAO and is notably responsible for the management of resources, the approval of emergency assistance and the appointment of staff.<sup>525</sup>

<sup>516</sup> Own elaboration. Figures for the year 2007.

<sup>517</sup> Shaw, 2009, p. 2; 62f.; 76.

<sup>518</sup> Shaw, 2009, p. 76.

<sup>519</sup> Shaw, 2009, p. 2; 128f.

<sup>520</sup> WFP, 2010a, p. 7.

<sup>521</sup> UN, 2011, p. 38; WFP, 2010a, p. 4.

<sup>522</sup> WFP, 2010a, p. 2; 4.

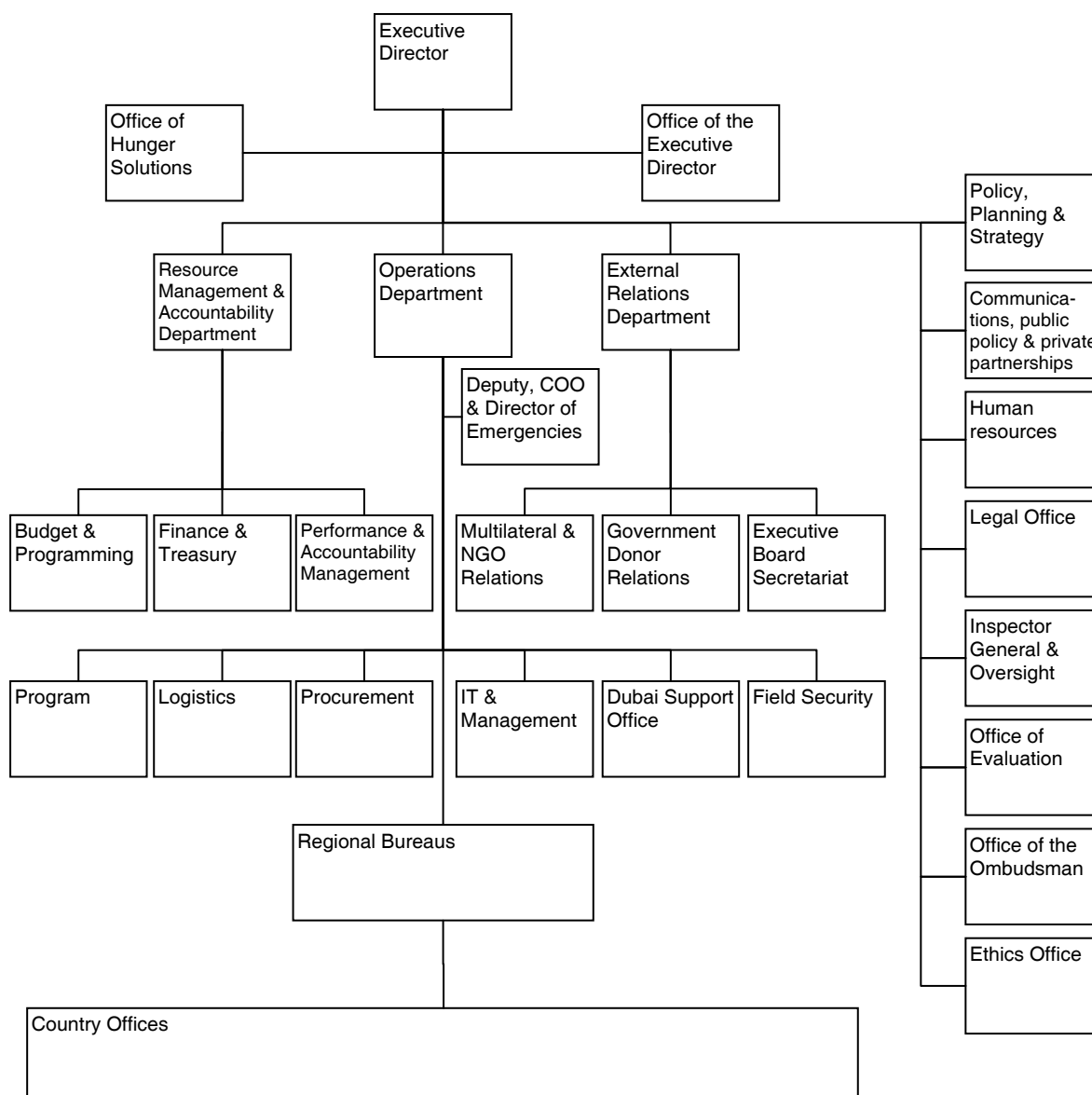
<sup>523</sup> Shaw, 2009, p. 2; 78; UN, 2011, p. 38. Eight Members are from Africa, seven from Asia, four from Eastern Europe, five from Latin America and the Caribbean and twelve are from Western Europe and other states.

<sup>524</sup> Shaw, 2009, p. 78f.

<sup>525</sup> Shaw, 2009, p. 79.



Its organizational structure is shown in **Figure III.12**.



**Figure III.12: WFP organizational structure**<sup>526</sup>

All activities are funded by voluntary contributions.<sup>527</sup> In 2009, contributions amounted to a total of USD 4.2 billion.<sup>528</sup> Governments represent the most important source of funds.<sup>529</sup>

WFP employs over 10'200 persons. Over 90% of them work in field.<sup>530</sup>

<sup>526</sup> Adapted from WFP, 2010b. In 2010.

<sup>527</sup> UN, 2011, p. 38; 161.

<sup>528</sup> UN, 2011, p. 38; WFP, 2010a, p. 4.

<sup>529</sup> WFP, 2010a, p. 46f. The ten largest government donors, in order of importance, were the United States, the European Commission, Canada, Spain, Japan, Germany, the United Kingdom, Australia, the Netherlands and Sweden. Together, they represented 80% of all contributions.

### 4.3 Non-governmental aid organizations

#### 4.3.1 Non-governmental organizations in general

##### *a Type of organization*

Over time, the term NGO has been studied from the point of view of law, sociology, international relations and economics.<sup>531</sup> However, a wide variety of definitions can be found<sup>532</sup> and the understanding of the term “remains a matter of contention”.<sup>533</sup>

A wide variety of terms is used in literature to designate “what is ostensibly the same cohort of organizations”.<sup>534</sup> These include terms such as: the *third sector*, the *independent sector*, the *not-for-profit* or *nonprofit sector*, the *charitable sector* and the *voluntary sector*.<sup>535</sup> Furthermore, many acronyms designating the organizations of the sector are found in literature, an “alphabet soup” according to Vakil and Najam.<sup>536</sup> These are shown in **Figure III.13**.

The term *non-profit sector* is often used in the United States.<sup>537</sup> Some point out, however, that this term is not appropriate, given that some organizations actually make profits. The term “non-distribution of profit” (= non-distribution constraint) should be preferred.<sup>538</sup> On top of the non-profit distributing characteristic, Salamon & Anheier give four other key characteristics of organizations of the sector: they are organized, private, self-governing and voluntary.<sup>539</sup>

Whereas the distinction between profit and non-profit is important in management literature, this sector is generally referred to as the *third sector* in economics and international relations/politics literature.<sup>540</sup> The third sector, a term common in both the United States and Europe, is seen as an important part of society separate

<sup>530</sup> UN, 2011, p. 38.

<sup>531</sup> Martens, 2002, p. 272ff.; Ryfman, 2009, p. 17.

<sup>532</sup> Lewis, 2010, p. 1057; Lewis & Kanji, 2009, p. 2; Ryfman, 2009, p. 17.

<sup>533</sup> Barrow & Jennings, 2001, p. 1.

<sup>534</sup> Sargeant, 2009, p. 4.

<sup>535</sup> Anheier & List, 2005, p. 179; 182; Courtney, 2002, p. 37f.; Salamon & Anheier, 1997, p. 12; Sargeant, 2009, p. 4.

<sup>536</sup> Najam, 1996a, p. 206; Vakil, 1997, p. 2060.

<sup>537</sup> Anheier & List, 2005, p. 182; Courtney, 2002, p. 37; Lewis, 2010, p. 1057. The term *non-profit organization* (NPO) is often used in the United States (Lewis & Kanji, 2009, p. 7; Smillie, 1995, p. 22).

<sup>538</sup> Courtney, 2002, p. 46; Lindenberg & Bryant, 2001, p. 5; Schwarz & al., 2009, p. 22. Profits are used “to fund un popular or unfundable parts of the organization” (McLeish, 2011, p. 18).

<sup>539</sup> Salamon & Anheier, 1997, p. 13f.; 33f.

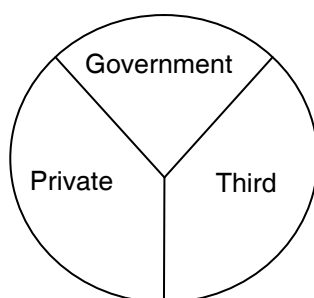
<sup>540</sup> Schwarz & al., 2009, p. 20.

from the private for-profit sector (market) and the public sector (state/government).<sup>541</sup> **Figure III.14** summarizes this idea.

<b>AGNs</b>	Advocacy groups and networks	<b>NGDO</b>	Non-governmental development organization
<b>BINGO</b>	Big international NGO	<b>NGHA</b>	Non-governmental humanitarian agency
<b>BONGO</b>	Business-organized NGO	<b>NGI</b>	Non-governmental individuals
<b>CBMS</b>	Community-based management systems	<b>NGIS</b>	Non-governmental interests
<b>CBDO</b>	Community-based development organization	<b>NGO</b>	Next government official
<b>CBO</b>	Community-based organization	<b>NNGO</b>	National NGO
<b>COME'n'GO</b>	The idea of temporary NGOs following funds!	<b>NNGO</b>	Northern NGO
<b>CSO</b>	Civil society organization	<b>NPO</b>	Non-profit or not-for-profit organization
<b>DLO</b>	Donor local organization	<b>NSA</b>	Non-state actor
<b>DONGO</b>	Donor oriented/organized NGO	<b>PDA</b>	Popular development association/agency
<b>Dotcause</b>	Civil society networks mobilizing support through the Internet	<b>PDO</b>	Private development organization
<b>ENGO</b>	Environmental NGO	<b>PO</b>	People's organization
<b>GDO</b>	Grassroots development organization	<b>PSC</b>	Public service contractor
<b>GONGO</b>	Government-organized NGO	<b>PSNPO</b>	Paid staff NPO
<b>GONGO</b>	Governmental NGO	<b>PSO</b>	Private service organization
<b>GRINGO</b>	Government-run international NGO (or –inspired)	<b>PVDO</b>	Private voluntary development organization
<b>GRO</b>	Grassroots organization	<b>PVO</b>	Private voluntary organization
<b>GRSO</b>	Grassroots support organization	<b>QUANGO</b>	Quasi-nongovernmental organization
<b>GSCO</b>	Global social change organization	<b>RNGO</b>	Religious NGO
<b>GSO</b>	Grassroots support organization	<b>RONGO</b>	Royal NGO
<b>IA</b>	Interest association	<b>RWA</b>	Relief and welfare association
<b>IDCI</b>	International development cooperation institutions	<b>SNGO</b>	Southern NGO
<b>INGO</b>	International NGO	<b>SHO</b>	Self-help organization
<b>IO</b>	Intermediate organizations	<b>TIO</b>	Technical innovation organization
<b>IPO</b>	International/indigenous people's organization	<b>TNGO</b>	Transnational NGO
<b>LDA</b>	Local development association	<b>VDA</b>	Village development association
<b>LINGO</b>	Little international NGO	<b>VDO</b>	Voluntary development organization
<b>LO</b>	Local organization	<b>VDO</b>	Value-driven organization
<b>MBO</b>	Membership-based organization	<b>VI</b>	Village institution
<b>MO</b>	Membership organization	<b>VNPO</b>	Volunteer non-profit organization
<b>MONGO</b>	My own NGO	<b>VO</b>	Village organization
<b>MSO</b>	Membership support organization	<b>VO</b>	Volunteer organization
<b>NFPO</b>	Not-for-profit organization	<b>volag</b>	Voluntary agency

**Figure III.13: Acronyms**<sup>542</sup>

<sup>541</sup> Lewis, 2007, p. 1; 28; Sargeant, 2009, p. 4ff.; Schwarz & al., 2009, p. 20.



**Figure III.14: The three sectors of society**<sup>543</sup>

Fowler highlights several common characteristics of third sector organizations:<sup>544</sup>

- No profit motive for establishment and non-distribution of profit
- Result from voluntary and private initiative to pursue a shared interest or concern
- Independence from government and public bodies
- Self-governance
- Formalization and acceptance of the principle of social accountability

NGOs are often considered as a sub-group of this third or non-profit sector.<sup>545</sup> This is because the characteristics given above cover a wide variety of organizations, from churches, to amateur football teams, to societies for the blind and handicapped.<sup>546</sup> The voluntary characteristic is also argued to not correspond to the increased professionalization of NGOs.<sup>547</sup> The terms non-profit organization (NPO) and NGO are also sometimes used interchangeably,<sup>548</sup> however, Barrow & Jennings argue that “whilst NGOs are non-profit-making, all non-profit-making institutions are not NGOs”.<sup>549</sup>

Consequently, the question is how to distinguish NGOs from other organizations of the sector. Lewis argues that their distinctiveness is their focus on development. For him, they “are a group of organizations engaged in development and poverty

<sup>542</sup> Compiled from Lewis, 2007, p. 45; Lewis & Kanji, 2009, p. 9f.; Najam, 1996a, p. 206; Riddell, 2007, p. 260; Ryfman, 2009, p. 5; 17; Smillie, 1995, p. 22; Vakil, 1997, p. 2060.

<sup>543</sup> Adapted from Sargeant, 2009, p. 5.

<sup>544</sup> Fowler, 1997, p. 38.

<sup>545</sup> Barrow & Jennings, 2001, p. 2; Fowler, 1997, p. 38; Lewis, 2007, p. 1; 7; 28; Lewis, 2003, p. 327; Lewis, 2002a, p. 67; Lewis & Kanji, 2009, p. 8. This is not commonly agreed on though. For example, Uphoff (1996, p. 23ff.) argues that NGOs should be considered as a sub-set of the private sector. Since the 1990s, NGOs have increasingly been considered to belong to what is called civil society (Lewis, 2007, p. 53ff.; Riddell, 2007, p. 260; Rubio, 2003, p. 47). See Kaldor (2003a, p. 5ff.) and Kaldor (2003b, p. 6ff.; 78ff.) for a detailed description of civil society and its different actors.

<sup>546</sup> Fowler, 1997, p. 38; Lewis, 2007, p. 28.

<sup>547</sup> Barrow & Jennings, 2001, p. 3.

<sup>548</sup> Vakil, 1997, p. 2059.

<sup>549</sup> Barrow & Jennings, 2001, p. 2.

reduction work at local, national and global levels around the world”.<sup>550</sup> Salamon & Anheier also argue that NGOs are those organizations “engaged in the promotion of economic and social development”.<sup>551</sup> On top of the self-governing, private, and not-for-profit aspects of these organizations, Vakil adds that the aim is “improving the quality of life of disadvantaged people”.<sup>552</sup> Barrow & Jennings add that NGOs are “aimed at the relief of poverty through humanitarian activity, be it emergency relief, or participation in programmes of economic and social development”.<sup>553</sup> In this thesis, the NGO will be used in this sense.

## **b History**

The term NGO is commonly used today,<sup>554</sup> particularly in literature on development and international relations.<sup>555</sup> The term is generally said to have first come into use with the founding of the UN after the Second World War.<sup>556</sup>

Although the term NGO dates from the 20<sup>th</sup> century, the roots of such organizations are old and can be found in religion, philosophy and philanthropy.<sup>557</sup> The emergence of organizations dedicated to a specific cause dates back to the late 18<sup>th</sup> century, with the establishment of nationally-active organizations focusing on issues such as peace and the abolition of the slave trade. Organizations became international towards the middle of the 19<sup>th</sup> century.<sup>558</sup> The British and Foreign Anti-Slavery Society, founded in 1839, and the ICRC, founded in 1864, are often referred to in literature as the first INGOs.<sup>559</sup> Chatfield estimates that, in 1874, there were 32 registered INGOs, and that, by 1914, there were 466.<sup>560</sup>

In the years following the First World War, a number of NGOs were founded, often in order to assist victims of war and conflict. In 1919, Save the Children Fund was

<sup>550</sup> Lewis, 2007, p. 7.

<sup>551</sup> Salamon & Anheier, 1992, p. 129.

<sup>552</sup> Vakil, 1997, p. 2060.

<sup>553</sup> Barrow & Jennings, 2001, p. 3.

<sup>554</sup> Lewis & Kanji, 2009, p. 2.

<sup>555</sup> Kaldor, 2003a, p. 14.

<sup>556</sup> Lewis, 2007, p. 1; 7; Martens, 2010, p. 1039; Martens, 2002, p. 271; Rubio, 2003, p. 10; 20; Ryfman, 2009, p. 16; The Economist, 2000, p. 25. In article 71 of the Charter, it is stated that the Economic and Social Council “may make suitable arrangements for consultation with non-governmental organizations which are concerned with matters within its competence”. However the term was not defined (Charnovitz, 2006, p. 351). The term *international association* was used before this (Ryfman, 2009, p. 16). Charnovitz (2006, p. 351) argues, however, that the term originated just after the First World War. Anheier & List (2005, p. 173) and Anheier, Glasius & Kaldor (2001, p. 4) argue that the term first appeared in the 1920s in the League of Nations.

<sup>557</sup> Ryfman, 2009, p. 7ff.

<sup>558</sup> Charnovitz, 1997, p. 191ff.

<sup>559</sup> Anheier, 2005, p. 329; Anheier, Glasius & Kaldor, 2001, p. 4; Martens, 2010, p. 1040.

<sup>560</sup> Chatfield, 1997, p. 21.

founded to focus on children's rights and needs.<sup>561</sup> The American Relief Administration was also established by future United States President Herbert Hoover to bring relief to Europe.<sup>562</sup> Foster Parents Plan, today Plan International, was founded in 1937 to assist child victims of the Spanish civil war.<sup>563</sup> Apart from relief, NGOs also became active in human rights. The oldest NGO in this area, the International Federation of Human Rights, was established in 1922.<sup>564</sup> NGOs also participated in the activities of the League of Nations.<sup>565</sup>

After the Second World War, several important NGOs were founded in order to assist populations in Europe. In the United States, these included the religious initiatives Catholic Relief Services and Church World Service, as well as the non-religious Cooperative for American Remittances to Europe (CARE)<sup>566</sup>, which sent packages to victims, and the International Rescue Committee. The Oxford Committee for Famine Relief (Oxfam) was founded in Great Britain to bring relief to victims in occupied Greece.<sup>567</sup> Once Europe began to recover, the attention of these NGOs turned towards developing countries.<sup>568</sup> Finally, under the newly established UN, NGOs were given consultative status with the Economic and Social Council, formalizing their relationship.<sup>569</sup> In 1950, around 200 had acquired this status.<sup>570</sup>

In the 1960s, the international combat for human rights began to gain in importance with the founding of Amnesty International.<sup>571</sup> However, due to the Cold War, the role of NGOs generally remained limited up until the end of the 1960s.<sup>572</sup>

From the 1970s, a new type of NGO that stressed "borderlessness" and was specialized in providing aid in emergency situations also appeared.<sup>573</sup> This began with the founding in 1971 of MSF by a group of doctors working for the French Red Cross following a famine in the Biafra province of Nigeria.<sup>574</sup> MSF believed that the needs of victims were more important than state sovereignty and

<sup>561</sup> Gnaerig & MacCormack, 1999, p. 140; Lewis & Kanji, 2009, p. 31; Lindenberg & Bryant, 2001, p. 13; Smillie, 1995, p. 38; Walker & Maxwell, 2009, p. 25. The original name of the NGO was Fight the Famine (Ryfman, 2009, p. 12).

<sup>562</sup> Walker & Maxwell, 2009, p. 26.

<sup>563</sup> Lewis & Kanji, 2009, p. 31; Lindenberg & Bryant, 2001, p. 13; Smillie, 1995, p. 38; Walker & Maxwell, 2009, p. 25.

<sup>564</sup> Rubio, 2003, p. 13; Ryfman, 2009, p. 12.

<sup>565</sup> Charnovitz, 1997, p. 220ff.; Rubio, 2003, p. 10; Ryfman, 2009, p. 16.

<sup>566</sup> The acronym currently stands for Cooperative for Assistance and Relief Everywhere, Inc.

<sup>567</sup> Grossrieder, 2003, p. 10; Hoy, 1998, p. 97; Lewis & Kanji, 2009, p. 31; Lindenberg & Bryant, 2001, p. 13; Ryfman, 2009, p. 12; Smillie, 1995, p. 39; Walker & Maxwell, 2009, p. 42ff.

<sup>568</sup> Ryfman, 2009, p. 12; Winter, 2001, p. 41.

<sup>569</sup> Charnovitz, 1997, p. 249ff.

<sup>570</sup> Thomas & Allen, 2000, p. 212.

<sup>571</sup> Ryfman, 2009, p. 13.

<sup>572</sup> Rubio, 2003, p. 15.

<sup>573</sup> Ryfman, 2009, p. 13.

<sup>574</sup> Rufin, 2001, p. 88. The English translation is Doctors Without Borders.

neutrality. It also stresses the need to speak out against the suffering it witnessed,<sup>575</sup> as well as the mobilization of public opinion with the help of the media.<sup>576</sup> Numerous NGOs followed: Handicap International, Action contre la faim, Médecins du Monde, Pharmaciens sans Frontières and Aide Médicale Internationale.<sup>577</sup>

From the 1980s, there has been increasing preoccupation with environmental issues, such as the preservation of biodiversity and climate change. The World Wildlife Fund was created in 1961, and Greenpeace was established in 1971. With the end of the Cold War, new domains for action also appeared, including street children, micro credit, crisis prevention and fighting diseases such as HIV/AIDS.<sup>578</sup> NGO participation in international conferences and their influence on treaties has also been highlighted.<sup>579</sup>

Figures on the number of NGOs existing today tend to vary. Lewis & Kanji argue that giving the number of NGOs in existence is “probably impossible”, given the lack of “comprehensive or reliable statistics”.<sup>580</sup> Riddell also states: “No one really knows how many NGOs there are in the world”.<sup>581</sup> Although figures on the number of NGOs vary, there is a general consensus that the number has increased substantially.<sup>582</sup> Reasons for this strong increase include the reduction in the size of the state, the collapse of states, the end of the Cold War, the movement for democratic openings, global public incentives, expanded private donations and global communications technologies.<sup>583</sup> This growth has been particularly important in the sector of aid.<sup>584</sup> **Figure III.15** shows one estimate of the growth of NGOs, as well as that of IGOs, in the 20<sup>th</sup> century.

### **c Activities**

NGOs are a highly diverse group of organizations, with varying commitments, values and thus actions. In literature, a distinction is generally made between two

<sup>575</sup> Ryfman, 2008, p. 52; Terry, 2002, p. 21.

<sup>576</sup> Ryfman, 2008, p. 53.

<sup>577</sup> Rubio, 2003, p. 17.

<sup>578</sup> Ryfman, 2009, p. 14. The idea is not new. The Sierra Club was founded in 1892 in the United States to preserve what was known as “nature” (Rubio, 2003, p. 13; Ryfman, 2009, p. 11).

<sup>579</sup> Rubio, 2003, p. 19.

<sup>580</sup> Lewis & Kanji, 2009, p. 2.

<sup>581</sup> Riddell, 2007, p. 53.

<sup>582</sup> Cooley & Ron, 2002, p. 10; Lewis, 2010, p. 1057; Martens, 2010, p. 1040; Riddell, 2007, p. 53; Ronalds, 2010, p. 47; The Economist, 2000, p. 25; Thomas & Allen, 2000, p. 212.

<sup>583</sup> Lindenberg & Bryant, 2001, p. 8ff.

<sup>584</sup> Cooley & Ron, 2002, p. 10; Riddell, 2007, p. 47.

main types of activities: campaigning/advocacy and service-provision/operations.<sup>585</sup>

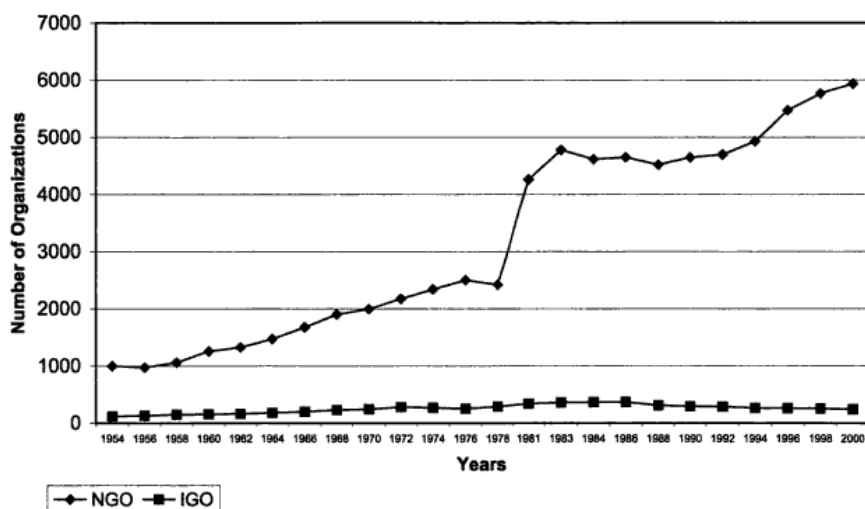


Figure III.15: Growth of IGOs and NGOs<sup>586</sup>

NGO activities are very broad and cover numerous areas. Three broad categories of activities are distinguished here:<sup>587</sup>

- Humanitarian and development aid: Most NGOs active in this category began in the area of humanitarian aid or relief and then gradually began to carry out development activities. This activity has been grouped as one by the author, because many aid NGOs carry out both types of aid.<sup>588</sup> Examples of NGOs include MSF, Oxfam, Médecins du Monde, Handicap International, Action contre la Faim, CARE and Save the Children. This thesis focuses on this category.
- Human rights: These NGOs are mainly membership organizations in the North. Their main activity consists in lobbying for human rights both at the national and the international level. Examples include Amnesty International and Human Rights Watch.
- Environmental campaigning: As with NGOs in the previous category, these NGOs are mainly membership organizations in the North lobbying for the environment both nationally and internationally. Examples include Greenpeace and the World Wildlife Fund.

Three NGO roles have been distinguished by Lewis. NGOs can be implementers, when they mobilize resources in view of providing goods and services; catalysts

<sup>585</sup> Lewis & Kanji, 2009, p. 1; Thomas & Allen, 2000, p. 211; Weiss, 1996, p. 441ff.

<sup>586</sup> Dijkzeul & Beigbeder, 2006, p. 6.

<sup>587</sup> Commins, 2010, p. 858; Rubio, 2003, p. 35ff.; Ryfman, 2009, p. 24; 33ff.; Thomas & Allen, 2000, p. 210. Other activities include mediation/conflict prevention (Rubio, 2003, p. 38).

<sup>588</sup> Ryfman, 2009, p. 36; Stoddard, 2003, p. 26. Many “humanitarian” NGOs carry out long-term development programs, and many “development” NGOs provide immediate assistance.



with their “ability to inspire, facilitate or contribute towards (...) change”, as well as partners, working with other actors such as governments, donors and the private sector. All three of these roles can be adopted by an NGO at the same time.<sup>589</sup>

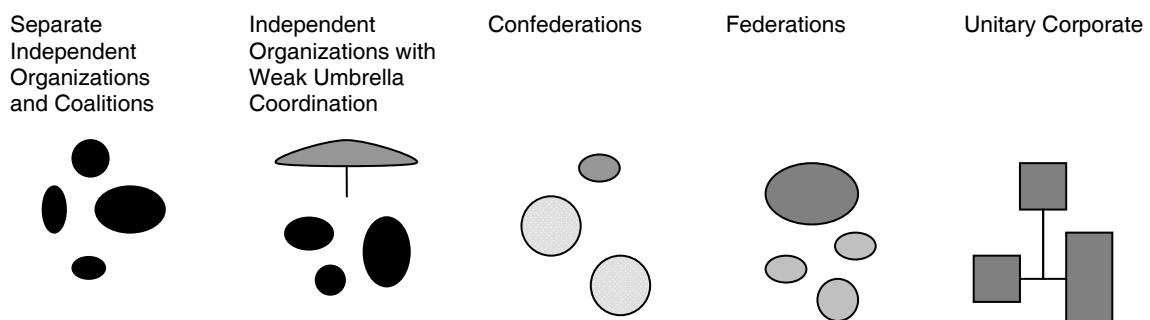
The geographical range of NGO activities also varies:<sup>590</sup>

- NGOs can be active at the local or national levels. The number of NGOs at this level is difficult to estimate given the problem of definition and the frequent lack of formal registration, but estimates are close to the hundreds of thousands. For example, Thomas & Allen believe that over 200'000 exist.<sup>591</sup>
- NGOs can be also active at the international level. However, a further question is the definition of “international”. The Union of International Associations argues that, to be an international NGO, the “aim must be genuinely international in character, with the intention to be active in at least three countries”.<sup>592</sup> As highlighted previously, figures on the total number vary. Figure III.15 gives one estimate.

#### **d Organizational structures**

NGO structures also vary. They may be decentralized, or they may be centralized, with one headquarters.<sup>593</sup> Headquarters are usually in the North, close to IGOs and donors.<sup>594</sup>

**Figure III.16** shows several different models of structures that have been adopted by NGOs over time.



**Figure III.16: Organizational structures of NGOs**<sup>595</sup>

<sup>589</sup> Lewis, 2007, p. 88ff.; Lewis & Kanji, 2009, p. 12f.

<sup>590</sup> Barrow & Jennings, 2001, p. 3; Lewis, 2007, p. 7.

<sup>591</sup> Thomas & Allen, 2000, p. 213.

<sup>592</sup> Dijkzeul & Beigbeder, 2006, p. 3.

<sup>593</sup> Nachmias, 1999, p. 275.

<sup>594</sup> Anheier, Glasius & Kaldor, 2001, p. 4.

<sup>595</sup> Lindenberg & Bryant, 2001, p. 142.

While the public generally believes that NGOs rely solely on volunteers, paid staff may also be employed. The proportion of each may vary; important determinants include, for example, the size and level of professionalism.<sup>596</sup>

### **e      *Financing***

NGOs rely entirely on voluntary contributions. As Seidman argues, “Because NGOs cannot demand funds, they are dependent on voluntary funding sources”.<sup>597</sup> Donors include governments, foundations, individuals and corporations.<sup>598</sup>

## **4.3.2 Non-governmental aid organizations**

### **a      *Overview***

Because of their specific characteristics, NGOs have taken on an increasingly important role in aid and have become important contractors.<sup>599</sup> Little distinguishes several comparative advantages:<sup>600</sup>

- Independence: As NGOs are created by private individuals or groups, autonomy and independence from governments is often highlighted.<sup>601</sup> It is argued that NGOs may set their goals freely.<sup>602</sup>
- Opportunities for engagement: The citizens of developed countries are able to donate resources, become volunteers and lobby for the NGO’s values.
- Increased effectiveness with citizens in developing countries: NGOs are able to provide organizational support to local organizations. They are also considered to be more effective than UN agencies in reaching the poor.<sup>603</sup>

Another quality put forward is the typical smallness of NGOs,<sup>604</sup> which allows them to focus on certain activities and limits the number of decision-makers.<sup>605</sup> Other qualities include their staff commitment, flexibility and their learning ability.<sup>606</sup>

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<sup>596</sup> Rubio, 2003, p. 53ff.

<sup>597</sup> Seidman, 2007, p. 137.

<sup>598</sup> Development Initiatives, 2006, p. 40; Fowler, 1997, p. 25; Fowler, 1991, p. 3; Walker & Maxwell, 2009, p. 4; Weiss & Collins, 2000, p. 53.

<sup>599</sup> Smillie, 1998, p. xv; 35; The Economist, 2000, p. 25f.

<sup>600</sup> Lewis, 2007, p. 74; Little, 2003, p. 178f.

<sup>601</sup> Dijkzeul & Beigbeder, 2006, p. 3f.

<sup>602</sup> Little, 2003, p. 178.

<sup>603</sup> Hoy, 1998, p. 99.

<sup>604</sup> Chambers, 1993, p. 93.

There is a lack of precise data on the number of NGOs active in aid. Estimates tend to vary greatly; however, there is a general consensus that NGOs have taken on an increasingly important role in aid, both humanitarian and development.<sup>607</sup> Figures on the amount flowing through NGOs also vary, but it is agreed that it has increased substantially,<sup>608</sup> more than seven times in the past three decades according to UNDP.<sup>609</sup> According to Riddell, NGOs were responsible for some USD 24 billion of aid in 2004.<sup>610</sup>

The six biggest aid NGOs are:<sup>611</sup>

- Save the Children: The NGO was founded in 1919 to send relief to children victims of the war. It focuses on children's rights and needs, carrying out humanitarian, development and advocacy activities.<sup>612</sup>
- Oxfam: In 1942, Oxfam was founded in Great Britain to mobilize public opinion to lift the blockade on occupied Greece and to bring relief to its victims. It gradually broadened its mandate to include other countries in Europe and then the rest of the world.<sup>613</sup> It is recognized as an expert in the area of water and sanitation.<sup>614</sup>
- CARE: This non-religious organization was founded in the United States in 1945 to bring relief to victims of the Second World War in Europe by sending food packages. It expanded its activities to cover Latin America in the 1950s and to Africa in the 1960s.<sup>615</sup> It is known for food delivery and logistics.<sup>616</sup>
- World Vision: The Christian NGO was founded in 1950 in the United States by Reverend Bob Pierce. After preaching in China and Korea, the Reverend organized the sponsorship of children in Korea. It gradually became active in other Asian countries in the 1960s and worldwide in the 1970s.<sup>617</sup>
- MSF: Founded in 1971 by a group of French doctors following the Nigerian civil war, it specializes in medical and primary healthcare and considers its mandate to be exclusively humanitarian.<sup>618</sup>

<sup>605</sup> Hoy, 1998, p. 99ff. UN agencies are criticized for having ranges of activities that are too wide and for the duplication of services. The smallness of NGOs does, however, limit capacities and impact is often localized.

<sup>606</sup> Chambers, 1993, p. 93.

<sup>607</sup> Riddell, 2007, p. xv; 53; 317.

<sup>608</sup> Ronalds, 2010, p. 62.

<sup>609</sup> UNDP, 2002, p. 5; 102.

<sup>610</sup> Riddell, 2007, p. 259.

<sup>611</sup> Ronalds, 2010, p. 47.

<sup>612</sup> Lewis & Kanji, 2009, p. 31; Lindenberg & Bryant, 2001, p. 13; Ronalds, 2010, p. 47; Smillie, 1995, p. 38; Walker & Maxwell, 2009, p. 25; 125.

<sup>613</sup> Grossrieder, 2003, p. 10; Hoy, 1998, p. 97; Lewis & Kanji, 2009, p. 31; Lindenberg & Bryant, 2001, p. 13; Ronalds, 2010, p. 47; Ryfman, 2009, p. 12; Smillie, 1995, p. 39; Walker & Maxwell, 2009, p. 42ff.

<sup>614</sup> Stoddard, 2003, p. 26.

<sup>615</sup> Ronalds, 2010, p. 47; Walker & Maxwell, 2009, p. 44.

<sup>616</sup> Stoddard, 2003, p. 26.

<sup>617</sup> Ronalds, 2010, p. 47; Walker & Maxwell, 2009, p. 45.

<sup>618</sup> Development Initiatives, 2009, p. 16; Ronalds, 2010, p. 47; Stoddard, 2003, p. 26.

- Plan: Foster Parents Plan, now known as Plan, was founded in 1937 in response to the Spanish Civil War.<sup>619</sup>

The profiles of these major NGOs are shown in **Figure III.17**.

	Headquarters	Number of members	Countries of operation	Staff	Income (rounded in million)
<b>Save the Children</b>	London, UK	29	120	14'000	USD 1'179
<b>Oxfam</b>	Oxford, UK	14	100	9'340	USD 1'043
<b>CARE</b>	Geneva, Switzerland	12	70	14'500	USD 886
<b>World Vision</b>	Federal Way, WA, US	65	98	40'000	USD 2'575
<b>MSF</b>	Geneva, Switzerland	19	84	25'973	EUR 675
<b>Plan</b>	Woking, Surrey, UK	18	66	7'893	EUR 474

**Figure III.17: Profiles of major NGOs**<sup>620</sup>

### **b Financing**

The revenues of NGOs also vary greatly. Three main sources of funding for NGOs aid activities can be distinguished:<sup>621</sup>

- Governments: Funding from this source amounts to some USD 10 billion annually.
- Private donations: Made mostly by individuals in developed countries, these amounted to USD 10 billion in 2003.
- Private foundations: These include foundations such as the Ford and Rockefeller Foundation and the Bill and Melinda Gates Foundation. Funding for NGOs from this source amounts to several hundreds of millions each year.

The proportion of each source listed above varies. It is also considered extremely difficult to separate humanitarian funds from development funds.<sup>622</sup> As can be noted in the figure above, the largest NGOs have very important revenues.

<sup>619</sup> Ronalds, 2010, p. 47.

<sup>620</sup> Compiled by Ronalds, 2010, p. 7; 155 from organizational reports, websites and interviews.

<sup>621</sup> Riddell, 2007, p. 8f.; 260f.

<sup>622</sup> Walker & Maxwell, 2009, p. 118.

### **c      *Save the Children as an example***

Save the Children, “the first true NGO” according to Walker & Maxwell,<sup>623</sup> was founded in 1919 in England in order to bring relief to children victims of the First World War and to have their rights recognized.<sup>624</sup>

Save the Children’s vision is “a world in which every child attains the right to survival, protection, development, and participation”. Its mission is “to inspire breakthroughs in the way the world treats children, and to achieve immediate and lasting change in their lives”.<sup>625</sup>

It focuses on children’s rights and needs, and carries out humanitarian, development and advocacy activities.<sup>626</sup> It works in the following areas: education, health and nutrition, emergencies, child protection, HIV/AIDS and child rights. In 2009, it assisted more than 80 million children in over 120 countries.<sup>627</sup>

Save the Children’s headquarters are in London, England. It regroups 29 national members, most of them located in developed countries.<sup>628</sup> It also has four advocacy offices.<sup>629</sup> The network is moving from a confederation of independent organizations towards more interdependence. One program delivery unit for all national organizations was established in 2009 in order to avoid duplication, improve the use of funds and align the vision, mission, values and strategy. An international board and a Chief Executive are responsible for governance.<sup>630</sup>

In 2009, Save the Children received contributions for some USD 1.3 billion, 50% of which came from governments. Its largest government donors were, in order of importance, the United States, the United Kingdom, Norway, Sweden, Denmark and Australia. Individuals contribute some 27% and corporations and foundations 19%. Other sources represent 4% of income.<sup>631</sup>

<sup>623</sup> Walker & Maxwell, 2009, p. 25. The authors argue that, “The Red Cross, although started outside of governments, relied on government recognition, funding and law. (...) [Save the Children], however, was a fully-fledged NGO of a kind we would recognize today. It was also the first NGO to fundraise, direct its own relief actions, and lobby for international legislation to protect victims (...). In doing so, (...) [Save the Children] laid down the model of the independent, activist, and operational NGO”.

<sup>624</sup> Barnett & Weiss, 2011, p. 42; Lewis & Kanji, 2009, p. 31; Lindenberg & Bryant, 2001, p. 13; Ryfman, 2009, p. 12; Walker & Maxwell, 2009, p. 25.

<sup>625</sup> Save the Children, 2010, p. 3.

<sup>626</sup> Gnaerig & MacCormack, 1999, p. 140; Lewis & Kanji, 2009, p. 31; Lindenberg & Bryant, 2001, p. 13; Smillie, 1995, p. 38; Walker & Maxwell, 2009, p. 25; 125.

<sup>627</sup> Save the Children, 2010, p. 2f.; 31.

<sup>628</sup> Ronalds, 2010, p. 153; Save the Children, 2010, p. 3.

<sup>629</sup> Save the Children, 2010, p. 32.

<sup>630</sup> Ronalds, 2010, p. 154; Save the Children, 2010, p. 6.

<sup>631</sup> Save the Children, 2010, p. 31.

Save the Children employs 12'000 persons in the field and some 30 persons in its international secretariat. The latter is expected to increase with the adoption of a unique program delivery unit.<sup>632</sup>

## 5 Specificities of aid organizations and implications on strategic management

### 5.1 Objectives

Contrary to the private sector, where profit is the main objective,<sup>633</sup> agencies providing aid are not motivated by profit.<sup>634</sup> The non-profit motive has important implications. Contrary to the private sector, objectives are often not measurable quantitatively. Qualitative objectives gain in importance.<sup>635</sup>

Rather than being driven by profit, aid agencies are driven strongly by values.<sup>636</sup> The impact is the following:<sup>637</sup>

- Mission and strategy must be based on and express core values and commitments
- Marketing and fundraising must be rooted in and promote values
- Internal policies, standards and procedures must be consistent with declared commitments

Specificities linked to the type of aid organization may also be identified. These may have an effect on the determination of objectives.

As seen previously, the UN's members are States. Executive Boards or Committees made up of Member States govern the different UN aid organizations. The functions of the UN, "in theory, are to reflect the common concerns of members".<sup>638</sup> As there are a wide variety of Member States, the UN faces a very heterogeneous task environment, ranging from development, humanitarian, security and human rights to the environment. Furthermore, the national sovereignty of states must be respected, and the organizations making up the UN

<sup>632</sup> Ronalds, 2010, p. 154ff.

<sup>633</sup> Courtney, 2002, p. 46.

<sup>634</sup> Dijkzeul & Beigbeder, 2006, p. 3; Dijkzeul & Moke, 2005, p. 674; Fowler, 2004a, p. 23; Hoffman & Weiss, 2006, p. 21; Lewis, 2007, p. 17; Lindenberg & Bryant, 2001, p. 5; Minear, 2002, p. 147; Smillie, 1998, p. 47. It is important to note, however, that not all aid actors are non-profit: the private for-profit sector is increasingly active in aid (Binder & Witte, 2007, p. 1ff.). This thesis concentrates on those traditional non-profit actors.

<sup>635</sup> Horak, Matul & Scheuch, 2007, p. 182.

<sup>636</sup> Fowler, 1991, p. 4; Hoffman & Weiss, 2006, p. 21.

<sup>637</sup> Paton, 1999, p. 133.

<sup>638</sup> Weiss & Collins, 2000, p. 206.

system depend therefore on their cooperation.<sup>639</sup> The implication on strategic management is important. Because goals depend on the interests of the Member States,<sup>640</sup> they cannot be set freely.<sup>641</sup> Speaking of the UN as a development actor, Whitman argues that “the UN, its organs, agencies, funds and programmes have very little room for independent initiative. The UN’s developmental roles are shaped directly and indirectly by the priorities of its more powerful member states”.<sup>642</sup>

Because of their self-governing and private characteristics,<sup>643</sup> NGOs, on the contrary, do not depend on Member States to set their goals. This independence is often highlighted.<sup>644</sup> From this point of view, they therefore have more flexibility than UN organizations in fixing their goals.

## 5.2 Financing

Resources are necessary for the survival of any organization. Speaking particularly of humanitarian aid agencies, Hoffman & Weiss argue that, “like all ventures and organizations, humanitarian agencies require resources to carry out activities in a particular area of operations, as well as to maintain their overall structural foundations”. Resources are necessary to “survive and thrive”, regardless of values or the nature of activities.<sup>645</sup>

Private companies obtain their resources from customers by selling goods and services.<sup>646</sup> However this differs with aid. Agencies operate in “at best a quasi-market”,<sup>647</sup> characterized by an indirect producer–consumer relationship. Aid agencies represent the “producers”, donors represent the “buyers” and the beneficiaries (recipients) represent the “consumers”.<sup>648</sup> Aid agencies cannot sell to the poor, as they lack purchasing power. Fowler argues that “if the poor could pay the whole full cost, the market, in theory, would respond to satisfy their demand”.<sup>649</sup> As the “customers” do not pay for goods or services they receive, agencies must rely on donors, whether public or private, for financing.<sup>650</sup> As Rieff

<sup>639</sup> Dijkzeul, 1997a, p. 31; Haas, 1990, p. 55.

<sup>640</sup> Weiss & Collins, 2000, p. 40.

<sup>641</sup> Dijkzeul, 1997a, p. 31; Haas, 1990, p. 55.

<sup>642</sup> Whitman, 2008, p. 555.

<sup>643</sup> Fowler, 1997, p. 38.

<sup>644</sup> Dijkzeul & Beigbeder, 2006, p. 3f.

<sup>645</sup> Hoffman & Weiss, 2006, p. 132f.

<sup>646</sup> Binder & Witte, 2007, p. 6; Fowler, 1997, p. 25; Fowler, 1991, p. 3; Moore, 2000, p. 185.

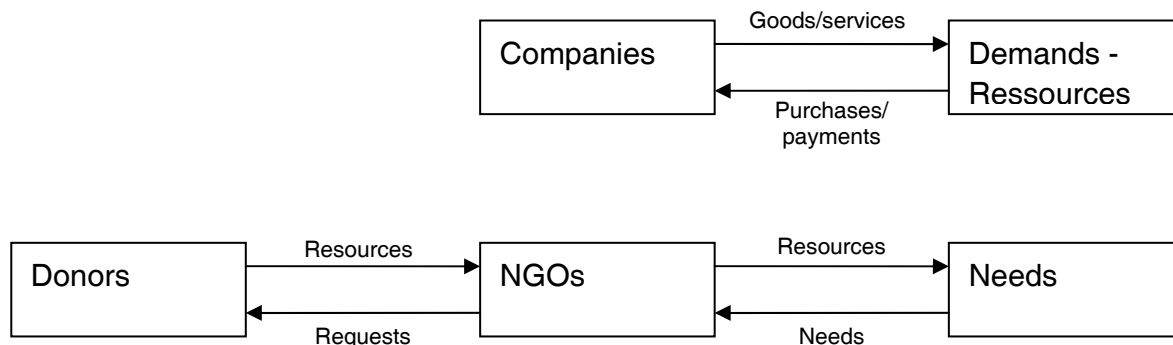
<sup>647</sup> Harford, Hadjimichael & Klein, 2004, p. 3.

<sup>648</sup> Binder & Witte, 2007, p. 6. The authors speak of humanitarian aid, but the author also considers this to be relevant for all aid agencies.

<sup>649</sup> Fowler, 1997, p. 24.

<sup>650</sup> Binder & Witte, 2007, p. 6.

states, “Without a donor, (...) virtually all relief agencies would close down”.<sup>651</sup> **Figure III.18** shows these different relations.



**Figure III.18: Comparison of organizational resources and client relations**<sup>652</sup>

Financing specificities are also linked to the type of aid organization.

In the UN, governments may choose the activities they finance and influence choices, because voluntary contributions are much larger than mandatory contributions.<sup>653</sup> They may therefore contribute to the organizations in line with their interests.<sup>654</sup> The UN programs and funds are particularly vulnerable because of the predominantly voluntary nature of their financing.

Several difficult consequences for UN organizations result from the dependency on voluntary contributions. These include the difficulty of multi-year planning because of uncertainty in receiving funds. The fact that budgetary decisions are made on an annual basis further restricts long-term planning. As Smillie notes, “Because such appeals and the subscriptions to the main budgets of many intergovernmental organizations are decided on an annual basis, the ability to create more than very short-term plans is seriously constrained”.<sup>655</sup>

The voluntary nature of funding has its implications on the priorities of the organization and may imply political tradeoffs.<sup>656</sup> Funds tend to be concentrated and this implies that agencies depend on only a few donors. For example, UNHCR receives some 75% of its funds from 10 donors.<sup>657</sup> WFP also obtains the majority of its funds from few donors, the United States representing its largest one.<sup>658</sup>

<sup>651</sup> Rieff, 1997, p. 134.

<sup>652</sup> Adapted from Fowler, 1991, p. 4.

<sup>653</sup> Bertrand, 2004, p. 58.

<sup>654</sup> Lehmann & McClellan, 2006, p. 2.

<sup>655</sup> Smillie, 1998, p. 39.

<sup>656</sup> Mathiason, 2007, p. 233.

<sup>657</sup> Loescher, Betts & Milner, 2008, p. 92.

<sup>658</sup> Shaw, 2009, p. 81.



Voluntary contributions also signify competition for funds. As one interviewee in a study by Reindorp & Wiles states, “there is more competition in the UN than in the private sector”.<sup>659</sup> As a result, senior staff tends to adopt an entrepreneurial attitude when planning programs to attract funds.<sup>660</sup> Time and effort are dedicated to raising funds and managing relationships with donors.<sup>661</sup>

The challenge for funds and programs is to maintain the balance between independence/mandate and funds. Speaking of UNHCR, Loescher, Betts & Milner argue that “on the one hand, it has attempted to safeguard the integrity of its mandate by being seen to be politically impartial. On the other hand, its existence and ability to carry out its programs have been dependent upon its ability to respond to the interests of a relatively small number of donor states”. Donor earmarking of contributions for regions and/or activities is common. Through this practice, donations are encouraged, but these are often based on political interests and not on needs. The predictability and coherence of funding is also reduced.<sup>662</sup>

For NGOs, financing activities is also constant challenge. Given that funds come from outside sources, important efforts must be made in the areas of public relations, fundraising and outreach.<sup>663</sup> Because of the decline in private funds, NGOs have increasingly turned to governments and UN agencies as contractors.<sup>664</sup> Contracting is also less costly than fundraising.<sup>665</sup> Funding from public sources may however compromise the comparative advantage of independence, choices being made to ensure funding and not according to needs.<sup>666</sup> Smillie argue that “the greater the level of financial dependence, the more fragile the degree of independence”.<sup>667</sup> Only a limited number of major NGOs are able to maintain their independence, one of which is MSF,<sup>668</sup> which receives a very limited share of its income from governments.<sup>669</sup>

Competition for contracts<sup>670</sup> and resources is fierce.<sup>671</sup> Because of this, many NGOs have focused on emergency work over development work to attract

<sup>659</sup> Reindorp & Wiles, 2001, p. 9.

<sup>660</sup> Mathiason, 2007, p. 233.

<sup>661</sup> Loescher, Betts & Milner, 2008, p. 92.

<sup>662</sup> Loescher, Betts & Milner, 2008, p. 92ff.

<sup>663</sup> Coppola, 2011, p. 486.

<sup>664</sup> Smillie, 1998, p. xv; 35; Smillie, 1997, p. 568. Cooley (2010, p. 41) defines a contract as “a formal agreement in which a ‘donor’ (the offeror of the contract) pays a ‘contractor’ (the implementing actor) to provide a service or discrete project for a fixed period of time”.

<sup>665</sup> Smillie, 1998, p. 44.

<sup>666</sup> Hoy, 1998, p. 104; Smillie, 1998, p. xv; 35; 45; Winter, 2001, p. 41.

<sup>667</sup> Smillie, 1995, p. 119.

<sup>668</sup> Rieff, 1997, p. 134.

<sup>669</sup> Walker & Maxwell, 2009, p. 118; 144.

<sup>670</sup> Cooley, 2010, p. 255f.; Cooley & Ron, 2002, p. 11ff.

<sup>671</sup> Hoy, 1998, p. 104; Lindenberg, 2001, p. 247; Smillie, 1998, p. 41; Smillie, 1997, p. 564; Smillie, 1995, p. 149.

funds.<sup>672</sup> In emergencies, NGOs depend strongly on the media to raise funds, emergencies receiving media coverage bringing in significantly more than the “forgotten” ones.<sup>673</sup> Rieff describes the humanitarian crisis in Rwanda in 1994: “Anyone who saw, as I did, the grotesque display of humanitarian agencies’ flags flapping alongside each other (...) realized there was more going on than the simple desire to help. The struggle to stamp out cholera, get the shelters built, and dig the pit latrines was simultaneously a struggle for market share”.<sup>674</sup> NGOs have also resorted to “increasingly emotive fund-raising approaches”.<sup>675</sup> Finally, NGOs may also have the tendency to “do it all”, ignoring the comparative advantages of other aid agencies, in order to prove their value to donors and attract funds.<sup>676</sup>

### 5.3 Stakeholders

Companies are mainly accountable to their shareholders and customers.<sup>677</sup> An organization with motives other than profit, on the other hand, has numerous stakeholders.<sup>678</sup> It has to deal with a greater variety of stakeholders than a company.<sup>679</sup>

Aid agencies have multiple stakeholders, including beneficiaries, donors, staff and partners, and therefore multiple accountabilities.<sup>680</sup> **Figure III.19** shows the accountabilities in the humanitarian system, considered by the author to be similar to the development aid system.

Beneficiaries are considered to be the primary stakeholder in aid agencies, because they justify the existence of the organization.<sup>681</sup> However, in reality, more attention may be paid to donors.<sup>682</sup> Aid agencies are accountable to donors who provide the resources necessary for their survival. Aid agencies have a responsibility for the appropriate use of funds; this means that the agency will provide aid in an appropriate, timely and impartial manner.<sup>683</sup> Given that survival depends more on the resources contributed by donors than their projects’ success, NGOs tend to focus on their donors. This may have an influence on the

<sup>672</sup> Smillie, 1997, p. 564.

<sup>673</sup> Smillie, 1998, p. 39.

<sup>674</sup> Rieff, 1997, p. 133f.

<sup>675</sup> Smillie, 1997, p. 564.

<sup>676</sup> Weiss & Collins, 2000, p. 53.

<sup>677</sup> Courtney, 2002, p. 47; Smillie, 1995, p. 149.

<sup>678</sup> Courtney, 2002, p. 47; Horak & Heimerl, 2007, p. 175; Horak, Matul & Scheuch, 2007, p. 182; 187.

<sup>679</sup> Drucker, 1992, p. 182.

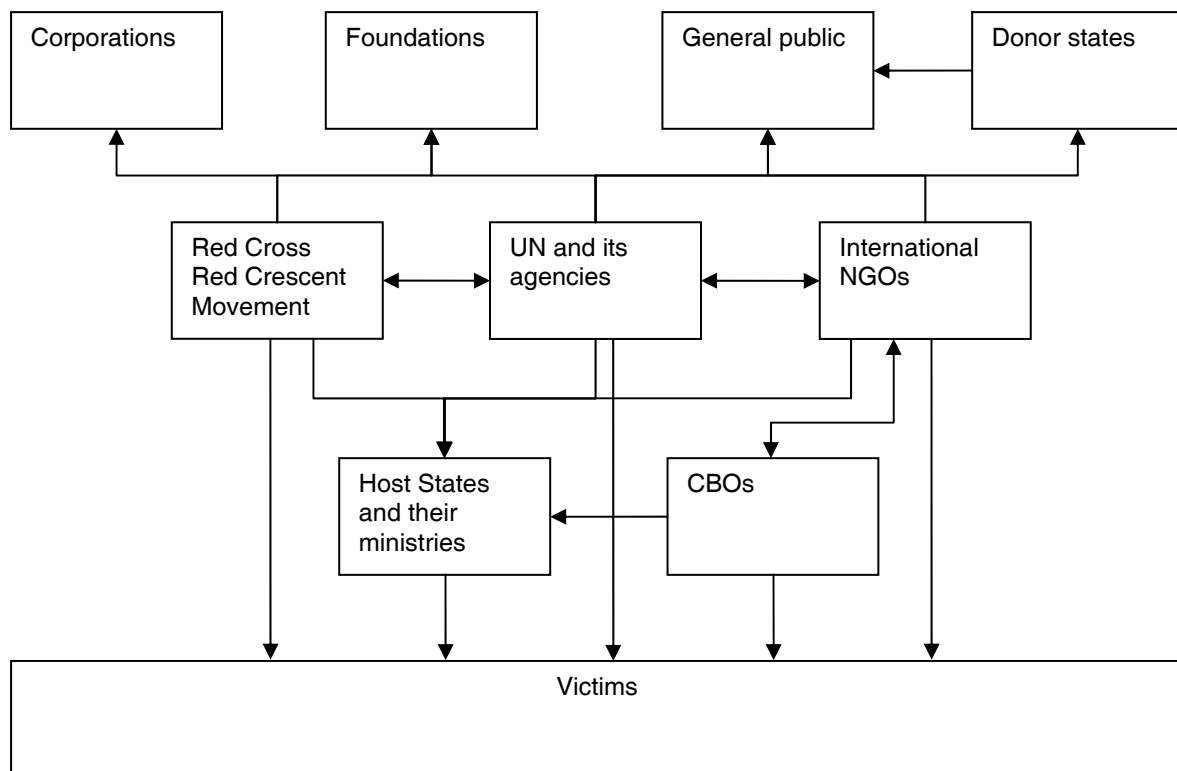
<sup>680</sup> Brown & Moore, 2001, p. 572ff.; Lewis, 2007, p. 167; Lewis, 2002b, p. 376; Smillie, 1997, p. 574; Tandon, 2002, p. 214.

<sup>681</sup> Fowler, 1997, p. 27; Smillie, 1995, p. 149f.

<sup>682</sup> Smillie, 1998, p. 150.

<sup>683</sup> Walker & Maxwell, 2009, p. 3.

NGO's goals, pushing it to focus on some activities rather than others, such as for example credits instead of education.<sup>684</sup> Agencies cater to donor demands in order to continue the funding of their activities. Accountability to donors has pushed agencies to adopt a number of business administration tools, including mission statements, budgets, performance reviews and external audits in order to show results and efficiency.<sup>685</sup> Finally, aid agencies are also accountable to standards and their own internal governance.<sup>686</sup>



**Figure III.19: Accountabilities in the humanitarian system<sup>687</sup>**

Because of the number and variety of stakeholders in aid agencies, management is more difficult. The definition of objectives becomes a difficult task, and goals tend to be broad to reconcile the interests of different stakeholders. Stakeholder management is therefore particularly important in these organizations.<sup>688</sup>

<sup>684</sup> Lewis, 2002b, p. 376f.

<sup>685</sup> Smillie, 1995, p. 150.

<sup>686</sup> Walker & Maxwell, 2009, p. 3.

<sup>687</sup> Adapted from Walker & Maxwell, 2009, p. 4.

<sup>688</sup> Horak, Matul & Scheuch, 2007, p. 182; 197.

## 5.4 Performance measurement

In private companies, overall success is measured with the help of variables, such as market share, turnover and profit.<sup>689</sup> Their “bottom line” is profitability.<sup>690</sup> However, the indicators used in private companies cannot be used to measure success in organizations without a profit motive. Contrary to for-profit companies, their overriding objectives are usually not measurable in quantitative terms and are therefore more of qualitative nature, which complicates the measure of objectives. There are no clear indicators for overall success.<sup>691</sup> This is also supported by Fowler, who argues that, “for most third-sector service-providing organisations, (...) no straightforward, uncontested performance measures present themselves”. As a result, management is more complicated.<sup>692</sup>

Up until the 1990s, humanitarian aid was generally not subject to performance measurement.<sup>693</sup> For one, the nature of the work was evidence enough of organizations’ performance. Humanitarian aid was little criticized as its impact was considered obvious. As Riddell states, “the largely unchallenged assumption was that by and large the aid ‘worked’ ”.<sup>694</sup> As Barnett argues, “the mere provision of assistance was evidence of their good results”.<sup>695</sup> For example, as Taylor & Cuny noted in 1979, “it is generally assumed that because a program has good intentions then it will necessarily have good effects”.<sup>696</sup> Harrell-Bond stated in 1986 that “the importance of evaluating the impact of relief programmes is not widely appreciated” and that “humanitarian work (...) is thought to be selfless, motivated by compassion, and by its very definition suggests *good* work. (...) As relief is a gift, it is not expected that anyone (most especially the recipients) should examine the quality or quantity of what is given”.<sup>697</sup> This corresponds to what Jäger calls the “doing good protects from performance evaluation” misinterpretation.<sup>698</sup> Another reason for the lack of evaluations is the belief that they delay relief efforts. Taylor & Cuny state, “The refrain: ‘we have no time or money to evaluate our efforts – the need is too great’ is all too common among aid officials”. Other reasons include

<sup>689</sup> Fowler, 1997, p. 26; Schwarz & al., 2009, p. 23. However, Courtney (2002, p. 46) argues that the indicators of success for companies are not always evident. These variables may also be interpreted in different ways (Fowler, 1997, p. 26). For an overview of performance measurement approaches in the private sector, see Ramalingam & Mitchell, 2009, p. 20ff.

<sup>690</sup> Drucker, 1992, p. 17; Fowler, 1997, p. 26.

<sup>691</sup> Courtney, 2002, p. 46; Horak & Heimerl, 2007, p. 175; Horak, Matul & Scheuch, 2007, p. 182; Schwarz & al., 2009, p. 23.

<sup>692</sup> Fowler, 1997, p. 26f. See also Edwards & Fowler, 2004, p. 7.

<sup>693</sup> Barnett, 2005, p. 730; Crisp, 2004, p. 4; Riddell, 2007, p. 331.

<sup>694</sup> Riddell, 2007, p. 333.

<sup>695</sup> Barnett, 2005, p. 730.

<sup>696</sup> Taylor & Cuny, 1979, p. 37.

<sup>697</sup> Harrell-Bond, 1986, p. xii.

<sup>698</sup> Jäger, 2010, p. 124.

the difficulties involved, the belief that the evaluation of distress of others “is, somehow, immoral” and the pressure to keep administrative costs low.<sup>699</sup>

Today, the situation has changed: “results count” and “good intentions (...) are no longer sufficient”.<sup>700</sup> Performance is increasingly being measured for two reasons. First, the failures of aid are being brought to light. Second, pressure from donors has also pushed agencies to carry out results-based evaluations.<sup>701</sup> Although approaches vary, the necessity of evaluating aid is now generally recognized<sup>702</sup> and the number of evaluations has increased in recent years.<sup>703</sup> Evaluations are now a “big business”, with regular evaluations being carried out and rendered public, growing literature on the subject, stronger evaluation functions in agencies and increased interaction between agencies. For example, the Active Learning Network for Accountability and Performance in Humanitarian Action, created in 1997, represents one such initiative in the humanitarian sector.<sup>704</sup> However, concerns still exist concerning the quality of evaluations,<sup>705</sup> and approaches to performance assessment remain very fragmented.<sup>706</sup>

Although “younger” than humanitarian aid, development aid has been much more criticized than humanitarian aid<sup>707</sup> and evaluations have been carried out since the 1950s.<sup>708</sup> Harrell-Bond speaks of a “tradition of independent, critical research”<sup>709</sup> and Jäger of “a long tradition” in impact assessment.<sup>710</sup> Evaluation methods in development aid are much more advanced than in humanitarian aid<sup>711</sup> and literature on the subject is abundant.<sup>712</sup> Results-based management has been widely implemented in development agencies, and the Millennium Development Goals, which include targets and performance indicators, and the 2005 Paris Declaration on Aid Effectiveness also represent frameworks for the measurement of performance in development aid.<sup>713</sup> The Millennium Development Goals notably had an effect on impact assessment in the development aid community. Agencies were thus pushed to succeed and a revision of assessment systems followed.<sup>714</sup>

<sup>699</sup> Taylor & Cuny, 1979, p. 37.

<sup>700</sup> Hofmann & al., 2004, p. 5.

<sup>701</sup> Barnett, 2005, p. 730.

<sup>702</sup> Frerks & Hilhorst, 2002, p. 4.

<sup>703</sup> Frerks & Hilhorst, 2002, p. 4; Ramalingam & Mitchell, 2009, p. 69; Riddell, 2007, p. 335.

<sup>704</sup> Crisp, 2004, p. 4f.

<sup>705</sup> Riddell, 2007, p. 335.

<sup>706</sup> Ramalingam & Mitchell, 2009, p. 12ff.

<sup>707</sup> Riddell, 2007, p. 333.

<sup>708</sup> Degnbol-Martinussen & Engberg-Pedersen, 2005, p. 217.

<sup>709</sup> Harrell-Bond, 1986, p. xi; Roche, 2005, p. 18.

<sup>710</sup> Jäger, 2010, p. 115.

<sup>711</sup> Riddell, 2007, p. 330f.

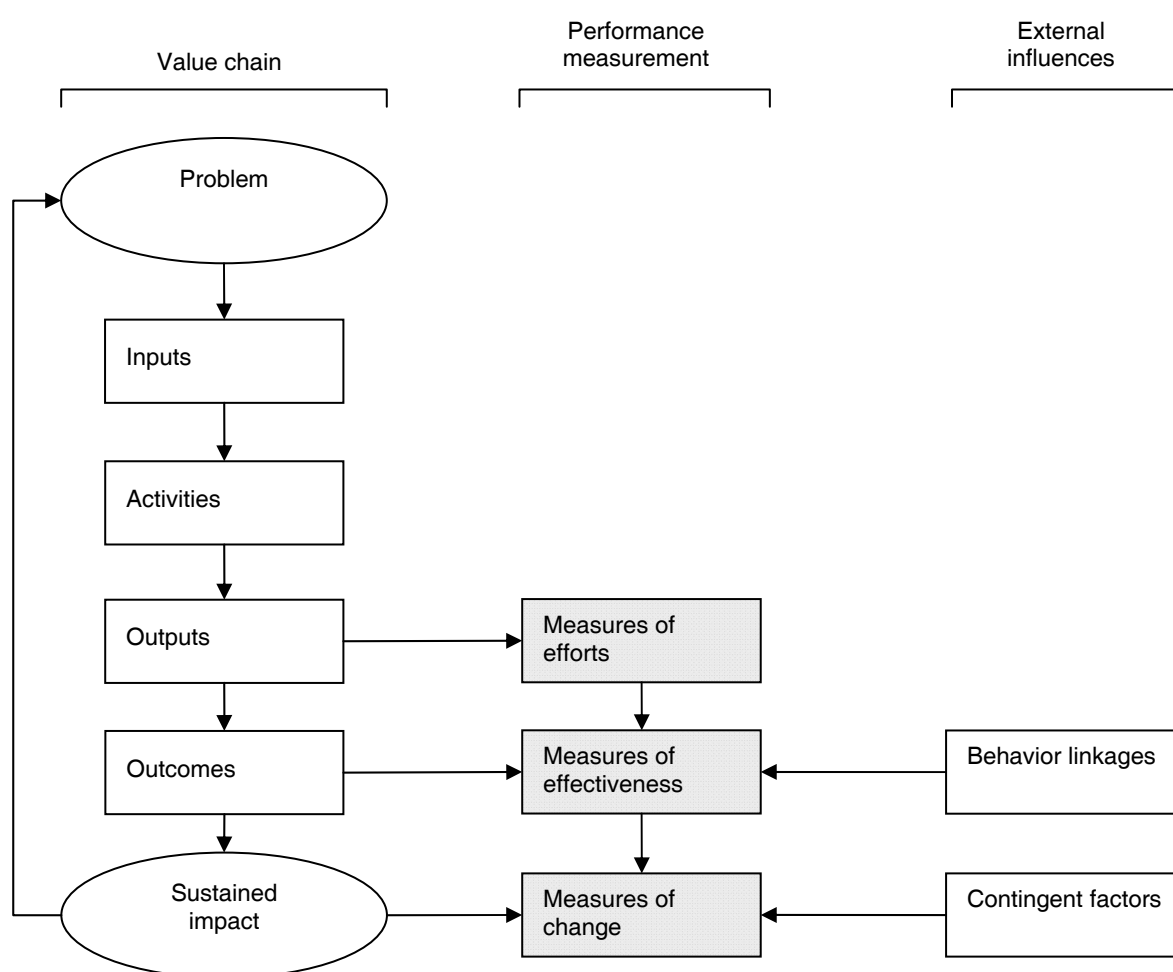
<sup>712</sup> Crisp, 2004, p. 4.

<sup>713</sup> Ramalingam & Mitchell, 2009, p. 12f.; 38f.; 42; 71.

<sup>714</sup> Jäger, 2010, p. 115f.

Many difficulties are associated with performance measurement in aid, due to the nature of the aid task and the environment in which it is provided. The accuracy of data on both aid and the situation in developing countries (economic growth, incidence of poverty, etc.) represent one difficulty.<sup>715</sup> The impact of aid is also difficult to measure. Outputs of the organization do not necessarily correspond to the desired outcome, which does not necessarily correspond to the desired impact. These depend on many factors out of the organization's control.<sup>716</sup> Aid evaluations have therefore generally tended to focus on outputs instead of results.<sup>717</sup> However, efforts are increasingly being made today to assess impact.<sup>718</sup>

**Figure III.20** shows the assessment of performance in the aid chain.



**Figure III.20: Assessing performance along the aid chain**<sup>719</sup>

<sup>715</sup> Riddell, 2007, p. 166f.

<sup>716</sup> Fowler, 1997, p. 163f.

<sup>717</sup> Smillie, 1998, p. 56; Smillie, 1995, p. 159.

<sup>718</sup> Hofmann & al., 2004, p. 1ff.; Proudlock & Ramalingam, 2009, p. 102ff.

<sup>719</sup> Adapted from Fowler, 1997, p. 163.

Although development aid is provided in relatively stable environments, its impact is difficult to measure.<sup>720</sup> The lack of a control group is one difficulty.<sup>721</sup> Development is also a very long and complex task.<sup>722</sup> The impact of certain types of aid is clearer than others. For example, the benefits of building a road are clearer than those of health education to improve health. The difficulty is the problem of attribution: determining to what extent aid is linked to the outcome, as many other factors may come into play. Riddell summarizes: "The more complex and wide-ranging the aid (...) and the longer it takes to implement, the greater are the number of factors (...), which will influence the outcome, and so the less sure one can be of the link between aid and the ultimate outcome".<sup>723</sup>

An opposition between standardized and country-specific approaches also exists. This is because internationally de-centralized organizations aim for evaluation approaches adapted to local situations, while headquarters aim for standardized approaches, as these allow the comparison and consolidation of the evaluations of different operational areas. Jäger argues that this opposition constitutes an "organizational tension area".<sup>724</sup>

The evaluation of the impact of humanitarian aid is particularly challenging.<sup>725</sup> These include difficulties such as the lack of consensus on objectives of humanitarian aid,<sup>726</sup> unstable operating environments<sup>727</sup> and the uniqueness of each crisis, which limits the transferability of data. Time pressure and changing objectives also represent difficulties.<sup>728</sup> Finally, the humanitarian culture generally gives more importance to action than analysis.<sup>729</sup> As Frerks & Hilhorst state, "the saving of lives and alleviation of suffering is of paramount importance and should, according to many aid workers involved, take precedence over secondary activities, including monitoring and evaluation".<sup>730</sup>

Another challenge is the provision of feedback. Private companies depend on consumer feedback, which is generally quick and direct: win or loss of sales.<sup>731</sup> For the beneficiaries of aid, the provision of feedback on the service provided is extremely difficult. If they are displeased with the aid provided, beneficiaries are unable to communicate complaints or to influence decisions.<sup>732</sup> This is further

<sup>720</sup> Degnbol-Martinussen & Engberg-Pedersen, 2005, p. 233ff.; Hofmann & al., 2004, p. 5.

<sup>721</sup> Riddell, 2007, p. 168.

<sup>722</sup> Smillie, 1995, p. 158.

<sup>723</sup> Riddell, 2007, p. 168.

<sup>724</sup> Jäger, 2010, p. 116.

<sup>725</sup> Frerks & Hilhorst, 2002, p. 3; 19; Hofmann & al., 2004, p. 5; Ramalingam & Mitchell, 2009, p. 69.

<sup>726</sup> Hofmann & al., 2004, p. 19f.

<sup>727</sup> Frerks & Hilhorst, 2002, p. 3; Smillie, 1998, p. 56.

<sup>728</sup> Frerks & Hilhorst, 2002, p. 3.

<sup>729</sup> Hofmann & al., 2004, p. 2; 19.

<sup>730</sup> Frerks & Hilhorst, 2002, p. 3.

<sup>731</sup> Fowler, 1991, p. 4; Walkup, 1997, p. 51.

<sup>732</sup> Fowler, 1991, p. 4; Natsios, 1996, p. 71.

complicated by the distance between donors and beneficiaries.<sup>733</sup> Fowler argues that “the most critical line of feedback and measure must come from the primary stakeholder”, that is, the beneficiaries, due to the fact that “it is their poverty or deprivation which is used to justify the organisation’s existence”.<sup>734</sup> However, aid agencies may be more preoccupied with displeasure of donors than that of beneficiaries in order to guarantee further funding,<sup>735</sup> and the two stakeholders may not have the same criteria for success.<sup>736</sup> The need for the increased participation of beneficiaries in performance measurement has been stressed.<sup>737</sup>

Finally, maintaining and improving performance also means learning from experiences. Evaluations can serve as a means to learn. However, learning capacity is weak in humanitarian aid.<sup>738</sup> Although initiatives such as the Active Learning Network for Accountability and Performance in Humanitarian Action exist to improve learning, such efforts are fragmented,<sup>739</sup> and the sector lacks “a ‘learning culture’ ”.<sup>740</sup> The “tyranny of the urgent” is often cited as a cause.<sup>741</sup> Furthermore, the humanitarian sector is characterized by high staff turnover, which limits learning.<sup>742</sup> Danger, stress, overwork and burnout are common, leaving little time to pass on information. As Smillie states, “these realities leave institutional memories shallow and provide experienced workers with inadequate time to educate others”.<sup>743</sup> Lesson-learning is also weak in development aid. Smillie argues that “the inability to learn and remember is a widespread failing of the development community as a whole”.

The problem notably exists for NGOs. Due to expectations and the “advertising” of NGOs as quick, efficient and effective providers of aid, “there are few reasons to disseminate the positive lessons of development, and many more powerful reasons to conceal and forget the negative ones”.<sup>744</sup> Open evaluations by NGOs have therefore generally been avoided, because they were considered to be “a perilous business”. The revelation of failures, very little tolerated in the aid sector, was seen as a threat to future funding.<sup>745</sup>

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<sup>733</sup> Fowler, 1991, p. 4.

<sup>734</sup> Fowler, 1997, p. 27.

<sup>735</sup> Smillie, 1995, p. 148ff.; Walkup, 1997, p. 51f.

<sup>736</sup> Walkup, 1997, p. 51.

<sup>737</sup> Hofmann & al., 2004, p. 3; Proudlock & Ramalingam, 2009, p. 102; 106f.; 138ff.; Ramalingam & Mitchell, 2009, p. 16.

<sup>738</sup> Smillie, 1998, p. xv; 53; Walker & Maxwell, 2009, p. 148ff.; Weiss & Hoffman, 2007, p. 47.

<sup>739</sup> Walker & Maxwell, 2009, p. 148.

<sup>740</sup> Proudlock & Ramalingam, 2009, p. 174.

<sup>741</sup> Minear, 2002, p. 159.

<sup>742</sup> Gonçalves, 2008, p. 2; Winter, 2001, p. 41.

<sup>743</sup> Smillie, 1998, p. xv; 53.

<sup>744</sup> Smillie, 1995, p. 158.

<sup>745</sup> Smillie, 1998, p. 53; 56; Smillie, 1995, p. 158.



## **6 Conclusions for the research project**

This chapter aimed to obtain, with the help of a review of relevant literature, an understanding of the world of foreign aid, its organizations, as well as the implications of their specificities on strategic management. This was necessary in order to reach the first intermediate objective of the thesis, that is, to acquire a better understanding of international aid organizations and of their specific needs in strategic management.

This chapter first focused on the review of relevant literature on the task of aid. The definition, types and motives of aid were described. Two types of aid were notably presented: humanitarian aid and development aid. For each, the history, definition, areas of work, financing and coordination of delivery were exposed. The chapter then presented two important types of actors in the aid sector: UN agencies and NGOs. The aim was to obtain an overview of these actors by looking at their histories, activities, organizational structures and financing.

This chapter has shown that several specificities are linked to the task of aid, as well as to aid organizations themselves, and that they pose distinctive challenges for strategic management.

As intermediaries that are present in several arenas – in developed countries where their headquarters are located and in developing countries where their activities are carried out – aid agencies must manage political skills on top of managerial skills. As outsiders, they must integrate themselves in an unfamiliar and varying environment that is complex, hostile and unpredictable, posing operational and ethical challenges. The nature of the humanitarian environment is particularly challenging. An analysis of the environment to introduce strategic planning therefore appears to be particularly important.

Aid agencies also deal with ambitious and complex tasks and objectives, and the realization of goals depends on many factors, which agencies are not able to control. With its short-term objectives and the unpredictable nature of activities, strategic planning appears to be particularly challenging for humanitarian activities.

Financing constitutes an important challenge. Funding is insufficient, insecure and shaped by donor interests. Competition for funds, staff, contracts, etc. also exists in the world of aid: It is intense and activities may be selected according their potential to raise funds. A key task in strategic planning therefore is to ensure funding without compromising mission and identity.

Aid agencies also have multiple stakeholders with different objectives, including donors, beneficiaries, etc. and thus multiple accountabilities. Therefore, stakeholder analysis appears to be particularly important.

Finally, the more qualitative nature of objectives renders the determination of indicators difficult, and as a result, the measure of performance also proves to be difficult. Data quality, attribution, the provision of feedback from beneficiaries and low learning capacity represent additional problems.

The different specificities are likely to have implications on strategic management, with adaptations necessary. For example, analysis and planning tools must be adapted to their needs. The number of these organizations over the past few decades and their importance in aid has grown significantly. However, as will be shown in the following chapter, the amount of research on their management remains limited. Given this, the author's main objective is to develop a set of concrete recommendations for strategic management that meets the specific needs of these organizations. The literature review will enable the author to integrate the knowledge acquired into the recommendations.

## **IV STATE OF LITERATURE ON STRATEGIC MANAGEMENT IN INTERNATIONAL AID ORGANIZATIONS**

### **1 Introduction**

Chapter IV is dedicated to literature on strategic management in international aid organizations. It aims to show its current state of research and the gaps on this topic. The chapter also aims to show the implications on the research project.

The chapter is divided into four sections.

- Section 1 is the introduction.
- Section 2 presents the author's procedure for the literature search.
- Section 3 is dedicated to the results of the author's literature search.
- Section 4 presents the implications for the research project.

### **2 Literature search process**

#### **2.1 Overview**

Literature can be defined as “all sources of published data on a particular topic”,<sup>746</sup> “the existing body of knowledge”,<sup>747</sup> or “the record of other people's research”.<sup>748</sup> A literature search is “the process of finding out more about a research topic”.<sup>749</sup>

In order to systematically search the literature on strategic planning in international aid organizations, the author adopted the procedure proposed by Collis & Hussey, shown in **Figure IV.1**.<sup>750</sup> Each of the steps is commented in the following text.

#### **2.2 Determination of sources**

The first step of a literature search is to draw up a list of sources. Saunders, Lewis & Thornhill classify sources into three categories:<sup>751</sup>

- Primary sources: Also known as grey literature because of the difficulty in locating them, primary literature is “the first occurrence of a piece of work”.
- Secondary sources: Easier to find than the first category, secondary literature covers “subsequent publications of primary literature”.

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<sup>746</sup> Collis & Hussey, 2009, p. 91.

<sup>747</sup> Collis & Hussey, 2009, p. 91.

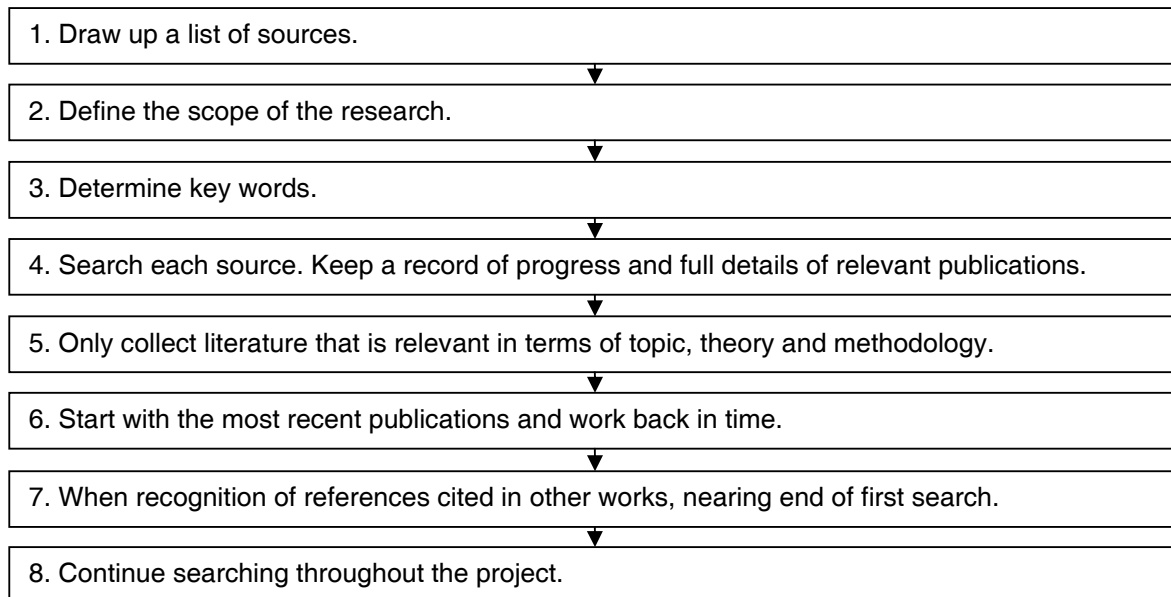
<sup>748</sup> Maylor & Blackmon, 2005, p. 98.

<sup>749</sup> Maylor & Blackmon, 2005, p. 98.

<sup>750</sup> Collis & Hussey, 2009, p. 92.

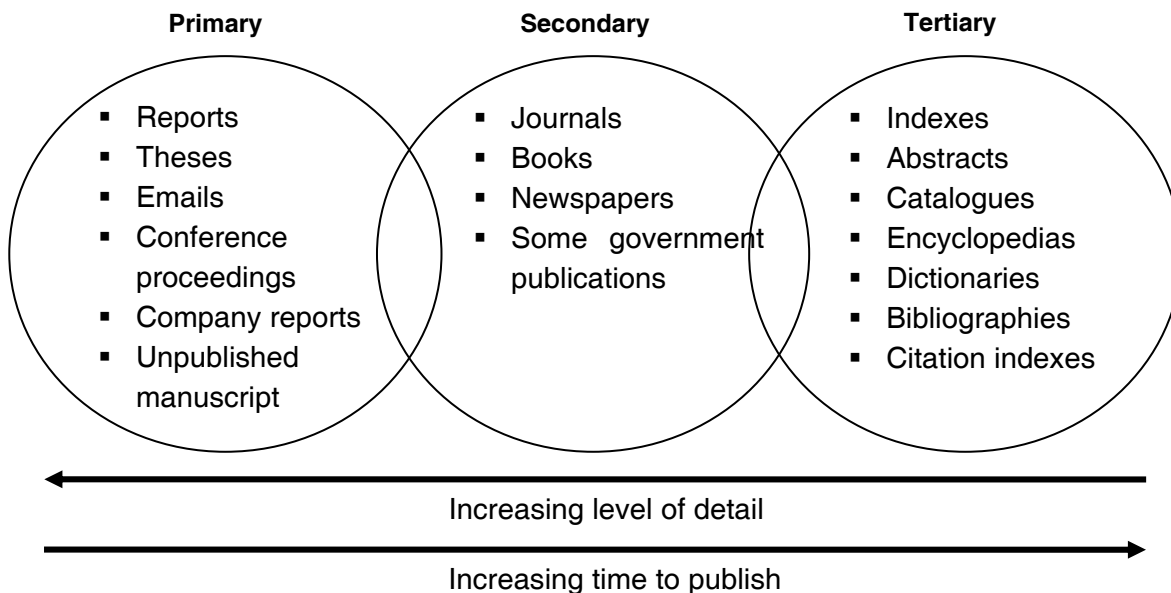
<sup>751</sup> Saunders, Lewis & Thornhill, 2009, p. 68ff.

- Tertiary sources: This category covers sources used to trace the first two categories of literature, and are therefore also referred to as search tools.



**Figure IV.1: Procedure for a systematic literature search**<sup>752</sup>

These three categories are shown in **Figure IV.2**. For the literature review chapters (chapters II, III and IV of the thesis), focus was put on secondary and tertiary sources of literature.



**Figure IV.2: Literature sources**<sup>753</sup>

<sup>752</sup> Adapted from Collis & Hussey, 2009, p. 92.

<sup>753</sup> Saunders, Lewis & Thornhill, 2009, p. 69.

## 2.3 Definition of scope

The second step in the procedure is to define the scope of the research. To do so, limitations can be set according to time, geography and disciplinary approach when searching the literature.<sup>754</sup>

For the literature review of the thesis, no limitations were set with regards to time and geography. As different disciplines are concerned with the study of organizations active in providing aid,<sup>755</sup> the author chose to take a multidisciplinary approach when searching the literature. The search focused on the following literature disciplines:

- The discipline of management, which includes business administration, public administration/management and NPO/third sector management. When looking at these three categories, the field of strategic management was focused on.
- The discipline of political science and international relations is considered particularly relevant, notably for the topics of aid, the UN and NGOs. Focus was put on management, and more particularly on long-range planning.

## 2.4 Determination of keywords

In the third step, key words are then determined for the search, keeping synonyms and alternative spellings in mind.<sup>756</sup> Keywords were determined by the author using the techniques of initial reading and brainstorming, as suggested by Saunders, Lewis & Thornhill.<sup>757</sup> The keywords were then classified into different categories. These are shown in **Figure IV.3**.

Management discipline	Organization	Task
Strategy	Third sector	Aid / assistance / action
Strategic	Nonprofit / Non-profit / NPO	Humanitarian
Strategic planning	Nongovernmental / Non-governmental / NGO	Development
Strategic management	United Nations / UN	Relief
Management	Red Cross / ICRC	

**Figure IV.3: Keywords**<sup>758</sup>

<sup>754</sup> Collis & Hussey, 2009, p. 92. This can be a single or multi-disciplinary approach, or it can be a single discipline, multi-concept approach.

<sup>755</sup> Appel, 2009, p. 90; Dijkzeul, 1997a, p. 11; Frantz, 2005, p. 21f.

<sup>756</sup> Collis & Hussey, 2009, p. 92. For example, both British and American spellings were considered. Plural forms were also considered.

<sup>757</sup> Saunders, Lewis & Thornhill, 2009, p. 79.

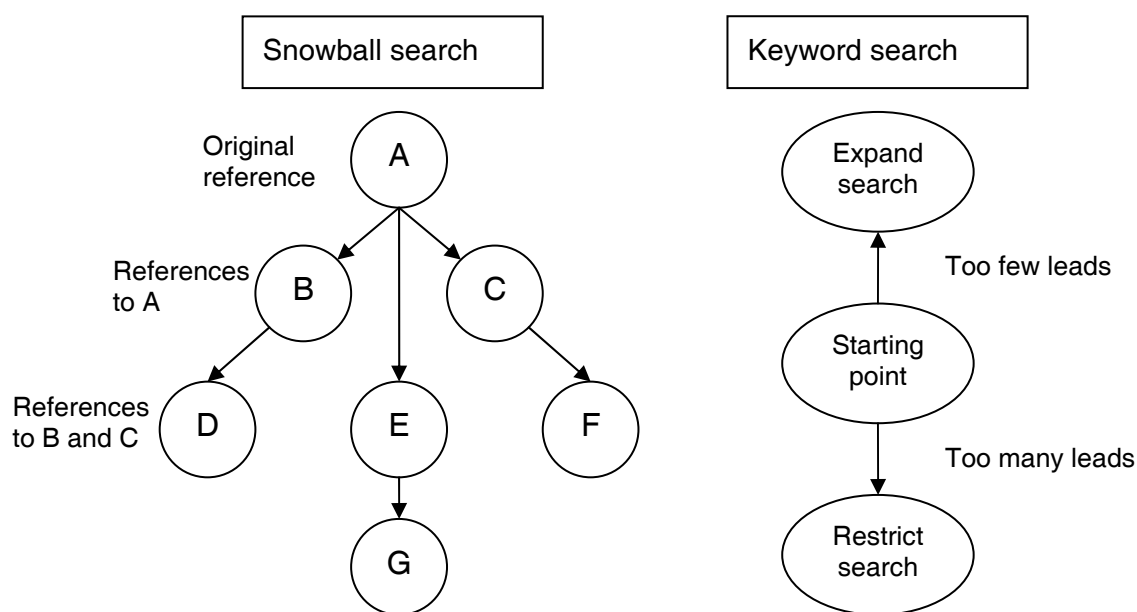
<sup>758</sup> Own elaboration.

## 2.5 Search

Two search strategies were used by the author, following Maylor & Blackmon:<sup>759</sup>

- **Keyword search:** Relevant combinations of the keywords shown above were then imagined by the researcher. These included, for example, “strategic planning AND aid”, “NGOs AND strategic management”, “United Nations AND strategy”, “NGOs AND management”. The keywords were then entered into library catalogues (notably the Library Network of Western Switzerland and the Informationsverbund Deutschschweiz), as well as into databases (in particular WILEY, Business Source Complete, JSTOR and SAGE).
- **Snowball search:** This involves identifying a key work in the area of research and then searching the bibliography. The bibliographies of those works are then searched for and so on.

Both search techniques are illustrated in **Figure IV.4**.



**Figure IV.4: Search strategies**<sup>760</sup>

## 2.6 Recording of references

The fifth step consists in the recording of references. A hard copy of every piece of literature was kept. A filing system was developed to store these hard copies. Full bibliographic details (including author, year of publication, title, etc.) were also recorded for each source using the software Citavi.

<sup>759</sup> Maylor & Blackmon, 2005, p. 113ff.

<sup>760</sup> Maylor & Blackmon, 2005, p. 113.

## 2.7 Final steps

As suggested in the procedure, only the literature considered to be relevant by the author was collected. Furthermore, the most recent publications were selected first. The author also kept searching until references were recognized in other works. Finally, the author kept searching regularly throughout the research project, in order to ensure that the most recent publications were also included.

## 3 Overview of literature

In the following sub-sections, the results of the literature search are presented. The author examines the literature on the management of different types of aid organizations. The section is structured according to the types of organizations: NGOs, UN agencies and the International Red Cross and Red Crescent Movement. Although the author generally considers the latter to consist in a very unique type of NGO, it is considered separately in this chapter due to its special status and importance in the world of aid.

### 3.1 Literature on NGOs

#### 3.1.1 Literature on NPOs and its relevance for NGOs

##### *a Literature on NPOs*

The discipline of management has generally focused on for-profit enterprises. The public sector or government sector is also covered extensively. A growing amount of research has however been carried out on the non-profit or third sector and its distinctive management challenges.<sup>761</sup> On top of numerous books,<sup>762</sup> entire journals are dedicated today to the management of this sector, including, for example, *Nonprofit Management and Leadership*, *International Journal of Nonprofit and Voluntary Sector Marketing*, or *Nonprofit Business Advisor*.

Many contributions also discuss strategy and strategic planning and/or management in the NPO sector. Smillie & Hailey stress that “by the mid-1990s, (...) ‘strategy’ occupied at least one good-sized chapter in almost every book about non-profit management”.<sup>763</sup> Today, a number of books dedicated entirely to the topic also exist.<sup>764</sup> Stone, Bigelow & Crittenden’s search in 1999 of major

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<sup>761</sup> Lewis, 2007, p. 9; 14; 17; 28; Smillie & Hailey, 2001, p. 91.

<sup>762</sup> Over 100 were found by the author.

<sup>763</sup> Smillie & Hailey, 2001, p. 93.

<sup>764</sup> The author found over 100 contributions on the topic.

journals from 1977 to 1999 revealed that extensive literature on strategic management in NPOs exists. An important number of contributions have been made on a wide variety of areas, including different settings, components of strategic management, determinants and outcomes of processes and practices.<sup>765</sup>

The following text presents a selection of the empirical literature on NPOs.

The differences in strategy between the nonprofit sector and other sectors have been considered. Moore identified two important differences between organizations in the private for-profit sector, the social non-profit sector and the public governmental sector: the measure of value and the defining source of revenue.<sup>766</sup> These are shown in **Figure IV.5**.

<b>Sector</b>	<b>Private for-profit</b>	<b>Social non-profit</b>	<b>Public governmental</b>
<b>Differences</b>			
<b>Constitution and measure of value</b>	Financial returns delivered to shareholders and use value delivered to customers	Achievement of social purposes and satisfaction of donors' desires to contribute to the cause <sup>767</sup>	Achievement of politically mandated mission and fulfillment of citizen aspirations more or less reliably reflected in the mandate
<b>Defining source of revenue</b>	Revenues earned by sale of products and services to customers	Charitable contributions of money, time and material	Appropriated tax dollars

**Figure IV.5: Differences between the three sectors**<sup>768</sup>

For Moore, models developed for the private sector do not acknowledge these differences and may therefore not be easily transposable to NPOs. The author presents a strategy model developed for the government sector, which focuses on three points: the creation of value, the sources of legitimacy and support, as well as the operational capacity to create value. It is shown in **Figure IV.6**. Three features of the model are important for the non-profit sector. First, value is created by achieving mission and not by performing financially. Second, the source of legitimacy and support in NPOs is a wide authorizing environment, constituted of donors, citizens, the media, governments, etc. Finally, legitimacy and support are not only means to achieve the mission, but they are also ends in themselves.<sup>769</sup>

<sup>765</sup> Stone, Bigelow & Crittenden, 1999, p. 378ff.

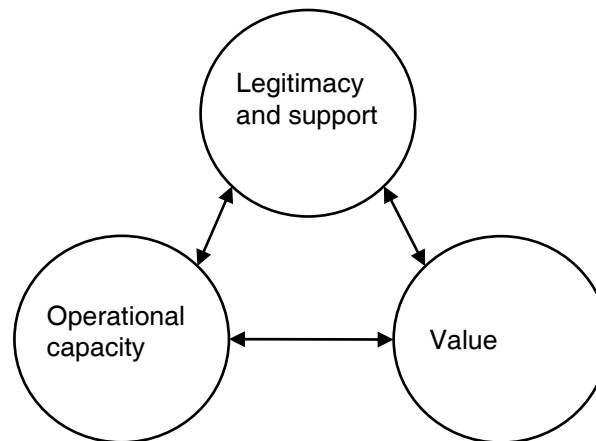
<sup>766</sup> Moore, 2000, p. 183ff.

<sup>767</sup> Oster, 1995, p. 139ff.

<sup>768</sup> Own elaboration based on Moore, 2000, p. 185f.

<sup>769</sup> Moore, 2000, p. 183ff.; 196ff.; 199ff.





**Figure IV.6: Strategy in the public sector**<sup>770</sup>

Formal strategic practices and their impact on areas such as performance, stakeholder satisfaction and resources is another area that has been researched. For example, in her study of 240 Young Men's Christian Association organizations, Siciliano found a positive relationship between formal strategic planning and organizational performance – both social and financial. Formal strategic planning activities such as setting long-term goals and short-term objectives, developing action plans and monitoring results all contributed to increased performance, regardless of the organization's size. A formal environmental analysis contributed strongly to increased social performance, as a competitive analysis did to increased financial performance. The development of a mission statement, however, was not correlated with performance.<sup>771</sup>

Crittenden, Crittenden & Hunt<sup>772</sup> studied the relationship between formal strategic planning and stakeholder satisfaction in religious organizations. According to the findings of their study, the selection of individual strategic planning elements, rather than the use of a complete or formal process, may be sufficient to satisfy stakeholders and thus acquire resources, both being essential to their survival in the long-term. The relationship between strategic planning elements and resource acquisition is shown in **Figure IV.7**.

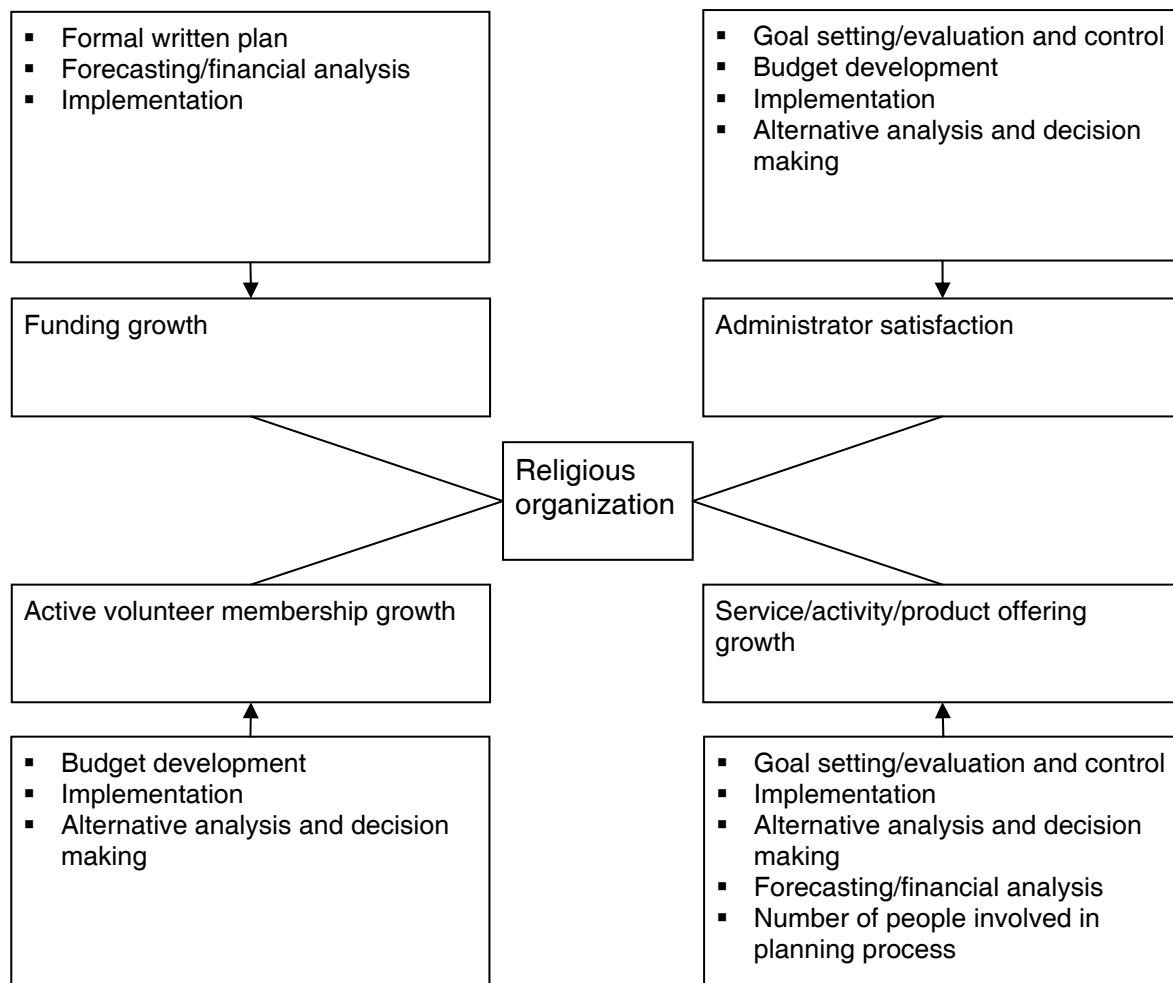
Courtney, Marnoch & Williamson studied the impact of strategic planning practices on performance of housing associations in Northern Ireland. Of the nine associations studied, six used sophisticated planning approaches, and those with the most sophisticated ones had the highest performance. Although a positive correlation between strategic planning and performance could not be confirmed, the authors argue that “there is no reason, based on results, to deny a positive

<sup>770</sup> Moore, 2000, p. 197.

<sup>771</sup> Siciliano, 1997, p. 387ff.

<sup>772</sup> Crittenden, Crittenden & Hunt, 1988, p. 60ff.

association between strategic planning sophistication/approach and performance".<sup>773</sup>



**Figure IV.7: Strategic planning elements - resource acquisition relationship**<sup>774</sup>

Literature on the strategic positioning of NPOs is lacking, despite the recognition of its importance.<sup>775</sup> Chew & Osborne notably carried out research on this area. The authors identified a number of factors influencing the positioning at the organizational level<sup>776</sup> of charitable organizations providing public services in the United Kingdom. These included organizational, external environmental and mediating factors, some of which were unique to the context of charities (e.g. mission governmental influence and competing demands from internal and external stakeholders). The model integrating the factors influencing positioning strategy in charities is shown in **Figure IV.8**.<sup>777</sup>

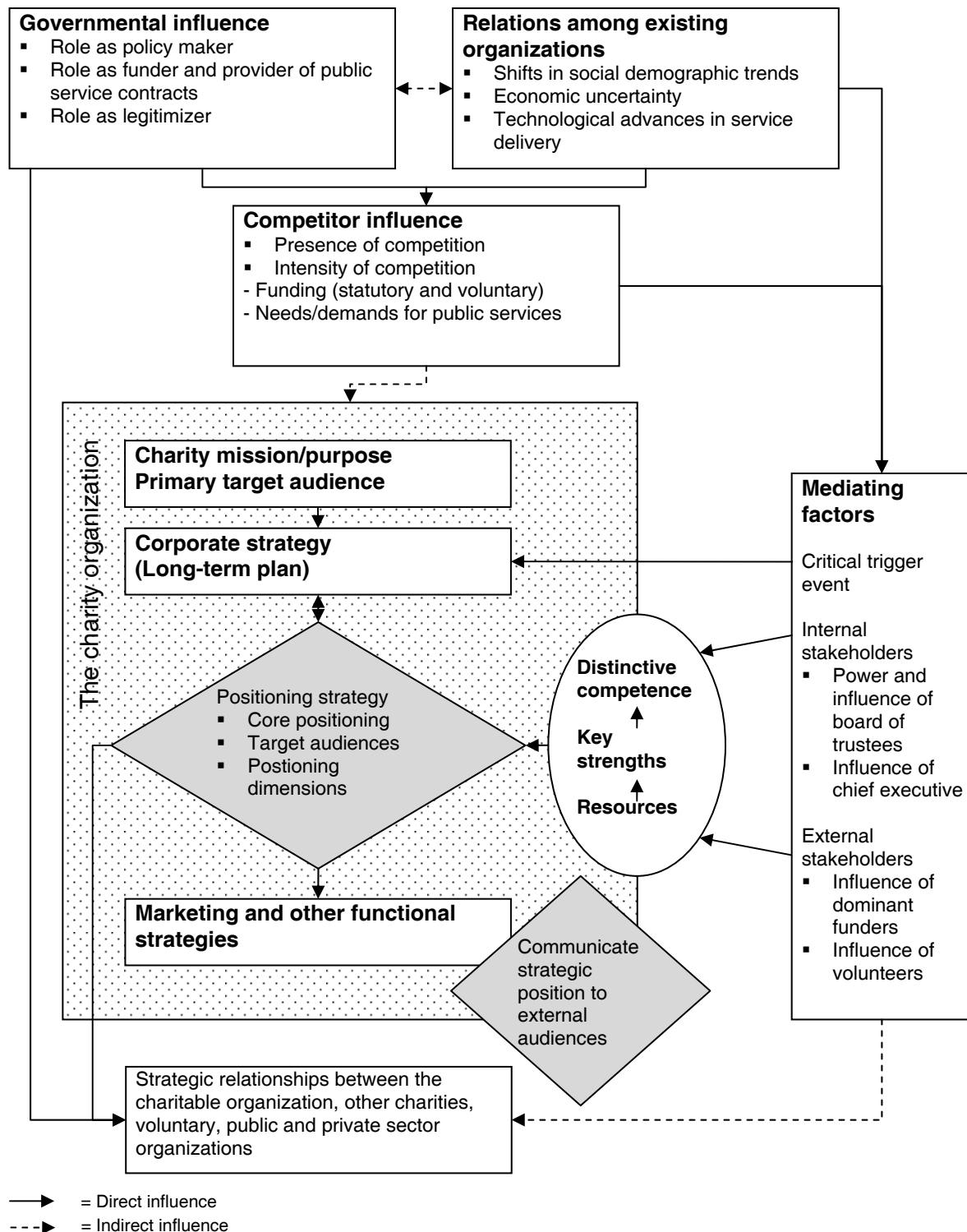
<sup>773</sup> Courtney, Marnoch & Williamson, 2009, p. 55ff.

<sup>774</sup> Adapted from Crittenden, Crittenden & Hunt, 1988, p.70.

<sup>775</sup> Chew, 2006, p. 334; Chew & Osborne, 2009, p. 29f.

<sup>776</sup> Positioning at this level is different from positioning at the product or brand level.

<sup>777</sup> Chew & Osborne, 2009, p. 29ff.



**Figure IV.8: Integrating model of factors influencing positioning strategy<sup>778</sup>**

Another area which has received attention is the impact of positioning on performance and income. Mazzarol & Soutar, for example, studied the relationship between the choice of generic positioning strategy according to Porter<sup>779</sup> and

<sup>778</sup> Adapted from Chew & Osborne, 2009, p. 38.

<sup>779</sup> Porter, 1980, p. 34ff.

performance in the educational services sector. Results showed that institutions with clear, coherent strategies performed better than those lacking such strategies.<sup>780</sup> Another example is the research of Frumkin & Kim, who studied the relationship between NPOs' strategic positioning on efficiency – defined as a low administrative costs / expenses ratio – and increased contributed income. Their findings suggested that a positioning as efficient did not increase the ability to attract contributions.<sup>781</sup>

The relationship between strategy and structure in NPOs has also been studied. Brown & Iverson, for example, classified 132 organizations according to the Miles & Snow's typology<sup>782</sup> and looked at their board committees and board composition. The authors found that prospectors had broader and more inclusive structures, generally including two or more constituent groups, and that defenders had fewer committees with fewer members.<sup>783</sup>

Golensky & Mulder studied the strategies used by human services organizations in order to maintain the integrity of their mission in an uncertain environment. Many different strategies were adopted, and their selection seemed to be influenced by previous experience, the chances of success and the implementation costs. The study's findings also suggest an "analyzer" behavior in the Miles & Snow typology. The authors stress the need for such organizations to become "prospectors".<sup>784</sup>

Miljkovic used the organizational portfolio theory, which explains organizational change driven by performance, in international NPOs constituted by member countries or regions (e.g. the World Bank, the International Monetary Fund and the World Trade Organization). The author identified seven factors affecting their organizational performance, some of which push the organization to adapt, while others do not.<sup>785</sup> **Figure IV.9** shows the factors and the likeliness of change.

<sup>780</sup> Mazzarol & Soutar, 2008, p. 141ff.

<sup>781</sup> Frumkin & Kim, 2001, p. 266ff.

<sup>782</sup> Miles & Snow (2003, p. 29) distinguish four organization types. Each adopt different adaptive strategies: defenders, prospectors, analyzers and reactors. Defenders generally do not investigate opportunities outside of their stable and limited product-market domain. Technology, structure and processes are maintained, and the organization focuses on increasing efficiency. Prospectors constantly investigate new opportunities and generate changes in their environment. They focus on innovation, and are generally not completely efficient. Analyzers are active in both stable and changing product-market domains and combine the two types mentioned above. In the stable domain, operations are stable and efficient. In the changing domain, competitors are observed and their most "promising" ideas are taken. Reactors are present in uncertain and changing environments, but fail to generate effective responses. The relationship between strategy and structure is not consistent and adaptive changes are brought on by pressures in the environment.

<sup>783</sup> Brown & Iverson, 2004, p. 377ff.

<sup>784</sup> Golensky & Mulder, 2006, p. 5ff.

<sup>785</sup> Miljkovic, 2006, p. 145ff.

Adaptive change is... Factors	More likely if...	Less likely if...
1. Fluctuations in global political environment	Significant change in the global political environment	No significant change in the global political environment
2. Changes in relative political and economic power among member countries	Significantly increasing disparity in relative political and economic power among member countries,	Relative political and economic power among member countries remained unchanged
3. Existence of competing international organizations	New international organizations with similar agenda being formed	No new international organizations with similar agenda were formed
4. Membership diversity	Member countries being from distant and culturally very diverse regions	Member countries are from same regions and are culturally very similar
5. Non-executive directors and managers	Small permanent professional staff and with little influence on rotating and changing political executives	Permanent professional staff was large and with great influence on rotating and changing political executives
6. Steady inflow of financial resources	The inflow of financial resources needed for the organization becoming decreasing or inconsistent over time	The inflow of financial resources needed for the organization was steady and consistent over time
7. Diversity of goals	The goals set for the organization being a few and very specific	The goals set for the organization were numerous and vague

**Figure IV.9: Factors affecting the performance of international NPOs**<sup>786</sup>

The seven factors as causes of risk, performance and organizational change are shown in **Figure IV.10**.

A number of tools developed for the private sector have also been adapted for use by the non-profit sector. Adaptations of portfolio methods can notably be found. For example, Nutt & Backoff, propose an adaptation of the BCG portfolio to the public and third sector. Two criteria are used:<sup>787</sup>

- Tractability, defined as “the prospect that an issue can be successfully attacked by the organization”, replaces growth in the BCG portfolio.<sup>788</sup>
- Relative stakeholder support replaces relative market share in the BCG portfolio. It is “the attitude of people who will be affected by the agency’s actions to serve people with needs”.<sup>789</sup>

<sup>786</sup> Own elaboration based on Miljkovic, 2006, p. 149f.

<sup>787</sup> Nutt & Backoff, 1992, p. 104ff.

<sup>788</sup> The authors argue for example that the issue of HIV/AIDS is considered to have low tractability, because prospects for treatment are low, the range of people in the target group is high, the potential target group is large and require lifestyle changes that are not easily accepted. Kidney problems have high tractability as prospects for treatment are high, target groups are clearly defined and lifestyle changes are easily accepted.

<sup>789</sup> For example, public support is given to persons with end-stage kidney diseases, whereas it is given less to persons with HIV/AIDS.

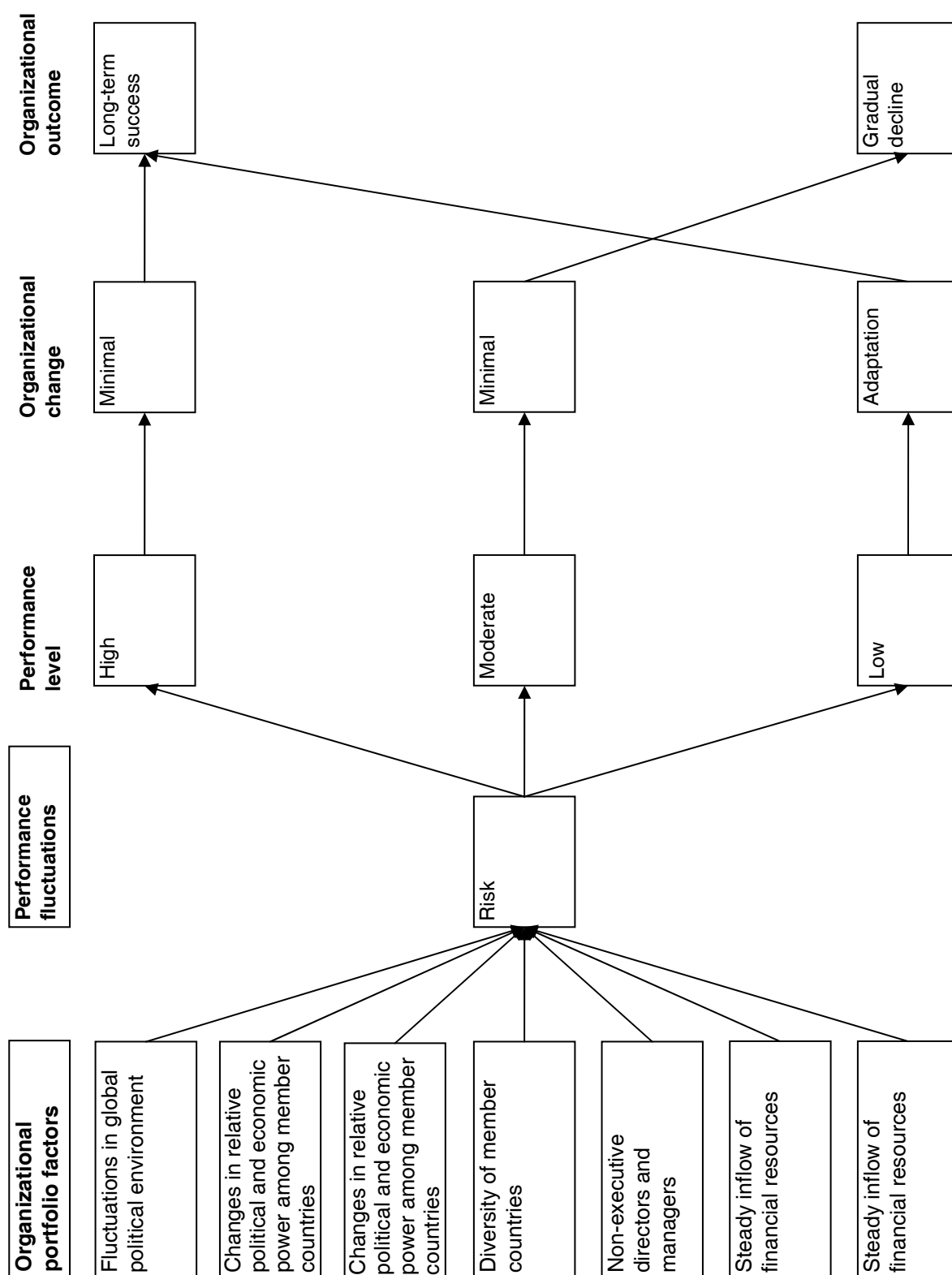
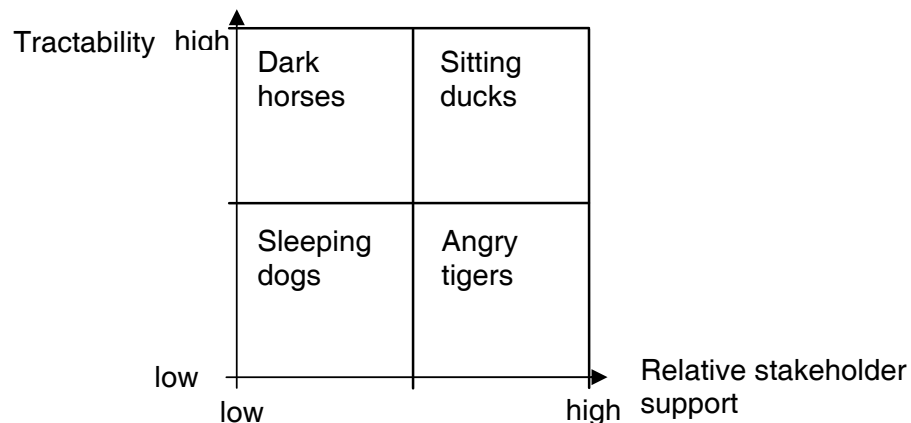


Figure IV.10: International NPO's factors as causes of risk, performance and organizational change<sup>790</sup>

<sup>790</sup> Miljkovic, 2006, p. 149.

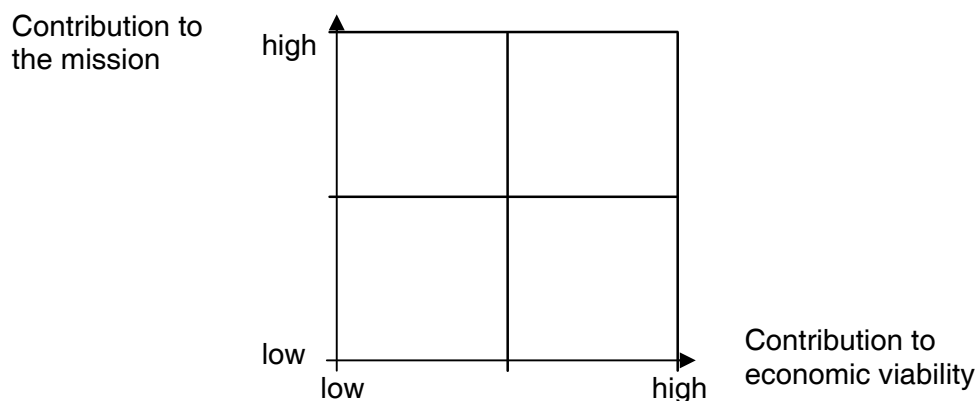
The matrix combining these two criteria is shown in **Figure IV.11**.



**Figure IV.11: Nutt & Backoff portfolio approach**<sup>791</sup>

The authors also give recommendations for each of the four resulting squares. For angry tigers, issues in other squares of the matrix should be dealt with in order to deflect concerns. Sitting ducks are easily manageable and increases credibility. Dark horses should be dealt with, and the benefits should be publicized. Finally, for sleeping dogs, the authors recommend leaving such issues off an agency's agenda.<sup>792</sup>

Another approach is given by Oster, who chose economic contribution ("How much does each activity contribute to the ability of the organization to generate revenues (...)?" ) and the contribution to the organizational mission as the two criteria in the matrix. The resulting matrix is shown in **Figure IV.12**.



**Figure IV.12: Oster's portfolio approach**<sup>793</sup>

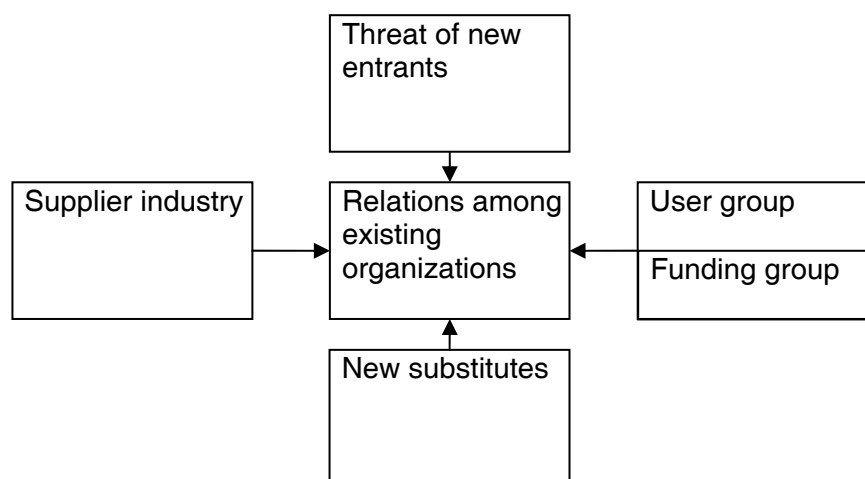
<sup>791</sup> Adapted from Nutt & Backoff, 1992, p. 103.

<sup>792</sup> Nutt & Backoff, 1992, p. 105. An example of an angry tiger is the educational achievement of minority children. An example of a sitting duck is the national kidney program in the United States. An example of a dark horse is the provision of life-management skills for the severely mentally handicapped. An example of a sleeping dog is providing AIDS treatment.

<sup>793</sup> Adapted from Oster, 1995, p. 93.

Activities can then be positioned in this matrix. Their size of circles in the portfolio can be determined using revenues, employment or clients served. A mix of activities should be aimed for in order to maintain mission and survival. Activities in the top right square are ideal, but difficult to find and competition often exists. Activities in the bottom right square should be kept in proportion to the rest, and activities in the bottom left should be abandoned.<sup>794</sup>

A very complete adaptation of Porter's five forces model<sup>795</sup> is given by Oster. The author identified six forces in order to analyze the nonprofit industry: relations among existing organizations, threat of new entrants, new substitutes, user group, funding group and supplier industry. The analysis is shown in **Figure IV.13**. One weakness of Oster's analysis, though, is that the order of analysis of the forces is not respected, and thus, interdependencies that exist cannot be revealed.<sup>796</sup>



**Figure IV.13: Six forces analysis**<sup>797</sup>

Another model is Porter's strategic groups analysis,<sup>798</sup> which that has been seldom applied to NPOs.<sup>799</sup> For example, Marlin, Ritchie & Geiger used the model to analyze the relationship between strategy and performance in university

<sup>794</sup> Oster, 1995, p. 92f. Another analysis, adding a third criterion – that of contribution to quality – is the portfolio analysis of Krug & Weinberg (2008, p. 82ff.). For another adaptation of the portfolio, see Horak, Matul & Scheuch (2007, p. 149ff.).

<sup>795</sup> The five forces model is used to analyze the competitive structure of an industry and gives an explanation as to why industry rates of return are higher or lower compared to the business average. Five forces influence competition and therefore industry profitability: the bargaining power of buyers, the bargaining power of suppliers, the threat of new entrants, the threat of substitute products and the intensity of rivalry among existing competitors (Porter, 1980).

<sup>796</sup> This is argued by Grünig & Kühn (2011, p. 148). Another adaptation of Porter's model to nonprofits is given by McLeish (2011, p. 99ff.; 198ff.).

<sup>797</sup> Oster, 1995, p. 30.

<sup>798</sup> Strategic groups are "conceptually defined clusters of competitors that share similar strategies and therefore compete more directly with one another than with other firms in the same industry" (Miller & Dess, 1996, p. 71). The method maps the strategic groups in an industry according to the most important competitive dimensions (Porter, 1980.).

<sup>799</sup> Domański, 2010, p. 1114; Marlin, Ritchie & Geiger, 2009, p. 25.



foundations. Significant differences in performance were noted between the strategic groups found.<sup>800</sup> Another example is the work of Domański, who carried out this analysis on NPOs working in education and culture in Poland.<sup>801</sup>

Other models, such as the Strengths–Weaknesses–Opportunities–Threats (SWOT) analysis, have also been adapted for the non-profit sector. Kearns, for example, made use of the SWOT analysis to identify several types of strategic issues for NPOs.<sup>802</sup> These are shown in **Figure IV.14**.

	<b>Opportunities</b>	<b>Threats</b>
<b>Strengths</b>	Comparative advantage	Mobilization
<b>Weaknesses</b>	Investment / Divestment	Damage control

**Figure IV.14: Strategic issue clarification using the SWOT analysis<sup>803</sup>**

Many others suggest the use of the analysis for NPOs.<sup>804</sup> In **Figure IV.15**, Anheier gives an analysis for a hypothetical NPO.

<b>Strengths</b> <ul style="list-style-type: none"> <li>▪ Mission clarity</li> <li>▪ Good mission-organization fit</li> <li>▪ Programmatic strengths</li> <li>▪ Staff (highly skilled, motivated)</li> <li>▪ Location is good</li> <li>▪ Size of organization is right</li> <li>▪ Revenue structure sufficient</li> <li>▪ Asset base solid</li> <li>▪ Participation and community links good</li> </ul>	<b>Opportunities</b> <ul style="list-style-type: none"> <li>▪ New policies in our favor</li> <li>▪ Diversification possible</li> <li>▪ New board members can be brought in</li> <li>▪ Volunteer potential significant</li> <li>▪ Other organizations want to collaborate</li> <li>▪ Government support growing</li> <li>▪ Business community wants to help</li> <li>▪ International contracts</li> </ul>
<b>Weaknesses</b> <ul style="list-style-type: none"> <li>▪ Some program weaknesses</li> <li>▪ Recent staff problems (skills, motivation)</li> <li>▪ Stakeholder conflicts</li> <li>▪ Inexperience</li> <li>▪ Board weak, not engaged</li> <li>▪ Outreach limited</li> <li>▪ Track-record mixed</li> </ul>	<b>Threats</b> <ul style="list-style-type: none"> <li>▪ Additional resources hard to get</li> <li>▪ High competition</li> <li>▪ Community not interested</li> <li>▪ New policies not in our favor</li> <li>▪ Other organizations are ahead of us</li> <li>▪ Government suspicious</li> <li>▪ Funders attracted elsewhere</li> <li>▪ Possible conflicts on board</li> <li>▪ Outreach difficulties</li> </ul>

**Figure IV.15: SWOT analysis for a hypothetical NGO<sup>805</sup>**

<sup>800</sup> Marlin, Ritchie & Geiger, 2009, p. 23ff.

<sup>801</sup> Domański, 2010, p. 1113ff.

<sup>802</sup> Kearns, 1992, p. 3ff.

<sup>803</sup> Kearns, 1992, p. 13.

<sup>804</sup> See, for example, Anheier, 2005, p. 266ff.; Courtney, 2002, p. 153ff.

<sup>805</sup> Adapted from Anheier, 2005, p. 268.

### **b      *Relevance for NGOs***

Non-profit literature represents a starting point for a search on the topic of NGO management. Several authors argue that organizations from the third sector and NGOs have similarities and can learn from each other.<sup>806</sup> There is overlapping, for example, in their non-profit orientation,<sup>807</sup> the centrality of values and the reliance on different funding sources and types.<sup>808</sup>

NGOs, though, have been given very little systematic consideration in this literature.<sup>809</sup> Even though an overlap between literature on aid agencies such as NGOs and non-profit literature exists, the two types rarely mix with one another. As Lewis states, “Little of this work has been systematically explored in terms of its relevance or otherwise to NGO management issues, despite the rather obvious possibilities such a comparison would appear to offer”.<sup>810</sup> Ronalds also argues that this literature is “broader, but still highly relevant”.<sup>811</sup>

Limitations of this literature for NGO management must be highlighted though. First, the context in which activities are carried out varies greatly.<sup>812</sup> The focus of third sector literature has been on national contexts in Europe and North America, the international context having only appeared recently.<sup>813</sup> NGOs, on the other hand, work in developing country contexts. For Ronalds, “much of the general management literature (...) is generally based on Western ideas and models, a real limitation given the extent to which INGOs work cross-culturally”.<sup>814</sup> Second, the issues dealt with differ. Lewis observes that “there are vast differences in the scale and order of problems in poor and rich countries which require very different research approaches and terms and ultimately different kinds of organizational and policy solutions”. This, he argues, explains why the two literatures remain mostly separate.<sup>815</sup>

### **3.1.2 Literature on NGOs in general**

Another area to consider is writings on NGOs themselves. Before the 1980s, very little could be found.<sup>816</sup> Literature on NGOs appeared at the end of the 1980s, with

<sup>806</sup> Billis & MacKeith, 1992, p. 122; Lewis, 1999, p. 2; 12; Lewis, 1998, p. 1ff.

<sup>807</sup> Appel, 2009, p. 93.

<sup>808</sup> Billis & MacKeith, 1992, p. 122.

<sup>809</sup> Lewis, 2007, p. 28; Roth, 2001, p. 63.

<sup>810</sup> Lewis, 2007, p. 1; 28.

<sup>811</sup> Ronalds, 2010, p. 12.

<sup>812</sup> Lewis, 1999, p. 2f.

<sup>813</sup> Appel, 2009, p. 93; Lewis, 2007, p. 14; 17; 28f.; Lewis, 1998, p. 1. For an example of research on the third sector in developing countries, see Anheier & Salamon, 1998.

<sup>814</sup> Ronalds, 2010, p. 12.

<sup>815</sup> Lewis, 1999, p. 4; Lewis, 1998, p. 1; 4; 15.

<sup>816</sup> Lewis, 2007, p. 38.

writings by prominent authors such as Korten, Clark and Fowler.<sup>817</sup> It then grew significantly in the 1990s,<sup>818</sup> and today, a considerable amount of literature exists.<sup>819</sup> Ahmed and Potter speak of “a boom in academic studies of NGOs in recent years”.<sup>820</sup> A literature review by Lewis & Themudo in 2003 on “non-governmental public action” revealed the existence of over 8’000 publications.<sup>821</sup>

Lewis argues that two broad areas can be distinguished in the NGO literature.<sup>822</sup>

- The international relations discipline looks at the evolution of the roles of NGOs in international affairs. Charnovitz, for example, reviews the history of NGO involvement in this area over two centuries.<sup>823</sup>
- The development literature focuses on roles of NGOs in development projects and programs, as well as in the organization and promotion of community participation. This includes the issues of accountability: NGOs must balance multiple accountabilities, which may cause goal displacement, unplanned growth and unequal relationships. It also includes the issue of performance, which has arisen due to the questioning of the comparative advantage of NGOs. Studies of NGO performance have given mixed results.<sup>824</sup> To improve performance, NGOs have developed various evaluation systems.<sup>825</sup>

Heyse offers a more detailed classification of the NGO literature. For this author, the literature focuses on four areas:<sup>826</sup>

- Existence: A first area of study concerns explanations on the reasons for existence of NGOs. Although several exist, there was a general consensus that NGOs appeared because they performed better than or complemented the market and the state.<sup>827</sup> Their different advantages, put into two perspectives, are summarized by Heyse in **Figure IV.16**.
- Expansion: The “promise for successful NGO performance” led to an increase in the number of NGOs. This area of literature looks at their growth in relation to societal, political and economic developments.
- Problems: Another group of literature studies not only the strengths, but also the weaknesses and problems of NGOs. This led to “a heated and continuing debate” on the issues of performance and accountability.<sup>828</sup>

<sup>817</sup> Lewis, 2006, p. 183.

<sup>818</sup> Lewis, 2007, p. 8; 38.

<sup>819</sup> Lewis, 2007, p. 198; Lewis & Opoku-Mensah, 2006, p. 665.

<sup>820</sup> Ahmed & Potter, 2006, p. 9.

<sup>821</sup> Lewis & Themudo, 2003 cited in Lewis, 2006, p. 185.

<sup>822</sup> Lewis, 2004, p. 264.

<sup>823</sup> Charnovitz, 1997, p. 183ff.

<sup>824</sup> Lewis, 2002b, p. 376f.

<sup>825</sup> For an overview of NGO evaluation systems, see Lindenberg & Bryant, 2001, p. 221 ff.

<sup>826</sup> Heyse, 2006, p. 17ff.

<sup>827</sup> For this reason, NGOs were considered as “the favoured child” (Edwards & Hulme, 1995, p. 5) or a “magic bullet” (Vivian, 1994, p. 167ff.) of development by official donors.

<sup>828</sup> For discussions on NGO accountability and performance, see, for example, Edwards & Hulme (1995, 1996) and Najam, 1996b.

- Diversity: In order to explore the causes of different behaviors and performance, literature has also been devoted to the study of diversity of NGOs. Differences put forward include national contexts and field of expertise. Authors such as Vakil have also attempted to classify NGOs in order to understand this diversity.<sup>829</sup>

Academic perspectives	Political perspectives
NGOs are political in nature <ul style="list-style-type: none"> <li>▪ They strengthen civil society and add to the creation of checks and balances in society</li> <li>▪ They represent the institutionalization of existing patterns of political contestation between the state and civil society and within civil society</li> <li>▪ They represent a collection of individuals engaged in the struggle for human dignity</li> </ul> NGOs are instrumental in nature	Leftist view: NGOs as vehicles of democratization  Liberals: NGOs as substitution of the state or the market  Neoliberals: NGOs complementary to the state or the market

**Figure IV.16: Perspectives on the role and function of NGOs<sup>830</sup>**

Limitations of the NGO literature have been recognized. For one, despite the significant amount of literature, NGOs have been discussed relatively little given their importance. Ronalds argues that “there nonetheless remains a relative lack of data and scholarly debate in the area given the increasing size and significance of INGOs”.<sup>831</sup> Also, despite quality work showing the importance of NGOs, this work was more descriptive than analytical. It also generally looked at individual cases, neglecting the broader picture. Finally, it was strongly prescriptive or normative.<sup>832</sup>

### 3.1.3 Literature on management in NGOs

Although much has been written on NGOs, their management has generally been disregarded.<sup>833</sup> Interest for such a field began to appear however in the mid-1980s. The International Council for Voluntary Agencies in Geneva published an *NGO Management Newsletter* from 1986 to 1992.<sup>834</sup> Several articles were also published in 1980s. For example, in 1984, Biddle carried out a study on the specific management needs of international development NGOs.<sup>835</sup> In 1987,

<sup>829</sup> Vakil, 1997, p. 2057ff.

<sup>830</sup> Heyse, 2006, p. 19.

<sup>831</sup> Ronalds, 2010, p. 10.

<sup>832</sup> Lewis, 2007, p. 9.

<sup>833</sup> Lewis, 2007, p. 9; 198; 205; Ronalds, 2010, p. 13f. This is not the case for the NPO literature, which has focused more on organizational structure and management issues (Lewis, 1998, p. 3; 15).

<sup>834</sup> Lewis, 2007, p. 21; 30; 198.

<sup>835</sup> Biddle, 1984.

Brown & Covey discussed the organization and management of private development agencies.<sup>836</sup> In 1989, Campbell looked at major influences on NGO management.<sup>837</sup>

In the 1990s, a number of articles were published on the subject of NGO management.<sup>838</sup> For example, Koenig's 1996 article looks at issues such as organizational structure and the role of the board and staff.<sup>839</sup> Key books on NGO management issues also began to appear. The works of Suzuki and Fowler can notably be mentioned.<sup>840</sup> Although Stewart highlighted the appearance of "a school of 'NGO management sciences' " in 1997, he argued that research had neglected context-related problems such as external funding and accountability.<sup>841</sup> In 2001, another important contribution was made with Lewis's *The Management of Nongovernmental Organizations*. A second edition was published in 2007. Articles written in the 1990s were also reunited in 2002 in a reader by Edwards & Fowler.<sup>842</sup> With this, the field of NGO management began to be recognized.<sup>843</sup>

Since then, a number of contributions have been made on NGO management. This shows that attention to the management of NGOs is growing, even though work is recent.<sup>844</sup> Kaldor states that "there is now a growing literature on NGO management and the problems of accountability".<sup>845</sup>

However, the amount remains limited, as confirmed by several authors. For Lewis, "it remains the case that relatively little consideration has been given, in either the development or the management literature, to the question of NGO management issues, and, in particular, to the question of whether a set of distinctive management challenges exists for these organizations".<sup>846</sup> Ronalds also argues that "there is little to help leaders of INGOs with the relatively more complex task of managing an INGO". Although some specific management challenges have been addressed, such as human resources or fundraising, the broader and rapidly changing strategic context has been neglected.<sup>847</sup>

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<sup>836</sup> Brown & Covey, 1987.

<sup>837</sup> Campbell, 1989, p. 2ff.

<sup>838</sup> Ronalds, 2010, p. 12.

<sup>839</sup> Koenig, 1996, p. 6ff.

<sup>840</sup> Fowler, 1997; Suzuki, 1998.

<sup>841</sup> Stewart, 1997, p. 13.

<sup>842</sup> Ronalds, 2010, p. 12.

<sup>843</sup> Lewis, 2007, p. 9.

<sup>844</sup> Lindenberg, 2001, p. 248; Roth, 2001, p. 51.

<sup>845</sup> Kaldor, 2003a, p. 5.

<sup>846</sup> Lewis, 2007, p. 14.

<sup>847</sup> Ronalds, 2010, p. xiv; 13.

### 3.1.4 Literature on strategic management in NGOs

The earliest contribution found by the researcher on the topic of strategic planning or management includes Brown & Covey, who, in 1985, wrote on strategic planning in development-oriented private voluntary organizations.<sup>848</sup> Another early contribution is the 1988 book edited by the Asian NGO Coalition for Agrarian Reform and Rural Development. Umali refers to the publication as “one of the first, if not the first, publication on the application of strategic management in relation to non-governmental development organizations”.<sup>849</sup>

Korten has made important contributions to the field. He notably published an article in 1987 in which he identified three distinct NGO strategies, shown in **Figure IV.17**. Strategic competence, or “a measure of the organization’s ability to position its resources and achieve its objectives within a complex and dynamic setting”, is indispensable for third generation strategies.<sup>850</sup>

	<b>First generation</b>	<b>Second generation</b>	<b>Third generation</b>
<b>Defining features</b>	Relief & welfare	Small-scale self-reliant local development	Sustainable systems development
<b>Problem definition</b>	Shortage of goods and services	Local inertia	Individual and policy constraints
<b>Time frame</b>	Immediate	Project life	Indefinite long term
<b>Spatial scope</b>	Individual or family	Neighborhood or village	Region or nation
<b>Chief actors</b>	NGO	NGO + beneficiary organizations	All public and private institutions that define the relevant system
<b>Development education</b>	Starving children	Community self-help initiatives	Failures in inter-dependent systems
<b>Management orientation</b>	Logistics management	Project management	Strategic management

**Figure IV.17: Three generations of NGO development program strategies**<sup>851</sup>

Since the new millennium, a number of contributions entirely dedicated to the topic have been made. Qualified as “one of the first systematic studies of Southern NGO internal management issues”,<sup>852</sup> Smillie & Hailey’s *Managing for change: Leadership, strategy and management in Asian NGOs* has a chapter dedicated to exploring strategy and the way it is developed in several NGOs. The authors aimed to answer the following question: “How important, relevant and useful are

<sup>848</sup> Brown & Covey, 1985.

<sup>849</sup> Umali, 1988, p. v.

<sup>850</sup> Korten, 1987, p. 147ff.

<sup>851</sup> Korten, 1987, p. 148.

<sup>852</sup> Lewis, 2002c, p. 549.

formalized strategies in actual practice?" Their conclusion was that informal strategies had as much importance as those resulting from a formal strategy-making process.<sup>853</sup>

In 2001, Lindenberg looked at the relevance for NGOs of private and public sector strategic management frameworks. The author stressed that increased impact, efficiency and accountability are necessary in a more competitive environment, where "it is no longer enough to simply have good intentions and a strong value orientation". The use of such approaches in the NGO CARE was notably considered. Lindenberg concluded that many strategic frameworks may be adapted to help NGOs effectively achieve their missions. Problems requiring consideration to do so include: combining competitive intensity frameworks with public value frameworks, finding an organizing principle other than profitability or public value, developing mechanisms for the feedback of beneficiaries, considering the motivations of NGO staff, as well as combining concerns for more efficient use of resources with values.<sup>854</sup>

Other contributions include an article by Brown & Moore on the concept of accountability and its alignment with strategy in INGOs,<sup>855</sup> a book by Appel, who studied the elaboration of strategies in six development NGOs in Germany,<sup>856</sup> and a contribution by Pratt, who examined strategic issues facing NGOs in the future – including structure, identity, commercialization, roles and the confusion of governance and management.<sup>857</sup> Gil-Estallo, Giner-de-la-Fuente & Gríful-Miquela applied the concept of the strategic social map to NGOs.<sup>858</sup> Finally, Harris, Dopson & Fitzpatrick explored the reasons for "strategic drift" in INGOs.<sup>859</sup>

Generally speaking though, the topic of strategic planning or strategic management in NGOs has been addressed very little in research. For Malunga, "literature on the subject is still scanty"<sup>860</sup> and there is a "lack of suitable literature on strategy for these organizations".<sup>861</sup>

In the following sections, the author will present in more detail two contributions considered to be particularly interesting: those made by Chiku Malunga and by Accenture-Stiftung & al.

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<sup>853</sup> Smillie & Hailey, 2001, p. 91ff.

<sup>854</sup> Lindenberg, 2001, p. 247ff.

<sup>855</sup> Brown & Moore, 2001, p. 569ff.

<sup>856</sup> Appel, 2009.

<sup>857</sup> Pratt, 2010, p. 165ff.

<sup>858</sup> Gil-Estallo, Giner-de-la-Fuente & Gríful-Miquela, 2006, p. 105ff.

<sup>859</sup> Harris, Dopson & Fitzpatrick, 2009, p. 415ff.

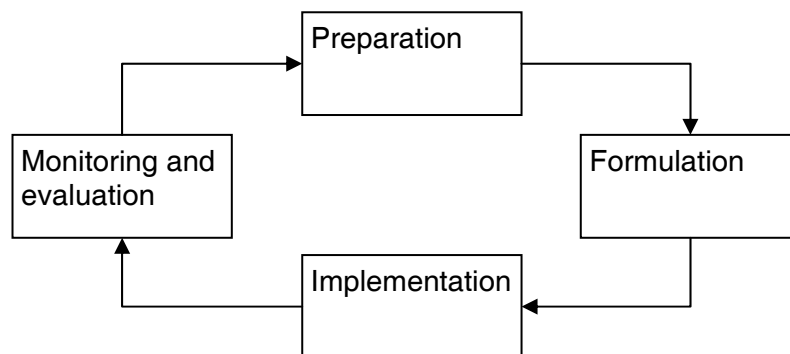
<sup>860</sup> Malunga, 2010a, p. 12.

<sup>861</sup> Malunga, 2009, p. ix.

### 3.1.5 Contributions by Malunga

In his 2009 *Making Strategic Plans Work: Insights from African Indigenous Wisdom*, Malunga offers an interesting perspective by using African proverbs and folktales throughout the book in order to provide insight on strategic planning in NGOs. The proverb, “a beautiful girl does not need to be a great dancer” provides the basis for the work. Organizations can use either “beauty” or “great dancing” to attract attention or recognition. A “beautiful organization” attracts donors because it demonstrates impact on the lives of its beneficiaries, whereas a “great dancer” has not invested in demonstrating impact and must make efforts in fundraising and convincing donors. Many choose to be great dancers only. Malunga argues that, in order “to be more effective and make more impact or in order to gain sustainable competitive advantage”, NGOs must “cultivate organizational beauty” or invest in “the capacity to demonstrate impact”. A “strategic fit”, which is found at the intersection between relevance, legitimacy and sustainability, must be aimed for in order to reach cultivate beauty.<sup>862</sup>

This “organizational beauty” can be cultivated through a strategic planning process of four phases, which is shown in **Figure IV.18**.



**Figure IV.18: Stages of the strategic planning process**<sup>863</sup>

The different stages of the process are each discussed extensively:

- **Preparation:** The importance of proper preparation in order to prevent poor performance is stressed. Different issues are discussed and summarized in a checklist for preparation of readiness to adopt a strategic planning process.<sup>864</sup> This checklist is shown in **Figure IV.19**.
- **Formulation:** Formulation includes the developing the organization’s ideal picture, and elaborating vision, mission and values statements. Environment scanning is also used. Both external and internal analysis tools can be used.

<sup>862</sup> Malunga, 2009, p. 14ff.

<sup>863</sup> Adapted from Malunga, 2009, p. 33.

<sup>864</sup> Malunga, 2009, p. 33ff.



The issues to address, the goals to accomplish and the issues to pursue are identified.<sup>865</sup>

- Implementation: The implementation of the strategic plan represents a key challenge. As Malunga states, “Only work can transform good intentions (...) into performance, results, progress and success”.<sup>866</sup>
- Monitoring and evaluation: The purposes and challenges in monitoring and evaluation are presented. Critical success factors are also given.<sup>867</sup>

The roles and responsibilities of the different players in the strategic planning process (board, management, donors, consultants and communities) are also examined.<sup>868</sup>

- A need for strategic planning agreed upon by the board and management.
- Clear reasons for undergoing the strategic planning process are stated and agreed upon. The purpose of strategic planning as an effort to achieve a strategic fit through ensuring relevance, legitimacy and sustainability must be clearly established.
- A task force with a champion to manage the strategic planning process is selected.
- Terms of reference for the task force are in place and the roles and responsibilities of the task force throughout the strategic planning process are clearly spelled out.
- Resources are available for the task force to carry out its work.
- The task force develops the terms of reference for the consultant to be hired. The roles and responsibilities of the consultant throughout the strategic planning process are clearly spelt out.
- The consultant contracted has been transparently hired and his or her track record has been proven beyond any shadow of a doubt.
- How members of staff and volunteers will be involved through participation is clarified.
- A criterion is developed for selecting participants to the strategic planning workshop.
- An assessment is carried out and key issues to be addressed in the formulation of the strategic plan workshop are identified.
- An ideal picture of that the organization would want to work towards is developed. This should also include the ideal picture of communities or beneficiaries.
- Agreements on how the strategic plan will be monitored and evaluated are made and resources are available for this.
- The extent to which communities or beneficiaries will be involved in the whole strategic planning process are agreed upon.
- The dependence - autonomy dilemma in relation to donors' influence in the whole strategic planning process is discussed and the organization takes a conscious stand.
- A communication and market plan for the strategic plan is in place.
- The task force carries out adequate negotiation with the donor willing to fund the strategic planning process (if it is funded by a donor, as is the case most of the times) to help the donor appreciate the big picture and obligations implied in the steps above.

**Figure IV.19: Checklist for preparation of strategic planning<sup>869</sup>**

<sup>865</sup> Malunga, 2009, p. 47ff.

<sup>866</sup> Malunga, 2009, p. 75ff.

<sup>867</sup> Malunga, 2009, p. 93ff.

<sup>868</sup> Malunga, 2009, p. 107ff.

Factors constrain strategic planning at each stage of the process. They can be found at many levels in the organization. They are positioned in Malunga's levels of complexity model, which helps organizations situate the problems they face.<sup>870</sup> The model is shown in **Figure IV.20**.

Level of complexity	Factors affecting the strategic planning process
Financial and material resources	<ul style="list-style-type: none"> <li>▪ Limited time given to preparation</li> <li>▪ No time for monitoring and evaluation</li> <li>▪ No enough time for transition from current to new strategic plans</li> <li>▪ Less money given to projects that are not donors' priorities</li> <li>▪ Less money given to capacity building efforts</li> </ul>
Skills and competences	<ul style="list-style-type: none"> <li>▪ Lack of collective understanding of the strategic planning process</li> <li>▪ Inadequate assessment to gauge organizational priorities to address strategic planning</li> <li>▪ No task force to manage and lead the strategic planning process</li> <li>▪ Low competence of facilitators or consultants</li> <li>▪ Inability of participants to engage at strategic level – low outward and future orientation</li> <li>▪ Inadequate knowledge among leaders to implement, monitor and evaluate strategic plans</li> <li>▪ No awareness of national and international frameworks guiding donor funding priorities</li> </ul>
Policies, systems and procedures	<ul style="list-style-type: none"> <li>▪ Short term, project based funding from donors</li> <li>▪ No monitoring and evaluation systems for the strategic plans</li> <li>▪ Organizational structure, policies, systems and procedures not consciously reviewed, adapted or aligned to the new strategic plan</li> </ul>
Relationships	<ul style="list-style-type: none"> <li>▪ Unequal power relationships between donors and organization</li> <li>▪ Lack of clarity of the roles and responsibilities of the different personnel levels in the organization</li> <li>▪ Facilitators or consultants employed on one off basis and not on partnership basis</li> </ul>
Vision and mission	<ul style="list-style-type: none"> <li>▪ More emphasis on strategic plans being viewed as an accountability and marketing tool rather than being viewed as a governance, management and learning tool</li> <li>▪ Insufficient outward and future orientation</li> </ul>
Values	<ul style="list-style-type: none"> <li>▪ Limited ownership of the strategic planning process</li> <li>▪ Leaders wanting strategic plans only as fundraising tools</li> <li>▪ Culture of 'busyness' constraining organizational learning</li> </ul>
Task environment	<ul style="list-style-type: none"> <li>▪ Diminishing levels of donor (financial) support</li> <li>▪ Donors funding only their priorities</li> <li>▪ Donors not keen on funding 'self-sustainability' efforts</li> </ul>

**Figure IV.20: Factors affecting the effectiveness of the strategic planning process**<sup>871</sup>

<sup>869</sup> Malunga, 2009, p. 41.

<sup>870</sup> Malunga, 2010b, p. 175ff.; Malunga, 2009, p. 134f.

<sup>871</sup> Adapted from Malunga, 2010b, p. 181; Malunga, 2009, p. 136.

Finally, Malunga presents different suggestions to face these challenges. He also recommends an action review checklist and environment scan checklist to help in “lighting a fire” in the organization, or “creating space and time to discuss how the organization is managing its strategy and draw lessons for improvement of practice”.<sup>872</sup> Malunga also summarized these ideas in his contribution in the book *NGO Management* co-edited with Fowler. Once again, he stressed the role of strategic planning in reaching “organizational beauty”, that is, an organization which is relevant, legitimate and sustainable.<sup>873</sup>

In 2010, Malunga developed these ideas further in a book dedicated to strategic management and leadership in NGOs. A number of NGOs from Malawi were selected, and the author researched the implementation of their strategic plans, as well as how they managed the stages of the strategic planning process. Factors affecting the strategic planning process at each stage, as well as the roles and responsibilities of key players were examined. The result of the evaluation was low implementation of strategic plans in the selected NGOs, notably due to the lack of independence from donors and the inadequate capacity for effective strategic management. Finally, Malunga also makes a number of recommendations to improve strategic management and leadership processes in NGOs.<sup>874</sup>

### 3.1.6 Contribution by Accenture-Stiftung & al.

The book entitled *Strategic research and political communications for NGOs* by Accenture-Stiftung & al. is also considered to represent an interesting contribution to the topic of strategic planning in NGOs. This is because it combines both an academic and a practical view, presents several case studies on NGOs and describes a number of strategic tools that can be used.

The book includes a brief chapter on strategy in NGOs. After discussing the notion of strategic intent, the vision statement for NGOs is presented. The authors define it as “the summary of where an organization wants to be in an ideal world” and recommends that the following elements be included: purpose, strategy, values and necessary behavior. A mission statement often accompanies the vision statement. An example is given in **Figure IV.21**.

Differentiation is useful to attract donors and supporters working in the same field. The question to be answered is: “What is it that differentiates you from other organizations in your specific field?”<sup>875</sup>

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<sup>872</sup> Malunga, 2009, p. 139ff.

<sup>873</sup> Malunga, 2010b, p. 175ff.

<sup>874</sup> Malunga, 2010a, p. 1ff.; 174ff.; 248ff.

<sup>875</sup> Accenture-Stiftung & al., 2009, p. 94f.

Finally, strategy formulation and implementation, as well as organizational alignment are all briefly discussed.<sup>876</sup>

The mission of our organization can be developed as follows:

- Purpose: Why are we doing what we are doing?  
Our organization addresses one of the most pressing problems of our time and wants to make a difference in India.
- Strategy: What do we want to do and how are we relatively positioned?  
We want to become the leading organization providing health and social services to children suffering from HIV.
- Set of values: What are the beliefs providing the fundamentals for interaction with employees, stakeholders and customers?  
We believe in equal rights and the politics of inclusion.
- Behaviors: How do we do things? What are our most important standards?  
We are committed to providing access to fairness, medical treatment and showing respect for everyone.

**Figure IV.21: Example of a vision/mission statement**<sup>877</sup>

The authors also suggest applying several strategic tools.<sup>878</sup> These are presented in the following sub-sections.

#### **a Porter's five forces model**

Porter's five forces model can be used to analyze an industry. The model, adapted to NGOs, is shown in **Figure IV.22**. The model helps to indicate whether an organization should enter into a given industry. Carrying out such an analysis is possible, according to the authors, because competition for sponsorship, attention and influence also exists among NGOs. Forces drive competitive intensity.<sup>879</sup>

- Rivalry among existing sellers in the market: The number and capability of NGOs are considered. Numerous NGOs offering the same products and services reduces power. The existence of others with the same offer at the same price, or with an offer of superior quality for a lower price, also reduces power.
- Power exerted by customers in the market: The ability of customers to reduce prices depends on their number and the cost of switching to another NGO.
- Impact of suppliers on sellers: The ability of suppliers to increase prices depends on their number, the uniqueness of their product or service, as well as on the cost of switching suppliers.

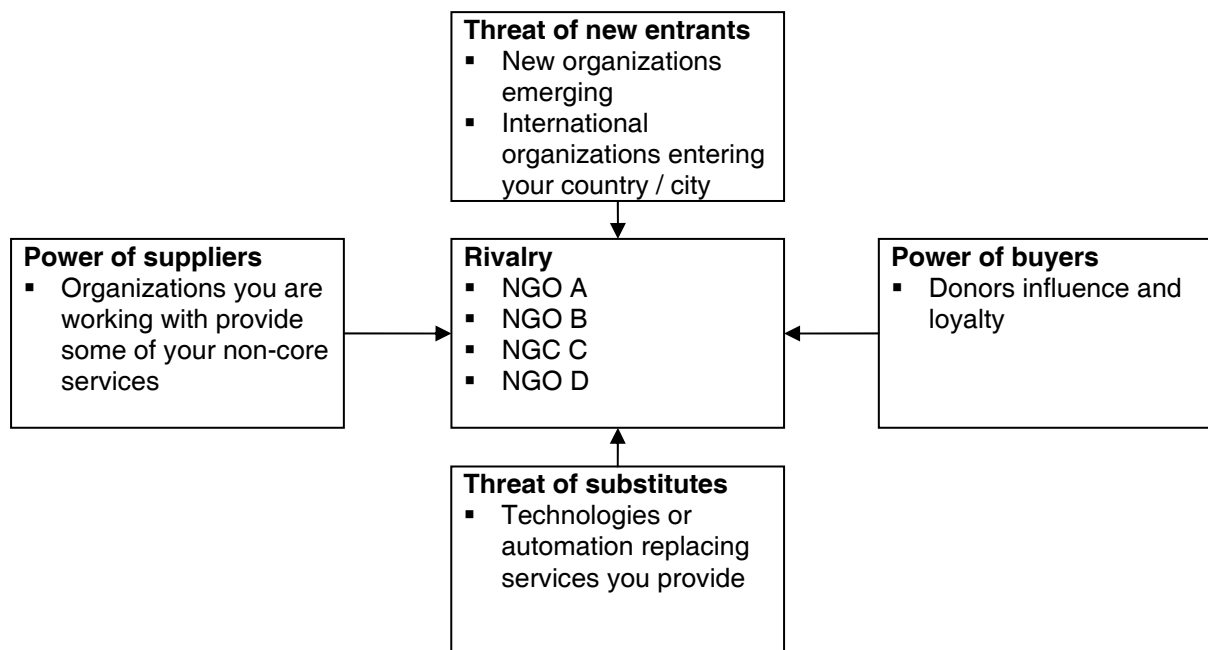
<sup>876</sup> Accenture-Stiftung & al., 2009, p. 92ff.

<sup>877</sup> Adapted from Accenture-Stiftung & al., 2009, p. 94.

<sup>878</sup> Accenture-Stiftung & al., 2009, p. 57ff.

<sup>879</sup> Accenture-Stiftung & al., 2009, p. 59ff.

- Potential threat of new sellers entering the market: The ability of other organizations to enter the market or policy field is high if costs are low, few economies of scale exist and there is little protection of assets. The entrance of new competitors implies that competition for donations and public attention increase, and that the ability to affect policy change decreases.
- Threat of substitute products becoming available in the market: This depends on customers' ability to find a substitute for what an NGO is doing.



**Figure IV.22: Porter's five forces**<sup>880</sup>

As noted for the Oster's six forces analysis, the order of analysis of the forces in the presentation by Accenture-Stiftung & al. is not respected, and interdependencies that exist among the forces can therefore not be revealed. Another weakness of the presentation is the brevity with which it is presented.

### **b Competitive analysis**

Accenture-Stiftung & al. also propose "competitive intelligence research" to help acquire an overview of the positioning of other organizations active in the same field. Carrying out such an analysis can help identify opportunities to attract donations before other NGOs. The authors recommend using the following sources: associations, press searches, web searches and primary interview with experts. The approach shown in **Figure IV.23** can be used.

<sup>880</sup> Accenture-Stiftung & al., 2009, p. 60.

Objectives and key questions	Identify competitors	Profiling	Positioning	Gain strategic insights
<ul style="list-style-type: none"> <li>What do we want to achieve with competitive intelligence, e.g. a Unique Selling Proposition identifying threats, considering competitive responses</li> </ul>	<ul style="list-style-type: none"> <li>Create and validate list of potential competitors</li> <li>Consider new entrants and potential substitutes</li> </ul>	<ul style="list-style-type: none"> <li>Collect information on competitors through secondary sources and / or primary research (survey, interviews, focus groups)</li> </ul>	<ul style="list-style-type: none"> <li>Create parameters for comparison</li> <li>Get an understanding of competitive positioning of others and yourself</li> </ul>	<ul style="list-style-type: none"> <li>Develop and discuss implications for your organization as per findings of your SWOT analysis</li> </ul>

**Figure IV.23: Approach to competitive analysis<sup>881</sup>**

### **c SWOT analysis**

A SWOT analysis is also recommended. Here the authors distinguish between internal factors – strengths and weaknesses of the organization – and external factors – opportunities and threats in the environment. The authors recommend drawing a matrix, an example of which is shown in **Figure IV.24**, which combines these factors with measures that should be taken. Doing this analysis allows an NGO to invest in its strengths and address the challenges it faces.

<b>Strengths-Action</b>  Build and leverage (Key advantage, unique resources, key strength)  Examples: <ul style="list-style-type: none"> <li>Image and brand</li> <li>Motivated employees</li> <li>Large number of supporters</li> </ul>	<b>Weaknesses-Action</b>  Remedy or exit (Areas for improvement)  Examples: <ul style="list-style-type: none"> <li>Poor infrastructure</li> <li>Leadership continuity</li> <li>Efficiency</li> </ul>
<b>Opportunities-Action</b>  Prioritize, optimize (Changes in the market providing new opportunities)  Examples: <ul style="list-style-type: none"> <li>Changes in regulations empower NGOs in the policy field</li> <li>Tax reform in favor of more donations in this policy field</li> </ul>	<b>Threats-Action</b>  Counter (Competitor activities, substitute offerings, regulation)  Examples: <ul style="list-style-type: none"> <li>New NGO emerging in this policy field</li> <li>Economic conditions</li> </ul>

**Figure IV.24: Example of a SWOT analysis combined with measures<sup>882</sup>**

<sup>881</sup> Adapted from Accenture-Stiftung & al., 2009, p. 63.

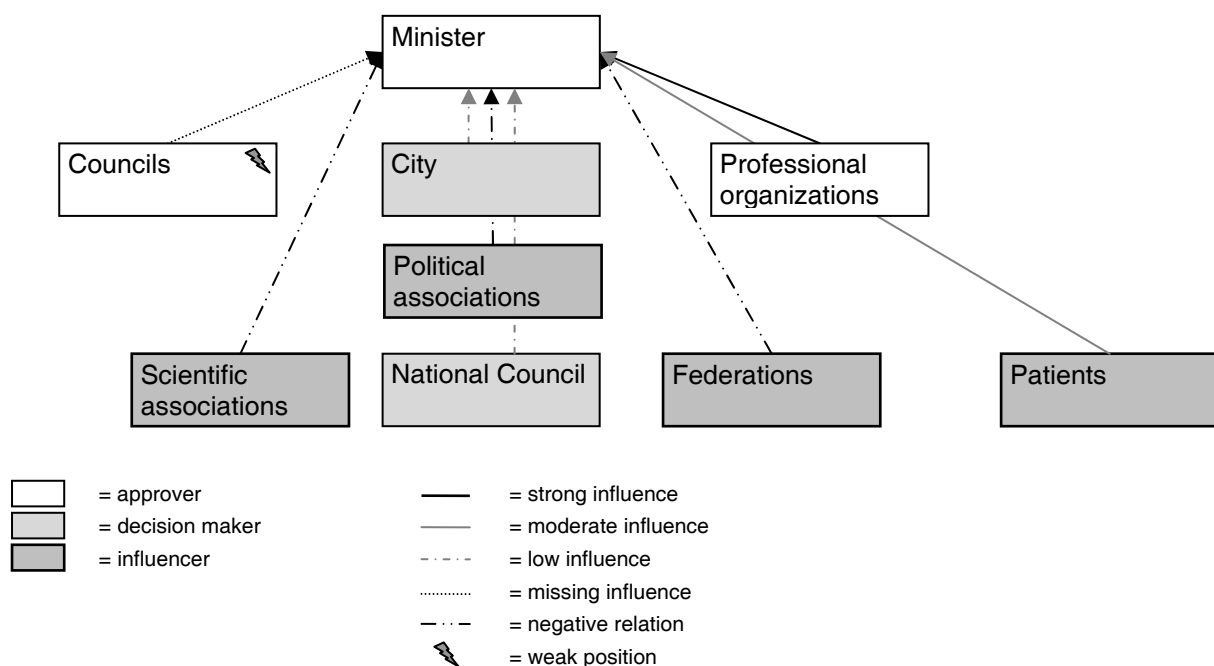
### d Stakeholder analysis and power mapping

A stakeholder analysis is useful to identify an NGO's most important stakeholders. Doing so may help understand interests to take into account when an NGO campaigns for a change in policy. It may also help the targeting of stakeholders for fundraising.<sup>883</sup> The authors propose the stakeholder analysis worksheet shown in **Figure IV.25**.

Name / Organization	Relationship to NGO	Interest in NGO	Decision maker	Access to resources
...				

**Figure IV.25: Stakeholder analysis worksheet**<sup>884</sup>

The elaboration of a power map is useful to understand the levels of influence of stakeholders, as well as to identify opponents. Approvers, decision makers and opinion makers can be distinguished, as well as their influence.<sup>885</sup> An example is shown in **Figure IV.26**.



**Figure IV.26: Sample power map**<sup>886</sup>

<sup>882</sup> Adapted from Accenture-Stiftung & al., 2009, p. 60.

<sup>883</sup> Accenture-Stiftung & al., 2009, p. 107ff.

<sup>884</sup> Adapted from Accenture-Stiftung & al., 2009, p. 109.

<sup>885</sup> Accenture-Stiftung & al., 2009, p. 109ff.

<sup>886</sup> Adapted from Accenture-Stiftung & al., 2009, p. 110.

Finally, the table shown in **Figure IV.27** also allows NGOs to categorize its stakeholders according to their levels of support or opposition.

Strong supporter	Moderate supporter	Neutral	Moderate opponent	Strong opponent
...				

**Figure IV.27: Mapping stakeholders**<sup>887</sup>

Based on this, the following points can be considered:<sup>888</sup>

- The number of supporters
- The most important stakeholders
- The reason specific stakeholders support or oppose the NGO
- Which stakeholders might form alliances to the benefit of the NGO
- The number of opponents
- The most important opponents
- Which opponents might form alliances to the disadvantage of the NGO
- The neutral stakeholders, their importance and their interests

### 3.2 Literature on the International Red Cross and Red Crescent Movement

#### 3.2.1 Literature on the International Red Cross and Red Crescent Movement in general

An abundant amount of literature exists on the International Red Cross and Red Crescent Movement. A search at the end of the year 2011 in the Library Network of Western Switzerland for publications with the words “Red Cross” or “Croix Rouge” in the title gave 1974 hits. The author therefore assumes that *at least* 2'000 publications exist.

The Red Cross and Red Crescent Movement, which includes the ICRC, the IFRC and the National Societies, is “a vitally important organization in the humanitarian world”<sup>889</sup> and is therefore frequently mentioned in humanitarian literature.

As the “gold standard of humanitarian action”<sup>890</sup> and the “guardian” of international humanitarian law,<sup>891</sup> the ICRC receives a significant amount of attention. In fact, it

<sup>887</sup> Adapted from Accenture-Stiftung & al., 2009, p. 110.

<sup>888</sup> Accenture-Stiftung & al., 2009, p. 110f.

<sup>889</sup> Walker & Maxwell, 2009, p. 108.

<sup>890</sup> Forsythe & Rieffer-Flanagan, 2008, p. xii.

<sup>891</sup> Forsythe, 2005, p. 2.



is difficult to find a book on humanitarian aid in which the ICRC is not mentioned. Contributions on its internal organization and management are rarer. Forsyth argues that the fact that the ICRC “remains poorly known attests to the past secrecy and poor communications policy”. Literature is “passing and hence superficial”. The ICRC has published information itself; nonetheless it is not “fully candid”.<sup>892</sup>

### 3.2.2 Literature on management and strategic management in the International Red Cross and Red Crescent Movement

Various more recent studies shedding light on internal functioning have been found. Forsythe & Rieffer-Flanagan, for example, provide a chapter on organization and management, which includes a presentation of the organizational structure of the ICRC, its staff and its finances.<sup>893</sup> Forsythe also includes a chapter on ICRC structure and management that covers personnel, policy making and resources.<sup>894</sup> However, strategy is not mentioned in either of these.

### 3.2.3 Contribution by McAllister

One interesting, although somewhat older contribution found by the researcher is McAllister's 1993 *Sustaining relief with development: Strategic issues for the Red Cross and Red Crescent*.

A chapter on results-oriented management includes a section on planning for the future. It presents Ewing's model showing that corporations tend to emphasize one starting position:

- an outward-inward process, where market opportunities are looked at first, or
- an inward-outward process, where strengths, weaknesses and comparative advantages are considered first.<sup>895</sup>

Both of these are drawn upon by the Movement. The League (today the IFRC) focuses on the former, according to McAllister. The author explores the latter of the two processes. The author explores the latter. After discussing the notion of comparative advantage, he highlights the three strengths of the Movement that it could build on:<sup>896</sup>

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<sup>892</sup> Forsythe, 2005, p. 1.

<sup>893</sup> Forsythe & Rieffer-Flanagan, 2008, p. 26ff.

<sup>894</sup> Forsythe, 2005, p. 201ff.

<sup>895</sup> McAllister, 1993, p. 32ff.

<sup>896</sup> McAllister, 1993, p. 41f.

- People: On top of numerous members, the Movement has many volunteers and staff members with a wide range of skills.
- Physical resources: These include numerous buildings, equipment and other physical materials, as well as goodwill and collective resources for humanitarian actions.
- Training and research institutions: The Movement includes the National Societies, regional branches, the League and the ICRC, as well as relatively independent training and research institutions.

Another suggestion is related to the move towards regional development cooperation. McAllister notably gives the concrete example of an opportunity of developing the cooperation between the Red Cross and universities.<sup>897</sup>

McAllister's ideas are considered interesting by the author, as they build upon a view of resources of the Movement.

### 3.3 Literature on the UN

#### 3.3.1 Literature on the UN in general

The amount of existing literature on the UN, both academic and non-academic, is substantial.<sup>898</sup> A search by the author in the Library Network of Western Switzerland for publications with the words "United Nations" or "Nations Unies" in the title gave over 11'000 hits.

One reason for the important amount of literature is that almost all countries in the world are members of the UN. Another is that, since the initiation of the reform of the UN, numerous contributions have been made.<sup>899</sup>

According to Bhatta, literature on the UN can be put into five categories:<sup>900</sup>

- The UN in international relations: This area of literature focuses on politics in the context of the UN, as well as on international law, notably the Charter.
- The UN as an international organization and bureaucracy: This category includes work on organizational aspects such as learning, knowledge and change, as well as work on the systems notion and the functional areas of the organization. The latter includes, for example, economic and social development, security and peacekeeping.

<sup>897</sup> McAllister, 1993, p. 42f.

<sup>898</sup> Bhatta, 2000, p. 17; Unser, 2010, p. 604.

<sup>899</sup> Bhatta, 2000, p. 17.

<sup>900</sup> Bhatta, 2000, p. 17ff. For a detailed review of literature on the UN, see Baratta, 1995.

- Staffing and internal management: This area includes contributions on the internal management of the UN, as well as contributions on international civil service.
- Relationship with the United States: The bilateral relationship between the UN and the United States also represents a category of literature, because of the important influence that the country has on the organization.
- Reforms and restructuring: A vast amount of literature on the UN has focused on reform of the organization, especially after 1995. Unser states that this is the dominant topic since the mid-1990s. While there is a general consensus on the need for reform, opinions regarding the objectives and scope differ. Three categories are identified by Unser: (1) reforms aiming for increased efficiency and effectiveness, including clearer objectives, improved instruments and coordination, as well as administration and budget reforms (2) structural-institutional reorganization, including reform of the Security Council, as well as the merger, elimination or foundation of organs, and (3) the fundamental modification of principles and character, for example the transformation into a supranational organization.<sup>901</sup>

### 3.3.2 Literature on management and strategic management in the UN

Despite the considerable amount of literature on the UN, very little research has been carried out on its management. Dijkzeul states that “the management of international governmental organizations has been insufficiently studied”.<sup>902</sup> Also speaking of IGOs, Siebenhüner argues that “contributions from management studies (...) are scant”.<sup>903</sup>

Such little attention to management is astonishing, given the importance that the quality of their management and services has on the world. As Dijkzeul argues, “management of these organizations matters to the world community at large”.<sup>904</sup>

Such little attention is also surprising, according to Dijkzeul, given the scientific disciplines that could be involved in their study. He states that “the three words which constitute the expression ‘international governmental organizations’ suggest that the scientific disciplines of international relations, of public administration and of business administration can contribute to the study of these organizations. (...) Surprisingly, no such research tradition exists.”<sup>905</sup>

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<sup>901</sup> Unser, 2010, p. 610.

<sup>902</sup> Dijkzeul, 1997a, p. 4; 24.

<sup>903</sup> Siebenhüner, 2003, p. 9.

<sup>904</sup> Dijkzeul, 1997a, p. 4; 11; 24.

<sup>905</sup> Dijkzeul, 1997a, p. 11.

If one looks at these three fields more in detail, one can observe the following. In business administration, IGOs (which, as mentioned, include UN organizations) are “a-typical research subjects”, as this literature generally focuses on for-profit organizations.<sup>906</sup> In the discipline of international relations, focus has shifted away from international organizations as an object of research, and with this, attention to their management.<sup>907</sup> Finally, public administration generally focuses on national public institutions.<sup>908</sup> However, despite the little attention they receive, “they are not as marginalized as in business administration”.<sup>909</sup> As little interaction exists between these three fields, Dijkzeul & Beigbeder speak of “disciplinary myopia”.<sup>910</sup>

The only contributions found by the author strategic planning in the UN were those by Kent. However, these only consist in several paragraphs, and are not fully devoted to the topic. The author notably discusses the lack of an effective planning approach in the UN.<sup>911</sup>

### 3.3.3 Contributions by Beigbeder and Dijkzeul

Of the works found, those by authors Beigbeder and Dijkzeul are considered to be particularly interesting. Their ideas are presented in the following paragraphs.

In 1987, Beigbeder published *Management problems in United Nations organizations: Reform or decline?*, which looks at management issues such as financial control and staff.<sup>912</sup> One decade later, he published *The internal management of United Nations organizations: The long quest for reform*, which discusses various management issues such as the political selection of executive heads, the financial crisis, the various charges of corruption and the payment of staff.<sup>913</sup> His most recent contribution concerned management and coordination problems in these organizations. On top of problems that may occur in all organizations such as unclear goals, lack of transparency or failure to adapt to the environment, he points out that the UN struggles with problems of the public sector such as difficulty in identifying quantifiable goals. It must also deal with a problem

<sup>906</sup> Dijkzeul, 1997a, p. 20; 24; Dijkzeul & Beigbeder, 2006, p. 9.

<sup>907</sup> Dijkzeul, 1997a, p. 19. UN organizations did constitute the focus of international relations from 1945 to 1960 (Dijkzeul & Beigbeder, 2006, p. 5).

<sup>908</sup> Dijkzeul, 1997a, p. 20; Dijkzeul & Beigbeder, 2006, p. 10.

<sup>909</sup> Dijkzeul & Beigbeder, 2006, p. 10.

<sup>910</sup> Dijkzeul & Beigbeder, 2006, p. 5; Dijkzeul & Gordenker, 2006, p. 312. Exceptions include some contributions on organizational learning and decision-making (Dijkzeul & Beigbeder, 2006, p. 5).

<sup>911</sup> Kent, 2007, p. 140ff.; Kent, 2004b, p. 228f.

<sup>912</sup> Beigbeder, 1987.

<sup>913</sup> Beigbeder, 1997.

specific to the UN: it reports to all of its Member States, which have varying opinions on the roles and priorities of the UN.<sup>914</sup>

Dijkzeul also has several works dedicated specifically to the management of UN organizations. In *The management of multilateral organizations*, published in 1997, studies IGOs using a combination of the three disciplines of business administration, public administration and international relations.<sup>915</sup> He looks specifically at UN organizations and discusses their specific characteristics and management challenges. The study compares two organizations, UNICEF and UNFPA. The same year, he published *United Nations development co-operation as a form of international public service management*, which also stressed the contribution of public management to this research. He argues, "Most UN studies take place in the field of international relations and little exchange occurs between international relations on the one hand, and public management and organization theory on the other".<sup>916</sup>

In 2003, both authors edited a book *Rethinking international organizations: pathology and promise*, in which contributions cover various management aspects. Internal functioning, such as organizational reform, policy making and decision making are approached. The main question asked by the authors is "Why is it that the high-minded decisions and ideals for international organizations so often lead to mediocre or counterproductive results?".<sup>917</sup> Dijkzeul & Beigbeder are also able to identify a number of "pathologies" in areas such as international diplomacy and fundraising.

A model on the international organization between a strategic arena and multiple implementing arenas, in which the goals set in the strategic arena are implemented, is notably presented. The authors argue that international organizations have to deal with two different arenas – strategic and implementing arenas – as well as two logics – a political logic and a managerial logic.<sup>918</sup> The model was shown in Figure III.6.

Finally, the editors also propose six "cures" to improve the management of international organizations, including:<sup>919</sup>

- Acknowledging the problem of little attention and dual arenas and logics,
- Building consensus to align the arenas,

<sup>914</sup> Beigbeder, 2007, p. 393ff.

<sup>915</sup> Dijkzeul, 1997a, p. 21ff.

<sup>916</sup> Dijkzeul, 1997b, p. 165.

<sup>917</sup> Dijkzeul & Gordenker, 2006, p. 311.

<sup>918</sup> Dijkzeul & Gordenker, 2006, p. 320ff.

<sup>919</sup> Dijkzeul & Gordenker, 2006, p. 311ff.

- Strengthening management, including the adoption of innovative management techniques (such as strategic planning), which must be adapted to the dual logics of international organizations,
- Rotating staff to increase their learning of both logics,
- Encouraging upward accountability and
- Aiming for transparency.

They also suggest how these six strategies can be used to improve relationships between organizations.

### 3.4 Overview of the state of literature

Following the review of different areas of literature, the researcher has attempted to provide an overview of the literature search with the help of a matrix. The result is shown in **Figure IV.28**.

	UN	Red Cross and Red Crescent Movement	NGOs	NPOs
Literature on the organizations in general	>11'000	>2'000	>8'000	>1'000
Literature on management in general	12 ↓	1 ↓	50 ↓	>100
Literature on strategic planning and management	2	1	27	>100

**Figure IV.28: Overview of literature**<sup>920</sup>

The rows of the matrix represent the literature on the organizations in general, on the field of management in general, and more specifically on the field of strategic planning and management. The columns represent the type of organization: UN organizations, Red Cross and Red Crescent Movement, NGOs and NPOs – including for example sports organizations, universities or museums. The grey areas represent the areas of the thesis subject, that is, the literature focused on strategic planning and management in international aid organizations, and the

<sup>920</sup> Own elaboration.

arrows the contributions that the other areas have. In each combination, the number of contributions found is shown. Only the most recent editions are included.

Due to the important number of contributions, only the list of references directly related to the thesis subject, namely the references in the grey boxes, are given. They are included in the bibliography.

The figure shows that, while many contributions exist on the UN in general, very few contributions on its management were found. Besides the two contributions by Kent, no contributions specifically discussing the strategic planning or management of UN organizations were found, although two contributions speak of aid agencies in general, including UN aid agencies.<sup>921</sup>

Although a significant amount has also been written on the International Red Cross and Red Crescent Movement, very little has been found on the management of the organizations composing the Movement. Only one was found for the ICRC, although it must be noted that, as specified earlier, some authors consider the ICRC to be an NGO.

More was found on NGOs for management in general, as well as on strategic planning and management in NGOs. Literature on the management of NGOs appears to be more important and rising, compared to literature on strategic planning in other aid agencies.

Finally, literature on the non-profit sector is extensive. Numerous contributions exist on its management, and more particularly on strategic planning and management. As noted previously, this field is considered relevant for the topic of strategic management for NGOs and could therefore be useful for the development of recommendations in the thesis.

However, it remains the case that, according to the author's literature review, research on the management of aid organizations remains limited. This is confirmed by a citation by Dijkzeul & Beigbeder. Speaking of both NGOs and IGOs (including the UN), they argue that "attention to international organizations from a business administration point of view is minimal".<sup>922</sup>

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<sup>921</sup> Hoffman & Weiss, 2006; Rondinelli, 1994. Kent (2004a, p. 5ff.) also addresses strategy in humanitarian organizations in general.

<sup>922</sup> Dijkzeul & Beigbeder, 2006, p. 9.

#### 4 Conclusions for the research project

The aim of chapter IV was to provide an overview of the literature on strategic management in international aid organizations. Doing so allowed the researcher to gain understanding on the existing amount of knowledge on this topic, to see how far existing research goes in answering the research question of the thesis, as well as to specify the research question.

The chapter showed that management approaches in the non-profit sector in general is increasingly being researched. However, although the number of publications dedicated to aid organizations is substantial, research on their management remains limited. Literature on strategic planning/ management of these organizations is even rarer.

A very limited number contributions dedicated to the subject were found by the author. Several are considered to be notably useful to reach the main objective of the thesis: the development of strategic management recommendations that meet the specific needs of aid organizations.

As stated previously, the application of strategic analysis and planning tools in the planning process helps to collect and analyze information.<sup>923</sup> It also allows concrete results to be obtained. The different tools presented in this chapter – those for NPOs as well as those developed more specifically for aid organizations – are considered to be particularly useful to draw upon for the recommendations. Accenture-Stiftung & al. notably offered a number of tools that are considered to be very interesting. These include an adaptation of the five forces model and a competitive analysis, which are considered useful given that competition also takes place in the aid sector. Tools to analyze stakeholders are also interesting, given that aid agencies rely on multiple stakeholders with different objectives. These contributions especially showed that the adaptation of tools to the specific needs of aid organizations is possible.

Malunga also offered a creative and complete contribution on strategic planning in NGOs. The stages of the strategic planning process were discussed extensively, as were the roles and responsibilities of key players, the factors affecting the effectiveness of the process and suggestions to face them. The contribution shows that the use of strategic planning approaches in NGOs is possible.

The model introduced by Dijkzeul & Beigbeder on the balancing of multiple arenas and logics is also considered interesting, because of the presence in several arenas of international aid organizations. Strategic planning must therefore be adapted to this unique structure.

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<sup>923</sup> Anheier, 2005, p. 264.



The limited amount of literature on strategic management in aid organizations has important implications on the methodology chosen by the researcher for the empirical study of the thesis. Given the small amount, the researcher has chosen a qualitative approach rather than a quantitative one to explore the field of strategic management in international aid organizations. This is because qualitative research is often referred to as “the best strategy for discovery, exploring a new area, developing hypotheses”.<sup>924</sup> Also, the research is descriptive and explorative, rather than explanatory or predictive. As the thesis also aims “to portray an accurate profile of persons, events or situations”,<sup>925</sup> it can also be classified as descriptive research. The research can also be considered to be exploratory, because such research is carried out when very little or no earlier studies exist on a research problem.<sup>926</sup> It also aims “to find out what is happening, particularly in little-understood situations” and “to generate ideas and hypotheses for future research”.<sup>927</sup>

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<sup>924</sup> Miles & Huberman, 1994, p. 10.

<sup>925</sup> Robson, 2002, p. 59.

<sup>926</sup> Collis & Hussey, 2009, p. 5.

<sup>927</sup> Robson, 2002, p. 59.



## **V CASE RESEARCH APPROACH AND CHOSEN PROCEDURE**

### **1 Introduction**

The main objective of case research is to build up a basis for developing recommendations that meets the specific strategic management needs of aid organizations. In order to develop such recommendations, a thorough understanding of why and how strategic planning is used, as well as of the different needs and issues, is necessary.

Thanks to the literature review in chapters II, III and IV, the first intermediate objective of the thesis was achieved: A better understanding of international aid organizations, as well as the state of the art of literature on strategic management in these organizations, was acquired.

The thesis now moves on to its second intermediate objective: to understand why and how strategic management is used in international aid organizations. Chapters V, VI and VII aim to address these questions with the help of an empirical study. This will be done using case research. In chapter V, the case research approach is introduced.

The chapter is divided into several sections:

- Section 1 is the introduction.
- Section 2 presents the general understanding of case research.
- Section 3 exposes the case research procedure of Yin.
- Section 4 presents the case research procedure adopted in the thesis.
- Section 5 is dedicated to the conclusions.

### **2 Understanding case research**

The tradition of the case research is long and can be found in many different disciplines,<sup>928</sup> and many different definitions can be found in literature.<sup>929</sup>

Many of these, according to Yin, focus on the topic of the case<sup>930</sup> or on data collection techniques.<sup>931</sup> Of the definitions found by the author of the thesis, many stress the understanding of a single case<sup>932</sup> or a small number of cases. To this,

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<sup>928</sup> Blaikie, 2010, p. 187; Creswell, 2007, p. 73; Simons, 2009, p. 3; Swanborn, 2010, p. 10f.; Thomas, 2011a, p. 512.

<sup>929</sup> Blaikie, 2010, p. 188; Thomas, 2011a, p. 512.

<sup>930</sup> Yin, 2009, p. 17. Topics include decisions, individuals, organizations, etc.

<sup>931</sup> Yin, 2009, p. 17. These cover, for example, ethnography and participant observation.

<sup>932</sup> For Eisenhart (1989, p. 534), the case study is "a research strategy which focuses on understanding the dynamics present within single settings". Stake (1995, p. xi) defines it as

the idea of studying the case in depth is added.<sup>933</sup> Other definitions also include the importance of the natural or real-life context.<sup>934</sup> Finally, the use of multiple methods or perspectives may also be included.<sup>935</sup>

One definition covering many of these aspects is Collis & Hussey's, who argue that it is "a methodology that is used to explore a single phenomenon (the case) in a natural setting using a variety of methods to obtain in-depth knowledge".<sup>936</sup> Another is that of Simons, who argues that it is "an in-depth exploration from multiple perspectives of the complexity and uniqueness of a particular project, policy, institution, programme or system in a 'real life' context".<sup>937</sup>

The wide variety of definitions leads Gerring to speak of "a definitional morass". For him, "researchers have many things in mind when they talk about case study research". He argues that definitions can take on any of the following meanings:<sup>938</sup>

- The method is qualitative.
- The number of observations is small.
- The research is holistic and thick.
- There is the use of "a particular type of evidence".
- The "method of evidence gathering is naturalistic"; a "real life context"
- It is difficult to differentiate case and context.
- Triangulation is used; there are "multiple sources of evidence".
- "The properties of a single observation" are investigated.
- "The properties of a single phenomenon, instance, or example" are investigated.

Yin gives a definition covering scope, as well as technical characteristics such as data collection and analysis. He defines it as "an empirical enquiry that investigates a contemporary phenomenon in depth and within its real-life context, especially when the boundaries between phenomenon and context are not clearly evident." Furthermore, he states that "the case study inquiry copes with the

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"the study of the particularity and complexity of a single case, coming to understand its activity within important circumstances".

<sup>933</sup> For Hammersley & Gomm (2000, p. 3), the case study generally "refers to research that investigates a few cases, often just one, in considerable depth". Gerring (2007, p. 20) defines the case study as "the in-depth examination of a single instance of some social phenomenon", Hamel (1993, p. 1) as "an in-depth study of the cases under consideration", and Bryman & Bell (2011, p. 59) as "the detailed and intensive analysis of a single case".

<sup>934</sup> For Dul & Hak (2008, p. 4), the case study is "a study in which (a) one case (single case study) or a small number of cases (comparative case study) in their real life context are selected, and (b) scores obtained from these cases are analyzed in a qualitative manner".

<sup>935</sup> For Creswell (2007, p. 73), case study research "is a qualitative approach in which the investigator explores a bounded system (case) or multiple bounded systems (cases) over time, through detailed, in-depth data collection involving multiple sources of information (...), and reports a case description and case-based themes".

<sup>936</sup> Collis & Hussey, 2009, p. 82.

<sup>937</sup> Simons, 2009, p. 21.

<sup>938</sup> Gerring, 2007, p. 17.

technically distinctive situation in which there will be many more variables of interest than data points, and as one result relies on multiple sources of evidence, with data needing to converge in a triangulating fashion, and as another result benefits from the prior development of theoretical propositions to guide data collection and analysis”.<sup>939</sup>

Different terms are also used in literature to designate case research. Stake even argues that “a majority of researchers doing casework call their studies by some other name”, such as for example, *fieldwork*.<sup>940</sup> The use of the word *case study* also comes with difficulties. Swanborn argues that this term “may refer to the process of research as well as to the end product of such a process”.<sup>941</sup> Stake also argues that “a case study is both a process of inquiry about the case and the product of the inquiry”.<sup>942</sup> Therefore, *case research* will be used to designate the process and *case* will be used to designate one element in the process.

It must also be noted that case studies can be carried out either for research purposes or for teaching purposes. The former must contain rigorous, complete data, whereas the latter must not and serve as a basis for discussion in teaching. Cases may also be used for record keeping purposes.<sup>943</sup> In the thesis, the case study approach is used for research purposes.

Case research is also frequently classified into different types. A classification that is often cited is the one by Stake:<sup>944</sup>

- Intrinsic: Case research is intrinsic “if it is undertaken because, first and last, the researcher wants better understanding of this particular case”. The case is studied because it “itself is of interest”.<sup>945</sup>
- Instrumental: Case research is instrumental “if a particular case is examined mainly to provide insight into an issue or to redraw a generalization”.<sup>946</sup>
- Multiple/collective: Here, several cases are studied together “in order to investigate a phenomenon, population or general condition”. This type of research corresponds to an instrumental study of several cases.<sup>947</sup>

In the thesis, the author will carry out multiple/collective case research. This is because the author’s interest is not in a particular case, but in a particular issue.

<sup>939</sup> Yin, 2009, p. 18.

<sup>940</sup> Stake, 2005, p. 443.

<sup>941</sup> Swanborn, 2010, p. 10.

<sup>942</sup> Stake, 2005, p. 444.

<sup>943</sup> Yin, 2009, p. 4f.

<sup>944</sup> Stake, 2005, p. 445ff.; Stake, 1995, p. 3f. For an overview of different types of case studies, see Thomas, 2011a, p. 516.

<sup>945</sup> Stake, 2005, p. 445.

<sup>946</sup> Stake, 2005, p. 445.

<sup>947</sup> Stake, 2005, p. 445f.

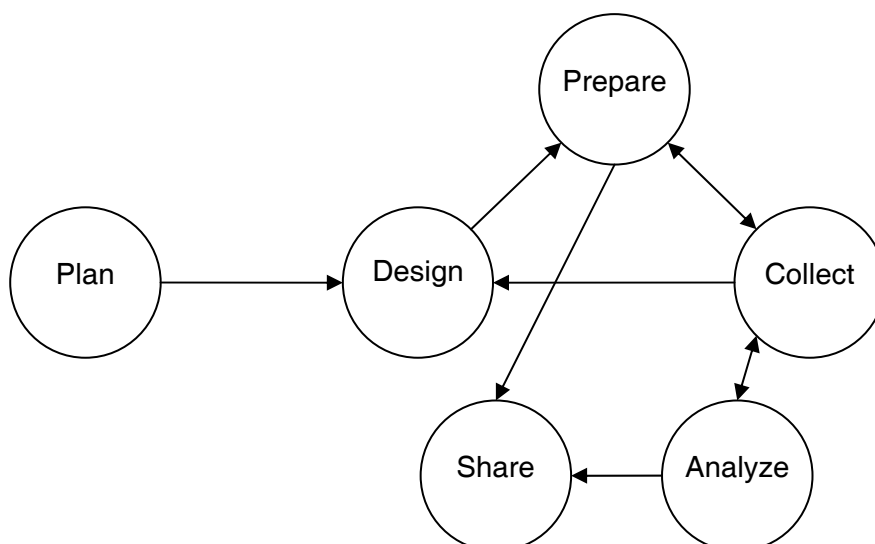
Several cases will be selected in order to acquire a general understanding of the questions and issues being researched.

### 3 Case research procedure of Yin

#### 3.1 Overview

A number of processes to carry out case research can be found in literature. Although variations exist in the number and content of steps, processes generally include design, data collection, analysis and reporting/writing stages.<sup>948</sup>

Yin proposes the process shown in **Figure V.1**.



**Figure V.1: Procedure for case study research**<sup>949</sup>

This procedure provides a very structured approach to doing case study research. As Gagnon argues, although many publications exist, “hardly any of them provide a structured, integrated and complete guide to conducting a case study”. He argues that Yin’s contribution “has perhaps come closest to doing so”.<sup>950</sup> Work by Yin is also “the most respected and extensively cited text for conducting case study research”.<sup>951</sup> The following text is therefore based on Yin’s procedure.

<sup>948</sup> See, for example, Eisenhart, 1989, p. 533; Gagnon, 2010, p. 5ff.; George & Bennett, 2005, p. 73ff.; Simons, 2009 p. 28ff. For another non-exhaustive overview of different procedures, see Thahabi, 2010, p. 104f.

<sup>949</sup> Yin, 2009, p. 1.

<sup>950</sup> Gagnon, 2010, p. X.

<sup>951</sup> Gibbert, Ruigrok & Wicki, 2008, p. 1466.

### 3.2 Plan

The process first requires the identification of the research questions or of the other rationale for conducting case study research.

Secondly, one must decide whether to use either the case study method or to use other methods in the social sciences.<sup>952</sup> Several major research methods, each with their specific strengths and weaknesses, can be distinguished. These include experiments, surveys, archival analysis, history and the case study. Yin questions the common view that a hierarchy exists between the methods, which limits case studies to the preliminary phases of research.<sup>953</sup> He argues that all methods may be used for exploratory, descriptive and explanatory purposes.<sup>954</sup> Furthermore, they do not exclude each other; they may be used in combination.<sup>955</sup>

Three conditions distinguish the different methods:<sup>956</sup>

- The type of research question: Questions can be categorized using “who”, “what”, “where”, “how” and “why”.
- The degree of control over behavioral events: This refers to the degree of manipulation possible over behavior. Direct, precise and systematic manipulation is only possible with experiments.
- The degree of focus on contemporary events: This involves considering whether the events that are examined are contemporary or historical.

A matrix combining the different research methods with the three conditions, given in **Figure V.2**, allows the researcher to determine whether case research is the most appropriate.<sup>957</sup>

As shown in the figure, the case study is considered to be particularly suitable to answer “why” and “how” questions.<sup>958</sup> It is also preferred when the researcher has little control over events, and when contemporary phenomena within a real-life context are being studied.<sup>959</sup>

Eisenhart points out the adequacy of case research in looking at new areas. Case research “is particularly well-suited to new research areas or research areas for

<sup>952</sup> In the thesis, the author will use the term *approach*. *Method* will be used to designate data collection techniques, such as interviews. However, to remain faithful to Yin’s terminology, method will be kept in this section.

<sup>953</sup> Bonoma (1985, p. 203) argues, for example, that case studies are often viewed as “a means of generating exploratory insights prior to more “rigorous” investigations”.

<sup>954</sup> Yin, 2009, p. 5ff.

<sup>955</sup> Yin, 2009, p. 13.

<sup>956</sup> Yin, 2009, p. 9ff.

<sup>957</sup> Yin, 2009, p. 5ff.

<sup>958</sup> Saunders, Lewis & Thornhill, 2009, p. 146; Yin, 2009, p. 2.

<sup>959</sup> Yin, 2009, p. 2.

which existing theory seems inadequate. This type of work is highly complementary to incremental theory building from normal science research. The former is useful in early stages of research on a topic or when a fresh perspective is needed, while the latter is useful in later stages of knowledge".<sup>960</sup>

<b>Method \ Conditions</b>	<b>Research question</b>	<b>Control of behavioral events?</b>	<b>Contemporary events?</b>
<b>Experiment</b>	How? Why?	Yes	Yes
<b>Survey</b>	Who? What? Where? How many? How much?	No	Yes
<b>Archival</b>	Who? What? Where? How many? How much?	No	Yes / No
<b>History</b>	How? Why?	No	No
<b>Case study</b>	How? Why?	No	Yes

**Figure V.2: Relevant situations for different research methods**<sup>961</sup>

Finally, the procedure requires understanding of the different strengths and limitations of the case study method.<sup>962</sup>

Strengths put forward in literature include the possibility of using many different sources of evidence,<sup>963</sup> the ability to provide a rich and in-depth analysis of a phenomenon in its context,<sup>964</sup> the ability to open the way for new ideas and hypotheses,<sup>965</sup> an opportunity to study rare phenomena, the possibility to challenge theoretical principles and to provide theoretical support.<sup>966</sup>

Limitations and concerns put forward include the common lack of rigor when conducting case research,<sup>967</sup> the possibilities of generalizing,<sup>968</sup> subjectivity and

<sup>960</sup> Eisenhart, 1989, p. 548f.

<sup>961</sup> Yin, 2009, p. 8.

<sup>962</sup> Yin, 2009, p. 2.

<sup>963</sup> Yin, 2009, p. 11; 114f.

<sup>964</sup> Gagnon, 2010, p. 2; Merriam, 2009, p. 51.

<sup>965</sup> Merriam, 2009, p. 51; Shaughnessy, Zechmeister & Zechmeister, 2009, p. 310f.

<sup>966</sup> Shaughnessy, Zechmeister & Zechmeister, 2009, p. 310f.

<sup>967</sup> Yin, 2009, p. 14.

<sup>968</sup> The possibility of generalizing from case studies is often debated in literature. See, for example, Dul & Hak, 2008, p. 3; 45ff.; Flyvbjerg, 2011, p. 304f.; Gagnon, 2010, p. 3; Hammersley & Gomm, 2000, p. 5; Merriam, 2009, p. 51f.; Simons, 2009, p. 164ff.; Shaughnessy, Zechmeister & Zechmeister, 2009, p. 316; Thomas, 2011b, p. 17ff.; 210ff.; Yin, 2009, p. 15.



potential biases,<sup>969</sup> the substantial amount of time required,<sup>970</sup> the important number of documents that result,<sup>971</sup> the difficulty of reproducing case research,<sup>972</sup> the inability to establish causal relationships,<sup>973</sup> the difficulties in gaining access, deciding on the scope, and finally, the difficulty of understanding events at a specific period in time without knowing the past and the future.<sup>974</sup>

### 3.3 Design

A research design is “the logical sequence that connects the empirical data to a study’s initial research questions and, ultimately, to its conclusions”. It is “*a logical plan for getting from here to there*, where *here* may be defined as the initial set of questions to be answered, and *there* is some set of conclusions (answers) about these questions”.<sup>975</sup>

On top of the research question or questions defined in the plan step of the procedure, four components notably make up a case research design.<sup>976</sup> These are discussed in the following text.

The first component consists in developing propositions. These help make the research questions more concrete by indicating what should be studied. They reflect “important theoretical issues” and help the researcher “move in the right direction”.<sup>977</sup> The following may all constitute the basis for propositions: literature, the experience of the researcher, theories and/or generalizations from empirical data.<sup>978</sup>

The second component is the definition of unit(s) of analysis and the likely case(s). Selection is a common challenge and depends on the research question. Concrete boundaries in terms of space, time, etc. are also necessary.<sup>979</sup>

The researcher must notably decide on whether to study a single case or multiple cases. The rationale for doing a single case includes the case representing a critical case, an extreme or unique case, a typical or representative case, a

<sup>969</sup> Merriam, 2009, p. 52; Shaughnessy, Zechmeister & Zechmeister, 2009, p. 314ff.; Simons, 2009, p. 24.

<sup>970</sup> Collis & Hussey, 2009, p. 83; Gagnon, 2010, p. 3; Merriam, 2009, p. 51; Yin, 2009, p. 15.

<sup>971</sup> Merriam, 2009, p. 51f.; Simons, 2009, p. 24; Yin, 2009, p. 15. For Yin (2009, p. 15), this is not necessarily true and results from confusion with data collection methods.

<sup>972</sup> Gagnon, 2010, p. 3.

<sup>973</sup> Shaughnessy, Zechmeister & Zechmeister, 2009, p. 313ff.; Yin, 2009, p. 15f.

<sup>974</sup> Collis & Hussey, 2009, p. 83.

<sup>975</sup> Yin, 2009, p. 26.

<sup>976</sup> Yin, 2009, p. 27ff.

<sup>977</sup> Yin, 2009, p. 28.

<sup>978</sup> Baxter & Jack, 2008, p. 551.

<sup>979</sup> Yin, 2009, p. 29ff.

revelatory case or a longitudinal case.<sup>980</sup> However, careful consideration and planning is required, as “a case may later turn out not to be the case it was thought to be at the outset”.<sup>981</sup> Studying multiple cases<sup>982</sup> presents the advantage of being more robust.<sup>983</sup> However, doing so also requires more resources and time.<sup>984</sup> A tradeoff must also be made between depth and breadth.<sup>985</sup> For Creswell, studying several cases “dilutes the overall analysis”. He argues that “the more cases an individual studies, the less the depth in any single case”.<sup>986</sup>

There is no consensus in literature on the recommended number of cases to select when doing a multiple case study.<sup>987</sup> The selection of cases is also often discussed. Yin highlights that, when selecting cases for such a study, it is important to follow a replication logic, and not a sampling logic. This involves the selection of cases on the basis of a prediction of similar findings (literal replication) or of contrary findings (theoretical replication).<sup>988</sup>

Within these two variants (single vs. multiple cases), there can also be a single unit of analysis (“holistic” design), or multiple units of analysis (“embedded” design),<sup>989</sup> such as the study of different divisions or hierarchical levels in a company.<sup>990</sup> Four basic types of designs can thus be identified. These are shown in **Figure V.3**.

The third component of the design is the logic linking the data to propositions: The different analytic techniques<sup>991</sup> that exist to link data to propositions, as well as their suitability for the study, are considered.<sup>992</sup>

<sup>980</sup> Yin, 2009, p. 47ff. A critical case is used to test a theory. An extreme or unique case is used to document a rare case. A typical or representative case presents average everyday situations. A revelatory case looks at phenomenon previously inaccessible to research. With a longitudinal case, a same case is studied over different periods in time.

<sup>981</sup> Yin, 2009, p. 49f.

<sup>982</sup> In literature, these are also known as collective, cross-case, comparative and contrasting case studies (Merriam, 2009, p. 49).

<sup>983</sup> Merriam, 2009, p. 49f.; Miles & Huberman, 1994, p. 29; Yin, 2009, p. 53.

<sup>984</sup> Yin, 2009, p. 53.

<sup>985</sup> Maylor & Blackmon, 2005, p. 246.

<sup>986</sup> Creswell, 2007, p. 76.

<sup>987</sup> Yin (2009, p. 58), for example, recommends two to three for literal replications and five or six or more for theoretical replications. Maylor & Blackmon (2005, p. 246) recommend two to eight. Creswell (2007, p. 76) states that four or five cases maximum are generally chosen. Eisenhart (1989, p. 545) recommends four to ten, because theory is difficult to generate with less than four cases. Her view has been challenged by Dyer & Wilkins (1991, p. 614).

<sup>988</sup> Yin, 2009, p. 53ff. A sampling logic, common when the research aim is prevalence or frequency, is based on “an operational enumeration of the entire universe or pool of respondents and then a statistical procedure for selecting a specific subset of respondents to be surveyed.

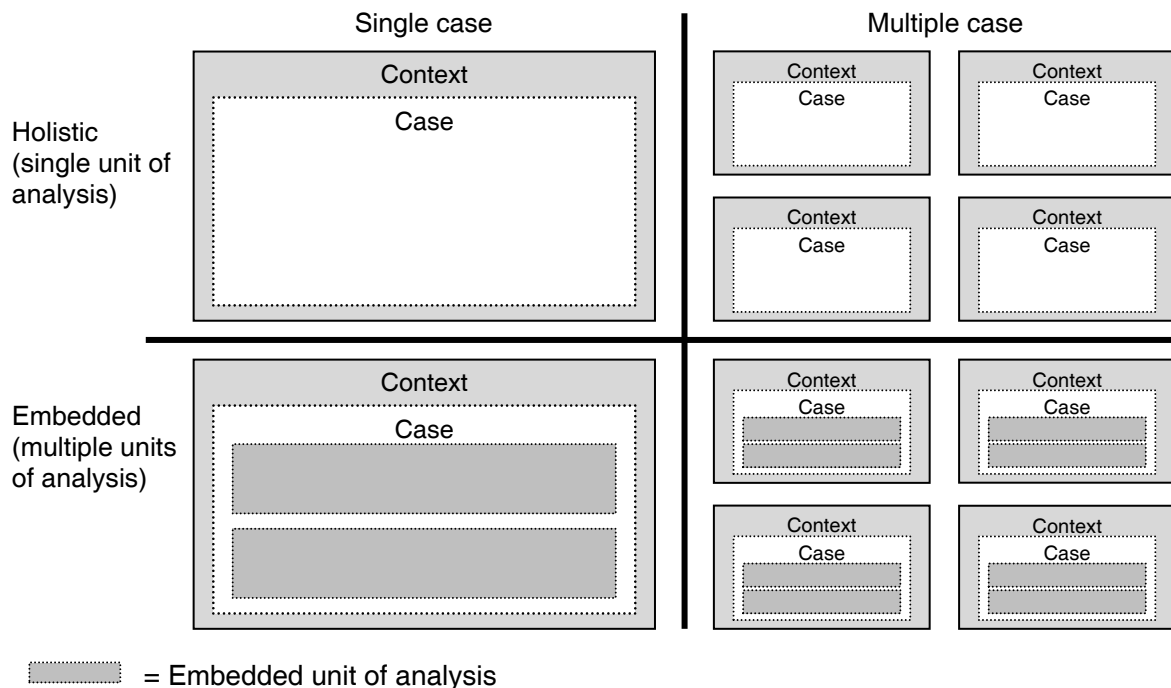
<sup>989</sup> Yin, 2009, p. 50.

<sup>990</sup> Maylor & Blackmon, 2005, p. 246.

<sup>991</sup> These include pattern matching, explanation building, time-series analysis, logic models and cross-case synthesis.

<sup>992</sup> Yin, 2009, p. 33f.

The final component is the criteria to interpret findings. In order to interpret results, statistical analyses can be used. However, as most case research is unable to do so, another available option is to look at rival explanations.<sup>993</sup>



**Figure V.3: Basic types of designs for case studies**<sup>994</sup>

The design step of the process also requires the definition of procedures to maintain quality. Four criteria are commonly used to judge the quality of the research design:<sup>995</sup>

- **Construct validity:** refers to “identifying correct operational measures for the concepts being studied”.
- **Internal validity:** is “seeking to establish a causal relationship, whereby certain conditions are believed to lead to other conditions”.
- **External validity:** is the extent to which the generalization of findings is possible. As stated previously, this represents a major concern in case study research.
- **Reliability:** refers to “demonstrating that the operations of a study – such as the data collection procedures – can be repeated with the same results”.

A number of tactics can be used to maintain quality. These tactics and the steps in the process in which they occur are shown in **Figure V.4**.

<sup>993</sup> Yin, 2009, p. 34.

<sup>994</sup> Yin, 2009, p. 46. Because the boundaries between the case and the context are not clear, they are represented with dotted lines.

<sup>995</sup> Yin, 2009, p. 40ff. See also Gibbert & Ruigrok, 2010, p. 3ff.; Gibbert, Ruigrok & Wicki, 2008, p. 1466ff.

Tests	Case study tactic	Phase of research in which tactic occurs
Construct validity	<ul style="list-style-type: none"> <li>▪ Use multiple sources of evidence</li> <li>▪ Establish chain of evidence</li> <li>▪ Have key informants review draft case study report</li> </ul>	<ul style="list-style-type: none"> <li>▪ Data collection</li> <li>▪ Data collection</li> <li>▪ Composition</li> </ul>
Internal validity	<ul style="list-style-type: none"> <li>▪ Do pattern matching</li> <li>▪ Do explanation building</li> <li>▪ Address rival explanations</li> <li>▪ Use logic models</li> </ul>	<ul style="list-style-type: none"> <li>▪ Data analysis</li> <li>▪ Data analysis</li> <li>▪ Data analysis</li> <li>▪ Data analysis</li> </ul>
External validity	<ul style="list-style-type: none"> <li>▪ Use theory in single-case studies</li> <li>▪ Use replication logic in multiple-case studies</li> </ul>	<ul style="list-style-type: none"> <li>▪ Research design</li> <li>▪ Research design</li> </ul>
Reliability	<ul style="list-style-type: none"> <li>▪ Use case study protocol</li> <li>▪ Develop case study database</li> </ul>	<ul style="list-style-type: none"> <li>▪ Data collection</li> <li>▪ Data collection</li> </ul>

**Figure V.4: Case study tactics on four design tests**<sup>996</sup>

### 3.4 Prepare

In order to prepare well, it is first necessary to develop a certain number of skills. These include asking good questions, being a good "listener", being adaptive and flexible, having a firm grasp of the issues and avoiding bias.<sup>997</sup>

A second sub-step concerns preparation and training for a specific case study. This includes defining procedures for the protection of human subjects. Such procedures comprises gaining informed consent, protecting from harm and avoiding deception, protecting privacy and confidentiality and taking precautions regarding vulnerable persons. The sub-step also includes training, notably in the case of a team of researchers.<sup>998</sup>

A case study protocol that guides the researcher during data collection is then developed. The general content is the following:<sup>999</sup>

- Overview of the project: This includes background information on the project, the research issues, and relevant readings.

<sup>996</sup> Yin, 2009, p. 41. Another very complete list of actions to ensure validity and reliability is given by Gagnon (2010, p. 29; 36).

<sup>997</sup> Yin, 2009, p. 67ff.

<sup>998</sup> Yin, 2009, p. 73ff.

<sup>999</sup> Yin, 2009, p. 81ff.

- Field procedures: The main tasks of data collection are presented, including gaining access, having sufficient resources, a procedure for assistance, a clear schedule for data collection, and providing for unanticipated events.
- Case study questions: The main part of the protocol, questions at different levels<sup>1000</sup> are listed and accompanied by likely sources. It is important to note that the questions are posed to the researcher.
- Guide for case study report: This includes reflections on a basic outline, format and audience for the report.

Candidate cases are then screened in order to identify the final cases. For a single case design, Yin recommends choosing the case that will probably provide the best data. For a multiple-case design, the cases that best fit the replication design should be selected.<sup>1001</sup>

Finally, conducting a pilot case study may be useful to refine the collection of data. They may be selected for their accessibility, their geographical convenience, the important amount of data available or their high level of complexity.<sup>1002</sup>

### 3.5 Collect

In the fifth step of the process, the case study protocol developed in the previous step is followed, and data is collected.

It is often highlighted that case studies rely on multiple sources to collect data.<sup>1003</sup> Yin distinguishes six primary ones:<sup>1004</sup>

- Documents: Documents range from e-mails to minutes of meetings to internal reports to newspaper articles. They mainly allow the author to confirm and complement evidence from other sources, and are therefore considered to be of high value for case research.
- Archival records: These are often computer files and records and include, for example, public files, service or organizational records.
- Interviews: The interview is considered to be a fundamental source in gathering case study evidence, because of the fact that the majority of case studies focus on human affairs or behavioral events. Different types are distinguished, such as in-depth interviews, focused interviews or interviews similar to surveys.

<sup>1000</sup> Yin (2009, p. 87f.) distinguishes five levels: questions asked of specific interviewees, of the individual case, of the patterns of finding across multiple cases, of an entire study, as well as normative questions about policy recommendations and conclusions. He recommends concentrating on the second level (questions asked of the individual case).

<sup>1001</sup> Yin, 2009, p. 91f.

<sup>1002</sup> Yin, 2009, p. 92ff.

<sup>1003</sup> Bonoma, 1985, p. 203; Creswell, 2007, p. 75; 79; Eisenhart, 1989, p. 534; Ghauri & Grønhaug, 2005, p. 114f.; Maylor & Blackmon, 2005, p. 249; Swanborn, 2010, p. 17; Yin, 2009, p. 99.

<sup>1004</sup> Yin, 2009, p. 101ff.

- Direct observations: In this case, the researcher observes behavior or the environment, such as for example, meetings, factory work or a classroom.
- Participant observation: This source consists in a particular form of observation, during which the researcher observes, but also takes on an active role, such as assuming the role of a staff member in an organization.
- Physical artifacts: These include, for example, technological devices, tools, instruments or works of art.

The strengths and weaknesses of each of these sources are in **Figure V.5**.

	Strengths	Weaknesses
Documents	<ul style="list-style-type: none"> <li>▪ Stable – can be reviewed repeatedly</li> <li>▪ Unobtrusive – not created as a result of the case study</li> <li>▪ Exact – contains exact names, references and details of an event</li> <li>▪ Broad coverage – long span of time, many events and many settings</li> </ul>	<ul style="list-style-type: none"> <li>▪ Retrieval – can be difficult to find</li> <li>▪ Biased selectivity, if collection is incomplete</li> <li>▪ Reporting bias – reflects (unknown) bias of author</li> <li>▪ Access – may be deliberately withheld</li> </ul>
Archival records	<ul style="list-style-type: none"> <li>▪ Same as those for documentation</li> <li>▪ Precise and usually quantitative</li> </ul>	<ul style="list-style-type: none"> <li>▪ Same as those for documentation</li> <li>▪ Accessibility due to privacy reasons</li> </ul>
Interviews	<ul style="list-style-type: none"> <li>▪ Targeted – focuses directly on case study topics</li> <li>▪ Insightful – provides perceived causal inferences and explanations</li> </ul>	<ul style="list-style-type: none"> <li>▪ Bias due to poorly articulated questions</li> <li>▪ Response bias</li> <li>▪ Inaccuracy due to poor recall</li> <li>▪ Reflexivity – interviewee gives what interviewer wants to hear</li> </ul>
Direct observations	<ul style="list-style-type: none"> <li>▪ Reality – covers events in real time</li> <li>▪ Contextual – covers context of “case”</li> </ul>	<ul style="list-style-type: none"> <li>▪ Time-consuming</li> <li>▪ Selectivity – broad coverage difficult without a team of observers</li> <li>▪ Reflexivity – event may proceed differently because it is observed</li> <li>▪ Cost – hours needed by human observers</li> </ul>
Participant observation	<ul style="list-style-type: none"> <li>▪ Same as above for direct observations</li> <li>▪ Insightful into interpersonal behavior and motives</li> </ul>	<ul style="list-style-type: none"> <li>▪ Same as above for direct observations</li> <li>▪ Bias due to participant-observer’s manipulation of others</li> </ul>
Physical artifacts	<ul style="list-style-type: none"> <li>▪ Insightful into cultural features</li> <li>▪ Insightful into technical operations</li> </ul>	<ul style="list-style-type: none"> <li>▪ Selectivity</li> <li>▪ Availability</li> </ul>

**Figure V.5: Strengths and weaknesses of sources of data collection**<sup>1005</sup>

The researcher must become familiar with the basic data collection procedures associated with each of these sources. The relevance of each source for the research must also be considered.<sup>1006</sup>

<sup>1005</sup> Adapted from Yin, 2009, p. 102.

Finally, although these six sources represent the main sources for conducting case study research, many other sources can be used.<sup>1007</sup> As Merriam argues, “any and all methods of gathering data (...) can be used in a case study”.<sup>1008</sup>

Yin suggests following three principles when collecting data:<sup>1009</sup>

- Use of multiple sources of data: The researcher should aim to use multiple sources of data. Doing so allows “a broader range of historical and behavioral issues to be addressed”, as well as “the development of converging lines of inquiry”. Triangulation<sup>1010</sup> increases the accuracy of findings.<sup>1011</sup> However, the use of multiple sources is associated with several prerequisites, such as costs and knowledge in the different data collection methods.
- Creation of a case study database: The organization and documentation of data allows a direct review of data by other researchers. A clear distinction should be made between the collected data and the final case study report. The database can include notes (e.g. interview notes), documents, tabular materials (e.g. quantitative data) and narratives.
- Maintenance of a chain of evidence: This allows the tracing back of evidence from the initial questions to the conclusions in the case study report, and vice versa.

All three principles, relevant to all six sources of data collection, increase the quality of the case study.<sup>1012</sup>

### 3.6 Analyze

Analysis also represents one of the most challenging steps in case study research.<sup>1013</sup> One of the reasons is that analysis is developed very little in literature,<sup>1014</sup> and “there are few fixed formulas or cookbook recipes”.<sup>1015</sup>

Four general analytic approaches are recommended by Yin:<sup>1016</sup>

<sup>1006</sup> Yin, 2009, p. 11; 98; 100; 113f.

<sup>1007</sup> Yin, 2009, p. 114.

<sup>1008</sup> Merriam, 2009, p. 42.

<sup>1009</sup> Yin, 2009, p. 114ff.

<sup>1010</sup> Ghauri & Grønhaug (2005, p. 221) define triangulation as “the combination of methodologies in the study of the same phenomenon”.

<sup>1011</sup> Ghauri & Grønhaug, 2005, p. 221; Yin, 2009, p. 116.

<sup>1012</sup> Yin, 2009, p. 98; 101.

<sup>1013</sup> Eisenhart, 1989, p. 539; Yin, 2009, p. 127; 162.

<sup>1014</sup> Yin, 2009, p. 127.

<sup>1015</sup> Yin, 2009, p. 127.

<sup>1016</sup> Yin, 2009, p. 130ff. Yin speaks of *strategies*. However, to avoid any confusion, the author prefers to use the term *approach*.

- Rely on theoretical propositions: The preferred approach, according to Yin, consists in following the theoretical propositions that served as the basis in the case study design. Doing so presents the advantage of guiding the analysis. Attention is focused on relevant data.
- Develop a case description: This involves developing a descriptive framework to organize the case study. The framework is based on the literature review. Ideas for establishing such a framework must also come from looking at the frameworks of other case studies.
- Use of qualitative and quantitative data: If the collected data is both qualitative and quantitative, this approach may be used. Statistical models may be used to analyze the quantitative data. However, this requires good knowledge of methods. For the qualitative data, the other general analytic approaches can be used.
- Examine rival explanations: A final approach is defining and testing rival explanations. This is compatible with the three strategies mentioned above.

Once one or several general approaches are chosen, one or several analytic techniques can be used to accompany them. These include pattern matching, explanation-building, time series analysis, logic models and cross-case synthesis / comparative analysis.<sup>1017</sup>

These different approaches and techniques can be used in any number. They may also be combined.<sup>1018</sup> Whatever approach(s) and technique(s) is chosen, careful consideration should be given to the following points. First, all the relevant evidence should be addressed. Second, all major rival interpretations should be dealt with. Third, the most significant issue should be addressed. Finally, the researcher should integrate his knowledge.<sup>1019</sup>

Other approaches to analyze case studies are also found in literature.<sup>1020</sup> Eisenhart, for example, recommends two steps in analyzing cases:<sup>1021</sup>

- Within-case analysis: This generally consists in the development of a case description as a first step. This way, the researcher can “become intimately familiar with each case” and it “allows the unique patterns of each case to emerge before investigators push to generalize patterns across cases”.<sup>1022</sup>
- Cross-case analysis: Three tactics can be used. One tactic consists in selecting categories or dimensions, which are suggested by the research question or literature. “Within-group similarities coupled with intergroup differences” can then be looked at. Another tactic is to form pairs and look at similarities and

<sup>1017</sup> Yin, 2009, p. 136ff.

<sup>1018</sup> Yin, 2009, p. 130.

<sup>1019</sup> Yin, 2009, p. 160ff.

<sup>1020</sup> For an overview of several very diverse approaches, see Swanborn (2010, p. 114ff.).

<sup>1021</sup> Eisenhart, 1989, p. 533; 539ff. See also Collis & Hussey (2009, p. 83) and Maylor & Blackmon, (2005, p. 252f.), who discuss within-case and cross-case analysis.

<sup>1022</sup> Eisenhart, 1989, p. 540.



differences between pairs.<sup>1023</sup> A final tactic is to divide data by source (interviews, observations, etc.) and look for patterns within a source.

### 3.7 Share

This firstly concerns the targeting of the report, that is, the identification of the target audience for the report. The audience may include academic colleagues, policy makers and practitioners, thesis committees, funders of research, etc.<sup>1024</sup>

Secondly, the report should be composed. Formats for the report should also be considered. Yin exposes four variations:<sup>1025</sup>

- Classic single case: This is done in the form of a narrative.
- Classic multiple case: For this format, several narratives, one for each case, are written. Generally, each single case is found in a separate section or chapter.
- Multiple or single case with question answer format: Cases are composed on the basis of questions and answers.
- Multiple case with no separate sections for the individual cases: In this case, no separate sections/chapters are made to present the cases, but the cross-case analysis constitutes the whole. In each section/chapter, an issue is discussed. Data from the single cases is therefore found in several sections/chapters.

Various compositional structures for case reports also exist. These structures, as well as their application to the different purposes of case studies, are shown in **Figure V.6**.

Yin recommends following three procedures. First, the researcher should begin writing as early as possible, before the end of data collection and analysis.<sup>1026</sup> Second, anonymity at the level of the cases and individuals should be considered. Full disclosure is preferable in order to help the reader recollect information and to facilitate reviewing. However, anonymity may be necessary to protect those who participate and provide information. Third, the review of reports by fellow researchers and by participants is highly desirable. Such a review is a courtesy to those who participated, but also allows information to be confirmed and may allow for the collection of additional data.<sup>1027</sup>

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<sup>1023</sup> Selecting pairs and identifying similarities and differences between pairs is also proposed by Maylor & Blackmon. Other analytic techniques given by the authors include selecting categories and looking at how cases fit within them, as well as identifying common themes in all cases and finding the case that best illustrates each theme (Maylor & Blackmon, 2005, p. 252f.).

<sup>1024</sup> Yin, 2009, p. 167f.

<sup>1025</sup> Yin, 2009, p. 170ff.

<sup>1026</sup> Yin, 2009, p. 164f.

<sup>1027</sup> Yin, 2009, p. 179ff.

<b>Purpose</b>	<b>Explanatory</b>	<b>Descriptive</b>	<b>Exploratory</b>
<b>Structures</b>			
Linear-analytic	X	X	X
Comparative	X	X	X
Chronological	X	X	X
Theory-building	X		X
Suspense	X		
Unsequenced		X	

**Figure V.6: Compositional structures and applications to purposes<sup>1028</sup>**

Finally, Yin gives general characteristics of an exemplary case study. The following make for an exemplary case study:<sup>1029</sup>

- **Significance:** A significant case is unusual and of general interest and/or important.
- **Completeness:** A complete case is one in which boundaries have been explicitly considered, in which the researcher has collected all the evidence that is critical to the case, as well as in which time resource and other constraints have been considered in the design.
- **Consideration of alternative perspectives:** This signifies that evidence is considered from all perspectives.
- **Display of enough evidence:** The most relevant evidence is presented in a neutral way in the case report.
- **Engaging composition:** Reports should be “seductive”, that is, they should make the reader want to continue reading. They should also be written clearly.

## 4 Case research procedure of thesis

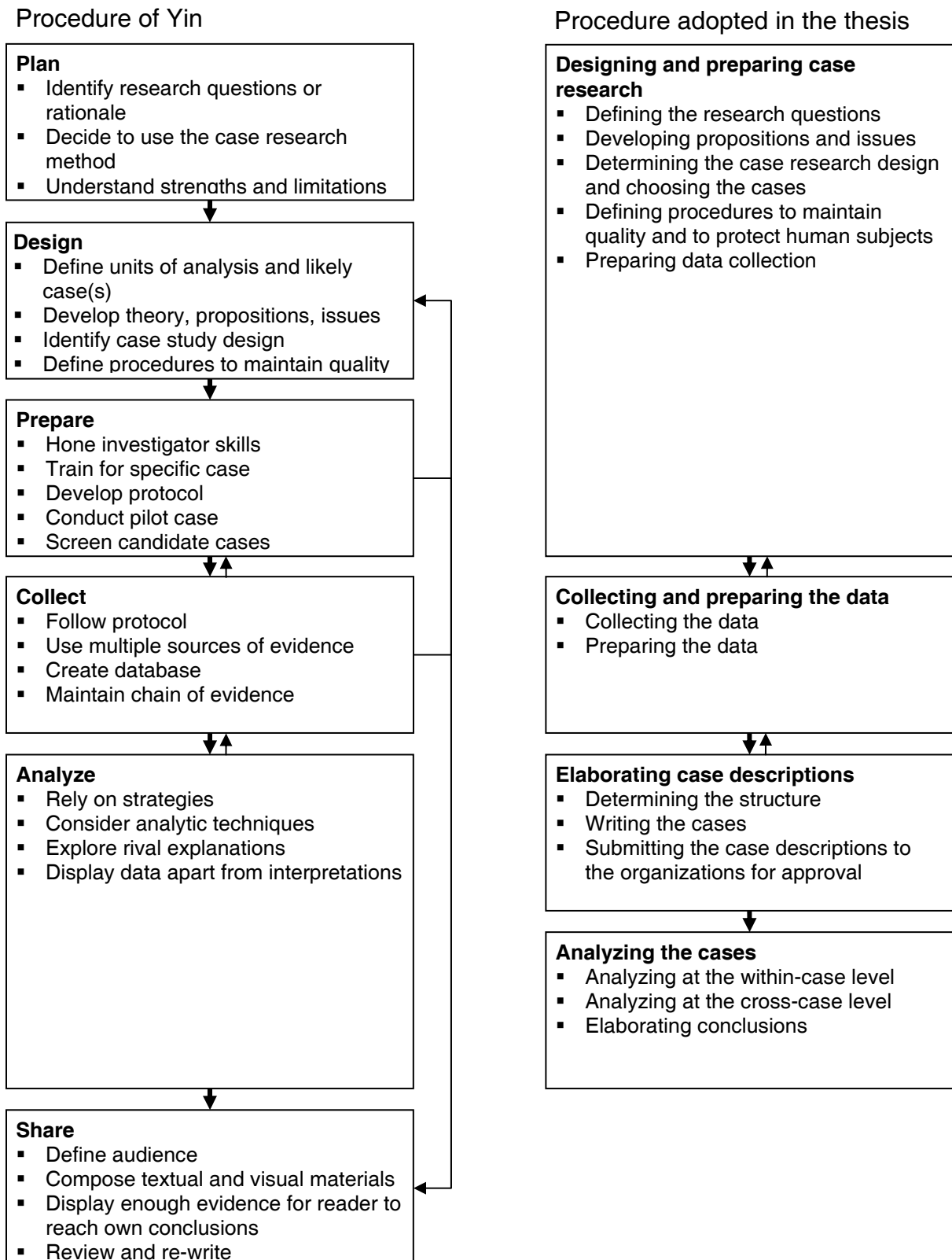
### 4.1 Evaluation and adaptation of Yin’s procedure

Although Yin’s procedure is structured, practical and complete, it presents a number of disadvantages in view of the author’s own project. First, it includes a high number of sub-problems. Second, an important number of interdependencies exist. According to the author, this makes it difficult to proceed and limits the applicability of the procedure.

The basic steps and content proposed by Yin serve as the basis for the research project of the author. However, several adaptations are made in order to simplify the process and better fit the research project. The procedure proposed by the author is compared to Yin’s procedure in **Figure V.7**.

<sup>1028</sup> Adapted from Yin, 2009, p. 176.

<sup>1029</sup> Yin, 2009, p. 185ff.



**Figure V.7: Procedure for case research adopted in thesis**<sup>1030</sup>

<sup>1030</sup> Adapted from Yin, 2009, p. 2; 24; 66; 98; 126; 164.

As shown in the figure, the total number of steps is reduced to four in order to simplify the process and the number of sub-steps. Interdependencies can thus be reduced. Heuristic loops allow the researcher to go back to previous phases in the process. For example, during the elaboration of the case descriptions, the researcher can go back to step 2 to collect further data. This can be done until an optimal result is reached, and it also ensures the overall consistency of the case research.

The author has notably combined Yin's first three steps (plan, design and prepare) into one step. The reasons are the following:

- As the author has already decided on the use of case research and understood its strengths and limitations in Chapter I of the thesis, only the definition of the research questions will be taken from Yin's plan step. The remaining sub-steps are no longer necessary and can be eliminated.
- The development of theory, propositions and issues is deemed important in order to provide a sound basis for the research. As it is closely linked to the research question, the author has modified the order of sub-steps, and this issue has been placed directly after the definition of the research questions.
- The researcher decides for the merger of all sub-steps related to the selection of cases. This includes the definition of units of analysis and likely case or cases, the screening of candidate cases and the final selection of cases. Doing so simplifies the process by allowing the researcher to care for the selection of cases in one sub-step. The identification of the case design (single vs. multiple case, single vs. multiple units of analysis) is also deemed important. Because of its close link to the selection of cases, the author has put both issues into one sub-step.
- Considering the analysis of data before its collection is often recommended. For this reason, the author believes that Yin's integration of reflections on the logic linking data to propositions makes sense. Reflections on the criteria for interpreting the findings are also considered desirable. However, the author does not consider it to be necessary to explicitly describe these reflections. For this reason, they are not included in the process proposed by the author.
- Procedures to maintain quality are included by the author, as this is considered important to increase the quality of the research and to counter certain weaknesses of case research. As these procedures concern different steps in the process, they are defined in this step, but applied concretely in the respective steps.
- Investigator skills are developed. This is deemed important by the researcher. As it contributes to increase the quality of research, it has been integrated in the procedures to maintain quality.
- Yin also includes training for the specific case in his prepare step. Particular training is not considered necessary, because the researcher is not part of a team. It is therefore not included in the authors' procedure. Yin also includes here the definition of procedures to protect human subjects. This is deemed important and is therefore integrated. Anonymity issues, discussed in Yin's last

step, are moved to the author's first step, because they concern the protection of human subjects. This issue should therefore be considered beforehand.

- Finally, carrying out a pilot case is considered, however not conducted for time and resources reasons. This sub-step is therefore not included in the author's procedure.
- The preparation of data collection is introduced by the author as a last sub-step. This includes the selection of relevant sources of data, as well as becoming familiar with the procedures of each source and the required skills. Certain aspects of the development of investigator skills are also integrated here.

Yin's collect step corresponds to the logical continuation of the procedure and is therefore kept as the researcher's second step. Yin's three principles of data collection (multiple sources of evidence, database and chain of evidence) contribute to increasing the quality of case research. These principles have been defined in the author's first step, but are applied concretely in this step.

The author chooses, however, to add a sub-step not included in Yin's procedure: the preparation of data. This includes transcribing, classifying and deciding on the use of software. The introduction of such a sub-step ensures that the researcher has a sound basis for the next steps.

The author has modified Yin's analysis step, and now distinguishes two separate steps:

- First, the author decides on the elaboration of case descriptions. The elaboration of such descriptions is integrated in the analysis steps of writers in case research. The development of a descriptive framework is integrated in Yin's analysis step as a general approach.<sup>1031</sup> Eisenhart, for example, argues: "within-case analysis typically involves detailed case study write-ups for each site". Although they "are often simply pure descriptions", they allow insight and familiarity with the cases.<sup>1032</sup> A case description is also included in the analysis phases of Creswell,<sup>1033</sup> Gagnon<sup>1034</sup> and Maylor & Blackmon.<sup>1035</sup> For some, even preparing the data (transcription, etc.) already corresponds to analysis<sup>1036</sup>. As Stake argues, "there is no particular moment when data analysis begins".<sup>1037</sup> Yin's recommendations on formats and report composition, presented in his share step, are integrated here.
- The author then includes an analysis based on the propositions developed in the first step. Relying on propositions is one of Yin's general analytic approaches. This is done at the single case level, as well as at the cross-case

<sup>1031</sup> Yin, 2009, p. 131ff.

<sup>1032</sup> Eisenhart, 1989, p. 540.

<sup>1033</sup> Creswell, 2007, p. 156; 163.

<sup>1034</sup> Gagnon, 2010, p. 80ff.

<sup>1035</sup> Maylor & Blackmon, 2005, p. 252.

<sup>1036</sup> Hesse-Biber & Leavy, 2011, p. 302; Langdrige & Hagger-Johnson, 2009, p. 373; 377.

<sup>1037</sup> Stake, 1995, p. 71.

level. Propositions are compared to each case description in order to find similarities and differences.

Finally, Yin's share step is eliminated. The different elements considered useful in the context of the thesis, such as recommendations regarding formats, compositional structure, anonymity and the review of reports, are integrated in previous steps.

## **4.2 Summary of author's proposed procedure**

The procedure proposed by the author is commented in the following text.

The first step of the proposed procedure is the designing and preparing of the case research. A first issue is the definition of the research questions. The second issue concerns the development of propositions and issues. This is closely linked to the research question and is carried out in order to provide a sound basis for the research. They will also serve as a basis for the analysis in the last step of the author's procedure. A third issue concerns the determination of the case study design and the choice of cases. The case study design will be defined. Then, the author will proceed with the choice of cases. The fourth issue concerns the procedures to maintain case study quality and to protect human subjects. The latter notably includes the consideration of anonymity. The last issue concerns the preparation of data collection. This includes the selection of the relevant sources of data, as well the becoming familiar with the procedures associated with each source, and acquiring skills to optimize data collection.

The second step consists in collecting and preparing the data. Two main issues can be distinguished. The first concerns the collection of the data. The principles of data collection defined in the previous step are deemed important in order to increase the quality of the research. The second issue concerns the preparation of data. The collected data prepared for the following steps of the procedure, notably by classifying and transcribing data, as well as considering the use of software.

The third step of the procedure consists in elaborating the case descriptions. The first issue involves the determination of the structure of the case. The different cases are then written. Finally, the submission of the case descriptions to the organizations studied makes up the final issue. As well as being a courtesy, the case descriptions can thus be finalized on the basis of eventual remarks and recommendations.

The fourth and final step of the procedure consists in analyzing the cases. In this step, the general approaches and techniques are determined and used. A within-case analysis based on the propositions is carried out. Then, a cross-case

analysis, where are cases are compared on the basis of propositions in order to find similarities and differences, is carried out. The step ends with the elaboration of conclusions.





## **VI      DESIGNING AND PREPARING CASE RESEARCH**

### **1      Introduction**

The thesis now moves to the application of the case research procedure developed by the author in the previous chapter. Chapter VI is dedicated to the first step in this procedure, namely designing and preparing case research. The different sub-steps are commented in detail.

The chapter is divided into several sections:

- Section 1 is the introduction.
- Section 2 is dedicated to the definition of the research questions.
- Section 3 is on the developing of the propositions.
- Section 4 looks at the determination of the case research design and the choice of cases.
- Section 5 presents the procedures to maintain quality and to protect human subjects.
- Section 6 is dedicated to the preparation of data collection.
- Section 7 is the conclusion.

### **2      Defining the research questions**

The first sub-step of the process is to specify the research questions.

In order to develop recommendations that meet the specific strategic management needs of international aid organizations, an understanding of why and how strategic management is used in international aid organizations is needed. This leads to the definition of the first research question:

- Why and how is strategic management used in international aid organizations?

This study aims to uncover eventual needs and issues, as well as the different approaches, in terms of strategic management in international aid organizations. Reluctances with the use of strategic management, if any, will also be researched. A second research question can therefore be formulated as follows:

- What are the different strategic management needs, issues and approaches?

These two questions constitute the basis for carrying out the empirical study. They have been derived from the very limited amount of literature available, and will therefore allow new insight on the topic. They also justify the use of the case research approach.

### 3 Developing the propositions

Secondly, propositions and issues are developed on the basis of literature and the researcher's assumptions. A total of 20 propositions, shown in **Figure VI.1**, are developed. They are grouped into three main topics: Understanding of strategy, executing strategic management tasks and applying analysis and planning tools.

A – Understanding of strategy
<p><b>1. The basic comprehension of strategy is the same as for profit organizations.</b> Chapter II showed that strategy is understood in the private sector as a set of decisions to achieve an organization's goals. Specific aspects vary though.<sup>1038</sup> The author assumes the understanding is the same in international aid organizations.</p>
<p><b>2. There are no reluctances against strategic management approaches.</b> In chapter I, the reluctance against management approaches that some NGOs may have was highlighted. Some believe that management belongs to a different set of ideologies, and that its use implies the loss of identity and values.<sup>1039</sup> However, because of the fact that strategic management is increasingly being used by the non-profit sector in general,<sup>1040</sup> the author formulates the proposition in a positive way.</p>
<p><b>3. Different levels of strategy exist.</b> Chapter II showed that three different levels of strategy are distinguished in literature (corporate, business and functional) and used in private companies.<sup>1041</sup> Although not specifically stated in chapter III or IV on aid organizations, the author assumes that at least large aid organizations also think at different levels of strategy.</p>
<p><b>4. Resources are planned in the long-term.</b> The main purpose of strategic planning is to build and maintain success potentials, and one type of success potential is resources.<sup>1042</sup> Resources, including personnel and financial resources, are planned, as they constitute the basis for success in the long-term.</p>
<p><b>5. Activities are planned at least as categories of activities.</b> Success potentials in the offer also constitute the basis for success.<sup>1043</sup> Due to the unpredictable nature of humanitarian aid activities,<sup>1044</sup> it is difficult to plan them. However, the different types of activities are at least considered.</p>
<p><b>6. The aspired position is determined in a precise way.</b> The third type of success potential is the target market position in the case of a company. This position represents an element of strategy, because it is strongly linked to the two other types of success potentials. The determination of the target market position, which is normally done in a first step, determines the necessary competitive advantages in the offer and in resources.<sup>1045</sup> It is therefore assumed that aid organizations clearly determine their target positions.</p>

**Figure VI.1: Propositions**<sup>1046</sup>

<sup>1038</sup> See Chapter II, Section 3.1; Grünig & Kühn, 2011, p. 9; Hill & Jones, 2009, p. 3; Johnson, Scholes & Whittington, 2008, p. 3; Schermerhorn, 2008, p. 207; Thompson, Gamble & Strickland, 2004, p. 3.

<sup>1039</sup> See Chapter I, Section 1.3; Campbell, 1989, p. 3; Korten, 1987, p. 156; Lewis, 2007, p. 20f.; Lewis, 2003, p. 330.

<sup>1040</sup> See Chapter I, Section 1.3; Lewis, 2007, p. 23f.; Lewis, 2003, p. 330.

<sup>1041</sup> See Chapter II, Section 4. See, for example, Hill & Jones, 2009, p. 20; Miller & Dess, 1996, p. 40ff.; Schermerhorn, 2008, p. 214; Thompson, Gamble & Strickland, 2004, p. 24ff.

<sup>1042</sup> See Chapter II, Section 5.1; Grünig & Kühn, 2011, p. 1; 9f.

<sup>1043</sup> See Chapter II, Section 5.1; Grünig & Kühn, 2011, p. 1; 9f.

<sup>1044</sup> See Chapter III, Section 3.1; Forman, 1999, p. 294; Mitchell, 2007, p. 5.

<sup>1045</sup> See Chapter II, Section 5.1; Grünig & Kühn, 2011, p. 32ff.

<sup>1046</sup> Own elaboration.

<p><b>7. Strategic management helps deal with the challenges of the organization.</b> Strategic management presents an approach that is useful to help organizations deal with the challenges they face. Strategic planning helps organizations clarify and frame the challenges they face, and these are integrated into the strategic planning process.</p>
<p><b>B- Executing strategic management tasks</b></p>
<p><b>8. The three tasks of strategic management – planning, implementation and control – are present.</b> Strategic management is assumed to be present for several reasons. The three tasks of strategic management form a single process.<sup>1047</sup> Strategic management is considered necessary to run an organization and be successful in the long-term. Also, management approaches are increasingly being used by the non-profit sector in general.<sup>1048</sup> Finally, chapter IV discussed the stages of the strategic planning process for NGOs.<sup>1049</sup> The author therefore assumes that the tasks are present.</p>
<p><b>9. The three tasks of strategic management are clearly interlinked.</b> A clear link between the three tasks is assumed, due to the fact that strong dependencies exist between them. Implementation depends on planning, and control depends on implementation. Finally, planning depends on control.<sup>1050</sup></p>
<p><b>10. Strategic planning is based on a detailed environmental analysis.</b> Chapter II showed that strategic planning is introduced by an environmental analysis.<sup>1051</sup> The aid environment is at least as complex, uncertain and diverse as the private sector. As outsiders, they must integrate themselves in an unfamiliar and varying environment posing operational and ethical challenges.<sup>1052</sup> Given the particularly challenging nature of the humanitarian environment, the use of an environmental analysis to introduce strategic planning appears to be important.</p>
<p><b>11. There is a systematic strategic planning process.</b> The need for systematic strategic planning has been stressed in literature.<sup>1053</sup> Because the selected cases are large organizations, it is assumed that they use a systematic procedure.</p>
<p><b>12. There is project-based implementation.</b> Changes in reality will only take place if strategic intentions are realized. Integration in daily actions is not sufficient. Projects and other special measures are needed.</p>
<p><b>13. There is systematic and strict control.</b> Control consists of realization checks and environmental scanning.<sup>1054</sup> The author assumes that both are done in a systematic and strict way. However, given the qualitative nature of objectives, the realization checks are difficult and demanding. Indicators are difficult to determine and success is difficult to measure.<sup>1055</sup></p>
<p><b>14. The planning process is adapted to the organizational structure.</b> Similarly to large companies, large aid organizations also need a customized strategic planning process. With their headquarters often in developed countries and their activities carried out in developing countries, international aid organizations are present in several arenas.<sup>1056</sup> They are also often decentralized to be present in different countries, e.g. MSF. The strategic planning process must be adapted to this special structure. Key persons within the organization must also be integrated in the process.</p>

**Figure VI.1: Propositions (continued)**<sup>1057</sup>

<sup>1047</sup> See Chapter II, Section 5.2; Grünig & Kühn, 2011, p. 18.

<sup>1048</sup> See Chapter I, Section 1.3; Lewis, 2007, p. 23f.; Lewis, 2003, p. 330.

<sup>1049</sup> See Chapter IV, Section 3.1.5; Malunga, 2009, p. 33ff.; 47ff.; 75ff.; 93ff.

<sup>1050</sup> See Chapter II, Section 5.2; Grünig & Kühn, 2011, p. 18.

<sup>1051</sup> See Chapter II, Section 5.2.1; Grünig & Kühn, 2011, p. 51; 87ff.

<sup>1052</sup> See Chapter III, Section 3.1; Dijkzeul & Beigbeder, 2006, p. 318; 320ff.; Edwards & Fowler, 2002, p. 5; James, 2008, p. 121f.; Lewis, 2007, p. 15; Wigley, 2005, p. 3.

<sup>1053</sup> See Chapter II, Section 5.2.1; Grünig & Kühn, 2011, p. 45f.

<sup>1054</sup> See Chapter II, Section 5.2.3; Grünig & Kühn, 2011, p. 20; Steinmann & Schreyögg, 2005, p. 279ff.

<sup>1055</sup> See Chapter III, Section 5.4; Courtney, 2002, p. 46; Fowler, 1997, p. 26f.; Horak & Heimerl, 2007, p. 175; Horak, Matul & Scheuch, 2007, p. 182; Schwarz & al., 2009, p. 23.

<sup>1056</sup> See Chapter III, Section 3.1; Dijkzeul & Beigbeder, 2006, p. 320ff.

<sup>1057</sup> Own elaboration.

<p><b>15. There are clear documents showing strategy.</b> As shown in chapter II, strategic documents are the result of strategic planning.<sup>1058</sup> Clear documents with strategic content must also be produced in aid organizations to allow effective and efficient implementation and control.</p>
<p><b>C - Applying analysis and planning tools</b></p>
<p><b>16. Strategic management tools are applied.</b> Strategic management tools, applied in the different steps of the planning process,<sup>1059</sup> ask the pertinent questions and enable concrete results to be obtained.<sup>1060</sup></p>
<p><b>17. Strategic management tools are adapted to the needs of aid organizations.</b> Chapter III showed that the specificities are likely to have implications on strategic management approaches.<sup>1061</sup> Analysis and planning tools must therefore be adapted to their needs. Chapter IV showed such adaptations are possible.<sup>1062</sup></p>
<p><b>18. There is a sound analysis of stakeholders and the plans respect their expectations.</b> Chapter III showed that aid organizations rely on multiple stakeholders with different objectives, including donors, beneficiaries, etc.<sup>1063</sup> Their influence may be important. As a result, it is assumed that aid organizations analyze their stakeholders and that their expectations are respected in the plans that are formulated.</p>
<p><b>19. There is an analysis of competition.</b> The presence of competition in the aid sector was also shown in chapters I and III. Competition takes place for funds, staff, contracts, etc.<sup>1064</sup> Given that competition also exists in the aid sector, the author assumes that there is a need to analyze it.</p>
<p><b>20. There is a long-term financial planning, if needed in scenarios.</b> As shown in chapter III, financing constitutes a challenge for aid organizations.<sup>1065</sup> At the same time, the financial feasibility of strategies is an important condition for their realization. A key task is to ensure funding without compromising mission and identity. The author therefore assumes that an element of strategy deals with financing. Different financial scenarios are also considered.</p>

**Figure VI.1: Propositions (continued)<sup>1066</sup>**

#### 4 Determining the case research design and choosing the cases

The case study design is first identified. The chosen design is a multiple case holistic design. A multiple case design is chosen, because the study of multiple cases allows the researcher to deepen understanding on strategic management in aid organizations. Also, analytic conclusions of a multiple case design are stronger

<sup>1058</sup> See Chapter II, Section 5.2.1; Grünig & Kühn, 2011, p. 31ff.; 47; 53; 329ff.

<sup>1059</sup> See Chapter II, Section 5.3; Grünig & Kühn, 2011, p. 70.

<sup>1060</sup> See Chapter II, Section 5.3; Anheier, 2005, p. 264.

<sup>1061</sup> See Chapter III, Sections 3 and 5.

<sup>1062</sup> See Chapter IV, Section 3.1.6; Accenture-Stiftung & al., 2009, p. 59ff.; 107ff.

<sup>1063</sup> See Chapter III, Section 5.3; Brown & Moore, 2001, p. 572ff.; Lewis, 2007, p. 167; Lewis, 2002b, p. 376; Smillie, 1997, p. 574; Tandon, 2002, p. 214.

<sup>1064</sup> See Chapter I, Section 1.3; Chapter III, Sections 3.3 and 5.2; Aldashev & Verdier, 2010, p. 48; Benthall, 1993, p. 37; Brett, 2000, p. 31; Chambers, 1993, p. 93; Cooley, 2010, p. 255f.; Cooley & Ron, 2002, p. 11ff.; 16; Coppola, 2011, p. 491; Dijkzeul & Beigbeder, 2006, p. 12; Hoy, 1998, p. 104; Lindenberg, 2001, p. 247; Natsios, 1996, p. 75; Prendergast, 1996, p. 13; Reindorp & Wiles, 2001, p. 9; Smillie, 1998, p. 41; Smillie, 1997, p. 564; Smillie, 1995, p. 116; 149; Smillie & Minear, 2004, p. 8; 183ff.; 199; 236; Stephenson, 2010, p. 1034f.; The Economist, 2000, p. 26f.; Weiss & Collins, 2000, p. 48; Wigley, 2005, p. 3; 81.

<sup>1065</sup> See Chapter III, Sections 3.3 and 5.2.

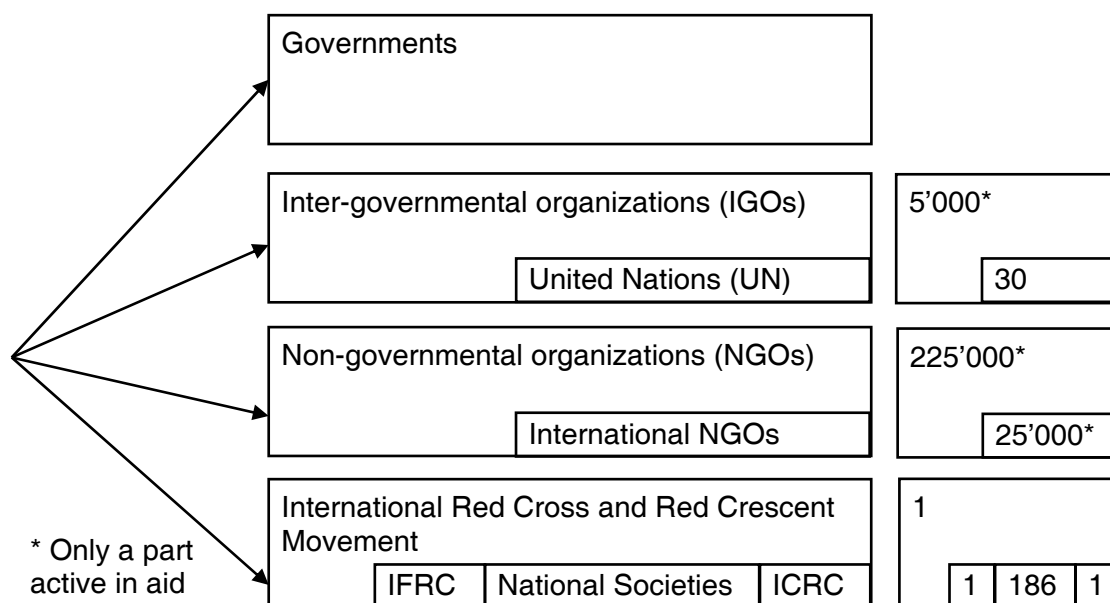
<sup>1066</sup> Own elaboration.

than those of a single-case design.<sup>1067</sup> A holistic design is chosen, because a single unit of analysis is studied, namely strategic management in these organizations.

As the focus of the thesis is on international aid organizations, three conditions must be fulfilled for organizations to be part of the population from which the cases can be selected:

- Active in aid: The organization works in humanitarian and/or development aid.
- UN, NGO or of the International Red Cross and Red Crescent Movement: The organization is an agency of the UN system, an NGO, or part of the International Red Cross and Red Crescent Movement. Thus, governments and their agencies, as well as the private sector, are excluded from the study.
- Internationally active: The organization is active on an international level. The author will use the definition given by the Union of International Associations, which is that the “aim must be genuinely international in character” and that there is “the intention to be active in at least three countries”.<sup>1068</sup>

The main aid actors and an estimate of their numbers are given in **Figure VI.2**.



**Figure VI.2: Overview of aid actors and estimation of their number**<sup>1069</sup>

Figures on the number of international aid organizations vary. In the UN, approximately 30 separate bodies or groupings are active in humanitarian or development work.<sup>1070</sup> An estimation of the number of aid NGOs is more difficult,

<sup>1067</sup> Yin, 2009, p. 61.

<sup>1068</sup> Dijkzeul & Beigbeder, 2006, p. 3.

<sup>1069</sup> Boli, 2006, p. 334; Riddell, 2007, p. 82; Thomas & Allen, 2000, p. 213; Walker & Maxwell, 2009, p. 3.

<sup>1070</sup> Riddell, 2007, p. 82.

as figures vary widely. As stated before, estimates of the number locally and nationally active NGOs are close to the hundreds of thousands. For example, Allen & Thomas believe over 200'000 exist.<sup>1071</sup> Estimates of the number of INGOs also vary. The Union of International Associations put them at over 25'000 in 2000.<sup>1072</sup> Figures on the International Red Cross and Red Crescent Movement are clear. Besides the IFRC and the ICRC, there are 186 National Societies.<sup>1073</sup>

Three international aid organizations for the case research are selected by the author: the ICRC, MSF and UNHCR. All three are active in conflict situations<sup>1074</sup> and have a so-called single mandate, because they focus on humanitarian action.<sup>1075</sup>

Strategic planning at MSF is investigated at the level of the Geneva Operational Center and not at the level of the group. This is justified by the fact that the group is decentralized and strategic planning takes place at the operational center level. The major issues in strategic management are also at this level. Furthermore, the interview is carried out with MSF Switzerland.

Selecting one of each type of organization appears to give a maximum of variety. Furthermore, all three are major players in the aid sector, and therefore have the need for and are likely to adopt strategic management approaches. Furthermore, large organizations are chosen instead of small ones in order to deal with the complexity associated with large organizations.

Regarding the choice of the number of cases, three cases appear to provide a good balance between breadth and depth. It is important to note that the goal of the qualitative study is not to represent the population of aid organizations, but to uncover eventual issues and needs in terms of strategic management. For this reason, the number of selected cases is low.

## 5 Determining the procedures to maintain quality and to protect human subjects

Several actions were taken in order to increase the quality of the research. These are shown in **Figure VI.3**.

<sup>1071</sup> Thomas & Allen, 2000, p. 213.

<sup>1072</sup> Boli, 2006, p. 334.

<sup>1073</sup> Walker & Maxwell, 2009, p. 3.

<sup>1074</sup> The ICRC and MSF both arose due to conflict (Redfield, 2006, p. 6).

<sup>1075</sup> Development Initiatives, 2009, p. 5; 16; Slim, 2001, p. 4. This is contrary to “dual”, “mixed” or “multi” mandate organizations, such as World Vision and CARE, which also carry out long-term development work (Development Initiatives, 2009, p. IIIff.; 5; Slim, 2001, p. 4).

Tests	Case tactic	Phase of research in which tactic occurs
Construct validity	<ul style="list-style-type: none"> <li>▪ Use multiple sources of evidence</li> <li>▪ Establish chain of evidence</li> <li>▪ Have key informants review draft case reports</li> </ul>	<ul style="list-style-type: none"> <li>▪ Data collection</li> <li>▪ Data collection</li> <li>▪ Composition</li> </ul>
Internal validity	<ul style="list-style-type: none"> <li>▪ Do pattern matching</li> <li>▪ Address rival explanations</li> </ul>	<ul style="list-style-type: none"> <li>▪ Data analysis</li> <li>▪ Data analysis</li> </ul>
External validity	<ul style="list-style-type: none"> <li>▪ Use replication logic in multiple-case research</li> </ul>	<ul style="list-style-type: none"> <li>▪ Research design</li> </ul>
Reliability	<ul style="list-style-type: none"> <li>▪ Develop database</li> </ul>	<ul style="list-style-type: none"> <li>▪ Data collection</li> </ul>

**Figure VI.3: Case tactics on four design tests**<sup>1076</sup>

Another point concerns researcher training. Many of the different skills recommended by Yin (asking good questions, being a good “listener”, being adaptive and flexible, having a firm grasp of the issues and avoiding bias)<sup>1077</sup> are deemed important and contribute to increasing the quality of the research. To acquire these skills, the researcher followed a one-week course on qualitative interviewing at University of Lugano, Switzerland in 2010. Among the topics covered were: designing questions and interview guides, practical tips to follow during the interview itself, recording and transcription. Although placed in the section on maintaining quality, the acquisition of these skills also aided in the preparation of data collection.

As the actions to maintain quality concern different steps in the case research process, the application of the measures will be presented later.

Several procedures for protecting human subjects are considered important. To gain informed consent, a letter formally requesting participation in the study is sent to interviewees. Protecting privacy and confidentiality are also considered to be notably relevant. These are guaranteed, both in the letter and in the preliminary remarks of the interview. The anonymity of participants is guaranteed: When requested, the identities of the interviewed individuals are not disclosed. Express consent is obtained to publish the case reports. This is done by sending the completed cases to participants for their approval.

<sup>1076</sup> Adapted from Yin, 2009, p. 41.

<sup>1077</sup> Yin, 2009, p. 67ff.

## 6 Preparing the data collection

### 6.1 Overview of data collection

#### 6.1.1 Selected sources

Of the six sources distinguished by Yin to collect data for case research,<sup>1078</sup> two are considered particularly relevant by the author: interviews and documents.

Interviewing is discussed extensively in literature. A simple definition is given by Berg. He states that “interviewing may be defined simply as a conversation with a purpose. Specifically, the purpose is to gather information.”<sup>1079</sup> The interview is relevant for numerous reasons. It allows greater contact with the subject of the study,<sup>1080</sup> and is also a way to conduct exploratory research.<sup>1081</sup> The interview may be used to answer why and how questions,<sup>1082</sup> and is also good to obtain facts and figures. It may also represent “an opportunity to examine processes, motivations and reasons for successes and failures”.<sup>1083</sup> Finally, the interview presents the advantage of allowing the researcher to focus directly on the topic of the case study, as well as of being very insightful.<sup>1084</sup>

Documents represent the second important source of data. Internal documents provided by the organizations, documents published by the organization, as well as books, journal articles, newspaper articles and online sources are used. The strengths of documents include their ease of access, their low or non-existent cost, their stability and objectiveness, as well as the fact that they contain information that takes an enormous amount of time to collect.<sup>1085</sup>

#### 6.1.2 Principles of data collection

With this decision, the three principles of Yin are applied:

- Multiple sources: In order to compensate for the weaknesses of each type of source, the author aims to use different types of sources as much as possible. However, not all sources are deemed relevant for the research project or are available to the researcher.

<sup>1078</sup> Yin, 2009, p. 99ff.

<sup>1079</sup> Berg, 2007, p. 89.

<sup>1080</sup> Maylor & Blackmon, 2005, p. 225.

<sup>1081</sup> Saunders, Lewis & Thornhill, 2009, p. 140. Other ways include a literature search and focus group interviews.

<sup>1082</sup> Maylor & Blackmon, 2005, p. 220.

<sup>1083</sup> Willis, 2006, p. 146.

<sup>1084</sup> Yin, 2009, p. 102.

<sup>1085</sup> Merriam, 2009, p. 155f.



- Creation of a case study database: All notes, tapes and transcripts are kept. To organize data, files containing transcriptions, interview notes, documents provided by the organization, as well as published documents, are used. Collected data and the final case report are kept separate.
- Maintenance of a chain of evidence: In order to allow the tracing back of evidence, several steps are taken. For example, evidence in the database is labeled (e.g. date and place of an interview, name and function of the interviewees, etc.). References are also made to transcripts or documents of the database.

## 6.2 Preparing the interviews

### 6.2.1 Administration

Three ways of administering interviews can be distinguished:<sup>1086</sup>

- In-person: Also referred to as face-to-face interviews, in-person interviews involve “a bodily presence with access to non-linguistic information expressed in gestures and facial expressions”.<sup>1087</sup>
- Telephone: Telephone interviewing has the advantage of reducing costs and being quicker than in-person interviewing. They are also easier to supervise and remove bias related to the characteristics and presence of the interviewer.<sup>1088</sup> They also increase access to persons who are geographically distant from the interviewer.<sup>1089</sup> However, they are impossible when interviewees do not own a phone or cannot be contacted by phone. They do not allow observation of non-verbal cues.<sup>1090</sup> Also, there is difficulty in determining whether the target interviewee is responding, and visual aids cannot be used.<sup>1091</sup> Finally, interviewing by telephone may hinder establishing rapport and showing interest.<sup>1092</sup>
- Computer: Computers are increasingly being used to conduct interviews,<sup>1093</sup> through e-mail or chatting, for example.<sup>1094</sup> Advantages of computer-assisted interviewing include the self-transcription of the text, which is already prepared for the analysis.<sup>1095</sup> To be considered, however, are the time delay,<sup>1096</sup> and the

<sup>1086</sup> Bryman & Bell, 2011, p. 206ff.; Collis & Hussey, 2009, p. 144; Hesse-Biber & Leavy, 2011, p. 99; Kvale & Brinkmann, 2009, p. 148f.; Saunders, Lewis & Thornhill, 2009, p. 321; 348ff.

<sup>1087</sup> Kvale & Brinkmann, 2009, p. 148f.

<sup>1088</sup> Bryman & Bell, 2011, p. 206.

<sup>1089</sup> Berg, 2007, p. 108; Saunders, Lewis & Thornhill, 2009, p. 349.

<sup>1090</sup> Berg, 2007, p. 108ff.; 110; Bryman & Bell, 2011, p. 206ff.

<sup>1091</sup> Bryman & Bell, 2011, p. 208f.

<sup>1092</sup> Hesse-Biber & Leavy, 2011, p. 99. Rapport refers to the rapid establishment of a relationship “that encourages the respondent to want (or at least be prepared) to participate in and persist with the interview” (Bryman & Bell, 2011, p. 211).

<sup>1093</sup> Bryman & Bell, 2011, p. 209.

<sup>1094</sup> Hesse-Biber & Leavy, 2011, p. 99; Kvale & Brinkmann, 2009, p. 149.

<sup>1095</sup> Kvale & Brinkmann, 2009, p. 149.

fact that interviewees speak differently and faster than when they write. As a result, the responses given may be “more thought out, less spontaneous and shorter”.<sup>1097</sup>

Face-to-face interviews with experts are considered to be the best method of data collection in the context of the qualitative study, because rapport is easier to establish and maintain with the respondent.<sup>1098</sup>

Although not the first choice of the author, interviewing by telephone or using a computer is also considered to be a possibility in cases where face-to-face interviews are impossible or very costly, such as when the geographical distances separating the interviewer and interviewee are important.

## 6.2.2 Number and choice of interviewees

The first issue to consider concerns the number of persons to interview at the same time. **Figure VI.4** shows the different possible combinations.

Interviewer \ Interviewee	One	More than one
	One	More than one
One	Most common type of interview, relatively easy to arrange. Susceptible to biases of both parties. The most appropriate method for confidential or sensitive subjects.	Group interview – such as a focus group. Can generate a large volume of data in a short time. Susceptible to biases and group dynamics. Can be difficult where there is a lack of true consensus in the group. Can be difficult for a new researcher to manage alone.
More than one	A panel interview. Can be used to remove the biases of one of the interviewers, but can be intimidating for the interviewee if there is a power differential – unlikely with students as interviewers. Good for building the confidence of novice interviewers and to make sure that all relevant points are covered.	Group discussions are used to look for some issues. Due to the limitations of the dynamics of both groups, less likely to be useful for in-depth explorations.

**Figure VI.4: Combinations of number of persons in an interview**<sup>1099</sup>

<sup>1096</sup> This is more the case with e-mail interviewing than with chatting (Kvale & Brinkmann, 2009, p. 149).

<sup>1097</sup> Hesse-Biber & Leavy, 2011, p. 99.

<sup>1098</sup> Bryman & Bell, 2011, p. 211.

<sup>1099</sup> Adapted from Maylor & Blackmon, 2005, p. 227.

One interviewer and one interviewee is the most common combination. This has the advantage of being easier to arrange and most appropriate for confidential or sensitive questions. Interviewing a group of persons allows a large amount of data to be collected in little time; however, disadvantages include susceptibility to group bias and dynamics, as well as management difficulties.<sup>1100</sup>

One-to-one interviews are seen as the basic combination. However, when possible, the researcher also finds it appropriate to interview two persons. This allows for several points of view within the organizations. Whenever possible, the supervisor of the thesis will also attend the interviews.

The author will request meetings with individuals at the top level, who are those responsible for taking strategic decisions, or those from a strategic planning unit, if such a unit exists.

Access issues are considered when selecting interview subjects. Two types of access can be distinguished:<sup>1101</sup>

- Physical access: This is an agreement in advance to meet or interview by some other means. The letter asking for an interview is shown in **Appendix 1**.
- Incompleteness: Full information is not always provided by interviewees.

A number of strategies are recommended to gain access. These include, for example, guaranteeing familiarity and understanding of the organization interviewed, allowing time to access, the use of existing contacts and the development of new ones, drawing attention to possible benefits for the organization, the use of suitable language and the facilitation of replies.<sup>1102</sup> The author aims to use these strategies.

### 6.2.3 Structure of interview

The fifth issue concerns the degree of structure of the interview. Three types of interviews, based on the degree of structure, are generally distinguished:<sup>1103</sup>

- Structured interviews are also known as standardized interviews,<sup>1104</sup> interviewer-administered questionnaires, quantitative research interviews<sup>1105</sup> or formal interviews.<sup>1106</sup> The main type of interview in quantitative research,<sup>1107</sup>

<sup>1100</sup> Maylor & Blackmon, 2005, p. 227.

<sup>1101</sup> Maylor & Blackmon, 2005, p. 227.

<sup>1102</sup> Saunders, Lewis & Thornhill, 2009, p. 173ff.

<sup>1103</sup> Hesse-Biber & Leavy, 2011, p.102f.; Saunders, Lewis & Thornhill, 2009, p. 320f.; Willis, 2006, p. 144.

<sup>1104</sup> Bryman & Bell, 2011, p. 202; Berg, 2007, p. 92.

<sup>1105</sup> Saunders, Lewis & Thornhill, 2009, p. 320.

<sup>1106</sup> Berg, 2007, p. 92.

<sup>1107</sup> Bryman & Bell, 2011, p. 204.

they include a standardized list of questions<sup>1108</sup> that are generally closed and specific.<sup>1109</sup>

- Semi-structured interviews are also called semi-standardized, guided semi-structured, focused<sup>1110</sup> in-depth<sup>1111</sup> or qualitative<sup>1112</sup> interviews. They include topics to cover, but allow the interviewee to develop answers.<sup>1113</sup> Interviewees have the freedom to discuss their areas of interest. New topics may emerge that can then be explored by the interviewer.<sup>1114</sup>
- Unstructured interviews are also referred to as unstandardized, informal,<sup>1115</sup> non-directive,<sup>1116</sup> in-depth or qualitative<sup>1117</sup> interviews. They “provide the interviewees with the opportunity to take the discussion in whichever direction they choose”.<sup>1118</sup> The general subject of discussion is indicated by the interviewer, and issues then emerge.<sup>1119</sup> The number of questions is very limited, and they are of broad nature. The respondent is free to determine the direction of the conversation.<sup>1120</sup>

The use of semi-structured interviews is considered to be appropriate in the thesis. This ensures that specific topics are covered, but also allows interviewees to introduce ideas or issues not anticipated by the interviewer and to develop ideas.

The three types of interview structures are shown in **Figure VI.5**.

The interviews are based on the structure proposed by Maylor & Blackmon:<sup>1121</sup>

- Introduction: To begin with, the interviewer will introduce herself and the purpose of the interview. The introduction also includes information on the length of the interview, which is to last approximately one to one and a half hours. Reassurance about the confidentiality of the information is also given. Finally, the interviewer will also request permission to use recording equipment (see point f of this section).<sup>1122</sup>

<sup>1108</sup> Willis, 2006, p. 144.

<sup>1109</sup> Bryman & Bell, 2011, p. 203ff.

<sup>1110</sup> Berg, 2007, p. 92.

<sup>1111</sup> Bryman & Bell, 2011, p. 205.

<sup>1112</sup> Bryman & Bell, 2011, p. 205; Saunders, Lewis & Thornhill, 2009, p. 320.

<sup>1113</sup> Willis, 2006, p. 144.

<sup>1114</sup> Hesse-Biber & Leavy, 2011, p. 102.

<sup>1115</sup> Berg, 2007, p. 92.

<sup>1116</sup> Berg, 2007, p. 92; Saunders, Lewis & Thornhill, 2009, p. 321.

<sup>1117</sup> Bryman & Bell, 2011, p. 205; Saunders, Lewis & Thornhill, 2009, p. 320f.

<sup>1118</sup> Willis, 2006, p. 144.

<sup>1119</sup> Maylor & Blackmon, 2005, p. 230.

<sup>1120</sup> Hesse-Biber & Leavy, 2011, p. 103.

<sup>1121</sup> Maylor & Blackmon, 2005, p. 228f.

<sup>1122</sup> Bryman & Bell (2011, p. 211) also suggest a list of topics and issues to include in an introductory statement. These include the clarification of the identity of the interviewer, the identification of the auspices under which the research is being conducted, the mention of eventual funders, a broad description of the research and its importance, the reason for the selection of the respondent, reassurance about the confidentiality of information, clarification

- Icebreak: This is the beginning of establishment of rapport with interviewee. Easy questions are asked. Interest is shown and the interviewer should appear relaxed.
- Increased intensity of questioning: The questions are asked in a pre-structured way or following the discussion.
- Intervention: If the discussion goes off track, the person is politely but firmly referred back to the original question.
- Conclusion: The interview is wrapped up and the interviewee is thanked. Information on exiting the building is also asked for if necessary.
- In case: The author will request to get back to the interviewee to clarify answers.
- Interpretation of data: The data and the impressions are transcribed immediately afterwards, in order to avoid forgetting points or the inability to interpret notes.

	<b>Standardized</b>	<b>Semi-standardized</b>	<b>Unstandardized</b>
<b>Degree of structure</b>	Most formally structured	More or less structured	Completely unstructured
<b>Wording of questions</b>	Exactly as written	Flexible	Not set
<b>Order of questions</b>	No deviation	Reordering possible during interview	No set order
<b>Adjustment of level of language</b>	None	Possible	Possible
<b>Clarifications / answering questions</b>	None	Possible	Possible
<b>Addition/ deletion of questions /topics</b>	None	Probes possible between subjects	Possible between interviews

**Figure VI.5: Types of interview structures**<sup>1123</sup>

#### 6.2.4 Type of questions

The fourth issue concerns the type of questions asked during the interview. **Figure VI.6** shows the different types of interview questions.

Given the exploratory nature of the thesis, open questions are considered to be the most appropriate for the research project. This type of question gives the

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that the participation is voluntary, reassurance about the inability of participants to be identified or identifiable, and giving the opportunity to ask questions.

<sup>1123</sup> Adapted from Berg, 2007, p. 93.

interviewee the opportunity to answer in the way they choose,<sup>1124</sup> and allow scope for answers to be developed. Open questions are also “more exploratory in nature and can lead to many other questions that cannot always be determined in advance”.<sup>1125</sup> Their advantages and disadvantages are shown in **Figure VI.7**.

Other types of questions are also considered. Closed questions,<sup>1126</sup> for example, are used at the beginning of the interview.<sup>1127</sup> In this case, respondents can choose their response from several fixed alternatives.<sup>1128</sup> This allows the interviewer to obtain factual information,<sup>1129</sup> and to put the interviewee at ease.<sup>1130</sup>

Type of question	Example	Useful for	Not useful for
Open question	Tell me what happened when...	Most openings to explore and gather broad information	Very talkative people
Closed question	Who did you consult?	Getting factual information	Getting broad information
Multiple questions	More than one in a sentence	Never useful	Never useful
Probes	What happened next?	Establishing sequence of events or gathering details	Exploring sensitive events
Hypothetical question	What might happen that could change your opinion?	Encouraging broader thinking	Situations beyond the interviewee's scope
Comparison question	Do you prefer weekly or fortnightly team meetings?	Exploring needs and values	Unrealistic alternatives
Summary question	So, am I right in thinking that the main issues are...?	Avoiding ambiguity, validating data and linking answers	Premature or frequent use

**Figure VI.6: Types of interview questions**<sup>1131</sup>

<sup>1124</sup> Bryman & Bell, 2011, p. 248. Open questions are also referred to as open ended questions (Bryman & Bell, 2011, p. 204).

<sup>1125</sup> Maylor & Blackmon, 2005, p. 229.

<sup>1126</sup> Closed questions are also known as close ended, precoded or fixed questions (Bryman & Bell, 2011, p. 203; 712).

<sup>1127</sup> Maylor & Blackmon, 2005, p. 229.

<sup>1128</sup> Bryman & Bell, 2011, p. 248.

<sup>1129</sup> Collis & Hussey, 2009, p. 145.

<sup>1130</sup> Maylor & Blackmon, 2005, p. 229.

<sup>1131</sup> Adapted from Collis & Hussey, 2009, p. 145.

Advantages	Disadvantages
<ul style="list-style-type: none"> <li>▪ Respondents can answer in their own terms.</li> <li>▪ Unusual answers not contemplated by the researcher can be derived.</li> <li>▪ Certain kinds of answers are not suggested to the respondents.</li> <li>▪ Useful for exploring new areas or areas in which the researcher has little knowledge.</li> <li>▪ Useful for generating fixed-choice format answers.</li> </ul>	<ul style="list-style-type: none"> <li>▪ More time-consuming</li> <li>▪ Coding of answers is necessary, which is very time-consuming</li> <li>▪ Greater effort required from respondents</li> <li>▪ In research based on structured interviews, possibility of variability between interviewers in the recording of answers</li> </ul>

**Figure VI.7: Advantages and disadvantages of open questions<sup>1132</sup>**

General rules to consider when designing the questions include keeping the research question in mind, deciding what needs to be known and considering how the author would answer the question herself.<sup>1133</sup>

Specific rules proposed by different authors when designing questions are also considered. Double-barreled,<sup>1134</sup> long,<sup>1135</sup> very general,<sup>1136</sup> leading<sup>1137</sup> and affectively worded<sup>1138</sup> questions are all avoided, as are questions including negatives,<sup>1139</sup> technical<sup>1140</sup> and ambiguous<sup>1141</sup> terms. Qualifying clauses, phrases and instructions are also avoided.<sup>1142</sup> Questions are kept as short, concise and simple as possible.

Once the different questions are formulated and revised, they are grouped under different themes. The order of themes and questions is also considered.

<sup>1132</sup> Adapted from Bryman & Bell, 2011, p. 248f.

<sup>1133</sup> Bryman & Bell, 2011, p. 255.

<sup>1134</sup> Bryman & Bell, 2011, p. 256; Berg, 2007, p. 104; Foddy, 2003, p. 47. Questions asking for two things at the same time, such as, for example, "How satisfied are you with pay and conditions in your job?", are unclear for the respondent and the answers are generally incomplete when it comes to both elements (Bryman & Bell, 2011, p. 256). They should be split (Berg, 2007, p. 104).

<sup>1135</sup> Berg, 2007, p. 105; Bryman & Bell, 2011, p. 256; Foddy, 2003, p. 46f.

<sup>1136</sup> Bryman & Bell, 2011, p. 256. Such questions are not specific enough and give room to different interpretations.

<sup>1137</sup> Bryman & Bell, 2011, p. 257. Questions such as "Do you agree with the view that...?" may push the interviewee in a direction that was not his/her natural one.

<sup>1138</sup> Berg, 2007, p. 104.

<sup>1139</sup> Bryman & Bell, 2011, p. 258; Foddy, 2003, p. 49f. Such questions can confuse the respondent and may be answered in a way opposite to the one intended. These should be formulated positively (Bryman & Bell, 2011, p. 258). Foddy (2003, p. 49) gives the following example: "What is your view about the statement that conservationists should not be so uncooperative with governments?" should become "What is your view about the statement that conservationists should cooperate with governments?".

<sup>1140</sup> Bryman & Bell, 2011, p. 259f. Language and terms should be simple and plain. Acronyms should be avoided.

<sup>1141</sup> Bryman & Bell, 2011, p. 255 f. Terms such as "often" and "regularly" are interpreted differently.

<sup>1142</sup> Foddy, 2003, p. 48.

### 6.2.5 Recording of data

According to Kvale, four different ways of recording data exist:<sup>1143</sup>

- Remembering: In this case, the interviewer relies on his/her memory of the interview, and writes down data after the interview has taken place. There are “obvious limitations” of such a recording method.<sup>1144</sup>
- Note taking: Note taking requires the filtering of information, which means that phrases and language can be easily forgotten. Also, simultaneous listening is necessary: the interviewer needs to be responsive to answers.<sup>1145</sup> Note-taking may also distract and interrupt the flow of the interview,<sup>1146</sup> and influence the interviewee. However, it allows notes on behavior and surroundings.<sup>1147</sup>
- Audio-recording: The most common way of recording an interview,<sup>1148</sup> audio-recording allows exact words, tone and pauses to be permanently recorded, and it lets the interviewer concentrate on the interview itself.<sup>1149</sup> The advantages and disadvantages of audio-recording are summarized in **Figure VI.8**.
- Video-recording: On top of recording audio data, video-recording records visual data such as body language and interaction. Its analysis is however very time-consuming, and so much information may not be necessary.<sup>1150</sup> Video-recording may also be disturbing for the interviewee.<sup>1151</sup>

Advantages	Disadvantages
<ul style="list-style-type: none"> <li>▪ Allows interviewer to concentrate on questioning and listening</li> <li>▪ Allows questions formulated at an interview to be accurately recorded for use in later interviews when appropriate</li> <li>▪ Can re-listen to the interview</li> <li>▪ Accurate and unbiased record provided</li> <li>▪ Allows direct quotes to be used</li> <li>▪ Permanent record for others to use</li> </ul>	<ul style="list-style-type: none"> <li>▪ May adversely affect the relationship between interviewee and interviewer (possibility of ‘focusing’ on the audio-recorder)</li> <li>▪ May inhibit some interviewee responses and reduce reliability</li> <li>▪ Possibility of a technical problem</li> <li>▪ Time required to transcribe the audio-recording</li> </ul>

**Figure VI.8: Advantages and disadvantages of audio-recording the interview**<sup>1152</sup>

In light of the above, the author decides to audio-record the interviews, if doing so is permitted by the interviewee. This allows a faithful capture of the interview and allows the way interviewees answer (tone of voice, hesitation, etc.) to be recorded. Finally, it allows the interviewer to concentrate fully on the interview.

<sup>1143</sup> Kvale, 2007, p. 93f.

<sup>1144</sup> Kvale, 2007, p. 94.

<sup>1145</sup> Bryman & Bell, 2011, p. 476; Maylor & Blackmon, 2005, p. 232f.

<sup>1146</sup> Kvale, 2007, p. 94.

<sup>1147</sup> Willis, 2006, p. 150.

<sup>1148</sup> Arksey & Knight, 1999, p. 142; Kvale, 2007, p. 93; Langdridge & Hagger-Johnson, 2009, p. 64.

<sup>1149</sup> Kvale, 2007, p. 93; Willis, 2006, p. 149f.

<sup>1150</sup> Kvale, 2007, p. 94; Langdridge & Hagger-Johnson, 2009, p. 64.

<sup>1151</sup> Langdridge & Hagger-Johnson, 2009, p. 64.

<sup>1152</sup> Saunders, Lewis & Thornhill, 2009, p. 341.



The following points are respected. Permission to record the interview is always requested.<sup>1153</sup> Interviewees are also reassured about the confidentiality of the information they agree to provide.<sup>1154</sup> Special care is taken to choose a discreet<sup>1155</sup> recorder allowing the digitization of data. Recordings can then be transferred to a computer in order to facilitate the transcription process. Also, two recorders are used during the interviews in the case that one has technical problems. Finally, as recommended, the researcher aims to become familiar with the recording devices<sup>1156</sup> and tests them beforehand.<sup>1157</sup>

Finally, even if the interview is recorded, notes are taken, as recommended.<sup>1158</sup> Doing so allows the researcher to write down certain points he/she would like to get back to,<sup>1159</sup> provides a back-up in case of a technical problem with the audio-recording and shows the interest of the interviewer.<sup>1160</sup>

### 6.2.6 Avoiding bias

To avoid bias, the kind and source of the data should be considered.<sup>1161</sup> During the collection of evaluative data, factors such as ulterior motives, the desire to please of the interviewee, as well as idiosyncratic factors such as mood may influence responses. When collecting descriptive data, distortions include:

- Interviewee reports, but did not actually observe or cannot recollect
- Interviewee reports as accurately as possible, but has a distorted impression
- Interviewee deliberately modifies to give a distorted impression

To avoid bias, Whyte recommends considering plausibility, reliability, mental set of the interviewee, as well as cross-checking accounts.<sup>1162</sup>

### 6.2.7 Pilot interview

A pilot test is “a small-scale study to test a questionnaire, interview checklist or observation schedule, to minimise the likelihood of respondents having problems

<sup>1153</sup> Maylor & Blackmon, 2005, p. 232; Saunders, Lewis & Thornhill, 2009, p. 341; Yin, 2011, p. 171. If permission to record the interview is not granted, notes must be taken.

<sup>1154</sup> Maylor & Blackmon, 2005, p. 232.

<sup>1155</sup> This is following Maylor & Blackmon's (2005, p. 232) recommendation to avoid intrusive recording equipment, which may prevent interviewees from speaking openly.

<sup>1156</sup> Yin, 2011, p. 172.

<sup>1157</sup> Maylor & Blackmon, 2005, p. 232.

<sup>1158</sup> Maylor & Blackmon, 2005, p. 232; Saunders, Lewis & Thornhill, 2009, p. 334; 339.

<sup>1159</sup> Maylor & Blackmon, 2005, p. 232.

<sup>1160</sup> Saunders, Lewis & Thornhill, 2009, p. 334.

<sup>1161</sup> Maylor & Blackmon, 2005, p. 233f.

<sup>1162</sup> Whyte, 1994, p. 115f.

in answering the questions and of data recording problem as well as to allow some assessment of the questions' validity and the of the reliability of the data that will be collected".<sup>1163</sup>

In order to test the interview questions and to improve the language and questions of the interview guide, a pilot interview was conducted in May 2010 with a staff member of WFP. The interview was conducted in English and was composed of 6 parts:

- Preliminary remarks: the interviewer and her purpose, the length of the interview, reassurance about the confidentiality of the information, gaining permission to use recording equipment.
- Theme 1: General information on the organization and the person interviewed
- Theme 2: Strategic planning
- Theme 3: Implementation and control
- Theme 4: Success
- Theme 5: The future

The following lessons were learned from the pilot interview. The questions were well understood by the interviewee, so a thorough revision of them was not considered necessary. The length of the interview guide was also deemed to be satisfactory. Good preparation was found to be essential, including preliminary readings on the organization and knowing the interview questions well.

The finalized interview guide used in the study is shown in **Appendix 2**. It is composed of 6 parts: preliminary questions and 5 main themes.

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<sup>1163</sup> Saunders, Lewis & Thornhill, 2009, p. 394f.; 597.

## **VII COLLECTING AND PREPARING THE DATA AND ELABORATING THE CASE DESCRIPTIONS**

### **1 Introduction**

The case research procedure adopted by the author was presented in chapter V. After carrying out the first step in the procedure in chapter VI, that is, designing and preparing case research, this chapter now moves on to the second and third steps of the proposed procedure. This includes collecting and preparing data, elaborating case descriptions, as well as submitting the case descriptions to the organizations.

The chapter is divided into several sections:

- Section 1 is the introduction.
- Section 2 is dedicated to step 2 of the author's proposed process: collecting and preparing data.
- Section 3 presents step 3 of the process: elaborating case descriptions.
- Section 4 is the result of the elaboration of case descriptions
- Section 5 is the conclusion.

### **2 Collecting and preparing the data**

#### **2.1 Collecting the data**

##### **2.1.1 Carrying out the interviews**

Interviews with the subjects were carried out from May 2010 to June 2011. The list of the conducted interviews is shown in **Appendix 3**. All interviews were conducted in English. Before each interview, the researcher prepared herself by reading information on the organization, such as general brochures and annual reports. Access to sites, contact persons and travel arrangements were also cared for.

##### **2.1.2 Collecting the documents**

Documents represented the second important source of data. No limitations are set on the type of document. The documents used are of a wide variety. Internal documents with strategic content provided by the organizations are used. Documents published by the organization, as well as books, journal articles, newspaper articles and online sources are also collected.

## 2.2 Preparing the data

### 2.2.1 Transcribing the interviews

In order to prepare analysis, the verbal data from the interviews is put into written form, a process known as transcription.<sup>1164</sup> The transcription of the interviews constitutes the raw data for analysis.

As the task of transcription is very time-consuming, some suggest delegating the task to professional transcribers if funding allows.<sup>1165</sup> However, the researcher decides to transcribe the interviews herself. This is because the number of interviews conducted is relatively small. Proceeding in this way also allows the researcher to become familiar with the data before its analysis. Finally, it also respects the confidentiality of sensitive data.

No general rules exist on how or how much to transcribe, many authors stressing that this depends on the purpose of the research.<sup>1166</sup> The researcher decides to transcribe “only as much as is needed”, following Strauss.<sup>1167</sup> As Strauss states, “There may or may not be the need – for your particular research purposes – to transcribe all of your taped materials, or indeed, every paragraph or line of each interview (...).”<sup>1168</sup> Therefore, small sections of the text which were not deemed to be pertinent for the research, such as small talk or discussions on the state of the research project, are not transcribed in order to reduce the time allocated to this task.<sup>1169</sup> The material that is not transcribed is always indicated with the help of key words in parentheses, for example: (discussion on the state of the research project).

A number of transcription systems with different levels of exactness exist. These allow the transcription, for example, of pauses, intonation, stress and breaths. Such systems require familiarity, are time consuming and require interpretation.<sup>1170</sup> Such an elaborated system is not considered necessary for the research project, because the content of what is said is considered to be sufficient for the study. The following rules are therefore established by the researcher for the transcription:

- Emphasis, pace and tone are not transcribed.

<sup>1164</sup> Arksey & Knight, 1999, p. 141; Bernard & Ryan, 2010, p. 48; Flick, 2009, p. 475; Gibbs, 2007, p. 10; 152; Kvale, 2007, p. 93; Langdridge & Hagger-Johnson, 2009, p. 373; Maylor & Blackmon, 2005, p. 233; Saunders, Lewis & Thornhill, 2009, p. 485; 602.

<sup>1165</sup> Bernard & Ryan, 2010, p. 49; Gibbs, 2007, p. 17; Saunders, Lewis & Thornhill, 2009, p. 486.

<sup>1166</sup> Arksey & Knight, 1999, p. 141; Gibbs, 2007, p. 13; Kvale, 2007, p. 94f.; Langdridge & Hagger-Johnson, 2009, p. 376f.

<sup>1167</sup> Different authors also highlight the possibility of transcribing only parts, or only some, of the interviews (Arksey & Knight, 1999, p. 144; Bryman & Bell, 2011, p. 485; Gibbs, 2007, p. 12; Strauss 1989, p. 266f.).

<sup>1168</sup> Strauss, 1989, p. 266.

<sup>1169</sup> These were however necessary in order to establish rapport with the interviewee.

<sup>1170</sup> Arksey & Knight, 1999, p. 144; Flick, 2009, p. 299.

- Pauses and their lengths are not transcribed.
- Stutters and verbal tics, such as “erm”, “um” and “er”, are not transcribed.
- Words spoken by the interviewer to show active listening, such as “yes”, “umhm” or “uh-huh”, are not transcribed.
- False starts and repetitions are transcribed.
- Overlapping talk is also transcribed.
- Words or phrases that could not be heard properly are indicated with (?).
- One new line is used for each time the speaker changes.
- Each speaker is identified with his/her initials.

The digitized recordings are transferred to a computer. All interviews are transcribed with the help of the software f4, which allows for the control of the recording while typing. For example, speech may be slowed, time stamps may be added and the audio recording may be paused.

Finally, once transcription is carried out, the transcripts are checked once again against the recordings to ensure faithfulness.<sup>1171</sup>

### 2.2.2 Classifying the data

All notes, tapes and transcripts are kept by the author. Evidence is clearly labeled. For example, transcripts show the date and place of an interview, as well as the name and function of the interviewees. A separate file is kept for each organization. This contributes to the creation of the database.

### 2.2.3 Considering the use of software

The use of software is also considered to analyze the data. Computer-assisted qualitative data analysis software is increasingly being used to assist in the analysis of qualitative data by removing physical tasks.<sup>1172</sup> Such programs allow, for example, the organized storage of data, coding, retrieving, and searching.<sup>1173</sup> The use of software to analyze qualitative data is however not universally accepted, contrary to the use of software for the analysis of quantitative data.<sup>1174</sup> The main disadvantages put forward include the cost of learning to use the program, the increase of distance with the data, as well as the eventual lack of required features.<sup>1175</sup> Although certain advantages are recognized, the author

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<sup>1171</sup> Arksey & Knight, 1999, p. 146; Maylor & Blackmon, 2005, p. 233.

<sup>1172</sup> Bryman & Bell, 2011, p. 593.

<sup>1173</sup> Creswell, 2007, p. 165.

<sup>1174</sup> For a list of concerns with the use of software for qualitative data analysis, see Bryman & Bell, 2011, p. 594f.

<sup>1175</sup> Creswell, 2007, p. 165f.

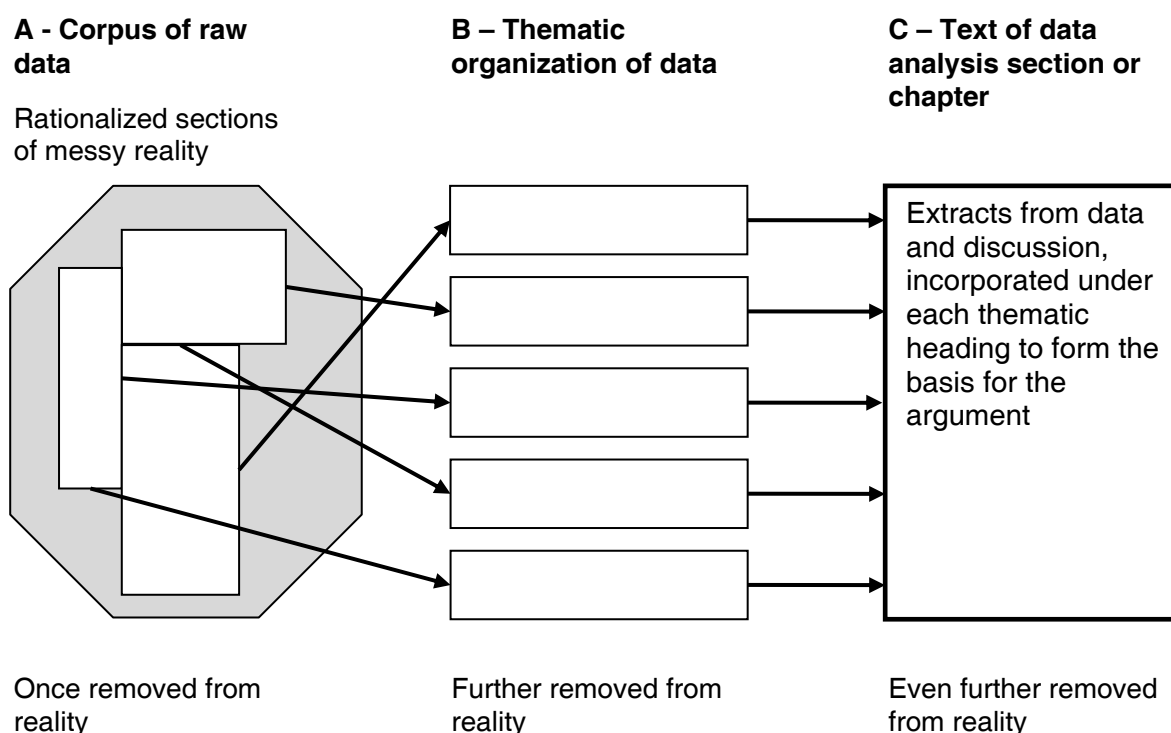
decides against the use of such a program. This is because the number of interviews is limited. It also enables the author to remain “close” to the data.

### 3 Elaborating case descriptions

The first general approach adopted by the author is a description of each case. Elaborating a description allows the researcher to become familiar with each case and served as a basis for the within-case and cross-case analysis.

#### 3.1 Overview of process

To elaborate the case descriptions, the process recommended by Holliday to get from raw data to the report is adopted by the author.<sup>1176</sup> It is shown in **Figure VII.1**.



**Figure VII.1: Process from data collection and analysis to writing**<sup>1177</sup>

The author chooses to follow three steps. First, the structure of the reports is determined. Then, the cases are written. Finally, the descriptions are submitted to the organizations studied.

<sup>1176</sup> Holliday, 2002, p. 100.

<sup>1177</sup> Adapted from Holliday, 2002, p. 100.

### 3.2 Determining the structure

Raw data – represented by the rectangles in (A) in Figure VII.1 – is analyzed and organized, for example by organizing under thematic headings (B). This is the organized construction of the researcher and will differ from the construction of other researchers.<sup>1178</sup>

In order to elaborate such a description, data is organized thematically. This also corresponds to Maylor & Blackmon's suggestion, which is to present data structured around themes if the interview represents the main source of data.<sup>1179</sup>

The thematic structure chosen by the author is based on the interview guideline. It also emerged from the interview data. The report consists of two main sections:

- The first section of the report gives a general description of the organization studied and the different challenges it faces. Aspects such as mission, principles, collaboration, organizational structure, human resources, management philosophy, key financial figures and main challenges are approached.
- The second section is dedicated to strategic management in the organization. It presents the organization's understanding of strategy. It also gives an overview of the strategic planning process.

The structure for each case report is shown in **Figure VII.2**.

1. Presentation of the organization
  - 1.1. Mission and principles
  - 1.2. Activities
  - 1.3. Collaboration
  - 1.4. Organizational structure and human resources
  - 1.5. Management philosophy
  - 1.6. Key financial figures
  - 1.7. Main challenges
2. Strategic management in the organization
  - 2.1. Understanding of strategy
  - 2.2. Strategic planning process

**Figure VII.2: Thematic structure for case reports**<sup>1180</sup>

<sup>1178</sup> Holliday, 2002, p. 99f.

<sup>1179</sup> Maylor & Blackmon, 2005, p. 255.

<sup>1180</sup> Own elaboration.

### 3.3 Writing the cases

Once the thematic structure is determined, the case reports are written. Following Holliday's process, the headings determined in the previous sub-step serve as the basis for the data analysis section or chapter (C). Under each thematic heading, extracts of data are taken from the corpus, put together with discussion and used as evidence for the argument.<sup>1181</sup>

Following Yin, the author chooses the format of classic multiple case research, that is, a narrative is written for each case. Each single case is put in a separate section.<sup>1182</sup>

Merriam's recommendation to make the report "richly descriptive" is also applied. This gives "the reader the vicarious experience of having been there".<sup>1183</sup> As the interview is a main source of data collection, the text is supported with quotes, following Maylor & Blackmon's recommendation.<sup>1184</sup> Yin's recommendations to begin writing the case reports at a very early stage and to re-write until done well are also followed.<sup>1185</sup>

### 3.4 Submitting the case descriptions to the organizations

Once the cases were elaborated, they were sent to the persons interviewed. This served a triple purpose. On top of being a courtesy, interviewees were able to make remarks or suggestions, as well as confirm the information in the reports. This was an important contribution towards the validity of the research.

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<sup>1181</sup> Holliday, 2002, p. 100.

<sup>1182</sup> Yin, 2009, p. 170.

<sup>1183</sup> Merriam, 2009, p. 258.

<sup>1184</sup> Maylor & Blackmon, 2005, p. 255.

<sup>1185</sup> Yin, 2009, p. 164; 179.



## 4 ICRC case description

### 4.1 Presentation of the ICRC

#### 4.1.1 Mission and principles

After witnessing the human suffering in the battle in Solferino, Italy, in 1859, the Swiss businessman Henry Dunant recommended the formation of relief societies and an international treaty to protect the wounded on the battlefield. In 1863, a committee later renamed the International Committee of the Red Cross (ICRC), was formed to develop Dunant's ideas.<sup>1186</sup>

Since its founding, the mission of the ICRC has been to protect and assist the victims of armed conflict and other situations of violence. While focus was initially on wounded soldiers, activities were gradually expanded to cover all victims.<sup>1187</sup>

The mission of the ICRC is defined as follows: It is "an impartial, neutral and independent organization whose exclusively humanitarian mission is to protect the lives and dignity of victims of armed conflict and other situations of violence and to provide them with assistance. The ICRC also endeavours to prevent suffering by promoting and strengthening humanitarian law and universal humanitarian principles. Established in 1863, the ICRC is at the origin of the Geneva Conventions and the International Red Cross and Red Crescent Movement. It directs and coordinates the international activities conducted by the Movement in armed conflicts and other situations of violence."<sup>1188</sup>

In fulfilling its mission, the ICRC is guided by seven Fundamental Principles, stated in the preamble of the Statutes of the Movement:<sup>1189</sup>

- Humanity: The purpose is to protect lives, prevent and alleviate human suffering wherever it may be found, and ensure respect for human beings.
- Impartiality: Action is based exclusively on needs, without discrimination with regards to nationality, race, religious beliefs, class or political opinions.
- Neutrality: Sides may not be taken in armed conflict or other situations of violence.
- Independence: Humanitarian objectives are autonomous from other objectives. National Societies must strive to maintain autonomy in order to act in accordance with the fundamental principles.
- Voluntary service: The organization is voluntary and not driven by desire for gain.

<sup>1186</sup> Forsythe & Rieffer-Flanagan, 2008, p. 1.

<sup>1187</sup> ICRC, 2009a, p. 3.

<sup>1188</sup> ICRC, 2009a, p. 4.

<sup>1189</sup> ICRC, 2005b, p. 9ff. The first four principles are explicitly mentioned in the mission statement (ICRC, 2009a, p. 10).

- Unity: Only one Society can exist in each country. It must be open to all and work throughout its territory.
- Universality: The Movement is worldwide. All Societies have equal status and equal responsibilities and duties.

#### 4.1.2 Approaches

In order to fulfill its mission, the ICRC combines four different approaches:<sup>1190</sup>

- Protection seeks “to ensure that authorities and other actors fulfil their obligations and uphold the rights of individuals”. Prevention or ending of violations of international humanitarian law are also included. Their causes, circumstances and consequences are focused on. Activities include, for example, visiting detainees and assessing conditions of detention, restoring family links and searching for missing persons.
- Assistance activities aim “to preserve life and/or restore the dignity of individuals or communities adversely affected by armed conflict or other situations of violence”. They mainly deal with the consequences of violations of international humanitarian law by addressing essential human needs such as health, water, sanitation, shelter and economic security.
- Prevention aims “to foster an environment that is conducive to respect for the lives and dignity” of victims of armed conflict and other situations of violence. It aims to prevent their suffering by influencing those who have an impact on it. The communication, development, clarification and promotion of the implementation of international humanitarian law and other relevant law are central to this approach. The ICRC also aims to promote the acceptance of its work.
- Cooperation aims to increase the operational capacities of National Societies, mainly in countries affected by or likely to be affected by armed conflict or other situations of violence, as well as improve the ICRC’s interaction and partnerships with them. Complementary mandates and skills in the other three approaches are used in order to optimize work. Furthermore, the policies of the Movement are set out and implemented and the capacities of the National Societies strengthened.

After a comprehensive analysis of each particular case – situation, actors, stakes and dynamics – the ICRC adopts a multidisciplinary and complementary approach combining the different approaches mentioned above.<sup>1191</sup> The different activities are interlinked and of mutual assistance. Assistance activities, for example, may have a protection role, and vice versa. For instance, digging wells in a camp

<sup>1190</sup> ICRC, 2009a, p. 14ff.; ICRC, 2009b, p. 15ff.

<sup>1191</sup> ICRC, 2011, p. 10; ICRC, 2009b, p. 12.

adopts the assistance approach by addressing the need for water, but it also protects individuals who would look for water outside the camp from violence.<sup>1192</sup>

The ICRC stresses the importance of working on all four of these approaches at the same time. However, difficulties arise when some governments would only like one approach, such as assistance, for example. However, ICRC is quite strict in insisting on the combination.<sup>1193</sup>

The diversification of activities is also being considered. A question currently discussed, for example, is whether the ICRC would like to go further into the work in other situations of violence, such as for instance criminal drug bands in the North of Mexico. The ICRC is not accustomed to working in such situations, and issues such as the skills required and the danger for personnel must be considered.<sup>1194</sup>

The ICRC uses a combination of different modes of action depending on the situation, problem and objectives:<sup>1195</sup>

- Persuasion: Convincing authorities to increase respect for international humanitarian law or other rules protecting people in situations of violence and to take measures to improve their situation.
- Mobilization: Looking for support from third parties in order to influence the behavior or actions of authorities, and to provide support or services to them
- Denunciation: Only exceptionally, public declarations are made regarding violations of international humanitarian law or other rules
- Support: Provision of assistance to authorities
- Substitution: Provision of services to those in need when authorities are unable or unwilling to do so

Finally, the ICRC is active at three complementary levels:<sup>1196</sup>

- Responsive action: Preventing or alleviation of the effects of abuse or problems
- Remedial action: Restoration of dignified living conditions through rehabilitation, restitution and reparation
- Environment-building: Promoting an environment favorable to the respect of international humanitarian law and other rules protecting people in situations of violence

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<sup>1192</sup> ICRC, 2009a, p. 16f.

<sup>1193</sup> Interview, 05.05.10.

<sup>1194</sup> Interview, 05.05.10.

<sup>1195</sup> ICRC, 2011, p. 10; ICRC, 2009a, p. 19f.; ICRC, 2009b, p. 12f. The first three modes of action aim to raise awareness of responsibility (ICRC, 2009a, p. 19).

<sup>1196</sup> ICRC, 2011, p. 10; ICRC, 2009b, p. 13.

### 4.1.3 Collaboration

To fulfill its mandate of protecting and assisting those affected by armed conflict and of promoting international humanitarian law, “the ICRC seeks to develop a constructive dialogue with all State and non-State actors who have a stake in or may have an influence on situations of armed conflict”.<sup>1197</sup>

Good relations with States are considered necessary in order to be successful. Dialogue and acceptance are crucial. The classical task of enquiring about prisons, the treatment of prisoners, etc. can prove to be difficult to dialogue with States. By stressing the global player role of powerful states, a diplomatic relationship between equals can be built up, helping the ICRC fulfill its mission. However, this can have disadvantages, with countries asking for help in areas that are not the ICRC’s focus.<sup>1198</sup>

The ICRC also aims for a good relationship with the other organizations of the Red Cross and Red Crescent Movement. The Seville Agreement of 1997 specifies the organization of international relief operations. It fixes which organization of the Movement assumes the role of lead agency if needed.<sup>1199</sup> The National Societies are considered an entrance to the different countries in which the ICRC works, as they have good knowledge of the situation and have a good network. However, as not all National Societies are totally independent, neutral and well-organized, the relationship can become difficult and political at times. Among the trends noted in recent years is the increased assertiveness of National Societies. Some have become very strong and organized. Partnerships with the National Societies are a strategic issue for access for coverage on the ground, but also with assertive new states. It is considered important to have trustworthy partners that have the capacity. As Bart Fonteyne states, “You need good partners that you can trust”. The ICRC can then mobilize finance and assistance, as well as give backline support if it cannot act itself.<sup>1200</sup>

In the context of globalization, the private sector is playing a more important role. Companies are increasingly involved in situations of conflict and have more influence on conflict parties. They therefore represent an important partner for fulfilling the ICRC’s mission. Two objectives are set out:<sup>1201</sup>

<sup>1197</sup> ICRC, 2006, p. 3.

<sup>1198</sup> Interview, 05.05.10.

<sup>1199</sup> Interview, 05.05.10. The ICRC takes the lead in situations of international and non-international armed conflict, internal strife and their direct results. The Federation acts as the lead agency in post-conflict situations, as well as in the case of natural or technological disasters in times of peace, when resources of the National Society are insufficient. Finally, a National Society may also take the lead to coordinate relief on its own territory, if the ICRC and the IFRC both agree (Council of Delegates, 1997, Art. 5.3).

<sup>1200</sup> Interview, 05.05.10.

<sup>1201</sup> ICRC, 2002, p. 2.

- Promotion of humanitarian principles with companies present in situations of conflict and with direct or indirect influence on victims, irrespective of their policies or activities, by helping them to understand their rights and meet their obligations under international humanitarian law.
- Establishment of mutually-beneficial strategic partnerships, selection being based on the Movement's Principles and Statutes, the ICRC's mandate and a number of ethical criteria. Partnerships with the private sector exist in the area of logistics, water supply and infrastructure development, for example.<sup>1202</sup>

Finally, the ICRC recognizes the added-value that partnerships with other humanitarian agencies can have in improving the effectiveness of humanitarian action and fulfilling its mission. It therefore aims to work with these, to the extent that its fundamental principles are preserved.<sup>1203</sup> It establishes and maintains relations with numerous IGOs, including UN agencies and NGOs.<sup>1204</sup>

#### 4.1.4 Organizational structure and human resources

The ICRC is a private, self-governing, Swiss association.<sup>1205</sup> The headquarters are in Geneva, Switzerland.<sup>1206</sup>

The simplified organizational structure is shown **Figure VII.3**.

The bodies of the ICRC are the following:<sup>1207</sup>

- Assembly: The supreme governing body of the ICRC, the Assembly oversees all activities, formulates policy, defines general objectives and institutional strategy, approves the budget and accounts, and nominates the directors and the head of Internal Audit. It has between 15 and 25 members, all of Swiss nationality.<sup>1208</sup> New members are appointed by a vote of existing members.<sup>1209</sup> Its president and two vice-presidents are also the president and vice-presidents of the ICRC.

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<sup>1202</sup> Interview, 05.05.10; ICRC, 2010a.

<sup>1203</sup> ICRC, 2009a, p. 18; Pfanner, 2007, p. 5f.

<sup>1204</sup> ICRC, 2011, p. 76.

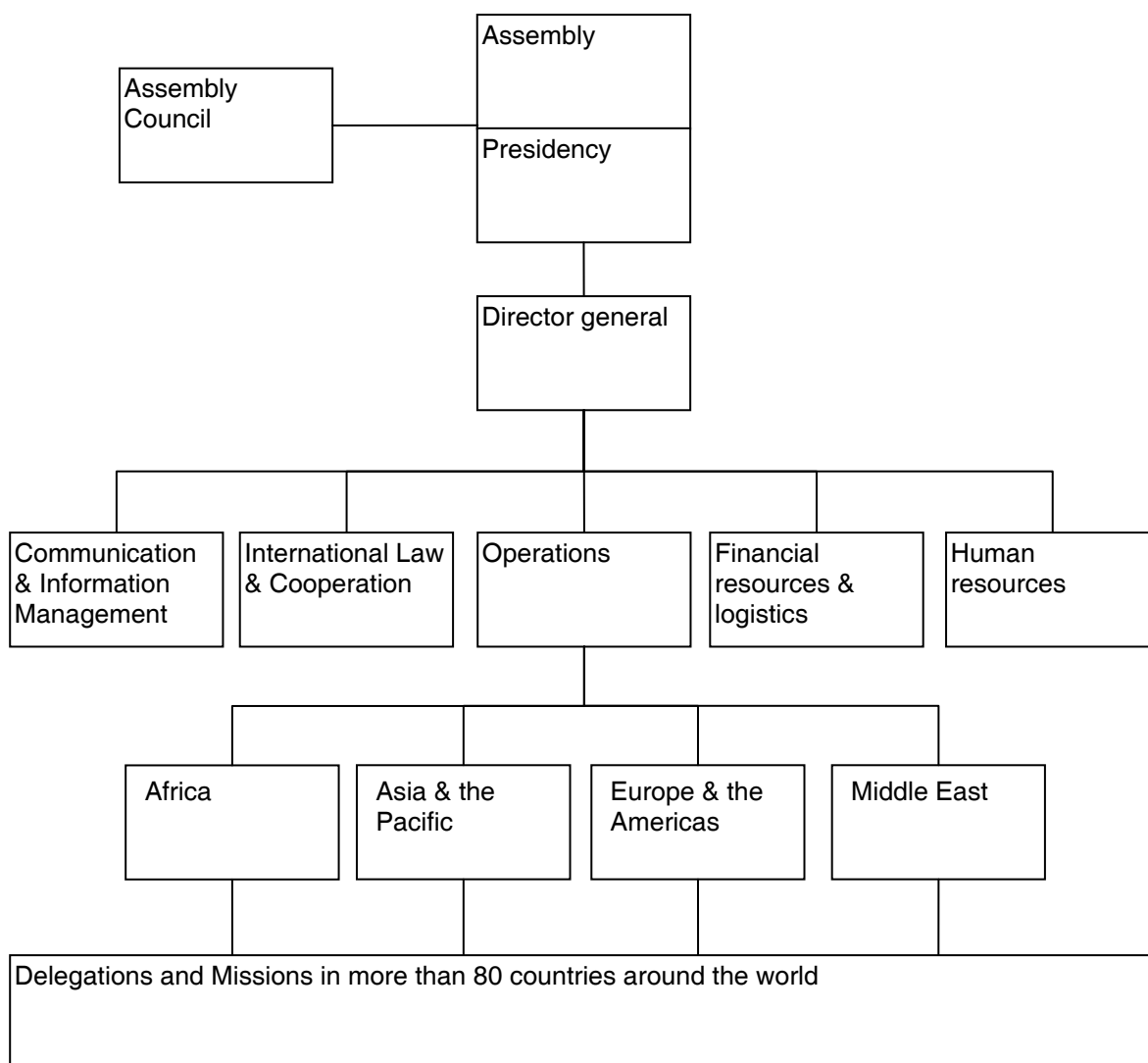
<sup>1205</sup> Forsythe & Rieffer-Flanagan, 2008, p. 1; ICRC, 2009a, p. 6f.; The ICRC is governed by Article 60 and following of the Swiss Civil Code (ICRC, 2003, Art. 2).

<sup>1206</sup> Forsythe & Rieffer-Flanagan, 2008, p. 56; ICRC, 2003, Art. 3.

<sup>1207</sup> Forsythe & Rieffer-Flanagan, 2008, p. 26 ff. ICRC, 2011, p. 58ff.; 561ff.; ICRC, 2003, Art. 9-12.

<sup>1208</sup> Given permanent Swiss neutrality, this composition allows neutrality to be maintained (Forsythe & Rieffer-Flanagan, 2008, p. 26f.).

<sup>1209</sup> Forsythe & Rieffer-Flanagan, 2008, p. 26.



**Figure VII.3: ICRC organizational structure**<sup>1210</sup>

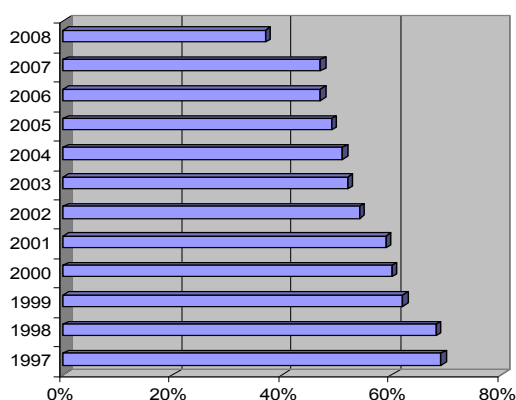
- **Assembly Council:** A subsidiary body of the Assembly, the Assembly Council prepares the Assembly's program of activities and takes decisions on matters within its competence, particularly concerning strategic options relating to general policy on funding, personnel and communication. It also links the Directorate and the Assembly. It is composed of the president, the Permanent vice-president and three members elected by the Assembly.
- **Presidency:** includes the president, one permanent vice-president and one non-permanent vice-president. The president is responsible for external relations and is the face at the exterior. He is also the president of the Assembly and of the Assembly Council, whose work he leads and competence he safeguards. He also remains in close contact with the Directorate, particularly the Department of Operations, so an overlap exists between the Director General and the President.

<sup>1210</sup> Adapted from ICRC, 2011, p. 560. As of 01.01.2011.

- As the executive body, the Directorate is responsible for the implementation of the general objectives and the institutional strategy, the smooth running of the ICRC and for the efficiency of staff. The head of the Directorate is the Director-general. Several departments guide work in the field:
  - Communication
  - International law and Movement cooperation
  - Operations
  - Resources and operational support
  - Human resources
- As seen in the figure, ICRC also has a very extensive network of delegations and missions in more than 80 countries. These are grouped into four major geographical entities covering nine regions.<sup>1211</sup>

In 2010, around 10'000 national staff and 1'500 expatriate staff were working in the field. Around 850 persons were employed at the headquarters in Geneva.<sup>1212</sup> Pools of personnel with different professional profiles are maintained, which allowed more than 97% of all posts in the field to be filled in 2010.<sup>1213</sup>

In the beginning, all delegates were Swiss citizens. This began to change in the early 1990s, when staff was internationalized due to the expansion of activities in the world and to a need for employees with specializations that were rare in Switzerland, such as specializations in tropical medicine.<sup>1214</sup> Today, there are a majority of international delegates.<sup>1215</sup> In 2010, 84% of newly-recruited delegates were not Swiss.<sup>1216</sup> As shown in **Figure VII.4**, there has been an important decrease of the proportion of Swiss staff in relation to the total workforce.<sup>1217</sup>



**Figure VII.4: Percentage of Swiss staff in relation to the total workforce**<sup>1217</sup>

<sup>1211</sup> ICRC, 2009b, p. 20f.; 25.

<sup>1212</sup> ICRC, 2011, p. 85; 515. The national staff figure does not include daily workers.

<sup>1213</sup> ICRC, 2011, p. 85.

<sup>1214</sup> Forsythe & Rieffer-Flanagan, 2008, p. 32.

<sup>1215</sup> Interview, 05.05.10.

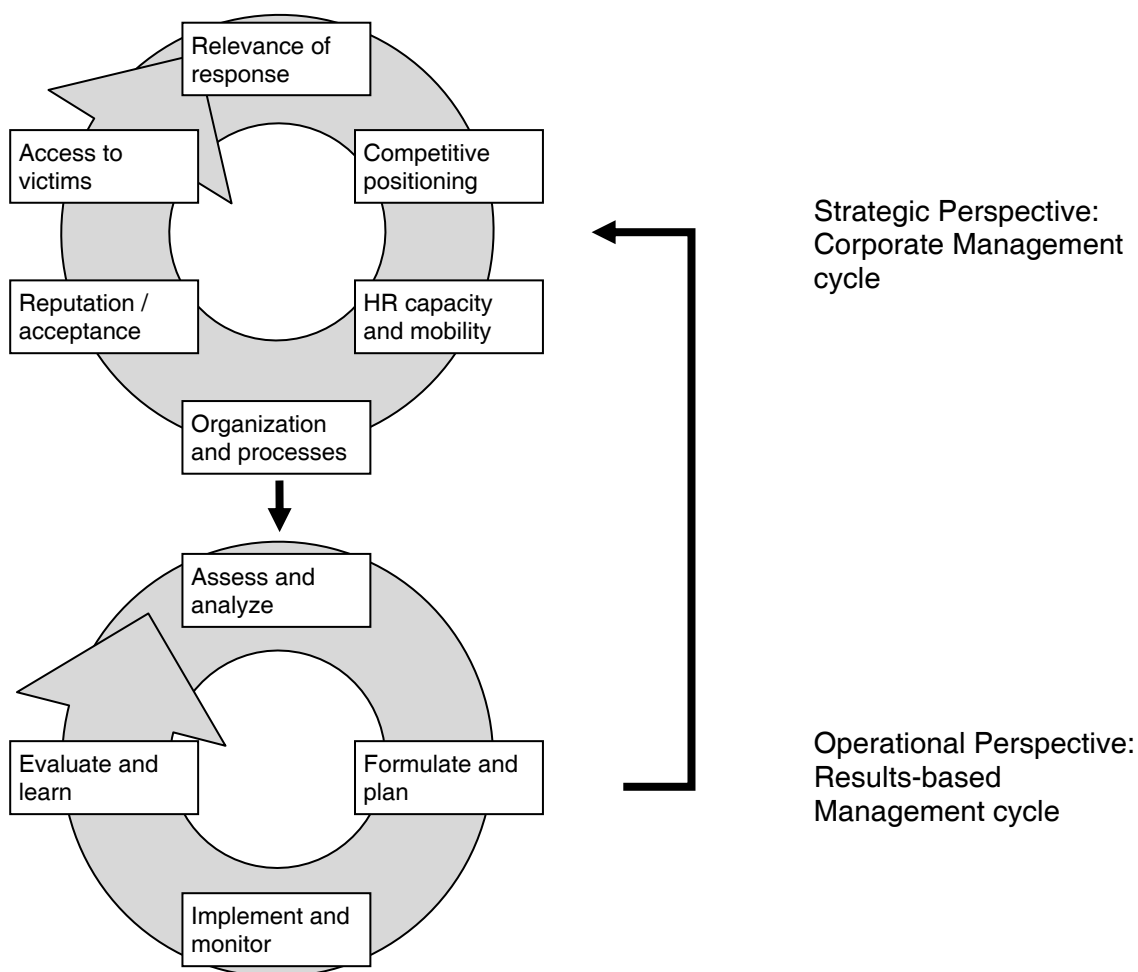
<sup>1216</sup> ICRC, 2011, p. 87.

<sup>1217</sup> ICRC, 2010b, p. 1.

#### 4.1.5 Management philosophy

The management philosophy at the ICRC is based on two complementary cycles, both shown in **Figure VII.5**:

- The Corporate Management cycle, which drives the strategic thinking logic of the ICRC as a whole
- The Results-based Management cycle, which provides the methodology to focus on results and drives the development and execution of strategy



**Figure VII.5: The strategic perspective and the result perspective<sup>1218</sup>**

The Corporate Management cycle, adopted in 2009, aims to structure information in order to allow coherent strategic decision-making and monitoring, as well as the assessment and management of performance. Objectives for the long-term are defined which serve as a framework to link the mission/institutional strategy with the headquarters and field objectives. The long term institutional goals can be aligned with the yearly orientation of the field.<sup>1219</sup>

<sup>1218</sup> Adapted from ICRC, 2010c, p. 6.

<sup>1219</sup> ICRC, 2010c, p. 1f.



The Corporate Management cycle is based on six key success factors, necessary for success and survival. The factors contribute to the successful fulfillment of the ICRC's mission. By influencing each area, the ICRC can reduce its vulnerability to the risks present and take better advantage of the opportunities. In this way, it can improve its response and position itself.<sup>1220</sup>

For each key success factor, long-term corporate objectives are defined. They show the desired achievements for the stakeholder groups. **Figure VII.6** shows the key success factors and the corporate objectives.

Result-based management is defined as “a structured approach that keeps an organization focused on the desired and expected results for the beneficiaries throughout the management cycle, and not simply on the implementation of activities or budget control”. Its use aims to increase effectiveness and accountability to victims and other stakeholders, notably donors. Activities are linked at each stage, structured and coherent information is generated, and resources are used efficiently.<sup>1221</sup>

Four progressive phases of the cycle can be distinguished:<sup>1222</sup>

- **Assessment and analysis:** The aim is to understand a situation in order to identify a problem, its causes and consequences. Information is collected and data is then analyzed.
- **Formulation and planning:** The desired future situation, or objective, is defined, and a plan of action including the necessary steps is developed. Tools and indicators are determined. In the context of this phase, the Planning for Results process is used. It is defined as a “corporate function that assesses context, target groups, problems/needs, risks, constraints and opportunities and sets priorities to ensure an appropriate level of coordination and alignment of action and resources towards the achievement of expected results”. A framework of three dimensions, shown in **Figure VII.7** is used.
- **Implementation and monitoring:** The plan of action is implemented in this phase. Monitoring is continuously done using the defined tools. Information on the activities, the results, the situation of the target population and the general context is collected and analyzed.
- **Review, evaluation and learning:** Reviews examine performance at all levels of the dimensions of the Planning for Results framework. The results achieved are compared to the intended results and the initial situation. Problems can thus be identified and corrective action, in the form of a change in the way to the objective or in the objective itself, may be taken. Internal, external or joint

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<sup>1220</sup> ICRC, 2010c, p. 2.

<sup>1221</sup> ICRC, 2011, p. 24.

<sup>1222</sup> ICRC, 2011, p. 25f. Each phase is completed before the next one, except for monitoring, which is a continuous during the implementation phase.

evaluations examining design, implementation and results are also carried out in order to draw conclusions and make recommendations.

Key success factors	Corporate Objectives
Relevance of response	1. Actual and potential humanitarian needs of persons affected by armed conflicts and other situations of violence are assessed by the ICRC as they arise. As a result of the ICRC's direct or indirect intervention, the persons affected by armed conflicts and other situations of violence are in a less vulnerable position and their most pressing needs are addressed impartially.
	2. State authorities and armed groups feel responsible for the protection of the persons affected by armed conflicts and other situations of violence, and act upon ICRC recommendations and representations on behalf of those affected. State authorities integrate international humanitarian law into national legislation and military doctrine while armed groups ensure the law is transposed into military practice.
	3. In situations of armed conflict and internal strife, the Red Cross / Red Crescent Movement meets the most pressing humanitarian needs in a coordinated way under ICRC leadership. The resulting partnerships between the ICRC and National Societies (and their Federation) are of mutual benefit.
Access to victims	4. Authorities, arm carriers and other influential actors grant ICRC and its privileged partners safe access to persons affected by armed conflicts and other situations of violence.
Reputation / acceptance	5. Decision makers, opinion leaders and other humanitarian actors understand, recognize and accept ICRC's neutral, impartial and independent role based on international humanitarian law in armed conflicts and on the Statutes of the movement in other situations of violence. They perceive the ICRC as a relevant, effective and efficient humanitarian organization in such situations.
	6. Political authorities, the diplomatic community, National Societies and parties to the conflict recognize the ICRC as the leader in the global effort to align the development, reaffirmation, clarification and implementation of international humanitarian law with the changing nature of armed conflict. They engage in a constructive dialogue with the ICRC and accept ICRC's international humanitarian law and other initiatives on behalf of the persons affected by armed conflicts and other situations of violence.
Organization and processes	7. The ICRC applies professional best practice in organizing effective, efficient humanitarian action based on transparent, coherent and accountable management processes, as well as on reliable systems and infrastructures.
Human resources capacity and mobility	8. International and local ICRC staff is competent, motivated and available to carry out its work; it has the information and resources to deploy the ICRC's strategy and to fulfill its mission in an integrated way.
	9. The ICRC manages its staff in a manner that reflects its values and its need for constantly adapting to a changing environment.
Competitive positioning	10. Donors recognize the ICRC's mandate and needs-based neutral independent humanitarian action as providing the best value in addressing actual and potential humanitarian needs in armed conflict and other situations of violence; accordingly, they fund the ICRC appeals in a timely manner with sufficient flexibility.

**Figure VII.6: The six key success factors and the corporate objectives**<sup>1223</sup>

<sup>1223</sup> Adapted from ICRC, 2010c, p. 8.

Context	Target population	Approach
Single country, group of countries, or other context	Civilians	Protection
	People deprived of their freedom	
	Wounded and sick	Assistance
	Authorities	
	Armed forces and other bearers of weapons	Prevention
	Civil society	
	Red Cross and Red Crescent Movement	Cooperation

**Figure VII.7: Planning for Results framework**<sup>1224</sup>

#### 4.1.6 Key financial figures

Funding of ICRC activities is voluntary<sup>1225</sup> and provided in the forms of cash, in-kind, and services.<sup>1226</sup> In 2010, total contributions amounted to over CHF 1 billion.<sup>1227</sup> Contributions are provided by different sources, shown in **Figure VII.8**.

Governments	857
European Commission	111
National Societies	58
Private sources	25
Public sources	7
International and supranational organizations	3
<b>Total</b>	<b>1'061</b>

**Figure VII.8: Contributions 2010 in CHF million**<sup>1228</sup>

As indicated, the majority of funds is received from governments. The largest donors, in order of importance were the United States (24.8% of all contributions), the European Commission (10.6%), Switzerland (10.4%) and the United Kingdom (7.4%). The ICRC has also secured multi-year funding commitments from several governments. It has made “ongoing efforts” to broaden its donor base, notably with funding from emerging states and the private sector, but progress in this area remains limited. A proportion of cash contributions (54.4%) is loosely earmarked to a specific region, country or program, while another (19.6%) is tightly earmarked to program or sub-program of a country or project.<sup>1229</sup>

<sup>1224</sup> ICRC, 2011, p. 25.

<sup>1225</sup> Forsythe & Rieffer-Flanagan, 2008, p. 3f.; 33f.

<sup>1226</sup> ICRC, 2011, p. 21; ICRC, 2009b, p. 23; ICRC, 2005a, p. 50. Contributions in kind refer to “assistance provided in the form of food, non-food items or specific goods”. Services are “support given to the ICRC in the form of logistics or staff on loan” (ICRC, 2009b, p. 23).

<sup>1227</sup> ICRC, 2011, p. 89; 512.

<sup>1228</sup> Adapted from ICRC, 2011, p. 512.

<sup>1229</sup> ICRC, 2011, p. 89ff.

The ICRC launches two types of budget appeals: emergency appeals for work in the field and a headquarters appeal. In 2010, the emergency appeals amounted to approximately CHF 983 million (including a contingency of around CHF 47 million) and the headquarters appeal to CHF 173 million.<sup>1230</sup> In the case of an unforeseen crisis, an emergency appeal is made. A procedure through all layers of management, coming up from operations, takes place.<sup>1231</sup>

Every year, the field analyzes the situation in their country and gives an estimate of the needs of the next year. Headquarters looks at the amount approximately available for the next year and a bottom-up-top-down discussion takes place, looking at how much money will be possible for every country and in which program it will be invested.<sup>1232</sup>

The allocation by approach of the 2010 budget is shown in **Figure VII.9**.

Protection	179
Assistance	541
Prevention	136
Cooperation with National Societies	80
<b>Total</b>	<b>936</b>

**Figure VII.9: Budget 2010 by approach in CHF million**<sup>1233</sup>

In relations with donors, the ICRC stresses the importance of having a budget execution as close as possible to what has been estimated.<sup>1234</sup> In 2010, the implementation rate<sup>1235</sup> was 90.7%.<sup>1236</sup> The year 2009, had an implementation rate that was lower than previous years (86%).<sup>1237</sup> Normally, the rate is approximately 95%. Difficult situations such as security and access issues were the cause of this decrease in expenditure.<sup>1238</sup>

Reserves, set at 4 months of expenditure, are also built up to deal with certain situations.<sup>1239</sup> The accounting model includes both financial accounting and cost/analytical accounting.<sup>1240</sup> The system is according to international financial standards. External audits are also carried out.<sup>1241</sup>

<sup>1230</sup> ICRC, 2009b, p. 25.

<sup>1231</sup> Interview, 05.05.10.

<sup>1232</sup> Interview, 05.05.10.

<sup>1233</sup> ICRC, 2009b, p. 27f. The contingency of 46.8 million is not included.

<sup>1234</sup> Interview, 05.05.10.

<sup>1235</sup> The implementation rate is defined as “field expenditure in cash, kind and services divided by final field budget – excluding contingency funds – multiplied by 100” (ICRC, 2011, p. 89).

<sup>1236</sup> ICRC, 2011, p. 89.

<sup>1237</sup> ICRC, 2011, p. 89; Interview, 05.05.10.

<sup>1238</sup> Interview, 05.05.10.

<sup>1239</sup> ICRC, 2011, p. 512.

<sup>1240</sup> ICRC, 2011, p. 21.

<sup>1241</sup> Interview, 05.05.10.

#### 4.1.7 Main challenges

This section is based on the author's understanding of the organization's main challenges for the future. The text may therefore not correspond to the ICRC's view of the challenges it faces.

A major challenge for the ICRC is its approach to new threats and conflicts. The world has witnessed an increasing variety of crisis situations as well as an increasing number and variety of actors.<sup>1242</sup> Violence, such as violence linked to criminal bands or urban settings, is also part of today's landscape. If the ICRC decides to diversify its activities to cover such forms of violence, such as, for instance, in the North of Mexico, where violence is linked to criminal drug bands, it must consider the approach it will take. The ICRC is not accustomed to working in such situations, and issues such as the skills required and the danger for personnel must be considered.<sup>1243</sup> Access and proximity to victims, security of aid workers, and preserving neutral, impartial and independent humanitarian action constitute key challenges.<sup>1244</sup>

The second challenge includes the use of differentiated regional approaches. Approaches must be looked at slightly differently in the different cultural and political regions. The ICRC needs to position itself in growing Asia, for example.

A third important challenge for the organization is human resources management. The organization has three human resources systems: contracts coming out from Geneva for the delegates, contracts for persons hired on the spot, the delegation employees, and contracts for employees at the headquarters. This division between the first two categories of employees was originally made in order to protect local staff from exposure to information that could put them in jeopardy. The situation is changing. In all three categories, well-trained and very motivated persons are found. The mechanisms allowing staff to move from one category to the other should be simplified. One integrated human resources management system should be established.

Fourth, tasks, competencies and responsibilities between the Assembly, the Board and the Directorate should be redefined. The Assembly acts as the General Assembly and the Board of Directors at the same time. It has a Council but this one has no specific tasks, competences or responsibility. The Council should be developed in the direction of a Board of Directors. This creates the need to define bridges between the three levels.

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<sup>1242</sup> ICRC, 2007, p. 1f.

<sup>1243</sup> Interview, 05.05.10.

<sup>1244</sup> ICRC, 2009b, p. 8.

## 4.2 Strategic planning at the ICRC

### 4.2.1 Understanding of strategy

The Governance and the Directorate of the ICRC have a common understanding of strategy in the specific context of humanitarian action: For both, strategy is the way of realizing the mission.<sup>1245</sup> On the Governance side, Ms. Beerli states that strategy can be defined as “the way how we would like to put into reality the vision”.<sup>1246</sup>

However, when speaking of strategy, the Directorate emphasizes facts and figures, and therefore analysis. Different levels of strategy also exist. The link to the environment is also stressed by Mr. Fonteyne. Strategies are derived from opportunities and threats in the environment and strengths and weaknesses of the organization. Strategy is therefore defined as “the reflection of your self-awareness and the awareness you have of your environment and how you deal with that”.<sup>1247</sup>

### 4.2.2 Overview of the strategic planning process

The present text is based on the strategic planning process that took place in 2010. This process was adapted and systematized in comparison to the 2006 approach.

Four levels are involved in the process of preparing the ICRC’s Institutional Strategy for 2011-2014: the Assembly, the Presidency, the Directorate and the different Departments. Although the responsibilities of the Governance – the Assembly and the Presidency – and the Directorate in this process have not been clear in the past, the grey zone is now being clarified.<sup>1248</sup>

**Figure VII.10** gives an overview of the current strategy-making process. Each step in this process is presented in the following sections.

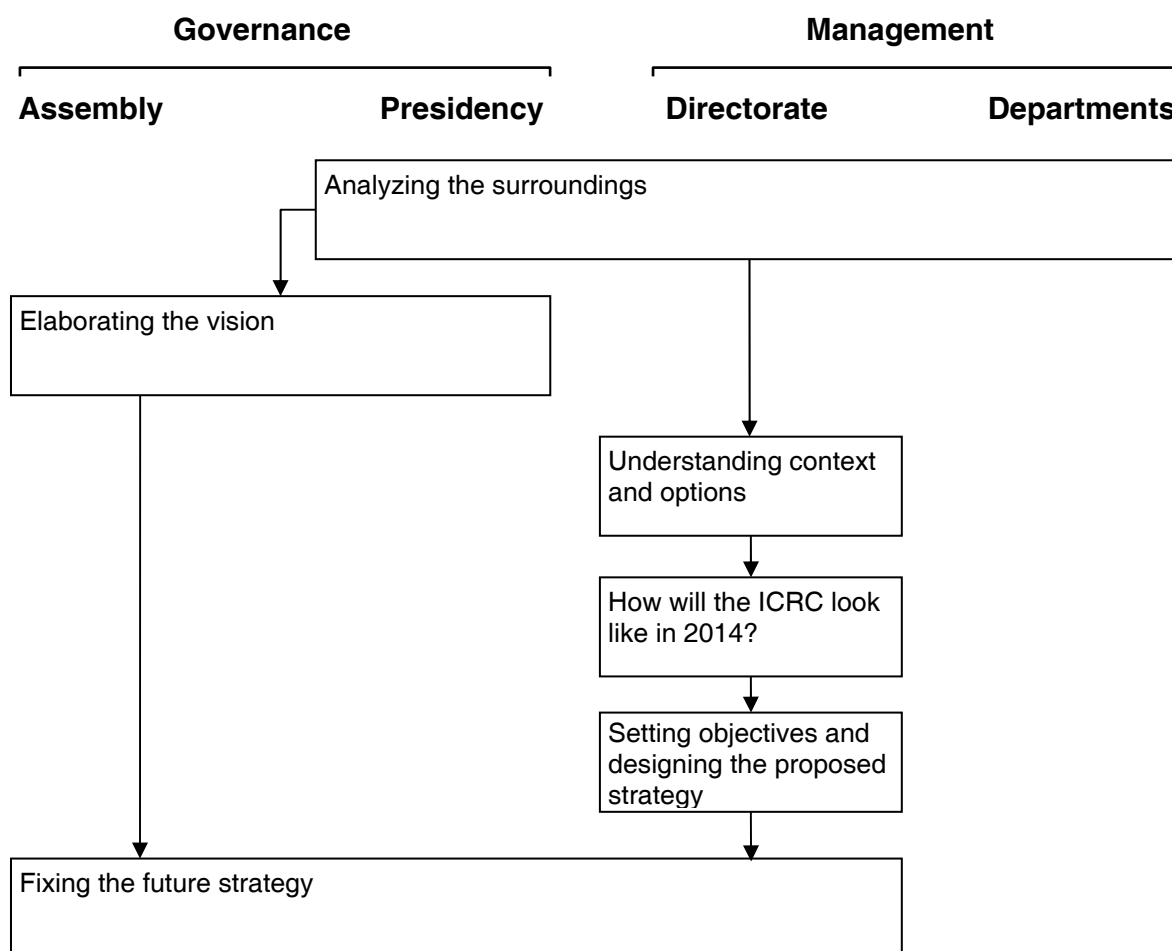
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<sup>1245</sup> Interview, 05.05.10.

<sup>1246</sup> Interview, 05.05.10.

<sup>1247</sup> Interview, 05.05.10.

<sup>1248</sup> Interview 05.05.10.



**Figure VII.10: Process of developing the strategy**<sup>1249</sup>

### 4.2.3 Analyzing the surroundings

An analysis of the ICRC's surroundings, coming from the field and the Directorate, is the basis to fix the vision. The approach adopted is to develop scenarios as different possible views of the future in terms of geopolitical, social and economic factors, the nature of conflicts, changes in the humanitarian sector, etc. The ICRC's preparedness to face different futures and its related strengths and weaknesses can then be identified. This should influence planning and the types of additional competencies and actions required.<sup>1250</sup>

To carry out this exercise, two conferences were held in Dubai and Montreux in February-March 2010 by the Department of Operations and senior field-managers.<sup>1251</sup> The workshops began by identifying and understanding the main trends that will drive transformations of the operating environment in the next four

<sup>1249</sup> Own elaboration based on Interview, 05.05.10.

<sup>1250</sup> ICRC, 2010d, p. 1f.

<sup>1251</sup> ICRC, 2010d, p. 1f.

to eight years. Four main scenarios providing alternative views of the future were then derived.<sup>1252</sup>

- Scenario 1: A sudden major catastrophe strikes. The consequences spread beyond the borders of a single-state and there are major implications for the state-based security and response system, including the humanitarian sector.
- Scenario 2: The world has experienced a political power shift. There are implications in terms of state power and regional powers, a renewed assertiveness of the part of several countries, a rejection of universal/western values and norms and in terms of transformations of the humanitarian sector.
- Scenario 3: There is widespread insecurity and lawlessness. There are major implications in terms of the diversity and nature of the risks faced by the people affected and in terms of blurring of classic conflict definitions.
- Scenario 4: The world is dominated by the impacts of a range of mega trends such as environmental degradation, health hazards, migration, etc. States cooperate to address these, but marginal attention is given to conflict victims.

The most likely state of the world in the coming years appears to be a combination of the four scenarios, particularly scenarios 2, 3 and 4.<sup>1253</sup> The ICRC must prepare for a world with a transformed international political landscape and a changed humanitarian sector. The humanitarian sector of the future will be characterized by state involvement and control, private sector interests, the rise of new actors and of competition. Rapidly evolving technologies will also contribute to a growing set of stakeholders. The ICRC will need to diversify its networks and confront new influential actors. States and the redefined international community will cooperate in addressing the consequences of key mega-trends, but they may neglect the traditional consequences of conflicts and the consequences of climate change, pandemics, etc. on conflict-affected populations. The ICRC may find it difficult to draw attention to those needs and mobilize resources. New forms of armed violence will also appear. Beneficiaries will increasingly be deciding, formulating their own requests and assessments thanks to technologies.<sup>1254</sup>

Finally, the workshops aimed to formulate proposals for adaptation in the ICRC's modus operandi. Many suggestions resulted, notably the following:<sup>1255</sup>

- Further evolution of the scope of action and an incorporation of other situations of violence into the ICRC's center of gravity
- Investment in regional strategic anchoring and a better grasp of and interaction with a growing diversity of stakeholders and networks
- Evolution in the development and practice of genuine forms of partnerships within the Movement and beyond

<sup>1252</sup> ICRC, 2010d, p. 2.

<sup>1253</sup> A scenario 1 situation cannot be excluded. It is the most difficult to prepare for, but needs to be integrated because of the many issues to consider ahead of time.

<sup>1254</sup> ICRC, 2010d, p. 2f.

<sup>1255</sup> ICRC, 2010d, p. 3f.



- Increased flexibility within clearly defined, longer-term frameworks
- Investment in national staff and a more decentralized approach towards people management and development

#### 4.2.4 Elaborating the vision

The mission of the organization, which is clear and based on the law, constitutes the basis for the elaboration of the vision. The result of the work done with the help of scenarios is also brought into the working group of the Assembly.<sup>1256</sup> Out of this, it elaborated the vision for the organization shown in **Figure VII.11**.

In fulfilling its mission, the ICRC puts people's needs at the center of its work and builds on their resilience. It is able to make a significant difference for people affected by ongoing and emerging humanitarian crises, working in close proximity to them and providing high-quality services, together with National Red Cross and Red Crescent Societies and other partners. It shapes the debate on legal and policy issues related to its mission; it uses its humanitarian diplomacy as a strong lever to influence governments and other stakeholders in order to strengthen respect for the lives and dignity of people affected by armed conflict and other situations of violence. In line with its mission, the ICRC has identified four broad strategic orientations (...):

- Reinforce the ICRC's scope of action: The ICRC will increase the relevance and effectiveness of the support it provides to people suffering because of armed conflict (including in the early recovery phase) and other situations of violence.
- Strengthen the ICRC's contextualized, multidisciplinary response: The ICRC will develop contextualized, multidisciplinary responses that address the vulnerabilities and build on the resilience of people in need.
- Shape the debate on legal and policy issues related to the ICRC's mission: The ICRC will remain the reference organization for developing and clarifying international humanitarian law and will influence the policy agenda related to the human costs of armed conflict and other situations of violence, the future of humanitarian action, and other emerging issues.
- Optimize the ICRC's performance: The ICRC will strike an appropriate balance between achieving consistency throughout the organization and maintaining operational flexibility in managing its performance.

**Figure VII.11: ICRC vision**<sup>1257</sup>

#### 4.2.5 Understanding context and options

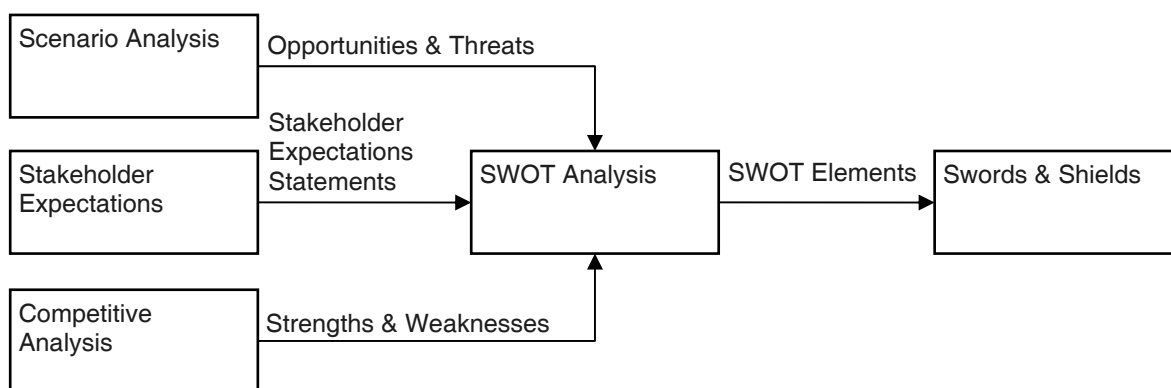
##### **a Overview**

In order to prepare its discussion of the strategy with the Assembly and the Presidency, the Directorate organized three workshops in May and June 2010.

The first workshop aimed to obtain a clear understanding of the context and the options. **Figure VII.12** shows the flow of the workshop.

<sup>1256</sup> Interview, 05.05.10.

<sup>1257</sup> Adapted from ICRC, 2010e, p. 3.



**Figure VII.12: Flow of the first Directorate workshop**<sup>1258</sup>

A number of inputs were brought into the first workshop. These included the scenario analysis from the conferences in Dubai and Montreux. The Institutional Performance Management unit in the office of the Director-General also prepared a number of elements to start as inputs. The idea was to provide the directors with ways of looking at the world and at the ICRC's own performance in order to be able to project the elements in consultation with Governance.<sup>1259</sup> These three inputs are discussed in the following three sub-sections.

### **b Stakeholder expectations**

The first input is a briefing document on expectations of the different stakeholders, carried out on the basis of interviews and randomly selected reports.<sup>1260</sup> **Figure VII.13** shows the different stakeholders of the ICRC.

Recurrent issues were mentioned, notably the issue of transparency.<sup>1261</sup> Also, most expectations concerned organizational, human resources and relevance issues. External factors were mentioned very little. Therefore, "the ICRC is expected to be a performing organization *because* it has a solid, well functioning organizational design, corresponding processes and human resources management".<sup>1262</sup>

Such a review is new for the organization. The ICRC is good at specifying existing expectations. However, the response to these objectives is a different matter. As Mr. Fonteyne states, "we are not geared (...) to really respond to expectations. We

<sup>1258</sup> Adapted from ICRC, 2010f, p. 4.

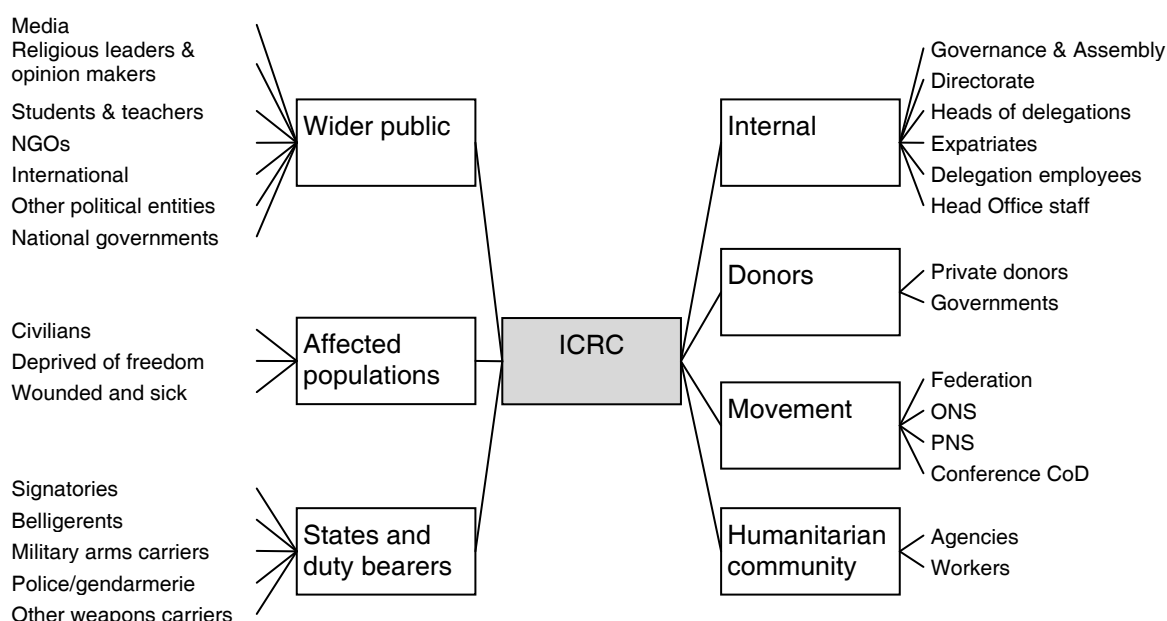
<sup>1259</sup> Interview, 05.05.10.

<sup>1260</sup> ICRC, 2010g, p. 1ff.

<sup>1261</sup> This refers to the need for coherence ("walk the talk") and is not a questioning of the need to work in confidentiality. It is widely expected for the ICRC to respect its confidential way of working.

<sup>1262</sup> ICRC, 2010g, p. 2.

are the ones communicating how much can be expected. This is turning the ball around, saying, ok what do they expect?"<sup>1263</sup>



**Figure VII.13: ICRC stakeholders**<sup>1264</sup>

### **c Competitive analysis**

The third input prepared by the Institutional Performance Management unit to serve as a basis for discussion was an analysis of programs looked at in competition terms.<sup>1265</sup> The question to be answered was the following: how attractive are programs for donors? Two dimensions were chosen:

- Level of competency: the ICRC's strengths and weaknesses in an area.
- Level of competition: how much competition the ICRC has in an area.

The two dimensions were then combined in a matrix, shown in **Figure VII.14**. Activities were then positioned, most quite clearly, with some on the borders.

The four squares of the matrix correspond to:<sup>1266</sup>

- Positioning and profiling: The ICRC has good experience and capacity; however competition is strong in quantity and quality (other humanitarian organizations, military, private sector, governments and the Federation). There is a need to better position and profile activities.

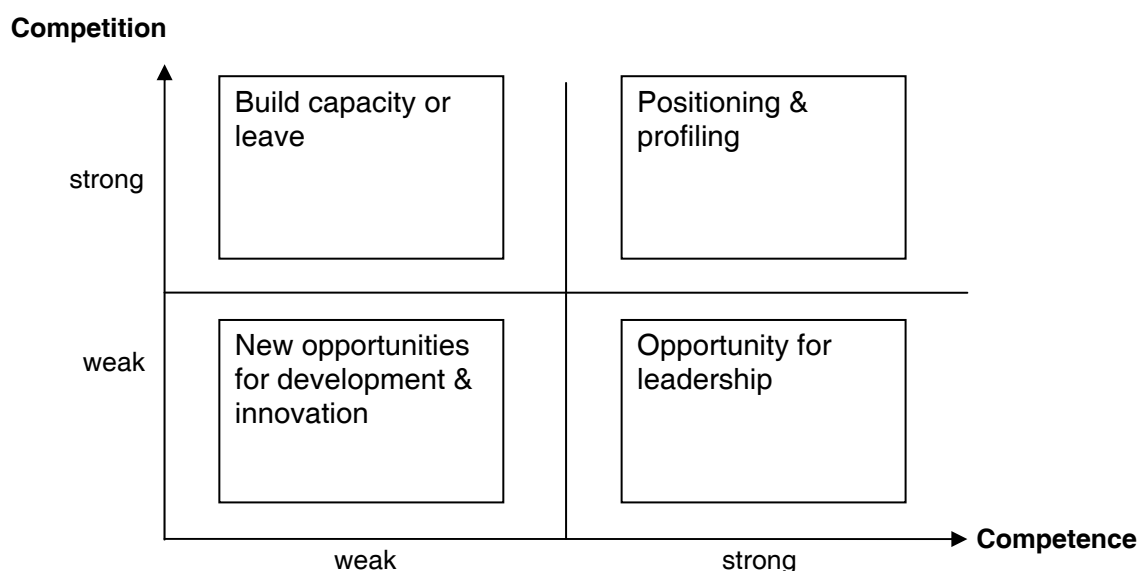
<sup>1263</sup> Interview, 05.05.10.

<sup>1264</sup> ICRC, 2010g, p. 1.

<sup>1265</sup> ICRC, 2010h, p. 1ff.

<sup>1266</sup> ICRC, 2010h, p. 1ff.

- Opportunity for leadership: These are activities that the ICRC is carrying out in a competent way. Competition is weak, but this may not be the case in the future.
- Build capacity or leave: ICRC's competence could be developed, or is based on little or not up-to-date experience.
- New opportunities for development and innovation: There is currently a demand for these activities, but no proper expertise and lead exists.



**Figure VII.14: Competitive analysis**<sup>1267</sup>

Different strategies can be developed following such an analysis. The ICRC can invest in activities in the upper right-hand square, or decide on investing or leaving when it is weak and competition is strong. It can also take leadership where it is strong and competition is weak. Finally, an investment in emerging areas, where no real competition exists, is also a possibility.<sup>1268</sup>

Finally, the analysis demonstrated the lack of a clear relationship between the activities and the attractiveness to donors of specific activities. This is due to the way the ICRC funds its activities. It aims to obtain un-earmarked funds<sup>1269</sup> in order to maintain flexibility in choosing its activities. Appeals are also launched to fund activities in specific contexts.<sup>1270</sup>

<sup>1267</sup> ICRC, 2010h, p. 1.

<sup>1268</sup> ICRC, 2010h, p. 1.

<sup>1269</sup> Earmarking is defined as “the practice whereby donors require that their funds be attributed to the ICRC in general, the Headquarters of Emergency Appeals, or within the Emergency Appeal to a particular region, country or programme, or for the purchase of specific goods” (ICRC, 2011, p. 20; ICRC, 2009b, p. 21).

<sup>1270</sup> ICRC, 2010h, p. 1.

### d SWOT analysis

Another input prepared by the Institutional Performance Management unit was a draft SWOT analysis on the basis of ten years of independent evaluations.<sup>1271</sup> The analysis is shown in **Figure VII.15**.

<p><b>Strengths</b></p> <ul style="list-style-type: none"> <li>▪ Access to victims, physically and geographically</li> <li>▪ Adequate and timely humanitarian response in emergency crisis</li> <li>▪ Strong operational management on the ground</li> <li>▪ Solid net of delegation employees and expatriates able to work in a volatile environment</li> <li>▪ Close working relationships with National Societies, especially in a phase of emergency</li> <li>▪ Respected role as guardian of international humanitarian law</li> <li>▪ Enjoying great confidence by the donor community, other humanitarian actors and parties involved in the conflict</li> </ul>	<p><b>Opportunities</b></p> <ul style="list-style-type: none"> <li>▪ To project a clearer image of the ICRC and its institutional positioning to the outside world</li> <li>▪ To strengthen cooperation efforts with all humanitarian actors while building on its mandate and strengths as a reference organization</li> <li>▪ Strengthen the ICRC to proactively and consistently assume a lead role in situations of armed conflict and in influencing the humanitarian policy debate</li> <li>▪ To ensure more operational strategic depth for visibility and redeployment</li> <li>▪ Strengthen relationship to National Societies in terms of financial support, capacities, operating space and visibility</li> <li>▪ To strengthen institutional guidelines especially for post-conflict situations</li> <li>▪ To strengthen capacity building to maximize professional and timely response to the victims</li> <li>▪ Need to develop sense that results-based management is more than a reporting tool, but a change process to improve organizational performance</li> <li>▪ Develop result based reporting system</li> </ul>
<p><b>Weaknesses</b></p> <ul style="list-style-type: none"> <li>▪ Recurrent issues of coordination, consultation between the field and the headquarters, and between the different departments/units of the headquarters</li> <li>▪ Need to address managing crisis in the longer term; especially a more proactive attitude and exit strategies</li> <li>▪ Guidelines and clearer institutional positioning are needed to ensure ICRC's coherent approach in the long term</li> <li>▪ More vulnerability insight and multicultural understanding is needed in response strategies</li> <li>▪ Delegations need better information to gauge real impact of some programs</li> <li>▪ Need to strengthen the ICRC's capacity building expertise</li> </ul>	<p><b>Threats</b></p> <ul style="list-style-type: none"> <li>▪ Good working relationship with a number of oriental National Societies at risk</li> <li>▪ Risk of marginalization remains real, especially in relation to the UN Cluster approach</li> <li>▪ Risk of losing qualified staff due to instances of inadequate professional and emphatic human resources management</li> <li>▪ Risk of losing institutional knowledge due to fragmented internal reporting system</li> </ul>

**Figure VII.15: Draft SWOT analysis**<sup>1272</sup>

<sup>1271</sup> ICRC, 2010i, p. 1ff.

The analysis showed that the ICRC is not in a crisis situation. However, a number of fundamental issues were highlighted. These evolving issues will constitute a constant challenge for the ICRC and should not be neglected in order for the organization to maintain its position.<sup>1273</sup>

### **e Swords and shields**

After finalizing the SWOT analysis, a “swords and shields” matrix, shown in **Figure VII.16**, was elaborated based on management theory.<sup>1274</sup> Four strategies can be derived from the different combinations of strengths, weaknesses, opportunities and threats:

- Capitalizing strategies: Capitalize on strengths to see the opportunities.
- Mitigating strategies: How to counter possible potential threats?
- Capacity-building strategies: Weaknesses may lead to missed opportunities. Capacity-building in partnerships, for instance, is needed.
- Avoidance strategies: A combination that should be avoided (no-go or red zone). However, it must be carefully watched.

	<b>Opportunities</b>	<b>Threats</b>
<b>Strengths</b>	Capitalize	Mitigate
<b>Weaknesses</b>	Build capacity	Avoid

**Figure VII.16: “Swords and shields” strategies<sup>1275</sup>**

With the help of this matrix, destination statements for the year 2014 could be prepared for the third workshop. To construct the matrix, the five most important strengths, weaknesses, opportunities and threats were taken. Critical combinations were then identified in the four resulting squares of the matrix, which follow the generic strategies given in Figure VII.16.

**Figure VII.17** shows this step.

<sup>1272</sup> Adapted from ICRC, 2010i, p. 1.

<sup>1273</sup> ICRC, 2010i, p. 4.

<sup>1274</sup> See Weihrich, 1982, p. 54ff.

<sup>1275</sup> ICRC, 2010f, p. 5.

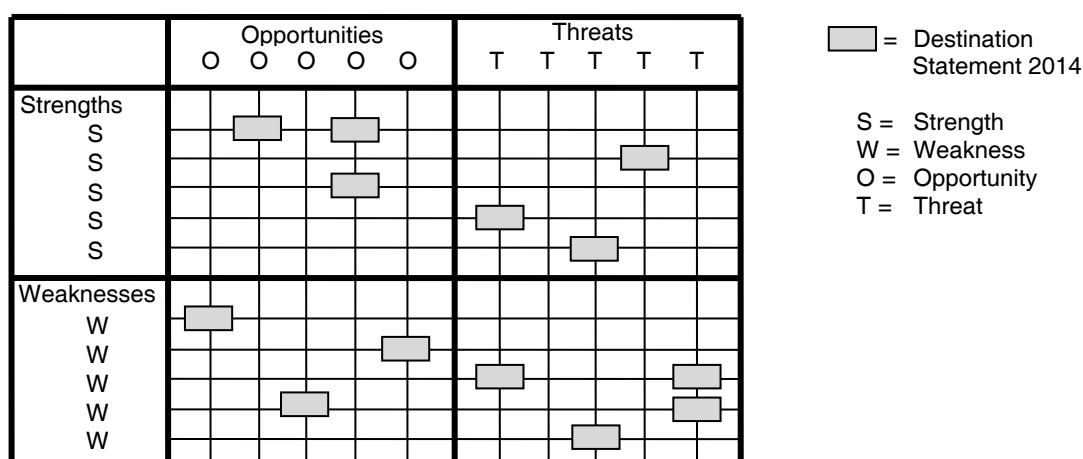


Figure VII.17: Formulation of destination statements for 2014<sup>1276</sup>

#### 4.2.6 How will the ICRC look like in 2014?

The second workshop of the Directorate focused on “How will the ICRC look like in 2014?”. Destination statements for 2014 were formulated on the basis of the results of the previous workshop. After confirming the six key success factors (see Figure VII.6), the destination statements were then translated into these factors. Finally, the general objectives at the Directorate level were drafted on this basis. **Figure VII.18** shows the flow of the second workshop.

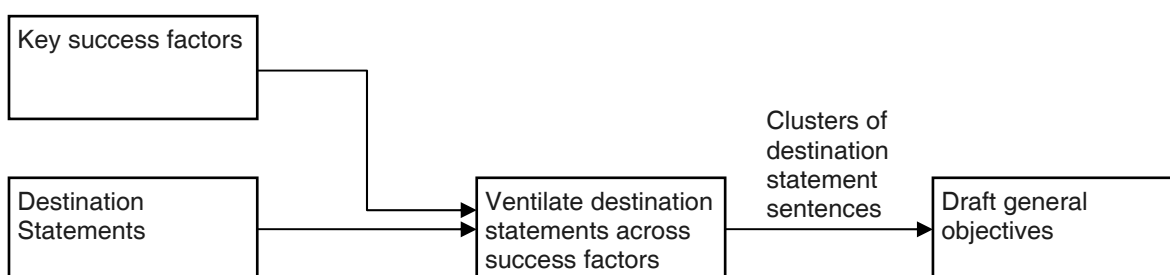


Figure VII.18: Flow of the second Directorate workshop<sup>1277</sup>

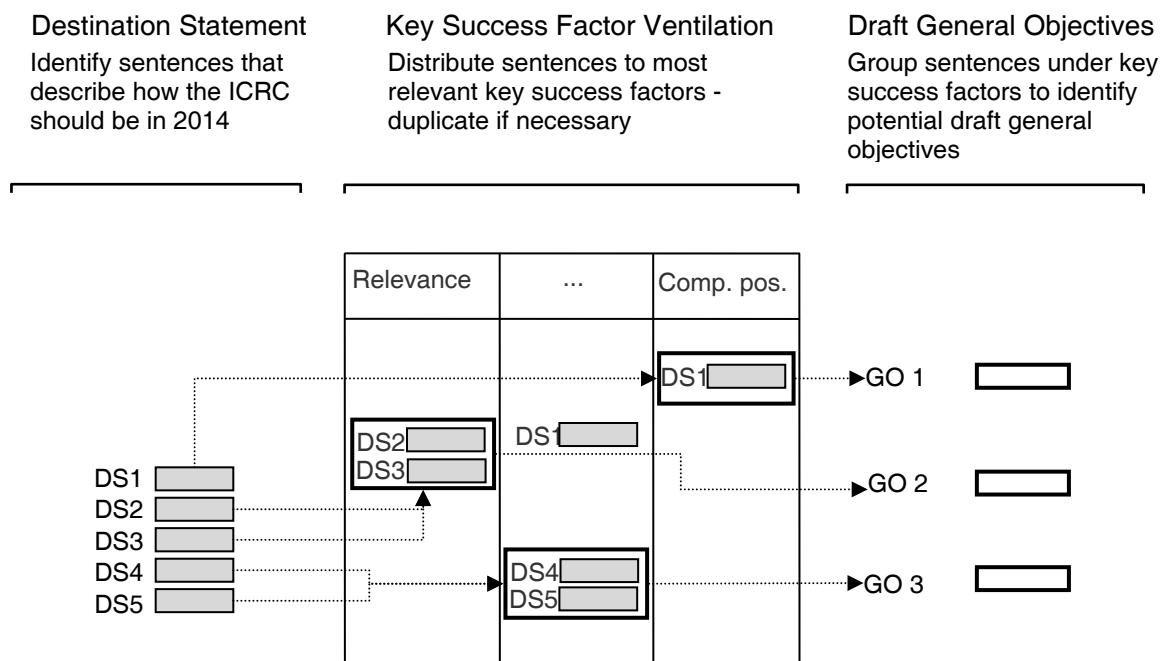
**Figure VII.19** shows the detailed process for drafting the general objectives.

#### 4.2.7 Setting objectives and designing the proposed strategy

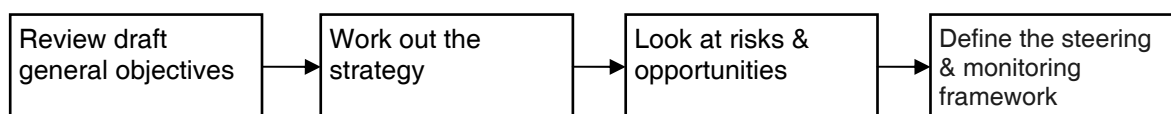
The third workshop of the Directorate focused on setting objectives and designing a proposition for the future strategy. **Figure VII.20** shows the flow of the workshop.

<sup>1276</sup> ICRC, 2010f, p. 6.

<sup>1277</sup> Adapted from ICRC, 2010f, p. 4.



**Figure VII.19: Process for drafting the general objectives**<sup>1278</sup>



**Figure VII.20: Flow of the third Directorate workshop**<sup>1279</sup>

First, the draft general objectives of the Directorate were reviewed and agreed upon. Then, the strategy to attain the general objectives and the necessary resources were also agreed upon. Risks and opportunities were looked at. Finally, the outline of the future steering and monitoring framework was agreed upon.

#### 4.2.8 Fixing the strategy

After the three workshops were completed, the Directorate and the Governance then worked together to formulate the Institutional Strategy of the ICRC. While the vision was done by Governance, the strategy was discussed and formulated by the Directorate with Governance. The destination statements resulting from the second workshop of the Directorate were notably discussed with the Assembly in order to ensure that strategy was compatible with the vision.<sup>1280</sup>


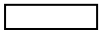
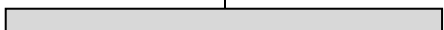




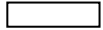


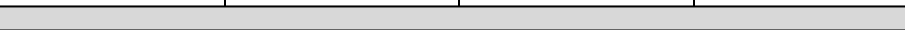

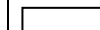

<sup>1278</sup> Adapted from ICRC, 2010f, p. 8.

<sup>1279</sup> Adapted from ICRC, 2010f, p. 4.

<sup>1280</sup> Interview, 05.05.10.



The destination statements were then placed into a matrix, called a strategy map. This map, shown in **Figure VII.21**, includes two dimensions: the six key success factors and the four orientations of the institutional strategy.<sup>1281</sup>

Strategic orientations Key success factors	Expand scope of action	Strengthen contextualized multi-disciplinary response	Shape the debate on legal and policy issues affecting work	Optimize performance
Relevance of response	  	  		  
Access to victims	     	   		
Reputation / acceptance	     	 	 	
Organization and processes				  
Human resources capacity and mobility	    	 		
Competitive positioning			  	
				
 = Destination Statement 2014  = General Objective				

**Figure VII.21: Strategy map**<sup>1282</sup>

General objectives for these combinations were formulated by the Departments and then integrated in the strategy map under the destination statements. They lead to a concretization of the destination statements. Budgets were then attached to the objectives. They were aggregated for each strategic orientation. The cost of strategic orientations and re-allocations could thus be debated. The Directorate then submitted the budget for approval to the Governance.<sup>1283</sup>

<sup>1281</sup> Interview, 13.09.10.

<sup>1282</sup> ICRC, 2010j, p. 1.

<sup>1283</sup> Interview, 13.09.10.

## 5 MSF case description

### 5.1 Presentation of MSF

#### 5.1.1 Mission and principles

##### *a Group*

During the Biafra war in the late 1960s, aid was unable to reach victims because of delays in obtaining permission, despite widespread suffering. Several doctors working for the French Red Cross, frustrated by the strict neutrality observed by the ICRC, began to question its acceptance at all times of the sovereignty of countries, as well as the regulations forbidding public statements on the witnessing of human rights violations and genocide.<sup>1284</sup> At the same time, the limitations of aid were also being witnessed by another group of doctors volunteering at the initiative of a medical journal after a tidal wave in eastern Pakistan (now Bangladesh) in 1970.<sup>1285</sup>

Both groups agreed: International aid at the time “provided too little medical assistance and was too deferential to international law to be effective in crisis situations”.<sup>1286</sup> In 1971, they joined to found Médecins Sans Frontières (MSF),<sup>1287</sup> a medical aid organization aiming “to change the way humanitarian aid was delivered by providing medical assistance more rapidly and by being less deterred by national borders at times of crisis”.<sup>1288</sup> The Charter is shown in **Figure VII.22**.

Médecins Sans Frontières is a private international association. The association is made up mainly of doctors and health sector workers and is also open to all other professions that might help in achieving its aims. All of its members agree to honor the following principles:

- Médecins Sans Frontières provides assistance to populations in distress, to victims of natural or man-made disasters and to victims of armed conflict. They do so irrespective of race, religion, creed or political convictions.
- Médecins Sans Frontières observes neutrality and impartiality in the name of universal medical ethics and the right to humanitarian assistance and claims full and unhindered freedom in the exercise of its functions.
- Members undertake to respect their professional code of ethics and to maintain complete independence from all political, economic or religious powers.
- As volunteers, members understand the risks and dangers of the missions they carry out and make no claim for themselves or their assigns for any form of compensation other than that which the association might be able to afford them.

**Figure VII.22: MSF Charter**<sup>1289</sup>

<sup>1284</sup> DeChaine, 2005, p. 70; Phelan, 2009, p. 1ff.; Tanguy, 1999, p. 226ff.; Terry, 2002, p. 20f.

<sup>1285</sup> Phelan, 2009, p. 4; Tanguy, 1999, p. 229.

<sup>1286</sup> Tanguy, 1999, p. 226.

<sup>1287</sup> DeChaine, 2005, p. 70; Phelan, 2009, p. 1; 4; Tanguy, 1999, p. 226.

<sup>1288</sup> Tanguy, 1999, p. 226.

<sup>1289</sup> MSF International, 2011a, p. 4.

The mission of MSF is stated in its Charter. It is to provide “assistance to populations in distress, to victims of natural or man-made disasters and to victims of armed conflict (...).” Action is founded on the following 10 principles, set out in the Chantilly Document:<sup>1290</sup>

- Medical action first: MSF’s actions are “first and foremost medical”. It therefore mainly provides curative and preventive care, but if necessary, it may also provide water, sanitation, food and shelter in order to save lives.
- Témoignage: In order to improve the situation of those in danger, MSF aims for proximity and listening, and considers it its duty to raise public awareness. It may also resort to open criticism or denunciation in the case of mass human rights violations. MSF also keeps the best interest of victims in mind.
- Respect for medical ethics: MSF notably respects “the duty to provide care without causing harm” and the principles of humanity, impartiality and medical confidentiality. MSF also opposes forced acts contrary to the professional code of ethics, as well as punishment for medical activities in accordance with it.
- Defense of human rights: MSF stresses “the duty to respect the fundamental rights and freedoms of each individual” and the right to receive and provide assistance. Free evaluation of needs, free access to victims, control over the aid distribution and respect for humanitarian immunity must all exist.
- Independence: MSF stresses the freedom in choosing its operations, their duration and the means to carry them out. It “strives for strict independence from all structures or powers, whether political, religious, economic or other”. It is able to act independently thanks to its NGO status,<sup>1291</sup> as well as to its high level of private financing.<sup>1292</sup> MSF therefore aims to obtain a maximum of its income from private sources and also tries to diversify institutional sources of income. It may also refuse financing that could affect its independence.<sup>1293</sup>
- Impartiality: This principle rests firstly on non-discrimination in regard to politics, race, religion, sex or other. Secondly, proportionality of assistance implies that assistance is provided according to needs – priority being given to those “in the most serious and immediate danger”.
- Neutrality: MSF does not take sides, but it may resort to denunciation as a last resort in the case of mass human rights violations. Explicitly referred to in the Charter, the meaning for MSF of the principle of neutrality has been debated.<sup>1294</sup>
- Accountability and transparency: MSF considers itself to be accountable for its actions. Its approach rests on responsibility, aiming to be realistic and realizable, the recognition of the diversity of constituencies and on the idea of accountability as an ongoing learning process.<sup>1295</sup>

<sup>1290</sup> MSF International, 1995, p. 1ff.

<sup>1291</sup> Dijkzeul & Moke, 2005, p. 681.

<sup>1292</sup> Dijkzeul & Moke, 2005, p. 681; MSF International, 2011a, p. 4; 27.

<sup>1293</sup> For example, MSF refused funds from NATO Member States during the bombing of Kosovo (Dijkzeul & Moke, 2005, p. 681; Dumait-Harper, 2002).

<sup>1294</sup> Dijkzeul & Moke, 2005, p. 677.

<sup>1295</sup> Stobbaerts & de Torrenté, 2008.

- Volunteerism: Individuals are committed to those in precarious situations and are not interested in financial compensation.
- Operation as an Association: Volunteers are committed to the mission, Charter and principles of MSF and participate actively in its associative life. Each member has an equal voice.

The La Mancha Agreement complements the Charter and the Chantilly Principles. It notably reaffirms MSF's ambition to work in conflict ("providing medical assistance to the most vulnerable people in crisis due to conflict, and when necessary exposing obstacles encountered, remain at the core of MSF's work") despite the difficulties involved, and stresses the inseparability of témoignage from operations.<sup>1296</sup>

## **b Switzerland**

MSF Switzerland, which represents roughly 12.5% of the Movement's activities,<sup>1297</sup> was founded in 1981.<sup>1298</sup> Like all MSF sections, it shares the MSF Charter, the Chantilly Principles and the La Mancha Agreement.<sup>1299</sup>

### **5.1.2 Activities**

#### **a Group**

The delivery of medical aid is the central MSF activity. In 2010, MSF carried out operations in more than 60 countries.<sup>1300</sup> It operates in the following events:<sup>1301</sup>

- Armed conflict: MSF covers medical crises linked to conflict, such as malnutrition and mental health problems, by providing a wide range of medical, surgical and psychological services. Shelter and water may also be provided.
- Epidemic or endemic disease: MSF responds to outbreaks of diseases including cholera, malaria and HIV/AIDS. It also aims to raise awareness about risks.
- Exclusion from health care and social violence: MSF provides medical, psychological and social assistance to those lacking access to health care, including street children, displaced people, refugees, and people with HIV/AIDS. It also brings attention to the absence of access and services.

<sup>1296</sup> Interview, 05.08.10; MSF International, 2006, preamble, Art. 1.1, Art. 1.9; Phelan, 2009, p. 27.

<sup>1297</sup> In terms of financial volume and staff. Interview, 05.08.10.

<sup>1298</sup> MSF Switzerland, 2011a, p. 8; 16.

<sup>1299</sup> Fondation MSF, 2007, p. 105 ; MSF International, 2006, Art. 2.1.

<sup>1300</sup> MSF International, 2011a, p. 16.

<sup>1301</sup> Tronc, 2008, p. 11.

- Natural disasters: Services provided include surgery, psychological/nutritional programs, as well as prevention actions to reduce the risk of epidemics.

**Figure VII.23** shows the percentage of each triggering event in the program portfolio. Natural disasters represent the smallest area of activity. This is because response to these disasters is often quick, and reconstruction and development – which are outside of MSF’s focus – are often the main needs. MSF directs its attention towards less visible crises, such as armed conflicts and epidemics.<sup>1302</sup>

Triggering event	Number of projects	Percentage
Armed conflict	134	31%
Epidemic	180	42%
Health exclusion	78	18%
Natural disaster	35	8%
<b>Total</b>	<b>427</b>	<b>100%</b>

**Figure VII.23: Percentage of each triggering event in the program portfolio**<sup>1303</sup>

Témoignage, defined as the expression of public positions and the description of experiences, is considered to be inseparable from operations and is therefore incorporated into MSF’s work.<sup>1304</sup> It is considered to be its responsibility.<sup>1305</sup>

In 1989, an amendment to the Charter stressed the importance of speaking out publicly while maintaining neutrality, and in 1995, the principle of witnessing was detailed.<sup>1306</sup> It was stated that witnessing consists in “being near and listening” to victims, as well as raising awareness about their situation. Witnessing is also “the possibility to openly criticize or denounce breaches of international conventions” as a “last resort” when human rights are violated massively.<sup>1307</sup> This was reaffirmed in 2006: “In the case of massive and neglected acts of violence against individuals and groups, we should speak out publicly, based on our eyewitness accounts, medical data and experience.”<sup>1308</sup>

MSF only speaks out if it can assist victims. MSF has done so on many occasions in order to bring attention to forgotten crises, alert to abuses, criticize inadequacies of the aid system, or challenge the diversion of humanitarian aid for political interests. Examples include speaking out against the manipulation of aid in Ethiopia (1984-85), and challenging the court case of the pharmaceutical company Novartis that opposed the production of generic medicines in India.<sup>1309</sup> However,

<sup>1302</sup> MSF USA, 2011a.

<sup>1303</sup> MSF International, 2011b, p. 8.

<sup>1304</sup> MSF International, 2006, preamble.

<sup>1305</sup> Terry, 2002, p. 21.

<sup>1306</sup> Redfield, 2006, p. 8.

<sup>1307</sup> MSF International, 1995, p. 1.

<sup>1308</sup> MSF International, 2006, Art. 1.9.

<sup>1309</sup> MSF USA, 2011b.

difficult choices regarding speaking out must sometimes be made, as criticism may compromise security of staff and access to victims. MSF believes that in cases where violence and oppression involve greater risks than starvation or lack of medical care, denunciation must be used, even if aid agencies are expelled.<sup>1310</sup>

Closely linked to *témoignage* are two initiatives launched by MSF following its encounter with several problems in the field in the 1990s – the Campaign for Access to Essential Medicines and the Drugs for Neglected Diseases initiative. The high cost of existing medicines – notably those to treat HIV/AIDS – were preventing access to those living in poor countries. Moreover, treatments for neglected diseases,<sup>1311</sup> which mainly affect developing countries and for which little research and development is carried out, were lacking. This is because research and development is geared towards market potential rather than needs.<sup>1312</sup>

## **b Switzerland**

In 2010, MSF Switzerland organized 59 projects<sup>1313</sup> in 26 countries. It focused its activities on four main areas:<sup>1314</sup>

- Urgent interventions during conflicts, epidemics, etc.
- Assistance to victims of conflict or unstable political conditions
- Response to the HIV/AIDS pandemic
- Caring for severe malnutrition

Other activities include providing care to victims of social violence mainly in urban contexts, combating epidemics and fighting neglected diseases.<sup>1315</sup>

## **5.1.3 Collaboration**

### **a Group**

Despite numerous opportunities, MSF has very few formal partnerships. This is for two reasons. First of all, the time available to managers for external issues is very limited. Secondly, partnerships – even though they are deemed interesting – are

<sup>1310</sup> Terry, 2002, p. 21.

<sup>1311</sup> Examples of neglected diseases include kala azar, malaria, sleeping sickness and Chagas disease.

<sup>1312</sup> Fondation MSF, 2007, p. 108; Phelan, 2009, p. 18ff.

<sup>1313</sup> MSF Switzerland, 2011a, p. 18; MSF Switzerland, 2011b, p. 24.

<sup>1314</sup> MSF Switzerland, 2011a, p. 18f.

<sup>1315</sup> MSF Switzerland, 2011a, p. 19.

generally refused unless a strong added value for the field exists. Partnerships in the field are therefore privileged.<sup>1316</sup>

In these partnerships, MSF may accept to compromise and partner with organizations with which it does not want to be associated with, such as confessional organizations that will use or manipulate aid. MSF must therefore choose whether it is worth it to partner in order to get aid to those in need.<sup>1317</sup>

MSF fulfills many of its needs thanks to its own specialized organizations. Thus, as MSF's possesses its own research center for epidemiology studies, there are limited connections with the Tropical Institute in Basel, for example. Some connections are necessary however, as useful things are also done in parallel. For needs to which it cannot respond to itself, such as very specific technical support, MSF looks towards the outside. A very limited number of partnerships also exists with hospitals to provide nurses or medical doctors.<sup>1318</sup>

Small reflection centers were created in Geneva and Paris to be both a filter for and an accelerator of partnerships. The persons composing the centers have strong experience and no direct managerial or operational responsibilities, and therefore have time and legitimacy.<sup>1319</sup>

MSF argues that "the best service for populations in need will come as a result of independence of action rather than participation in an integrated effort." Examples of collective efforts in which MSF does not join include the Inter-Agency Standing Committee, the Steering Committee for Humanitarian Response and the recent UN cluster approach.<sup>1320</sup> Although not against the logic in theory of the cluster approach, which is to improve the quality of assistance, MSF has chosen clearly not to be associated. Such a centralized system has advantages and disadvantages, but "the day the system fails, everything fails". MSF mainly refused to collaborate in the joint effort because of the political dimension of the reform, which formally subordinates the UN humanitarian system under the political wing.<sup>1321</sup> MSF argues that "in the UN's view, humanitarian action remains subordinate to the UN's political arm and (...) humanitarian aid comes second to the political objectives pursued by the peacekeeping missions."<sup>1322</sup> Being under the UN umbrella could prevent MSF from operating. Finally, the reform concerns the Western system, and in the field, assistance comes from many other sources, such as the Diaspora, China, and local organizations.<sup>1323</sup>

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<sup>1316</sup> Interview, 05.08.10.

<sup>1317</sup> Interview, 05.08.10.

<sup>1318</sup> Interview, 05.08.10.

<sup>1319</sup> Interview, 05.08.10.

<sup>1320</sup> Stobbaerts, 2007.

<sup>1321</sup> Interview, 05.08.10.

<sup>1322</sup> Dubuet & Tronc, 2006, p. 17.

<sup>1323</sup> Interview, 05.08.10.

As a result of its refusal to participate in such collective efforts, MSF is perceived as being isolationist. However, Stobbaerts argues that “the main challenge is not to confuse independence with isolation. There is still a desire to share and exchange, sometimes through attending platforms of coordination but also through bilateral relationships.”<sup>1324</sup> MSF believes increasing partnerships slightly brings oxygen into the organization, and allows it to share its situation and dilemmas. However, it deems it necessary to still remain very selective.<sup>1325</sup>

## **b Switzerland**

MSF Switzerland makes use of the specialized organizations of the MSF Movement. Outside of this, MSF Switzerland has a limited number of formal partnerships. It has an understanding with the Geneva Hospital for a dialysis project in Iraq, as well as some partnerships with hospitals to provide nurses or medical doctors. MSF Switzerland also aims to partner with universities.<sup>1326</sup>

### **5.1.4 Organizational structure and human resources**

## **a Group**

The organization began in 1971 with the founding of MSF France, formed according to the French *Associations de loi* of 1901.<sup>1327</sup> In the 1980s and 90s, the organization expanded with sections in other countries,<sup>1328</sup> some of which were founded for fundraising reasons.<sup>1329</sup>

Today, the MSF Movement is made up of 19 national sections.<sup>1330</sup> Each one is an association.<sup>1331</sup> All are based on the non-profit principle<sup>1332</sup> and share the Charter, the Chantilly principles and the La Mancha Agreement.<sup>1333</sup> There are:

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<sup>1324</sup> Stobbaerts, 2007.

<sup>1325</sup> Interview, 05.08.10.

<sup>1326</sup> Interview, 05.08.10.

<sup>1327</sup> Phelan, 2009, p. 4.

<sup>1328</sup> Dechaine, 2005, p. 71; Phelan, 2009, p. 9f.; Siméant, 2005, p. 854; Tanguy, 1999, p. 233.

<sup>1329</sup> Phelan, 2009, p. 10; Siméant, 2005, p. 857f.

<sup>1330</sup> Interview, 05.08.10; MSF International, 2011a, p. 4; 16; MSF International, 2011b, p. 104; MSF Switzerland, 2011a, p. 17; Shevchenko & Fox, 2008, p. 109. The sections are Australia, Austria, Belgium, Canada, Denmark, France, Germany, Greece, Holland, Hong Kong, Italy, Japan, Luxembourg, Norway, Spain, Sweden, Switzerland, the United Kingdom and the United States.

<sup>1331</sup> Fondation MSF, 2007, p. 106; Interview, 05.08.10; MSF International, 2011a, p. 4; Phelan, 2009, p. 1; 17. Although all MSF sections were all formed as private, non-profit organizations, their legal structures differed. The decision to transform all sections into associations was taken by the International Council (Phelan, 2009, p. 10; 17).

<sup>1332</sup> MSF International, 1995, p. 5.



- 5 operational sections:<sup>1334</sup> These sections are responsible for the management of field projects,<sup>1335</sup> including the time, place, nature and termination of relief.
- 14 non-operational sections:<sup>1336</sup> These sections are in charge of recruiting, fundraising, and public relations.<sup>1337</sup>

Each of the non-operational sections is attributed to an operational section. Although the different national sections are clustered around the operational centers, some sections have links with other operational centers. Each section is responsible to its own Board of Directors,<sup>1338</sup> elected by the members<sup>1339</sup> during an annual General Assembly. The main responsibilities of the Board are to guarantee the respect of the principles, to ensure the execution of General Assembly decisions, and to control management.<sup>1340</sup> It also names an Executive Director, who is in charge of implementation of the section's plan.<sup>1341</sup>

The MSF International Office, based in Geneva since 2004, facilitates exchanges between the different sections and represents MSF at the international level. The International Council guarantees the coherence and the broad directions of the Movement.<sup>1342</sup> It is composed of the section presidents.<sup>1343</sup> It elects a president as well as a Secretary-General responsible for administration and internal coordination. The International Council Board, composed of seven section presidents, makes follow-ups and any necessary decisions between meetings of the International Council.<sup>1344</sup>

MSF also has ten specialized organizations – known as satellites – to carry out activities to respond to specific needs such as research and supplying material. They notably include:<sup>1345</sup>

- MSF Logistique: Founded in 1986 by MSF France,<sup>1346</sup> MSF Logistique supplies MSF with medication and equipment. It handles the entire supply chain process, from purchases to goods transportation.<sup>1347</sup>

<sup>1333</sup> Fondation MSF, 2007, p. 105 ; MSF International, 2006, Art. 2.1.

<sup>1334</sup> The 5 sections are Belgium, France, Holland, Spain and Switzerland.

<sup>1335</sup> Dechaine, 2005, p. 72.

<sup>1336</sup> The 14 sections are Australia, Austria, Canada, Denmark, Germany, Greece, Hong Kong, Italy, Japan, Luxembourg, Norway, Sweden, United Kingdom and United States.

<sup>1337</sup> Dechaine, 2005, p. 2; MSF Switzerland, 2011a, p. 17.

<sup>1338</sup> Members are mainly doctors or medical professionals (MSF International, 1995, p. 5).

<sup>1339</sup> Members are current and former staff.

<sup>1340</sup> MSF International, 1995, p. 5.

<sup>1341</sup> Fondation MSF, 2007, p. 106.

<sup>1342</sup> MSF Switzerland, 2011a, p. 18.

<sup>1343</sup> Fondation MSF, 2007, p. 106; Phelan, 2009, p. 17.

<sup>1344</sup> Fondation MSF, 2007, p. 106. All five operational sections presidents are members of the Board.

<sup>1345</sup> MSF International, 2011a, p. 16; MSF International, 2011b, p. 104; Ronalds, 2010, p. 155. Other satellites include Etat d'Urgence Production, SCI MSF, SCI Sabin, MSF Assistance, MSF Enterprises Limited, and Artze Ohne Grenzen Foundation.

<sup>1346</sup> MSF Logistique, 2011a.

<sup>1347</sup> MSF Logistique, 2011b.

- MSF Supply: Created in 1989 by MSF Belgium in order to have a separate supply center adapted to its operational needs,<sup>1348</sup> MSF Supply aims to supply quality humanitarian relief material at the best price and as quickly as possible to even the most inaccessible destinations.<sup>1349</sup>
- Epicentre: Created in 1987, Epicentre carries out research studies and offers expertise to organizations requesting short-term field epidemiology studies in developing countries.<sup>1350</sup>
- Fondation MSF: Founded in 1989, the foundation aims to support the association. It also participates in the training of volunteers. Finally, a center aims to inspire debate and critical thinking on practices and positions.<sup>1351</sup>

The simplified organizational structure is shown **Figure VII.24**.

The General Directors of the Operational Centers meet every month to coordinate their action.<sup>1352</sup> To organize operations between the different MSF sections, two basic models are used:<sup>1353</sup>

- One model is to have one section operating per country. This model was chosen for Afghanistan, for example, because a unique representation is needed for security reasons.
- Another way to organize operations is to divide them between sections using geography or thematics, such as primary and secondary health care. This model is chosen when needs are significant and when it is impossible for only one operational center to manage operations. This model was chosen for the Democratic Republic of Congo.

These two operational models constitute extremes. Many variations in between may be found, depending on the context, the constraints and the needs.

Pools of staff are maintained.<sup>1354</sup> Three types of staff are employed:<sup>1355</sup>

- Medical staff covers physicians and specialists in surgery, pediatrics, gynecology, psychiatry, etc.
- Paramedical staff includes nurses, midwives, laboratory technicians, clinical psychologists, nutritionists and physiotherapists.
- Nonmedical staff covers logisticians, technicians, engineers, supply chain managers, builders, architects, construction workers, mechanics and administrators.

<sup>1348</sup> MSF Supply, 2011a.

<sup>1349</sup> MSF Supply, 2011b. MSF Supply and MSF Logistique support each other by exchanging material in order to respond to emergencies (Giroux, Beaulieu & Cooren, 2009, p. 68).

<sup>1350</sup> Bortolotti, 2010, p. 271; Epicentre, 2011.

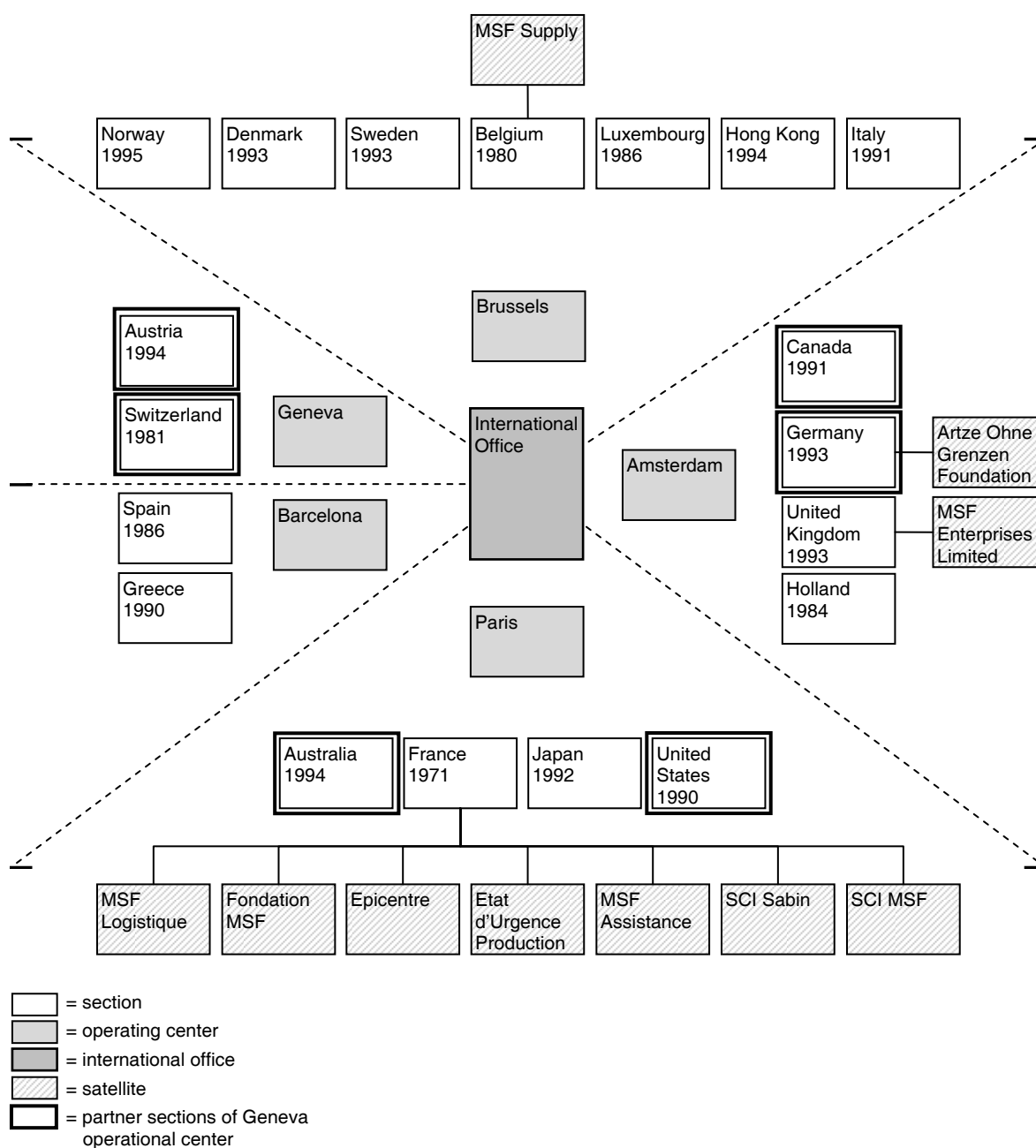
<sup>1351</sup> Fondation MSF, 2011, p. 2f.

<sup>1352</sup> Interview, 05.08.10.

<sup>1353</sup> Interview, 05.08.10.

<sup>1354</sup> Interview, 05.08.10.

<sup>1355</sup> MSF Switzerland, 2011c.



**Figure VII.24: MSF organizational structure**<sup>1356</sup>

In 2010, there were approximately 6'500 international departures for the field.<sup>1357</sup> The number and percentage of staff according to the three pools are shown in **Figure VII.25**.

These international departures join the over 27'000 field employees.<sup>1358</sup> Locally-hired persons, also known as national staff, have good knowledge of the local

<sup>1356</sup> Adapted from Captier, 2006, p. 8; Eloi, 2010, p. 7; Siméant, 2005, p. 872ff. The founding years of each section are given in parentheses.

<sup>1357</sup> MSF International, 2011a, p. 34; MSF International, 2011b, p. 107.

<sup>1358</sup> MSF International, 2011a, p. 34; MSF International, 2011b, p. 107.

political and medical context, and they carry out the majority of MSF's work in the field.<sup>1359</sup> In 2010, 91% of field employees were national staff and 9% were international staff.<sup>1360</sup> Finally, around 1'900 persons were employed at headquarters in 2010.<sup>1361</sup>

	Number of staff	Percentage
Medical pool	1'672	25%
Nurses and other paramedical pool	2'002	31%
Non-medical pool	2'887	44%
<b>Total</b>	<b>6'561</b>	<b>100%</b>

**Figure VII.25: International departures to the field**<sup>1362</sup>

### **b Switzerland**

The headquarters of MSF Switzerland are in Geneva, Switzerland. There is also an office in Zurich and groups of volunteers in Bern and Lugano.<sup>1363</sup>

The simplified organizational structure is shown in **Figure VII.26**.

The General Director reports to a Board of Directors composed of volunteers and elected by the General Assembly.<sup>1364</sup> There are six departments (Finance and administration, Logistics, Medical, Operations, Human resources and Communication and fundraising), each headed by a Director. The Department of Operations is divided into several regular desks, responsible for the coordination of programs in the field, and an emergency desk. Each desk is headed by a Director. The organization of a field mission is shown in **Figure VII.27**.

Because of the small number of layers between the General Director and the beneficiaries, the organization is relatively flat. This is because 5 layers exist (General Director – Director operations – Director Desk – Head of Mission – Field Manager), whereas in most organizations, there are 10 to 12.<sup>1365</sup>

<sup>1359</sup> Bortolotti, 2010, p. 19.

<sup>1360</sup> MSF International, 2011a, p. 34; MSF International, 2011b, p. 107.

<sup>1361</sup> MSF International, 2011a, p. 34; MSF International, 2011b, p. 107.

<sup>1362</sup> MSF International, 2011a, p. 34; MSF International, 2011b, p. 107.

<sup>1363</sup> Interview, 05.08.10.

<sup>1364</sup> Interview, 05.08.10. The Board is composed of former MSF professionals who have been in the field and are therefore familiar with the dilemmas presented to them. They do not simply check and control, but are a working board.

<sup>1365</sup> Interview, 05.08.10.

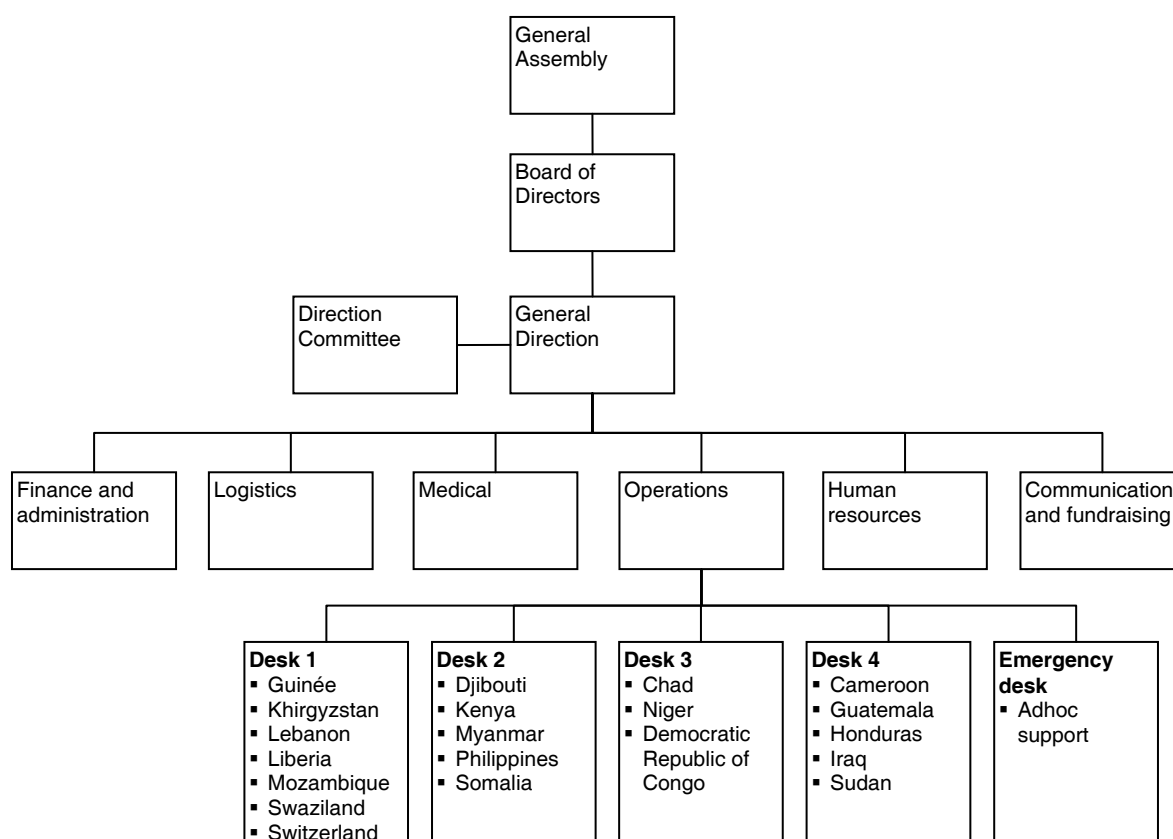


Figure VII.26: Organizational structure of MSF Switzerland<sup>1366</sup>

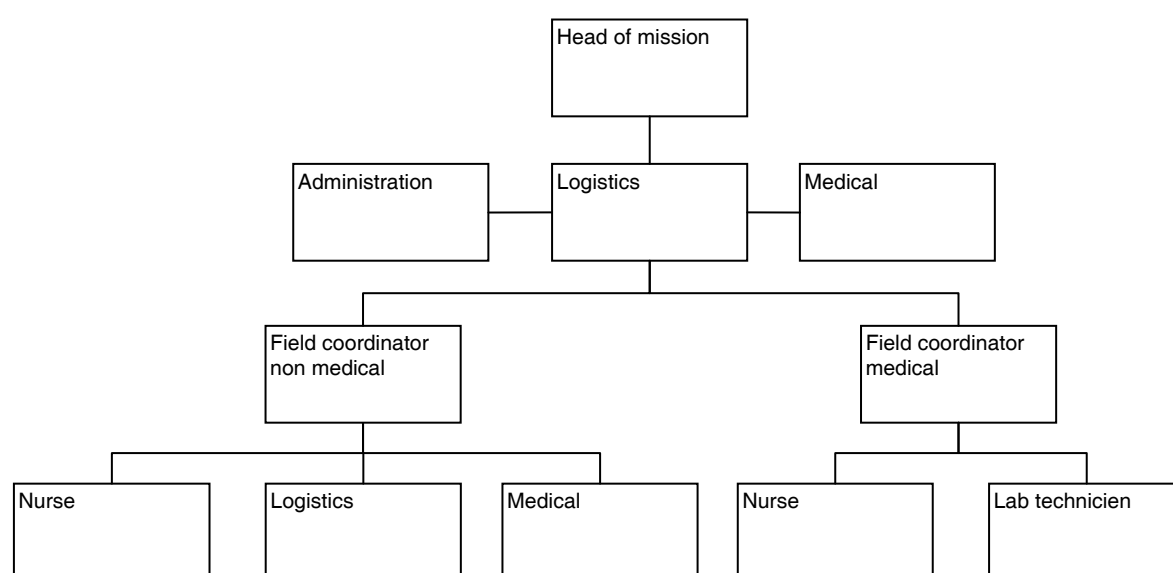


Figure VII.27: Organizational structure of a mission<sup>1367</sup>

<sup>1366</sup> Adapted from Captier, 2006, p. 21.

<sup>1367</sup> Eloi, 2010, p. 26.

In 2010, MSF Switzerland employed 158 persons in Switzerland. It also counted on expatriate volunteers. In 2010, there were 998 departures for missions in the field. There are shown in **Figure VII.28**.

	Number of staff	Percentage
Medical pool	209	20%
Paramedical pool	323	32%
Non-medical pool	466	48%
<b>Total</b>	<b>998</b>	<b>100%</b>

**Figure VII.28: International departures to the field**<sup>1368</sup>

Of the 3'667 positions in the field, roughly 90% were local workers, and 10% were expatriate volunteers.<sup>1369</sup> The duration of missions in the field varies. It ranges from a few weeks to three months in the case of emergencies to 6 to 12 months or more in stable operations.<sup>1370</sup>

In early years, MSF Switzerland focused on recruiting and fundraising for MSF France. The former became operational in 1984.<sup>1371</sup> Around the year 2005, it created the Operational Center Geneva along with MSF Austria in order to pool resources and knowledge.<sup>1372</sup> The Operational Center Geneva Congress, its governance body, currently brings together members of the Boards of the following sections: MSF Switzerland, MSF Austria, MSF Germany, MSF USA, MSF Australia and MSF Canada. These partner sections are shown in Figure VII.24. While MSF Switzerland has legal authority and accountability for the center, partners share responsibility for strategic decision-making, ensuring sufficient and appropriate resources, ensuring the respect of values and principles and accountability for operations.<sup>1373</sup>

### 5.1.5 Management philosophy

#### *a* Group

##### i. Decentralization

The MSF Movement has a decentralized structure. According to Ronalds, its organizational form is that of a “loose confederation”.<sup>1374</sup> Since its beginnings, it

<sup>1368</sup> Adapted from MSF Switzerland, 2011a, p. 21.

<sup>1369</sup> MSF Switzerland, 2011a, p. 21. Full-time equivalent positions.

<sup>1370</sup> MSF Switzerland, 2011c.

<sup>1371</sup> MSF Switzerland, 2006, p. 2.

<sup>1372</sup> MSF Switzerland, 2007, p. 7.

<sup>1373</sup> MSF Switzerland, 2008a, p. 31f.

<sup>1374</sup> Ronalds, 2010, p. 155.

has moved from a model based on separate independent organizations towards having independent organizations with weak umbrella coordination. This was done to reduce problems of overlapping, duplication of services and difference of views.<sup>1375</sup>

Some centralization does exist within the Movement. For example, MSF has a centralized mechanism that monitors the expenses of the 5 operational centers, as well as the resources of the 19 national sections.<sup>1376</sup>

The 5 operational sections remain relatively autonomous and therefore free to decide on their operations: when to start and terminate aid, and what measures to use. Although having several autonomous operational centers each working with their own partners “appears inefficient”, Bortolotti argues that sections try to avoid overlapping and that this model also has its advantages. For example, it may allow better access to victims, because “in some cases, one section may fall out of favor with authorities, while another is welcomed to continue the work”.<sup>1377</sup>

## ii. Reserves

MSF builds up reserves which can be deployed very quickly. At the international level, the policy is to dispose of “a minimum of three months and a maximum of twelve months of total expenditure as retained earnings”. This is done in order to face a major emergency in the case of insufficient funding, to face a sudden decrease in funding, or to allow the sustainability of long-term programs and the pre-financing of operations.<sup>1378</sup> Building up reserves allows MSF to face a major emergency or a crisis in fundraising, and in this manner, it is not forced to interrupt projects due to financial problems.<sup>1379</sup> As MSF Switzerland argues, “Without a minimum financial reserve, it is almost impossible to react rapidly to anything other than minor emergency operations”.<sup>1380</sup>

## iii. Ratios

MSF also monitors several ratios closely:<sup>1381</sup>

- The first ratio is the social mission ratio, which represents the proportion of resources allocated to the social mission, which cover operations and

<sup>1375</sup> Lindenberg & Bryant, 2001, p. 142.

<sup>1376</sup> Interview, 05.08.10.

<sup>1377</sup> Bortolotti, 2010, p. 72.

<sup>1378</sup> MSF International, 2011a, p. 7; 23.

<sup>1379</sup> Interview, 05.08.10.

<sup>1380</sup> MSF Switzerland, 2010, p. 2.

<sup>1381</sup> Interview, 05.08.10.

awareness-raising, against support costs such as fundraising, management and administration.

- The London ratio is the proportion of expenses incurred in the headquarters related to expenses in the field.
- Finally, staff in the field uses a ratio relating project costs and coordination costs.

Ratios must however be taken with care. This is because program expenses appear positively, and therefore, “even inefficient spending in the field – for instance sending supplies by charter plane instead of by boat as a result of poor planning – improves the ‘social mission ratio’ ”.<sup>1382</sup> Another example is the case of surgical projects. These cost little, so the ratio is very low. However, they save many lives. A food project, on the other hand, is much more costly and will give a higher ratio.<sup>1383</sup>

#### iv. Evaluation

Finally, MSF also carries out evaluations. It views evaluations as a way to improve the quality of assistance and increase transparency and accountability.<sup>1384</sup> An Evaluation Unit in Vienna offers evaluation services to all MSF sections.<sup>1385</sup>

Evaluations are not carried out routinely or done following a strict procedure. They are considered to be a tool to look at particular challenges, to provide data for the reorientation of projects or the change of policies, as well as a way to clarify options and learn from past experiences. Evaluations will “normally be concerned with assessing the design, implementation and results of health interventions against established MSF or International Standards”. Criteria for the evaluation of humanitarian aid include:<sup>1386</sup>

- Relevance: Are the real needs addressed?
- Appropriateness: Were things done right?
- Effectiveness: What was achieved? Were the right things done?
- Efficiency: Were things done in the possible best way?
- Impact: Is the program making a difference?
- Continuity: What was the degree to which the future continuation of essential services was considered?

These criteria are taken into account in a flexible way, according to circumstances and needs. Benchmarks are used to assess if criteria have been met and include

<sup>1382</sup> Stobbaerts & de Torrenté, 2008.

<sup>1383</sup> Interview, 05.08.10.

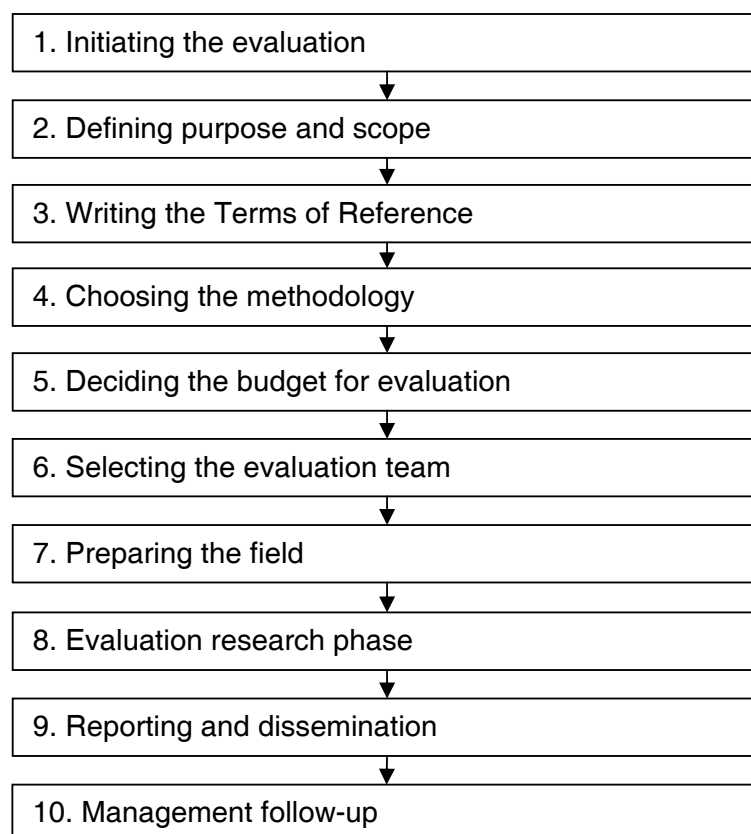
<sup>1384</sup> MSF Vienna Evaluation Unit, 2008, p. 4.

<sup>1385</sup> MSF Vienna Evaluation Unit, 2010.

<sup>1386</sup> MSF Vienna Evaluation Unit, 2008, p. 4ff.



technical, operational and humanitarian standards. Quality standards for evaluation are used and ethical considerations are also made.<sup>1387</sup> An evaluation process comprising ten steps is used. It is shown in **Figure VII.29**.



**Figure VII.29: Evaluation process**<sup>1388</sup>

Lastly, rather than benchmarking against other aid organizations, MSF chooses to compare itself with other organizations within the MSF Movement, as the same reference is used. Innovation is also possible. For example, if several entities approach the treatment of HIV/AIDS in Malawi differently, a comparison is then possible and the best strategy can then be chosen.<sup>1389</sup>

## **b Switzerland**

In accordance with the international policy, MSF Switzerland builds up reserves. It also monitors the ratios presented in the previous sub-sections and carries out evaluations.<sup>1390</sup>

<sup>1387</sup> MSF Vienna Evaluation Unit, 2008, p. 4ff.

<sup>1388</sup> MSF Vienna Evaluation Unit, 2008, p. 10ff.

<sup>1389</sup> Interview, 05.08.10.

<sup>1390</sup> Interview, 05.08.10.

### 5.1.6 Key financial figures

#### *a* Group

MSF's income, which totaled approximately EUR 943 million in 2010,<sup>1391</sup> is provided in the forms of cash, in-kind, and services.<sup>1392</sup> **Figure VII.30** shows the different sources of income.

Individuals	692.0
Private institutions	166.9
Public institutions	69.3
Other (interest/investment income, merchandising, equipment sold, etc.)	15.1
<b>Total</b>	<b>943.3</b>

**Figure VII.30: Income 2010 in EUR million**<sup>1393</sup>

As indicated, the majority of funds is received from individuals (over 70%). A high level of private funding is necessary in order to maintain independence. This allows MSF to respond on the basis of needs and guarantee the security of its volunteers. It allows rapid response, flexibility and innovation, as well as freedom from eventual political interests. Phelan argues that "if MSF relied primarily on government funding for example, it would not have been able to start (...) treatments for people living with HIV/AIDS".<sup>1394</sup> On top of independence, private funding allows the link with society to be strengthened.<sup>1395</sup>

Donors from private institutions may be selected. The United States section, for example, reports that it "does not accept money from pharmaceutical and biotechnology companies, extraction industries (...), alcohol and tobacco companies, or arms manufacturers". MSF USA also "will not accept contributions from corporations/industries and their respective corporate foundations whose core activities may be in direct conflict with the goals of [its] the medical humanitarian work (...), or in any way limit (...) [its] ability to provide humanitarian assistance".<sup>1396</sup>

Total expenditure in 2010 amounted to around EUR 813 million.<sup>1397</sup> The allocation of expenses by approach is shown in **Figure VII.31**. The social mission ratio can be derived from this figure. In 2010, approximately 82% of expenditures were

<sup>1391</sup> MSF International, 2011a, p. 7; 11.

<sup>1392</sup> In-kind donations and services are not included in financial statements.

<sup>1393</sup> Adapted from MSF International, 2011a, p. 11; 24.

<sup>1394</sup> Phelan, 2009, p. 23. The decision for abandon funding from governments and institutions in favor of private funding was taken in the mid-1990s (Phelan, 2009, p. 23). The Chantilly Document sets the goal of a half of resources from private sources (MSF International, 1995, p. 5; Phelan, 2009, p. 17).

<sup>1395</sup> MSF International, 2011b, p. 107.

<sup>1396</sup> MSF USA, 2011c.

<sup>1397</sup> MSF International, 2011a, p. 7; 11.

dedicated to the social mission, and 18% to other expenses, such as fundraising, management and general administration.<sup>1398</sup>

Social mission	Programs	555.3
	Headquarters program support	78.8
	Témoignage / awareness-raising	26.4
	Other humanitarian activities	5.7
Other expenses	Fundraising	103.7
	Management, general and administration	43.1
<b>Total</b>		<b>813</b>

**Figure VII.31: Expenditure 2010 in EUR million<sup>1399</sup>**

MSF international accounting standards comply with most of the international financial reporting standards. External audits are also carried out.<sup>1400</sup>

## **b Switzerland**

MSF Switzerland had an income of approximately CHF 166 million in 2010.<sup>1401</sup> The different sources are shown in **Figure VII.32**.

Private	Contributed in Switzerland	59.6
	Contributed by other MSF organizations	76.8
Public & other	Institutional	27.7
	Other	1.7
<b>Total</b>		<b>165.8</b>

**Figure VII.32: Income 2010 in CHF million<sup>1402</sup>**

As shown, the majority of funds is received from private sources (82%). Some 36% comes from Switzerland.<sup>1403</sup> The rest is contributed by MSF organizations in other countries and earmarked for specific projects.<sup>1404</sup>

MSF Switzerland has an operational budget of approximately CHF 100 million. Of these, 70% are planned to be spent on regular projects (projects that can be planned) and 30% are reserved for emergencies.<sup>1405</sup>

<sup>1398</sup> MSF International, 2011a, p. 7; 27.

<sup>1399</sup> Adapted from MSF International, 2011a, p. 7; 11.

<sup>1400</sup> MSF International, 2011b, p. 104.

<sup>1401</sup> MSF Switzerland, 2011a, p. 4.

<sup>1402</sup> MSF Switzerland, 2011a, p. 4.

<sup>1403</sup> Private donations contributed in Switzerland include donations from individuals and private foundations, bequests and legacies and other (MSF Switzerland, 2011a, p. 13).

<sup>1404</sup> Funds are provided according to the following percentages: United States (30%), Germany (26%), Australia (15%), Austria (14%), Canada (5%) and other countries (10%) (MSF Switzerland, 2011a, p. 13).

Total expenditure in 2010 amounted to approximately CHF 148 million.<sup>1406</sup> The allocation by approach is shown in **Figure VII.33**. The social mission ratio, which can be derived from the figure, is the following: 91% of expenditures were on social mission and 9% on fundraising and administration costs.

Social mission	Programs	116.5
	Headquarters program support	14.9
	Advocacy and other humanitarian activities	2.8
Other expenses	Fundraising in Switzerland	6.9
	Management and communication	6.5
<b>Total</b>		<b>147.6</b>

**Figure VII.33: Budget 2010 in CHF million**<sup>1407</sup>

### 5.1.7 Main challenges

This section is based on the author's understanding of the organization's main challenges for the future. The text may therefore not correspond to MSF's own view. The section is divided into challenges at the group level and at the Geneva Operational Center / MSF Switzerland level.

#### **a Group**

The first challenge is the coordination of decentralized structure. The decentralized structure of MSF makes its management more complex, as there is the need for coordination at three different levels: the national level, the operating center level and the central level. Although all MSF sections share the same common principles, they may have different views.<sup>1408</sup> For example, the sections have different views on the source of funds. For instance, "MSF Belgium (...) has (...) historically accepted a large percentage of public funding – and appears not to have found that money to carry too many strings. MSF France, on the other hand, would like to see members reduce their shares of public funding".<sup>1409</sup>

The operational centers remain very autonomous. The price to pay for this is duplication.<sup>1410</sup> Lindenberg & Bryant state that "One of the biggest problems within global organizations (...) [such as MSF] is the duplication of costs, support structures, and services by affiliate members of the same international

<sup>1405</sup> Interview, 05.08.10.

<sup>1406</sup> MSF Switzerland, 2011a, p. 4.

<sup>1407</sup> MSF Switzerland, 2011a, p. 4.

<sup>1408</sup> Redfield, 2008, p. 132.

<sup>1409</sup> Lindenberg & Bryant, 2001, p. 38.

<sup>1410</sup> Interview, 05.08.10.

organization".<sup>1411</sup> Competition, conflict and lack of harmonization may also result. However, a decentralized model also allows innovation.<sup>1412</sup> It also has other advantages in terms of encouraging the involvement of staff and allowing a quick response to needs and environmental changes.<sup>1413</sup>

A second challenge is the emergence of new entities in MSF. Added complexity also exists due the fact that a new wave of MSF entities is currently emerging, with new MSF sections being established mainly in emerging economies, such as Brazil, South Africa, India and Argentina. A reform of the Movement accepted in early 2010 will transform the International Council of the 19 into an International General Assembly open to other newly-created sections. In order to manage the arrival of these new members, a framework must be created.<sup>1414</sup> The Movement's new statutes were adopted in mid-2011, after a process that begun two years earlier. Following this, Dr. Karunakara (MSF International President) stated, "MSF International will now be more inclusive and open to new associations emerging in regions where we work, especially in Africa, Latin America, and Asia. We hope that these associations will bring new voices and fresh perspectives to our movement and challenge us to continue to seek and adapt innovative medical approaches to improve our work".<sup>1415</sup>

Linked to this is also that all sections would like to be operational. However, operations cannot be divided into 19 or 25. The opposite must be aimed for. Differences of opinions exist regarding the ideal number of operational centers: some argue for 5, while others for one.<sup>1416</sup>

A final challenge concerns training. Training must be improved as it is inadequate. Some modules, for example, were designed in the 1980s and are no longer adapted to the current environment. At the time, people were found in closed settings, namely refugee camps. Today, many are displaced in open settings, clustered in houses, for example. Also, persons are increasingly located in urban settings. The provision of vaccinations, for example, is done differently according to the setting. Modules must therefore be adapted. Another problem is that guidelines take a number of years to produce, and once they exist, several years are still necessary to train staff accordingly.<sup>1417</sup>

Training at the international / central level would bring some positive synergies. A resource center with e-learning could be set up. This is possible because the different operational centers have similar objectives in terms of training. However,

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<sup>1411</sup> Lindenberg & Bryant, 2001, p. 84.

<sup>1412</sup> Interview, 05.08.10.

<sup>1413</sup> Finkler, Kovner & Jones, 2007, p. 43.

<sup>1414</sup> Interview, 05.08.10.

<sup>1415</sup> MSF International, 2011c.

<sup>1416</sup> Interview, 05.08.10.

<sup>1417</sup> Interview, 05.08.10.

a shift from the operational center level to the central level has not been possible so far, because of MSF's governance structure.<sup>1418</sup> However, it must be noted that keeping a part of the training at the operational level is also favorable, because of MSF's corporate culture. It is also a way to bring staff on board.

#### **b Switzerland**

One continuous challenge for MSF Switzerland is its action in conflict areas. Today, work with international staff in dangerous contexts is not possible anymore for security reasons.<sup>1419</sup> Attacks on aid workers have become increasingly frequent. In 2004, MSF stopped operations in Afghanistan after the killing of MSF staff.<sup>1420</sup> National colleagues therefore have to be trained to have capacities they did not have before, such as negotiating and writing reports.<sup>1421</sup>

Another challenge for MSF Switzerland is balancing the management of both the operational level and the national level, as it has "a double hat". Operations tend to be given the priority; the issues of the national level are left for tackling only when they become critical. MSF often deals with problems only once it has become urgent to do so. This is often more costly than dealing with problems before they become emergencies.<sup>1422</sup>

A third challenge is the expansion into the German-speaking part of Switzerland. MSF is well-known in the French-speaking part of Switzerland, but its presence in the German-speaking part is not strong enough. Furthermore, the language poses a problem. There are very few German speakers at MSF Switzerland, because the language is not used in the field.<sup>1423</sup>

A final challenge for MSF Switzerland is the development of partnership projects with universities and the Swiss Development Cooperation, for example, which have been delayed due to the priority given to operations.<sup>1424</sup>

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<sup>1418</sup> Interview, 05.08.10.

<sup>1419</sup> Interview, 05.08.10.

<sup>1420</sup> Barnett & Weiss, 2011, p. 32; Ronalds, 2010, p. 94.

<sup>1421</sup> Interview, 05.08.10.

<sup>1422</sup> Interview, 05.08.10.

<sup>1423</sup> Interview, 05.08.10.

<sup>1424</sup> Interview, 05.08.10.

## 5.2 Strategic planning at MSF Switzerland / Operational Center Geneva

### 5.2.1 Understanding of strategy

A strategy is not possible without an objective. Therefore, the determination of the objective or the covered needs forms the basis. Strategy is then how to reach this objective. Strategy is also linked with investments and time.<sup>1425</sup>

Mr. Captier highlights several requirements for a strategy.<sup>1426</sup>

- Simplicity and brevity: Strategy has to be simple. If it is too complicated, it will not work. Documents with many pages should be avoided. A short document should state the objective and the strategy; the rest should be detailed in an appendix. This is difficult, as people in the organization tend to feel more comfortable with important amounts of information and details. However, this is not strategic anymore; it is the micro level.
- Means of implementation: A strategy alone is not enough. An action plan including details on how to implement the strategy is also needed.
- Ability to convince: The ability to convince is essential. As Mr. Captier states, “If I’m not able to convince and give people the means to implement it, it will stay a very nice strategy on paper, and nothing happens.”

Terms relating to strategy should be used sparingly. As Mr. Captier argues, “if you talk too much about strategy, you kill strategy. (...) If everything is strategic, then nothing is strategic”. Therefore, only a limited number of things should be placed at the strategic level; the rest should be at a lower level. Finally, some remarks are made regarding the evaluation of strategies. When a strategy is chosen – even if it is not the ideal one because of the constraints that exist – it should not be evaluated compared to the other strategies that would have been possible, but against its intended achievements.<sup>1427</sup>

### 5.2.2 Overview of the strategic planning process

MSF does not have a guide to strategic management. This is because its activity is largely unpredictable and it is therefore based on reactivity. However, there is growing recognition, due to increasing size, that there is a need for MSF to embark in strategic planning in order to be more efficient. This is quite new for the organization and two schools of thought currently exist in MSF: one believes in

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<sup>1425</sup> Interview, 05.08.10.

<sup>1426</sup> Interview, 05.08.10.

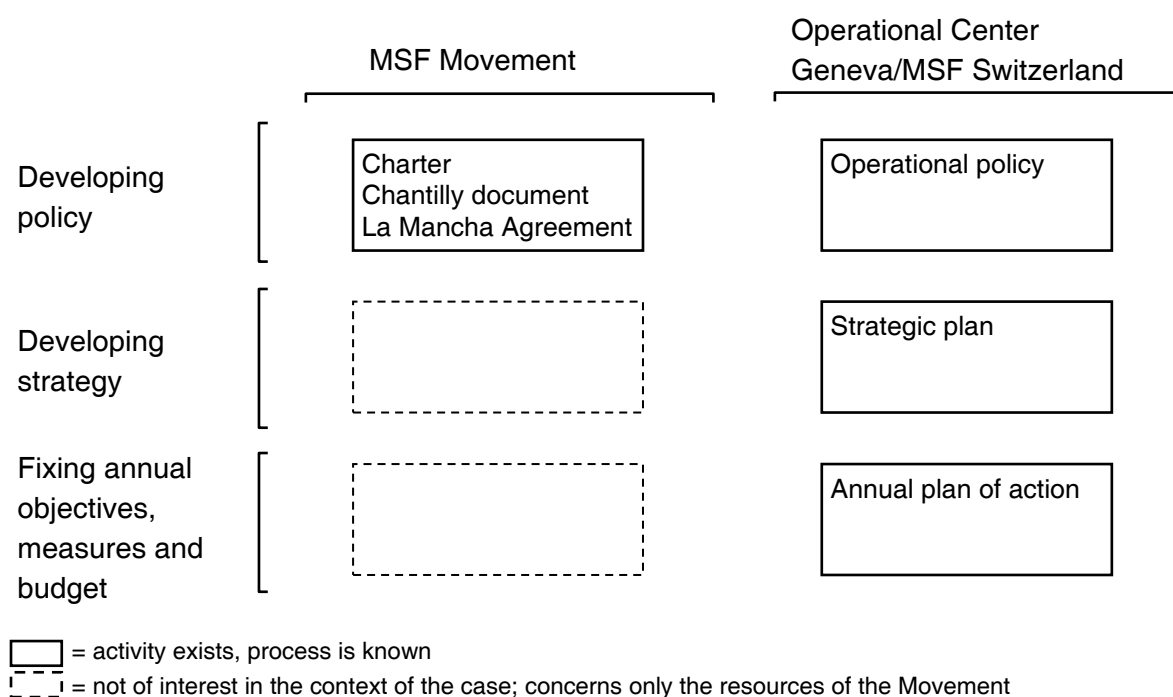
<sup>1427</sup> Interview, 05.08.10.

anticipating as much as possible, even though failure is possible, while the other believes that flexibility should be kept as much as possible.<sup>1428</sup>

The present text is based on the current strategic planning process, an overview of which is shown in **Figure VII.34**. Each step in this process is presented in detail in the following sections.

### 5.2.3 Strategic planning at the level of the Movement

Common reference points give the overriding values and objectives for the entire MSF Movement: the Charter, the Chantilly Document of 1995 and the La Mancha Agreement of 2006.<sup>1429</sup>



**Figure VII.34: Framework linking strategic sub-processes**<sup>1430</sup>

The Charter of MSF defines its social mission and is shared by all of the MSF Movement. It is to provide “assistance to populations in distress, to victims of natural or man-made disasters and to victims of conflict”.<sup>1431</sup> Elaborated in the

<sup>1428</sup> Interview, 05.08.10.

<sup>1429</sup> The La Mancha Agreement states that “all MSF sections are linked together by (...) common principles as expressed by the Charter and Chantilly documents” (MSF International, 2006, Art. 2.1). Although the political level is not considered to be strategic planning for MSF, the author believes it is also a part of strategic orientation. For this reason, it is presented as part of the strategic planning process.

<sup>1430</sup> Own elaboration.

<sup>1431</sup> MSF International, 2011a, p. 4.



1970s, the Charter has changed very little since the founding of the organization.<sup>1432</sup> The Fondation MSF notes that “the current Charter still defines the objective of helping populations in distress in the terms adopted in 1971”.<sup>1433</sup> Some argue that the terms used are outdated; if reframed today, other terms would be used. However, MSF believes it is better to keep the Charter as it was originally, but to reinterpret it when necessary.<sup>1434</sup>

Following divergences in opinions between the different MSF sections regarding the response to the Rwandan refugee crisis,<sup>1435</sup> “an international process of reflection to attempt to resolve these differences and come to a common understanding” was initiated.<sup>1436</sup> In 1995, MSF sections gathered in Chantilly, France “to broker a new understanding of their common enterprise.”<sup>1437</sup> The result of these meetings, the Chantilly Document, details the Charter intervention.<sup>1438</sup> Ten basic principles are expressed, notably the principle of “medical action first”, which is “mainly carried out in crisis periods when a system is suddenly destabilized and the very survival of the population is threatened”, and the principle of témoignage as “an integral component”. Practical rules for operating are also given. These include organization, decision-making, the non-profit principle, the management of resources, as well as financial control and transparency.<sup>1439</sup>

Every ten years, an exercise to collectively review the relevance of the social mission takes place at MSF. The aim is not to modify the Charter, but to interpret it according to the current situation. This is because of geopolitical differences: both operations and staff in the 1980s or 1990s were different from the current ones.<sup>1440</sup>

The last ten-year exercise took place in 2005 and 2006 and was named La Mancha, in reference to Don Quixote.<sup>1441</sup> This “expressed both MSF’s ardent dedication to humanitarian ideals and its characteristic self-directed and ironic wit about the exalted nature of those ideals, as well as its supposed nobility in pursuing them”.<sup>1442</sup>

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<sup>1432</sup> Interview, 05.08.10.

<sup>1433</sup> Fondation MSF, 2007, p. 105.

<sup>1434</sup> Interview, 05.08.10.

<sup>1435</sup> At the time, humanitarian aid was being diverted to the benefit of those responsible for the genocide, and refugee camps were serving as training camps. Forced to be “unwilling accomplices to the perpetrators of the genocide”, the MSF sections’ opinions differed on the response: whether to leave and denounce the situation, or provide medical aid at the same time as advocacy (Phelan, 2009, p. 16).

<sup>1436</sup> Phelan, 2009, p. 16f.

<sup>1437</sup> Redfield, 2006, p. 8.

<sup>1438</sup> Interview, 05.08.10; Shevchenko & Fox, 2008, p. 109.

<sup>1439</sup> MSF International, 1995, p. 1ff.

<sup>1440</sup> Interview, 05.08.10.

<sup>1441</sup> Interview, 05.08.10; Fondation MSF, 2007, p. 105.

<sup>1442</sup> Shevchenko & Fox, 2008, p. 120.

The La Mancha process of self-examination was launched in November 2004<sup>1443</sup> by the International Council.<sup>1444</sup> It aimed to consider MSF's roles and responsibilities, a common ambition and internal governance.<sup>1445</sup> The process was done on a consultative basis,<sup>1446</sup> involving "everyone in the organization, from members to the employees working on all our projects".<sup>1447</sup> The President of the International Council Gillies stated in 2006 that "from an early start, we acknowledged that a broad consultation and analysis were paramount to the success of this process, which is why we have sought the involvement of all levels of MSF, and in particular the field, to ensure that the outcomes are focused on our 'raison d'être': assisting populations in danger." Several elements were included in the process:<sup>1448</sup>

- In the beginning of 2005, small general assemblies looked at the issue of governance.
- A series of paired interviews resulted in the collection of over 700 opinions all levels of the organization
- 150 internal and external contributions were compiled in a book.
- In March 2006, a conference took place in Luxemburg.<sup>1449</sup>

The above elements constituted the basis for the Agreement. Following the conference, the International Council worked on a text, which was then discussed by the Boards or General Assemblies of the national sections.<sup>1450</sup>

In June 2006, the La Mancha Agreement was adopted at the meeting of the International Council in Athens.<sup>1451</sup> Also named La Mancha,<sup>1452</sup> it intended to complement – and not replace – the Charter and the Chantilly Principles.<sup>1453</sup> It notably reaffirmed MSF's ambition to work in conflict ("providing medical assistance to the most vulnerable people in crisis due to conflict, and when necessary exposing obstacles encountered, remain at the core of MSF's work") despite the difficulties involved, and stressed the inseparability from operations of témoignage. The international associative governance of MSF was also strengthened.<sup>1454</sup>

<sup>1443</sup> Fox, 2008, p. 328; Gillies, 2006, p. 1; MSF Switzerland, 2006, p. 8; Shevchenko & Fox, 2008, p. 120.

<sup>1444</sup> Fox, 2008, p. 328; Gillies, 2006, p. 1.

<sup>1445</sup> Phelan, 2009, p. 26f.

<sup>1446</sup> Phelan, 2009, p. 27.

<sup>1447</sup> MSF Switzerland, 2006, p. 8.

<sup>1448</sup> Gillies, 2006, p. 1.

<sup>1449</sup> Fox, 2008, p. 328; 333; Gillies, 2006, p. 1.

<sup>1450</sup> Gillies, 2006, p. 1.

<sup>1451</sup> Gillies, 2006, p. 1.

<sup>1452</sup> Interview, 05.08.10; Fondation MSF, 2007, p. 105; Shevchenko & Fox, 2008, p. 120. A book includes contributions on changes and the relevance of MSF's actions (Interview, 05.08.10).

<sup>1453</sup> Gillies, 2006, p. 1; MSF International, 2006, preamble; Phelan, 2009, p. 27; Shevchenko & Fox, 2008, p. 120.

<sup>1454</sup> Interview, 05.08.10; MSF International, 2006, preamble, Art. 1.1, Art. 1.9; Phelan, 2009, p. 27.

#### 5.2.4 Strategic planning at the level of MSF Switzerland / Operational Center Geneva

Once the social mission and core principles of action have been defined for the Movement (political level), the operational centers can then move to the organizational level where, for them, strategic planning is used, and the political level can be translated into concrete action. The following text details this procedure. Focus is put on the Operational Center Geneva.<sup>1455</sup>

##### *a Operational policy*

Firstly, each one of the 5 operational centers usually produces a document known as an Operational Policy, also referred to as an Operational Project, every 3, 4 or 5 years. The documents are consequently not aligned.<sup>1456</sup> For the Geneva Operational Center, a new document is produced every 4 years. The current policy covers the years 2008 to 2011.<sup>1457</sup>

The policy is drafted by the Director of Operations. The directors of all departments are consulted, notably those of the logistics and medical departments. This process is participatory. Guidance is also given by the General Director and the Board of Directors (Operational Center Geneva Congress).<sup>1458</sup> The Operational Policy is then approved by the Board of Directors. The current policy (2008-2011) was approved in December 2007 by the Board of the Operational Center Geneva.<sup>1459</sup>

The Operational Policy has the following purposes:<sup>1460</sup>

- Provide a vision and define goals and limits of action, in coherence with the Movement
- Facilitate a common understanding around rationale and criteria for the intervention of the Operational Center Geneva
- Help teams in making relevant choices on project priorities
- Identify areas of improvement of quality medical care to patients
- Direct and sustain resources to priority axes of intervention and related projects
- Optimize headquarter support for field operations

The first part of the document gives the following:<sup>1461</sup>

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<sup>1455</sup> Interview, 05.08.10.

<sup>1456</sup> Interview, 05.08.10.

<sup>1457</sup> Interview, 05.08.10.

<sup>1458</sup> MSF Switzerland, 2011d, p. 1f.

<sup>1459</sup> MSF Switzerland, 2009, p. 5.

<sup>1460</sup> MSF Switzerland, 2008b, p. 2.

<sup>1461</sup> MSF Switzerland, 2008b, p. 3ff.

- **Frame of the Movement:** Given the frame of the MSF Movement, which is given by the Charter, the Chantilly Document and the La Mancha Agreement, the Operational Center defines its priority axis of intervention for the years 2008 to 2011 as “responding to emergencies putting whole groups of populations at risk of death or in acute distress, generally as a consequence of conflict”. It also reaffirms the importance of independence and impartiality.
- **Lessons learnt from previous operational project:** The operational project 2004-2007 focused on three areas: emergencies, violence and disease.<sup>1462</sup> A number of issues are identified, such as: the accuracy of intervention criteria for disease and social violence, the improvement of response with more comprehensive medical packages, the different medical shortcomings and challenges, as well as monitoring and accountability and the capacity to mobilize resources.
- **Evolution of the environment:** The understanding of the environment is also presented. The main elements identified, as well as the implications for MSF, are shown in **Figure VII.35**.
- **Key medical stakes:** Linked to the types of diseases and the medical strategies in place, these include the ineffectiveness of current treatment strategies to fight HIV/AIDS, the development of resistances to drugs, the capacity to accurately diagnose diseases in the field, the possibility to offer a better package of immunities, the trend of urbanization, the need to define a basic health care package, as well as the poor level of diagnosis and treatments available for neglected tropical diseases.
- **Internal challenges:** include promoting open-mindedness and curiosity, the capacity to adapt strategies and to assess, be reactive and takes risks, as well as the transmission of experience to volunteers and the allocation of resources.

The second part clarifies:<sup>1463</sup>

- **Rationale of intervention choices:** This firstly includes discussing the type of situation which triggers or justifies an intervention. The five elements, which in combination constitute the trigger, are shown in **Figure VII.36**. Momentum is affirmed as essential: “the rationale of an intervention is based on an absence of adequate response by other partners” and “the response of MSF is therefore the most relevant when it is able to take place during the period that makes the biggest difference for the populations”. Time-specific objectives for launching assessments and starting activities are also defined. Secondly, it involves determining the medical or non-medical services offered by MSF in response, including free medical care and non-medical activities when they are life-saving. The different stakes in the project are also identified. These are shown in **Figure VII.37**. Finally, the rationale of intervention involves determining when and how a project is closed.
- **Choice of priorities:** Given the limited resources available, projects in three areas are given the priority, although “the main criteria will remain the rationale

<sup>1462</sup> MSF Switzerland, 2008b, p. 5; MSF Switzerland, 2007, p. 3.

<sup>1463</sup> Interview, 05.08.10; MSF Switzerland, 2009, p. 5; MSF Switzerland, 2008b, p. 13ff.

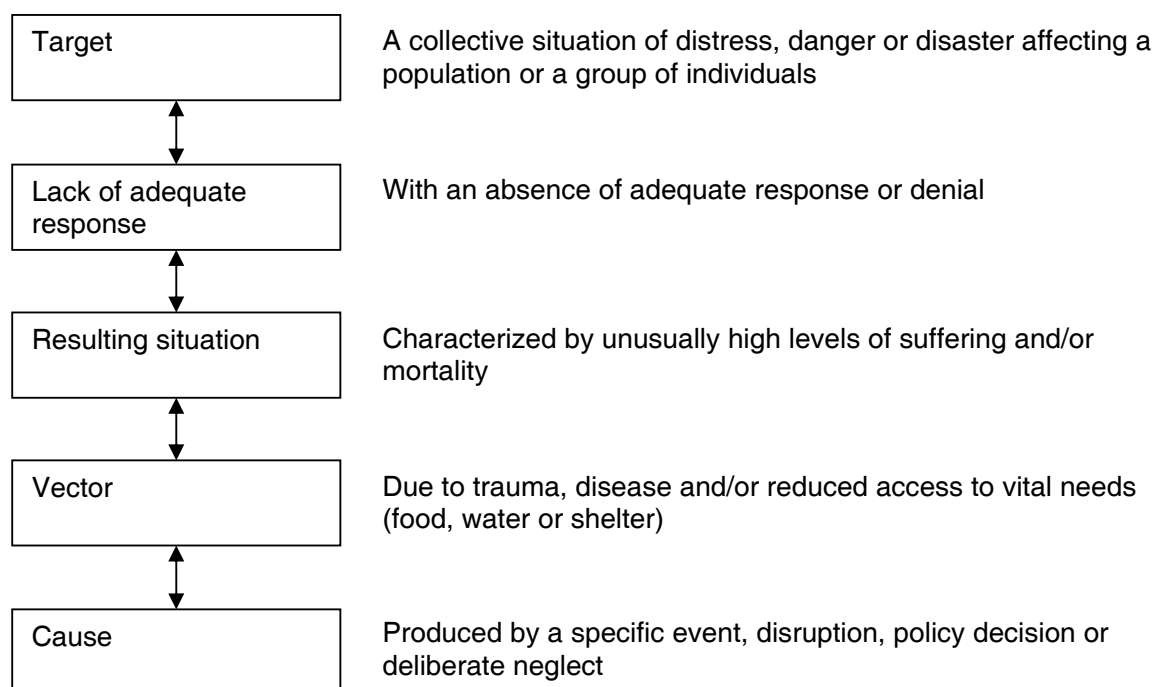
of the intervention and not the cause itself”: (1) assistance to victims of conflict and political violence, (2) communicable diseases of public health importance and (3) environmental events, such as nutritional interventions. The first area is considered to be the focus “because of the acuteness, the sudden character of distress caused, the number of people affected [and] the obstacles to access”.

- Impact on operational growth of missions and projects: The outlook of operations in terms of number of missions, projects, full-time equivalent positions and departures are considered.

	Environmental development	Implications for MSF
<b>Positive</b>	<ul style="list-style-type: none"> <li>▪ Increasing ability of NGOs to respond quickly</li> <li>▪ UN emergency response mechanisms more effective</li> </ul>	<ul style="list-style-type: none"> <li>▪ Need for more reactivity and focus on first phases of crisis, and therefore for an extremely efficient supply chain</li> <li>▪ Concentration on overlooked areas or crises where access is limited or security requires approach based on independence and acceptance</li> <li>▪ Provision of higher quality medical services</li> </ul>
	<ul style="list-style-type: none"> <li>▪ Increasing local availability of more qualified medical personnel</li> </ul>	<ul style="list-style-type: none"> <li>▪ Reconsider role of international staff</li> <li>▪ Systematically include national staff</li> </ul>
<b>Negative</b>	<ul style="list-style-type: none"> <li>▪ Unprecedented amount of funds and actors dedicated to fighting diseases such as AIDS, tuberculosis and malaria.</li> <li>▪ Failure of public health strategies to control spread of disease and treatment resistances</li> </ul>	<ul style="list-style-type: none"> <li>▪ Priority area is medical strategies, diagnostic and therapeutic tools, and not the development of public health institutions</li> <li>▪ Management of large cohorts and integration of HIV in primary health care approaches</li> <li>▪ Need to adapt first line treatment and detect failures</li> <li>▪ Impact on budget due to uncompetitive environment of second line drugs</li> </ul>
	<ul style="list-style-type: none"> <li>▪ Poor perception of the integrated aid system within a polarized world</li> <li>▪ Loss of credibility and sub-contracting by the UN</li> <li>▪ Instrumentalization of humanitarian action for foreign policy ends</li> </ul>	<ul style="list-style-type: none"> <li>▪ Increasing danger for humanitarian workers</li> </ul>
	<ul style="list-style-type: none"> <li>▪ Difficulties to operate and have impact in conflict situations due to conflict, confusions and political regulation of access</li> </ul>	<ul style="list-style-type: none"> <li>▪ Challenge of capacity to take risks</li> <li>▪ Selection of coordinators who can “open doors”</li> <li>▪ Work with local partners with greater knowledge</li> </ul>
	<ul style="list-style-type: none"> <li>▪ Little analysis of effects of climate change</li> </ul>	<ul style="list-style-type: none"> <li>▪ In-depth approach required</li> </ul>

**Figure VII.35: The external environment**<sup>1464</sup>

<sup>1464</sup> Own elaboration based on MSF Switzerland, 2008b, p. 7ff.



**Figure VII.36: Elements constituting the trigger of an intervention**<sup>1465</sup>

Questions	Measures
How do we raise awareness on the distress and underlying responsibilities with a view to improve the situation of beneficiaries?	<ul style="list-style-type: none"> <li>▪ Bilateral meetings with stakeholders and counterparts</li> <li>▪ Documentation of the medical consequences</li> <li>▪ Témoignage</li> <li>▪ Public communication</li> </ul>
Which obstacles are we facing in our assistance activities and how do we raise the issue with responsible counterparts?	<ul style="list-style-type: none"> <li>▪ Negotiation and... tension if needed</li> <li>▪ Documentation</li> <li>▪ Témoignage</li> <li>▪ Public communication</li> </ul>
How can we improve quality of care for patients and be a catalyst for change of practices?	<ul style="list-style-type: none"> <li>▪ Adaptation of medical techniques to field conditions</li> <li>▪ Capitalization of experience sharing</li> <li>▪ Innovation through operational and clinical research</li> <li>▪ Development of new standards and policies</li> </ul>

**Figure VII.37: Stakes in a project**<sup>1466</sup>

Finally, qualitative ambitions are set out in a third part. For MSF operations, quality includes clinical outcome of medical care, capacity to carry stakes, relevance of intervention, impact of intervention and capacity to be accountable. The Operational Policy 2008-2011 set out the following ambitions:<sup>1467</sup>

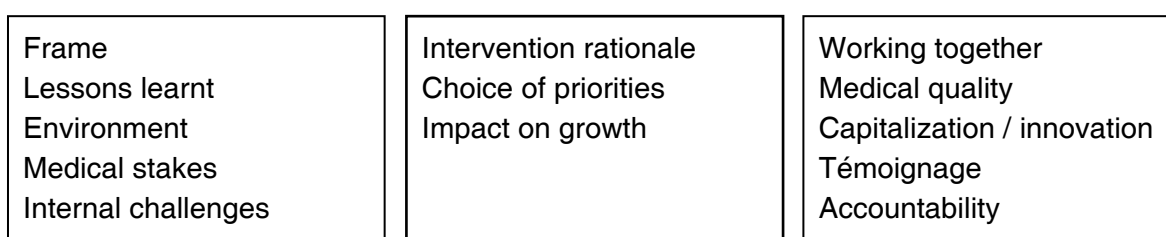
<sup>1465</sup> MSF Switzerland, 2008b, p. 13ff.

<sup>1466</sup> Own elaboration based on MSF Switzerland, 2008b, p. 19ff.

<sup>1467</sup> MSF Switzerland, 2008b, p. 26ff.

- Working together: This ambition notably includes the coordination between the field and headquarters, and the improvement of collective work at the departments and the intersectional levels.
- Medical quality: Objectives include improving effectiveness, efficiency, accessibility, timeliness, safety and ethical integrity.
- Capitalization and innovation: Several initiatives are planned, namely the creation of pluri-disciplinary working groups that will formulate practical recommendations on intervention strategies, the definition of operational research strategies on antibiotic resistance, for example, as well as the evaluation of the implementation of policies and standards in projects.
- Témoignage: is another ambition. Notably included is the link to the identification of stakes and rationale for intervention, the reduction in hierarchy in order to allow witnessing initiatives, as well as specific training modules.
- Accountability: To do so, it plans the development of new tools at the headquarters level. These comprise an annual report on operations, an annual analysis of quality, ad hoc evaluations and critical reviews.

The three parts of the operational policy are summarized in **Figure VII.38**.



**Figure VII.38: Operational policy 2008-2011**<sup>1468</sup>

## **b Strategic Plan**

A strategic plan for the Operational Center Geneva, elaborated for the years 2009 to 2012, was drafted in order to translate the Operational Policy into strategic ideas.<sup>1469</sup>

The idea of the document was to contain, in a first part, the operational policy (“the what?”) and, in a second part, the strategic ideas to support its implementation (“the how?”). Several key strategic abilities were defined, as well as the different key issues and strategic orientations linked to them. These are summarized in **Figure VII.39**. Although not completed, the intention was also to include key indicators and documents for each ability.<sup>1470</sup>

<sup>1468</sup> Own elaboration based on MSF Switzerland, 2008b, p. 1ff.

<sup>1469</sup> Interview, 05.08.10.

<sup>1470</sup> Interview, 05.08.10.

<b>Abilities</b>	<b>Sub-abilities</b>	<b>Strategic orientations to build up the abilities</b>
Achievement of qualitative ambitions	At mid-term, achievement of the qualitative ambitions of the Operational Project 2008-2011	<ul style="list-style-type: none"> <li>▪ Way of fulfilling social mission</li> <li>▪ Improvement of strategies/techniques</li> <li>▪ Transmission of values, knowledge and experience</li> </ul>
Adaptation of modus operandi in the field	Adaptation of the modus operandi on the field to the evolutions of the operational and medical environment	<ul style="list-style-type: none"> <li>▪ Integration and continuity in a given context</li> <li>▪ Collective medical stakes</li> <li>▪ Reporting</li> <li>▪ External positioning</li> <li>▪ Security management</li> </ul>
Investment in the people	Commitment to invest in the people serving the organization	<ul style="list-style-type: none"> <li>▪ Gradual development of integrated and comprehensive human resources policy</li> <li>▪ Development of coordinated recruitment strategy</li> <li>▪ Development of environment stimulating people to make longer professional commitments</li> <li>▪ Development of a learning environment</li> <li>▪ Permanent maintenance and development of specific human resources policies related to peculiarity of working environment</li> </ul>
Efficient supply chain	Support the field with efficient supply chains	<ul style="list-style-type: none"> <li>▪ Development of supply unit</li> <li>▪ Investment in MSF Logistique capacity</li> <li>▪ Study on impact of temperature and humidity on drugs</li> </ul>
Strengthening of operational governance	Adaptation of support and control function to the evolving environment	<ul style="list-style-type: none"> <li>▪ Clarification of roles and responsibilities of departments and individuals – operational governance review</li> <li>▪ Investment in information system</li> <li>▪ Monitoring controls and internal audit</li> </ul>
Mobilization of the financial resources	Mobilization of financial resources	<ul style="list-style-type: none"> <li>▪ Reliance on private fundraising in home societies</li> <li>▪ Diversification of sources of private income</li> <li>▪ Maintenance of relationship with public institutional donors</li> <li>▪ Accountability stakes</li> </ul>
Anchoring identities in home societies	Development of long term support base of action through anchoring and strengthening of identity as a medical/ humanitarian organization in home societies	<ul style="list-style-type: none"> <li>▪ Development of associative life and anchoring in home society</li> <li>▪ Maintenance of clear and distinct identity</li> <li>▪ Accountability</li> <li>▪ Maintenance of strength and spirit</li> </ul>

**Figure VII.39: Key strategic abilities**<sup>1471</sup>

The strategic plan stayed at the level of a draft, due to a series of emergencies, which required more time to be spent on reactivity. The General Director and his Deputy therefore stopped working on it.<sup>1472</sup>

To help with strategic planning issues, it has been decided that consultants should be hired. This has failed in MSF. Despite their methodological competence,

<sup>1471</sup> Own elaboration based on MSF Switzerland, 2008a, p. 1 ff.

<sup>1472</sup> Interview, 05.08.10.



consultants were not recognized because of their lack of experience in the field. Also, they required too much time to understand the organization. Therefore, MSF chooses to use internal consultants (former MSF professionals who have gone into consultancy jobs), as well as a mix of internal and external consultants. This allows the external consultants to bring new ideas into the organization. Careful attention must be paid to how these ideas are presented.<sup>1473</sup>

### **c      *Annual plan of action***

The annual plan of action translates, on a one-year level, the issues referred to before in the Operational Policy into much more concrete measures. It is the so-called implementation level.<sup>1474</sup> MSF defines its aim as “preserving the operational and human dynamic necessary to fulfill our social mission while taking into account the challenging operational and financial environment”.<sup>1475</sup>

In the annual plan, each of the departments translates the ambitions into more concrete ideas. They give an overview of the previous year (2008), notably of the main achievements and constraints, as well as of the main objectives, priorities and challenges for the coming year (2009).<sup>1476</sup>

In particular, the Operations Department, after presenting once again the main lines of the Operational Center Geneva Operational Policy 2008-2011, states its major operational orientations for 2009, given the current environment and its capacities. The different project areas for each major orientation are then detailed. The evolution of the number of missions and projects, the prevision of human resource needs and the operational budget are also presented. Finally, the qualitative ambitions of the Operational Project are once again presented. To fulfill these qualitative ambitions, five areas priority axes of work are identified for 2009.<sup>1477</sup>

Finally, the appendixes of the annual plan include an overview of the actions of the newly-established office in Mexico, the initial budget for 2009, as well as the detail of each project.<sup>1478</sup>

The process for establishing the annual plan is the following. In October, a review of the achievements during the first nine months of the year forms the basis for the annual plan. A workshop with the Board of Directors, during which decisions are

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<sup>1473</sup> Interview, 05.08.10.

<sup>1474</sup> Interview, 05.08.10.

<sup>1475</sup> MSF Switzerland, 2009, p. 4.

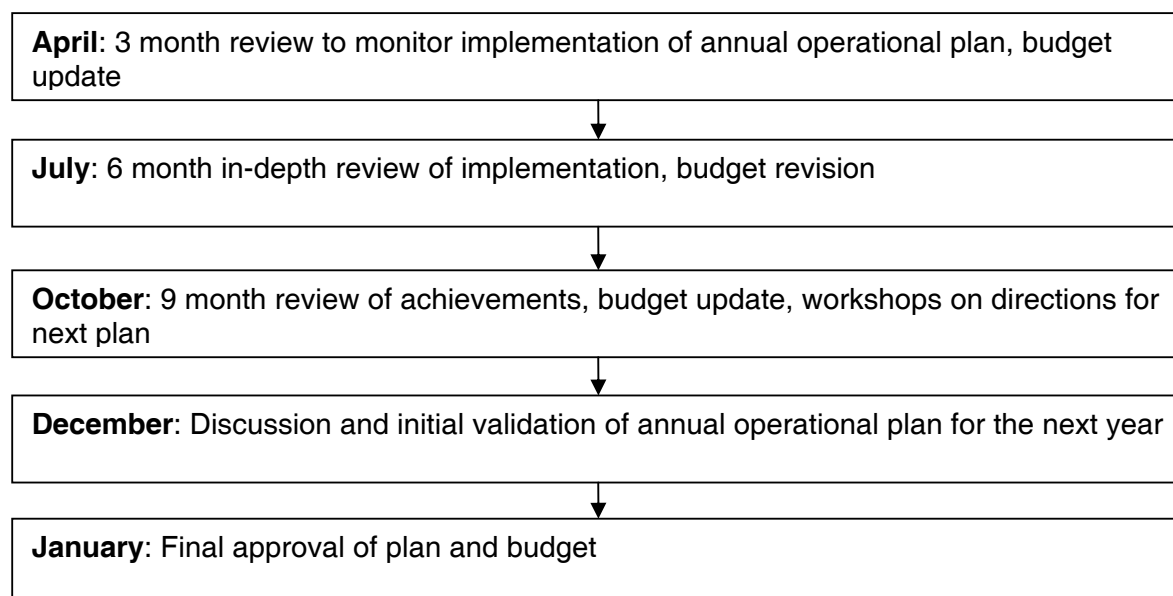
<sup>1476</sup> MSF Switzerland, 2009, p. 5ff.

<sup>1477</sup> MSF Switzerland, 2009, p. 5ff.

<sup>1478</sup> MSF Switzerland, 2009, p. 58ff.

made concerning what will be done the next year, then takes place.<sup>1479</sup> Members discuss the operational aims and strategies, as well as the annual plan for the coming year.<sup>1480</sup> The operational plan of action and the initial budget are prepared by field missions, and are then examined by desks. They are then endorsed during budgetary commissions.<sup>1481</sup> In December, discussions are held and the annual plan for the next year is validated initially.<sup>1482</sup> The Congress examines the operational plan of action and budget. The plan of action for headquarters and the budget for the departments are prepared in December, once operational perspectives and resource constraints are considered.<sup>1483</sup> In January, the final plan and the budget are approved.<sup>1484</sup>

The annual meetings of the Congress of the Operational Center Geneva are shown in **Figure VII.40**.



**Figure VII.40: Operational Center Geneva Congress meetings**<sup>1485</sup>

If possible, another document is made in order to translate the annual plan. It is mainly for support and includes programs, projects, etc.<sup>1486</sup>

<sup>1479</sup> Interview, 05.08.10; MSF Switzerland, 2008a, p. 33.

<sup>1480</sup> MSF Switzerland, 2008a, p. 33.

<sup>1481</sup> MSF Switzerland, 2009, p. 63.

<sup>1482</sup> MSF Switzerland, 2008a, p. 33.

<sup>1483</sup> MSF Switzerland, 2009, p. 63.

<sup>1484</sup> MSF Switzerland, 2008a, p. 33.

<sup>1485</sup> Own elaboration based on MSF Switzerland, 2008a, p. 33.

<sup>1486</sup> Interview, 05.08.10.

## 6 UNHCR case description

### 6.1 Presentation of UNHCR

#### 6.1.1 Mission and principles

In order to assist the numerous refugees of the Second World War, the United Nations General Assembly decided to establish the Office of the United Nations High Commissioner for Refugees (UNHCR) in 1950.<sup>1487</sup> The core mandate of the Office, given by its Statute, was twofold: to ensure international protection of refugees and to find permanent solutions for them.<sup>1488</sup>

In 1951, the legal framework for UNHCR's activities, the Convention relating to the Status of Refugees, was adopted. The first international agreement to cover all aspects of refugees' lives, the Convention defines who is a refugee,<sup>1489</sup> the rights<sup>1490</sup> and obligations of refugees, as well as the legal obligations of States. It also specifies the persons not qualifying for refugee status, such as war criminals for example.<sup>1491</sup>

While UNHCR was initially given a three-year mandate, the need to respond to crises on other continents soon followed in the years to come. As the Convention was limited mainly to Europeans who had become refugees as a result of events taking place before 1951, a Protocol relating to the Status of Refugees, which removed geographic and temporal restrictions, was adopted in 1967.<sup>1492</sup>

<sup>1487</sup> Black, 2008, p. 56f.; Loescher, Betts & Milner, 2008, p. 1; 75; UNHCR, 2000a, p. 13; Walker & Maxwell, 2009, p. 100. Previous international initiatives to assist refugees of the Second World War include the United Nations Relief and Rehabilitation Administration, established in 1943 by the Allies, and the International Refugee Organization, a temporary United Nations specialized agency established in 1947 (UNHCR, 2000a, p. 13ff.).

<sup>1488</sup> Loescher, Betts & Milner, 2008, p. 1f.; 71f.; 98; UN General Assembly, 1950, Art. 1; UNHCR, 2000a, p. 22. UNHCR did not receive the mandate to protect Palestinian refugees. UNRWA was established in 1949 for this purpose (Ryfman, 2008, p. 41; UN, 2011, p. 37).

<sup>1489</sup> According to the Convention, a refugee is any person who "owing to well-founded fear of being persecuted for reasons of race, religion, nationality, membership of a particular social group or political opinion, is outside the country of his nationality and is unable or, owing to such fear, is unwilling to avail himself of the protection of that country; or who, not having a nationality and being outside the country of his former habitual residence as a result of such events, is unable or, owing to such fear, is unwilling to return to it" (UN General Assembly, 1951, Art. 1).

<sup>1490</sup> Rights granted to refugees by the Convention notably include protection against "refoulement" (Loescher, Betts & Milner, 2008, p. 15; 99). Article 33 states that "No Contracting State shall expel or return ("refouler") a refugee in any manner whatsoever to the frontiers of territories where his life or freedom would be threatened on account of his race, religion, nationality, membership of a particular social group or political opinion" (UN General Assembly, 1951, Art. 33).

<sup>1491</sup> Loescher, Betts & Milner, 2008, p. 2; 15; 99; UNHCR, 2007a, p. 4ff.

<sup>1492</sup> Barnett & Weiss, 2011, p. 49; 54; Loescher, Betts & Milner, 2008, p. 28; 100; Sultan-Khan, 2010, p. 724; UN General Assembly, 1967; UNHCR, 2007a, p. 7; Walker & Maxwell, 2009, p. 35.

Along with the expansion of activities to a worldwide level, the work of UNHCR has also gradually expanded, with the authorization of the UN General Assembly, to cover other “persons of concern”. These include internally displaced persons, returnees, stateless persons and persons whose nationality is disputed.<sup>1493</sup>

UNHCR’s mission statement is shown in **Figure VII.41**.

The High Commissioner for Refugees is mandated by the United Nations to lead and coordinate international action for the worldwide protection of refugees and the resolution of refugee problems.

UNHCR’s primary purpose is to safeguard the rights and well-being of refugees. In its efforts to achieve this objective, the Office strives to ensure that everyone can exercise the right to seek asylum and find safe refuge in another State, and to return home voluntarily. By assisting refugees to return to their own country or to settle permanently in another country, UNHCR also seeks lasting solutions to their plight.

UNHCR’s Executive Committee and the UN General Assembly have authorized involvement with other groups. These include former refugees who have returned to their homeland; internally displaced people; and people who are stateless or whose nationality is disputed.

The Office seeks to reduce situations of forced displacement by encouraging states and other institutions to create conditions which are conducive to the protection of human rights and the peaceful resolution of disputes. In all of its activities, it pays particular attention to the needs of children and seeks to promote the equal rights of women and girls.

The Office works in partnership with governments, regional organizations, international and non-governmental organizations. It is committed to the principle of participation, believing that refugees and others who benefit from the organization’s activities should be consulted over decisions which affect their lives.

**Figure VII.41: UNHCR mission statement**<sup>1494</sup>

## 6.1.2 Population of concern and activities

### *a* Population of concern

UNHCR has a total population of concern of around 33.9 million persons.<sup>1495</sup> Besides refugees, it distinguishes the following other categories of persons:<sup>1496</sup>

- Internally displaced persons: These are “persons or groups of persons who have been forced or obliged to flee or to leave their homes or places of habitual residence, in particular as a result of or in order to avoid the effects of armed conflict, situations of generalized violence, violations of human rights or natural or human-made disasters, and who have not crossed an internationally recognized State border”.<sup>1497</sup> Internally displaced persons are therefore in situations similar to those of refugees. However, contrary to refugees, they have not crossed international borders.

<sup>1493</sup> Loescher, Betts & Milner, 2008, p. 71; UN, 2011, p. 242.

<sup>1494</sup> UNHCR, 2011a, p. 3.

<sup>1495</sup> UNHCR, 2011a, p. 2; UNHCR, 2011b, p. 7; 41; 46.

<sup>1496</sup> UNHCR, 2011b, p. 37.

<sup>1497</sup> OCHA, 2004, p. 1.

- Stateless persons: These are defined as “persons who are not considered as nationals, by any State under the operation of its law, including persons whose nationality is not established”.<sup>1498</sup>
- Returnees: A returnee is “a person who was of concern to UNHCR when outside his/her country of origin and who remains so, for a limited period (...), after returning to the country of origin”.<sup>1499</sup> The term applies to both refugees and internally displaced persons.<sup>1500</sup>
- Asylum seekers: An asylum seeker is “an individual who is seeking international protection. In countries with individualized procedures, an asylum-seeker is someone whose claim has not yet been finally decided on by the country in which the claim is submitted”.<sup>1501</sup>

These categories are shown in **Figure VII.42**. As shown, refugees are today the second largest group of concern to UNHCR. The first are internally displaced persons.

Category of population of concern	Number
Internally displaced persons	14'697'804
Refugees	10'549'686
Stateless	3'463'070
Returned internally displaced persons	2'923'233
Asylum-seekers	837'478
Returned refugees	197'626
Others	1'255'579
<b>Total</b>	<b>33'924'476</b>

**Figure VII.42: Total population of concern to UNHCR**<sup>1502</sup>

## **b Activities**

UNHCR activities focus on the three main areas: protection, finding durable solutions and assistance.<sup>1503</sup>

The protection of refugees is the first core function given in the Statute and is considered to be UNHCR's “raison d'être”.<sup>1504</sup> It is defined as including “all activities aimed at obtaining full respect for the rights of the individual, in accordance with the letter and the spirit of the relevant bodies of law (...)”.<sup>1505</sup>

<sup>1498</sup> UNHCR, 2011a, p. 181.

<sup>1499</sup> UNHCR, 2011a, p. 180.

<sup>1500</sup> UNHCR, 2003, p. 22.

<sup>1501</sup> UNHCR, 2011a, p. 177.

<sup>1502</sup> UNHCR, 2011b, p. 41; 46. The figure for refugees does not include the Palestinian refugees who fall under the mandate of UNRWA.

<sup>1503</sup> UNHCR, 2003, p. 4; Interview, 12.11.10.

<sup>1504</sup> UNHCR, 2003, p. 4; 7.

<sup>1505</sup> UNHCR, 2011a, p. 180.

Protection includes a wide range of activities, such as ensuring the ability of refugees to seek asylum and preventing involuntary return.<sup>1506</sup>

Finding durable solutions for refugees is the second core function given by UNHCR's Statute.<sup>1507</sup> UNHCR defines these as "any means by which the situation of refugees can be satisfactorily and permanently resolved, enabling refugees' normal lives".<sup>1508</sup> Three solutions are traditionally distinguished:<sup>1509</sup>

- Voluntary repatriation: The preferred solution,<sup>1510</sup> this involves the "return to the country of origin based on the refugees' free and informed decision".<sup>1511</sup>
- Local integration: When voluntary repatriation is impossible in the near future, the permanent settlement of refugees in the country of asylum is another option.<sup>1512</sup>
- Resettlement: When the first two options are not possible, refugees may be transferred from the country of asylum to a third country.<sup>1513</sup>

The provision of assistance was not included in the original mandate of UNHCR,<sup>1514</sup> as it was considered to be the responsibility of the country granting asylum to refugees. In the years following its founding, its role was extended to one of providing material assistance.<sup>1515</sup> Today, UNHCR provides a wide range of assistance, including food, shelter, healthcare and education.<sup>1516</sup>

The activities carried out depend on the operational context. Because of changing contexts, interventions must be changed on order to achieve the same goals.<sup>1517</sup> UNHCR also stresses that its three main areas of activities cannot be divided: they are not in a "silo approach". This is because the different activities are interlinked and influence each other.<sup>1518</sup>

### 6.1.3 Collaboration

In order to fulfill its mission, UNHCR works in partnership with numerous organizations. As Loescher, Betts & Milner state, "UNHCR's ability to fulfill its mandate has repeatedly relied upon being able to establish partnerships within

<sup>1506</sup> UN, 2011, p. 35.

<sup>1507</sup> UN General Assembly, 1950, Art. 1; UNHCR, 2003, p. 4.

<sup>1508</sup> UNHCR, 2011a, p. 178.

<sup>1509</sup> UNHCR, 2011a, p. 178; UNHCR, 2003, p. 9ff.; UNHCR, 2000a, p. 2.

<sup>1510</sup> UNHCR, 2003, p. 10.

<sup>1511</sup> UNHCR, 2011a, p. 181.

<sup>1512</sup> UNHCR, 2003, p. 11.

<sup>1513</sup> UNHCR, 2003, p. 12.

<sup>1514</sup> Loescher, Betts & Milner, 2008, p. 13; Sultan-Khan, 2010, p. 724; UNHCR, 2003, p. 4.

<sup>1515</sup> UNHCR, 2003, p. 4.

<sup>1516</sup> UNHCR, 2000a, p. 3.

<sup>1517</sup> Interview, 14.06.11.

<sup>1518</sup> Interview, 14.06.11.

and beyond the UN system.”<sup>1519</sup> It argues that “because refugee needs are enormous and resources are limited, UNHCR cannot do its job alone”.<sup>1520</sup>

Two types of partnerships can be distinguished:<sup>1521</sup>

- Operational partnerships: There is collaboration for protection and assistance, but funds are not received from UNHCR for this purpose.<sup>1522</sup>
- Implementing partnerships: Material assistance is provided on behalf of UNHCR and funds are received from it to do so.<sup>1523</sup> Most activities in the field are undertaken and delivered by other organizations working under UNHCR’s coordination with funding provided UNHCR.<sup>1524</sup>

In order to fulfill its mandate, UNHCR has established partnerships with a wide variety of organizations:<sup>1525</sup>

- Governments: States established legal framework of UNHCR’s work and are represented on Executive Committee.<sup>1526</sup> They provide funds and grant permission to operate on their territory.<sup>1527</sup> UNHCR is sometimes obliged to work through large government structures, such as in Sudan, as this is the only way it can operate.<sup>1528</sup>
- UN system and other IGOs: UNHCR works with the coordination bodies of the UN. It is part of the Delivering as One initiative and the cluster approach, where it serves as the lead in the areas of protection, emergency shelter, and camp coordination and management in situations of internal displacement resulting from conflicts. UNHCR also has bilateral partnerships with other UN agencies; Memorandums of Understanding clarify areas of cooperation and the division of responsibilities in the field.<sup>1529</sup> UNHCR also works with the International Organization for Migration and other IGOs not in the UN system.<sup>1530</sup>
- The Red Cross and Red Crescent Movement: UNHCR also has a long-standing relationship with the ICRC, the IFRC and the National Societies.
- NGOs: NGOs, the largest group of partners, include a majority of local and national NGOs, which have better knowledge of the local situation and a

<sup>1519</sup> Loescher, Betts & Milner, 2008, p. 4.

<sup>1520</sup> UNHCR, 2007b, p. 10.

<sup>1521</sup> Loescher, Betts & Milner, 2008, p. 89f.; UNHCR, 2007b, p. 6; UNHCR, 2003, p. 28ff.

<sup>1522</sup> Loescher, Betts & Milner, 2008, p. 89f.; UNHCR, 2011a, p. 179; UNHCR, 2007b, p. 7; UNHCR, 2003, p. 30;

<sup>1523</sup> Loescher, Betts & Milner, 2008, p. 89; UNHCR, 2011a, p. 179; UNHCR, 2007b, p. 6; UNHCR, 2003, p. 30.

<sup>1524</sup> Interview, 12.11.10.

<sup>1525</sup> UNHCR, 2007b, p. 4; Loescher, Betts & Milner, 2008, p. 85; UNHCR, 2011a, p. 65; Interview 12.11.10; Interview, 14.06.11.

<sup>1526</sup> UNHCR, 2000a, p. 2.

<sup>1527</sup> Loescher, 2003, p. 6; UNHCR, 2000a, p. 2f.

<sup>1528</sup> Interview, 12.11.10.

<sup>1529</sup> Memoranda of Understanding have been concluded with WFP, UNDP, UNICEF, UNFPA, UNIFEM and WHO (UNHCR, 2007c, p. 5).

<sup>1530</sup> Loescher, Betts & Milner, 2008, p. 86; UNHCR, 2011a, p. 65ff.

presence in the field, as well as international NGOs.<sup>1531</sup> In 2010, 28% of expenditures were channeled through 687 NGOs, 153 of them international and 534 national.<sup>1532</sup> International NGOs include Oxfam, Save the Children, CARE International, etc. Local or national NGOs normally only work in one country.<sup>1533</sup>

- Corporations: UNHCR also collaborates with the corporate sector, which contributes cash, expertise, goods and media space. Corporate partners notably include, for example, Procter & Gamble, Novartis, Microsoft and Nike.<sup>1534</sup> To ensure the transparency of partnerships, UNHCR has developed a corporate code of conduct specifying the purpose of partnership – to fulfill UNHCR’s mandate and not for commercial reasons – as well as minimum criteria for eligibility.<sup>1535</sup>
- Foundations: UNHCR has also partnered over several years with foundations such as the Bill and Melinda Gates Foundation and the UN Foundation.<sup>1536</sup>
- Goodwill Ambassadors: Finally, UNHCR partners with a number of celebrities who advocate and raise awareness.<sup>1537</sup>

It must be also noted that competition with other organizations exists,<sup>1538</sup> much more than in the past.<sup>1539</sup> UNHCR has expressed resistance to coordination by other bodies. It notably considers the Office for the Coordination of Humanitarian Assistance as competition.<sup>1540</sup> Black also confirms this when speaking of the establishment of the office: “As in any situation where one body is set up to coordinate the work of much larger and more experienced bodies (...), especially when speed and effectiveness on the ground is essential, there were difficulties and much treading on toes”.<sup>1541</sup>

Other organizations, such as ICRC, have never been considered as competition. Thanks to Memorandums of Understanding with many different UN agencies, labor is clearly divided, which reduces competition. WFP, for example, also has a clear niche – delivery of food assistance – so it is not considered as competition.

<sup>1531</sup> Loescher, Betts & Milner, 2008, p. 89f.; UNHCR, 2007b, p. 5f.; UNHCR, 2003, p. 28ff. To be implementing partners, NGOs must fulfill basic conditions, including notably strict financial and accountability requirements, as well as willingness to adhere to UNHCR’s rules and procedures. Other criteria include quality of service, rapid response, local experience, contribution of resources, continuity of staff, previous experience working with UNHCR, and phase-out potential (UNHCR, 2007b, p. 14; UNHCR, 2003, p. 31f.).

<sup>1532</sup> UNHCR, 2011a, p. 69.

<sup>1533</sup> Interview, 12.11.10.

<sup>1534</sup> UNHCR, 2011a, p. 69f.

<sup>1535</sup> UNHCR, 2011c. For example, UNHCR does not partner with companies that manufacture or sell weapons, that use forced or child labor or that operate in countries subject to UN sanctions. Other elements discussed in the code include transparency and impartiality, non-exclusivity and non-preferential treatment, acknowledgement and visibility of the UNHCR logo.

<sup>1536</sup> UNHCR, 2011a, p. 70.

<sup>1537</sup> UNHCR, 2011a, p. 71.

<sup>1538</sup> Interview, 14.06.11; Loescher, 2001, p. 358; Wigley, 2005, p. 3; 81.

<sup>1539</sup> Gottwald, 2010, p. 1; Interview, 12.11.10.

<sup>1540</sup> Interview, 12.11.10.

<sup>1541</sup> Black, 2008, p. 64.



The UN cluster approach has also helped to set out a division of labor that is understood and recognized, so that competition is avoided.<sup>1542</sup> There may however, be some competition, as the approach is not always straightforward.<sup>1543</sup>

#### 6.1.4 Organizational structure and human resources

UNHCR headquarters are in Geneva, Switzerland.<sup>1544</sup> The simplified organizational structure is shown **Figure VII.43**. Its bodies are the following:

- Executive Committee: Composed of 79 Member States,<sup>1545</sup> the Executive Committee meets on an annual basis to approve programs and budget, to reach conclusions on international protection issues, as well as to discuss other issues. A Standing Committee meets during the year to carry on work.<sup>1546</sup>
- High Commissioner: Appointed by the UN General Assembly for a five-year term,<sup>1547</sup> the High Commissioner is responsible for the overall direction and control of UNHCR.<sup>1548</sup> He/she reports annually to the UN General Assembly through the Economic and Social Council.<sup>1549</sup>
- Deputy High Commissioner: He/she leads the management, finance and administration functions.<sup>1550</sup> Different divisions, including external relations, human resources and finances, are under his/her responsibility.<sup>1551</sup>
- Assistant High Commissioner for Operations: Worldwide operations are carried out under the responsibility of the Assistant High Commissioner for Operations.<sup>1552</sup> As shown in the figure, five regional bureaus link headquarters and the different offices in the field.
- Assistant High Commissioner for Protection: He/she notably oversees the following areas: development of protection policy, advocacy for the rule of law and implementation of standards.<sup>1553</sup> The Division of International Protection reports directly to the Assistant High Commissioner for Protection.

<sup>1542</sup> Interview, 12.11.10.

<sup>1543</sup> Interview, 14.06.11.

<sup>1544</sup> Loescher, Betts & Milner, 2008, p. 79 f.; UN General Assembly, 1950, Art. 19; Walker & Maxwell, 2009, p. 100.

<sup>1545</sup> Figure for 2010. UNHCR, 2011a, p. 2; 148.

<sup>1546</sup> Loescher, Betts & Milner, 2008, p. 77.

<sup>1547</sup> Interview, 12.11.10.

<sup>1548</sup> UNHCR, 2011d.

<sup>1549</sup> Loescher, Betts & Milner, 2008, p. 75; UN General Assembly, 1950, Chap. Art. 11.

<sup>1550</sup> UNHCR, 2011a, p. 372.

<sup>1551</sup> Loescher, Betts & Milner, 2008, p. 80.

<sup>1552</sup> UNHCR, 2011a, p. 377.

<sup>1553</sup> UNHCR, 2011a, p. 379. The position was established in 2006 to increase the importance of protection. The protection section, above operations until the mid-1980s, had been downgraded in the organizational structure to make UNHCR more operational. Tensions between protection and operations, important in the 1990s, are still a challenge today (Loescher, Betts & Milner, 2008, p. 80f.).



The Executive Office is the top level of senior management in UNHCR<sup>1555</sup> and is composed of the High Commissioner, the Deputy High Commissioner, the Assistant High Commissioner for Operations, the Assistant High Commissioner for Protection and other executive officers.<sup>1556</sup> The Senior Management Committee is the top level of senior management and is composed of 20 to 22 people.<sup>1557</sup>

A UNHCR office is located in New York to represent the organization at the UN,<sup>1558</sup> and a center in Budapest is responsible for certain administrative functions.<sup>1559</sup> UNHCR also has regional offices covering several countries, country offices in countries with a large population of concern, sub-offices in strategic locations, and field offices in more remote locations. The latter are administered by a sub-office or a country office.<sup>1560</sup> With 378 offices in 125 countries in 2010,<sup>1561</sup> UNHCR is present worldwide in a very wide range of operational environments.<sup>1562</sup>

In 2010, UNHCR had 6'314 regular staff members, 876 of them at headquarters and 5'438 which were in the field.<sup>1563</sup> Workforce is very diverse, with the employment of some 150 nationalities.<sup>1564</sup> Staff also works in a wide variety of areas, including protection and legal work, administration, community services, public affairs, logistics, health and gender.<sup>1565</sup>

In order to respond rapidly to emergencies, UNHCR also maintains a pool of 300 persons that can be deployed within 72 hours.<sup>1566</sup> **Figure VII.44** shows the number of emergency deployments according to profile.

Working conditions are particularly difficult. Almost half of all stations are in remote and difficult locations characterized by insecurity.<sup>1567</sup> Job security is also an issue: most contracts are short term, staff expanding and contracting according to crises.<sup>1568</sup> Staff turnover is high.<sup>1569</sup>

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<sup>1555</sup> Interview, 12.11.10.

<sup>1556</sup> Loescher, Betts & Milner, 2008, p. 80.

<sup>1557</sup> Interview, 12.11.10.

<sup>1558</sup> UNHCR, 2011a, p. 372.

<sup>1559</sup> UNHCR, 2007d, p. 40.

<sup>1560</sup> Loescher, Betts & Milner, 2008, p. 82f.

<sup>1561</sup> UNHCR, 2011a, p. 2.

<sup>1562</sup> Loescher, Betts & Milner, 2008, p. 73.

<sup>1563</sup> UNHCR, 2011a, p. 2.

<sup>1564</sup> Türk & Eyster, 2010, p. 160.

<sup>1565</sup> UNHCR, 2011f.

<sup>1566</sup> UNHCR, 2011a, p. 139; UNHCR, 2010a, p. 111.

<sup>1567</sup> Executive Committee of the High Commissioner's Programme, 2010, p. 2; 4; Loescher, 2001, p. 361.

<sup>1568</sup> Loescher, 2001, p. 361.

<sup>1569</sup> Gottwald, 2010, p. 19.

Profile	Number of deployments
Protection officer	53
Cluster lead	34
Technical	32
Senior emergency team lead	19
External relations	18
Community services / gender / education	16
Supply / logistics	15
Program officer	13
Field officer	12
Administration / finance / human resources	10
IT / telecom	7
Technical GSP	5
Security	2
<b>Total</b>	<b>236</b>

Figure VII.44: Number of emergency deployments 2010 by profile<sup>1570</sup>

### 6.1.5 Management philosophy

#### *a Management reforms*

In 2006, an important management reform, known as the structural and management change process was launched in order to redistribute resources from headquarters to the field and to increase effectiveness and responsiveness.<sup>1571</sup> Reforms focused on three main areas:<sup>1572</sup>

- Structures: This included moving certain administrative and centralized support functions to Budapest in order to reduce costs, as well as the strengthening of regional offices and the decentralization of certain operational support functions.
- Processes: This involved clarifying organizational priorities, and notably revising global strategic objectives. Other initiatives include a resource allocation model and the redesign of the budget's structure.
- Workforce and implementing arrangements: This involved aligning staff policies with needs and reviewing composition and deployment, as well as the introduction of a staff survey. The balance between direct implementation and implementation by partners was also reviewed.

Concluded in 2009,<sup>1573</sup> the reforms have resulted in a significant reduction in staff and headquarters costs.<sup>1574</sup> UNHCR is now implementing, consolidating and fine-tuning.<sup>1575</sup>

<sup>1570</sup> UNHCR, 2011a, p. 140.

<sup>1571</sup> Loescher, Betts & Milner, 2008, p. 68; UNHCR, 2006, p. 308; UNHCR, 2007d, p. 40.

<sup>1572</sup> UNHCR, 2007d, p. 40.

<sup>1573</sup> Interview, 14.06.11; UNHCR, 2009a, p. 5.

<sup>1574</sup> UNHCR, 2011a, p. 6; UNHCR, 2010a, p. 7; UNHCR, 2010b, p. 3; UNHCR, 2009b, p. 3ff.

## **b Results-based management**

UNHCR has also continued to move towards the implementation of results-based management, defined as “a management philosophy and approach that emphasizes the achievement of results as the essential task of management”.<sup>1576</sup> Although UNHCR began to move towards results-based management in the 1990s with the introduction of logical framework approaches, it has been implemented much more rapidly since the launch of the reform process described above.<sup>1577</sup>

Several initiatives constitute the basis of results-based management in UNHCR.<sup>1578</sup>

- The results framework consists in a standardized logical framework categorizing UNHCR’s activities. For each population planning group, namely the segments of the population of concern, one or more goals are identified. At a lower level, 9 rights groups are listed, each corresponding to a type of support that UNHCR provides, under which 78 objectives are found. Each objective includes outputs (770 in total). Each objective is also linked to an impact indicator, and each output is also linked to a performance indicator. The framework is characterized by a hierarchal logic.<sup>1579</sup> **Figure VII.45** shows the results framework. Software was also notably developed to support this framework.<sup>1580</sup>
- The Global Needs Assessment refers to needs at world level and the respective budget requirements. The Comprehensive Needs Assessment refers to the assessment of needs at the country level. Both aim to determine the needs of populations of concern and the resulting resource gaps. Two documents result from the Comprehensive Needs Assessment: the Comprehensive Plan (plan of action; part of the annual planning process) and the Comprehensive Budget (funding requirements for the implementation of the plan).<sup>1581</sup> Piloted in eight countries in 2008,<sup>1582</sup> it was introduced on a global level in 2009.<sup>1583</sup>
- A budget structure, based on the results framework,<sup>1584</sup> was also developed.
- Finally, the Global Management Accountability Framework clarifies accountabilities, responsibilities and authorities at the country, regional and headquarters levels.<sup>1585</sup>

<sup>1575</sup> Interview, 14.06.11; UNHCR, 2011a, p. 372.

<sup>1576</sup> UNHCR, 2011a, p. 181.

<sup>1577</sup> Allen & Li Rossi, 2010, p. 1.

<sup>1578</sup> UNHCR, 2009b, p. 7; UNHCR, 2009c, p. 294.

<sup>1579</sup> Allen & Li Rossi, 2010, p. 19.

<sup>1580</sup> Allen & Li Rossi, 2010, p. 23; Interview, 14.06.11; Türk & Eyster, 2010, p. 168f.; UNHCR, 2009b, p. 7; UNHCR, 2007d, p. 341.

<sup>1581</sup> Allen & Li Rossi, 2010, p. 7.

<sup>1582</sup> UNHCR, 2009a, p. 66; UNHCR, 2009b, p. 7; UNHCR, 2009c, p. 294.

<sup>1583</sup> UNHCR, 2010a, p. 70; UNHCR, 2009a, p. 66; UNHCR, 2009b, p. 7.

<sup>1584</sup> UNHCR, 2007d, p. 341.

<sup>1585</sup> Interview, 14.06.11; Türk & Eyster, 2010, p. 170; UNHCR, 2010b, p. 5; UNHCR, 2009b, p. 8.

Pillars	Global refugee program			Global stateless program		Global reintegration projects			Global internally displaced persons projects		
Goals	Emergency response	Protection pending solutions	Protection and mixed solutions	Reintegration	Voluntary return	Local integration	Resettlement	Capacity building	Advocacy for protection and solutions	Resource mobilization	UNHCR global management
Rights groups	Favorable protection environment	Fair protection processes and documentation	Security from violence and exploitation	Basic needs and essential services	Community empowerment and self reliance	Durable solutions	Leadership, coordination and partnerships	Logistics and operations support	Headquarters and regional support		
Objectives and impact indicators	<ul style="list-style-type: none"><li>...</li><li>...</li><li>...</li><li>...</li></ul>	<ul style="list-style-type: none"><li>...</li><li>...</li><li>...</li><li>...</li></ul>	<ul style="list-style-type: none"><li>...</li><li>...</li><li>...</li><li>...</li></ul>	<ul style="list-style-type: none"><li>...</li><li>...</li><li>...</li><li>...</li></ul>	<ul style="list-style-type: none"><li>...</li><li>...</li><li>...</li><li>...</li></ul>	<ul style="list-style-type: none"><li>...</li><li>...</li><li>...</li><li>...</li></ul>	<ul style="list-style-type: none"><li>...</li><li>...</li><li>...</li><li>...</li></ul>	<ul style="list-style-type: none"><li>...</li><li>...</li><li>...</li><li>...</li></ul>	<ul style="list-style-type: none"><li>...</li><li>...</li><li>...</li><li>...</li></ul>		
Outputs and performance indicators	<ul style="list-style-type: none"><li>...</li><li>...</li><li>...</li><li>...</li></ul>	<ul style="list-style-type: none"><li>...</li><li>...</li><li>...</li><li>...</li></ul>	<ul style="list-style-type: none"><li>...</li><li>...</li><li>...</li><li>...</li></ul>	<ul style="list-style-type: none"><li>...</li><li>...</li><li>...</li><li>...</li></ul>	<ul style="list-style-type: none"><li>...</li><li>...</li><li>...</li><li>...</li></ul>	<ul style="list-style-type: none"><li>...</li><li>...</li><li>...</li><li>...</li></ul>	<ul style="list-style-type: none"><li>...</li><li>...</li><li>...</li><li>...</li></ul>	<ul style="list-style-type: none"><li>...</li><li>...</li><li>...</li><li>...</li></ul>	<ul style="list-style-type: none"><li>...</li><li>...</li><li>...</li><li>...</li></ul>		

Figure VII.45: Results framework<sup>1586</sup>

### c Evaluation

Another important aspect of UNHCR's management philosophy is evaluation. UNHCR defines evaluation as "the analysis and assessment, as systematic and objective as possible, of the organization's policies, programmes, practices, partnerships and procedures, focusing on their planning, design, implementation and impact".<sup>1587</sup> The main purpose of evaluation is "to provide UNHCR managers, staff and partner organizations with useful information, analysis and recommendations, thereby enabling the organization to engage in effective policymaking, planning, programming and implementation".<sup>1588</sup>

Evaluation is not considered to be separate from policy development.<sup>1589</sup> They are "two sides of the same coin". Policies are developed based on the results and

<sup>1586</sup> Own elaboration based on Executive Committee of the High Commissioner's Programme, 2011a, p. 15.

<sup>1587</sup> UNHCR Policy Development and Evaluation Service, 2010, p. 1.

<sup>1588</sup> UNHCR Policy Development and Evaluation Service, 2010, p. 2. Other purposes given include, for example, learning from experiences, strengthening accountability, identifying good practices, increasing understanding of UNHCR's work and giving stakeholders – notably beneficiaries – the opportunity to present their views.

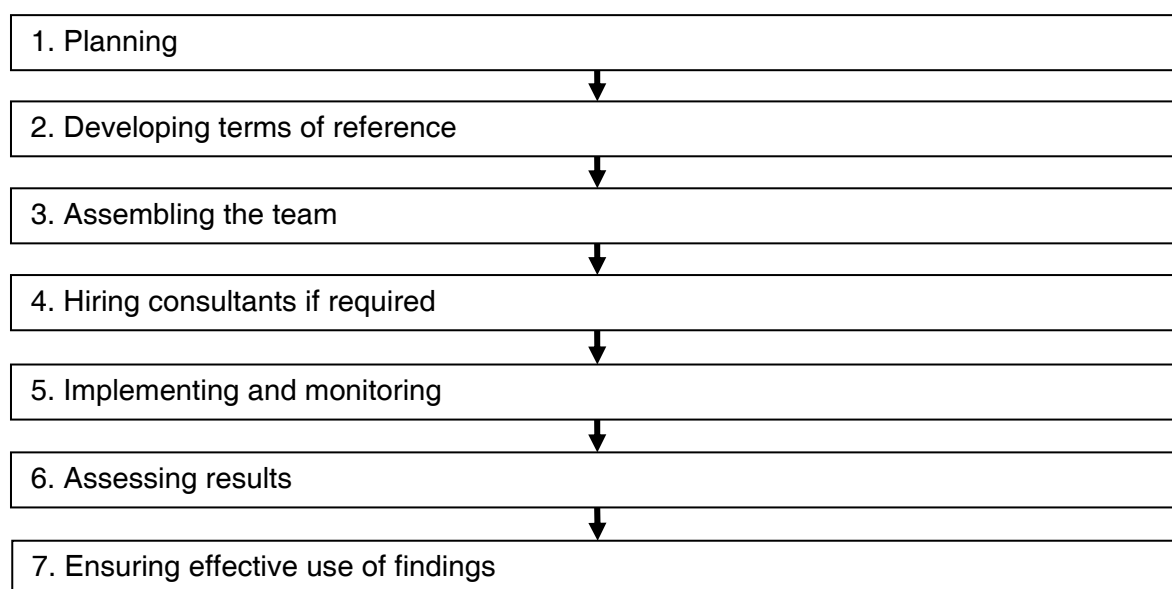
<sup>1589</sup> Interview, 12.11.10.

recommendations of evaluations. Evaluations are also carried out on policy issues.<sup>1590</sup>

The principles of transparency, independence, consultation, relevance and integrity guide the evaluation of UNHCR's activities.<sup>1591</sup>

The Policy Development and Evaluation Service, part of the Executive Office, is responsible for evaluation in UNHCR.<sup>1592</sup> The implementation and impact in the field of policies are evaluated, and recommendations for improvement are then made.<sup>1593</sup> For example, after the development of the Policy on Refugee Protection and Solutions in Urban Areas, evaluations of its implementation in the field were undertaken.<sup>1594</sup>

A seven-step process, shown in **Figure VII.46**, is followed to carry out evaluations.



**Figure VII.46: Evaluation steps**<sup>1595</sup>

Planning includes determining the questions to ask, the appointment of an evaluation project manager, the development of an evaluation design and the formation of a steering committee. The second step consists in developing terms of reference. Key elements include describing the context, developing objectives, determining methods, describing the qualifications of evaluators, setting dates, establishing budget, consulting stakeholders and assembling background

<sup>1590</sup> Crisp, 2006, p. 2.

<sup>1591</sup> UNHCR Policy Development and Evaluation Service, 2010, p. 3.

<sup>1592</sup> UNHCR Policy Development and Evaluation Service, 2010, p. 8f.

<sup>1593</sup> Interview, 12.11.10.

<sup>1594</sup> Executive Committee of the High Commissioner's Programme, 2011b, p. 4; Interview, 12.11.10; Riiskjaer & Bonnici, 2011, p. 1.

<sup>1595</sup> Own elaboration based on UNHCR Evaluation and Policy Analysis Unit, 2005, p. 3ff.

documentation. The third step, assembling the team, includes assembling a balanced team based on a variety of skills, gender, age, experience and knowledge. The type of team (internal, external, mixed, inter-agency or externally-led) and its size is determined, and a team leader is chosen. The fourth step concerns the hiring of a consultant, if necessary. Implementation and monitoring of the evaluation begin in the fifth step. Information is provided and a briefing takes place. A desk study may be conducted, and field visits are organized. Field work is then presented and progress updates are given by the leader. A meeting with the steering committee is also useful to share initial findings. The sixth step concerns the assessment of results. This involves drafting the report, ensuring its consistency and conformance to formats, sharing it with stakeholders and incorporating their comments, as well as reviewing the report. The report is then accepted and released. In the seventh and final step, measures are taken to ensure that the findings of the evaluation are used in an effective manner.<sup>1596</sup>

### 6.1.6 Key financial figures

UNHCR's funding system is specified in its Statute. According to Article 20, "no expenditure other than administrative expenditures relating to the functioning of the Office of the High Commissioner shall be borne on the budget of the United Nations and all other expenditures relating to the activities of the High Commissioner shall be financed by voluntary contributions".<sup>1597</sup> In other words, UNHCR receives a small contribution from the UN regular budget to cover administrative costs.<sup>1598</sup> All other costs are funded almost entirely by voluntary contributions.<sup>1599</sup>

UNHCR's budget was previously based on expected income,<sup>1600</sup> that is, on what it predicted donors would give.<sup>1601</sup> As part of its management reform, UNHCR moved towards a needs-based budget,<sup>1602</sup> or a budget based on a comprehensive assessment of the needs of population groups. One staff member says this "is what we feel we need globally to do everything that needs to be done" or "a type of budget target".<sup>1603</sup> As a result of the new way of budgeting, the budget has increased significantly.<sup>1604</sup> UNHCR also moved towards biannual budgeting<sup>1605</sup> for

<sup>1596</sup> UNHCR Evaluation and Policy Analysis Unit, 2005, p. 3ff.

<sup>1597</sup> UN General Assembly, 1950, Art. 20.

<sup>1598</sup> Loescher, Betts & Milner, 2008, p. 14; 91f.; Sultan-Khan, 2010, p. 725; UNHCR, 2003, p. 43.

<sup>1599</sup> Barnett & Finnemore, 2004, p. 73; 84; Interview, 12.11.10; Loescher, 2003, p. 6; Loescher, 2001, p. 349; Loescher, Betts & Milner, 2008, p. 91f.; Sultan-Khan, 2010, p. 725; UNHCR, 2010a, p. 10; UNHCR, 2003, p. 43; Väyrynen, 2001, p. 150; Walker & Maxwell, 2009, p. 101.

<sup>1600</sup> UNHCR, 2009a, p. 68.

<sup>1601</sup> Interview, 14.06.11.

<sup>1602</sup> UNHCR, 2010a, p. 8.

<sup>1603</sup> Interview, 12.11.10.

<sup>1604</sup> Interview, 14.06.11; UNHCR, 2011a, p. 80.

<sup>1605</sup> Interview, 14.06.11.



the first time in 2008-2009,<sup>1606</sup> notably in order to increase the predictability of funding.<sup>1607</sup> The 2010 budget amounted to some USD 3 billion.<sup>1608</sup> The 2011 budget, originally set at approximately USD 2.8 billion, was subsequently revised to some USD 3.3 billion.<sup>1609</sup>

The budget structure is based on four pillars representing the needs of different population groups: refugees, stateless, reintegration and internally-displaced persons.<sup>1610</sup> The allocation by pillar of the 2010 budget is shown in **Figure VII.47**.

Pillar	Amount	Percentage
Pillar 1: Refugees	2158.6	71.8%
Pillar 2: Stateless	38.5	1.3%
Pillar 3: Reintegration	156.4	5.2%
Pillar 4: Internally displaced persons	653.8	21.7%
<b>Total</b>	<b>3007.3</b>	<b>100.0%</b>

**Figure VII.47: Budget 2010 (rounded in USD million)**<sup>1611</sup>

However, the target is never reached in terms of what is received. Only approximately two thirds of what is really needed is received.<sup>1612</sup> In 2010, total contributions amounted to USD 1.9 billion.<sup>1613</sup> The contribution from the UN regular budget amounted to USD 39.6 million or approximately 2% of total contributions.<sup>1614</sup> UNHCR received approximately USD 1.86 billion, or 98%, in voluntary contributions.<sup>1615</sup> **Figure VII.48** shows the sources of voluntary contributions in 2010.

Governmental donors and the European Commission	1'710.1
Intergovernmental donors	7.2
UN funds	77.8
Private donors	68.8
<b>Total</b>	<b>1'863.9</b>

**Figure VII.48: Voluntary contributions 2010 in millions of CHF (rounded)**<sup>1616</sup>

As shown, most funds were received from governments and the European Commission. In 2010, contributions from the 10 most important government

<sup>1606</sup> UNHCR, 2006, p. 310.

<sup>1607</sup> UNHCR, 2007d, p. 8.

<sup>1608</sup> UNHCR, 2011a, p. 72; 372; UNHCR, 2009a, p. 68.

<sup>1609</sup> UNHCR, 2010a, p. 71.

<sup>1610</sup> Allen & Li Rossi, 2010, p. 27; UNHCR, 2010a, p. 10f.; 71.

<sup>1611</sup> UNHCR, 2009a, p. 70; 73. Pillar 1 includes an operational reserve.

<sup>1612</sup> Interview, 12.11.10.

<sup>1613</sup> UNHCR, 2011a, p. 83.

<sup>1614</sup> UNHCR, 2011a, p. 75; 83.

<sup>1615</sup> UNHCR, 2011a, p. 72; 75.

<sup>1616</sup> UNHCR, 2011a, p. 85ff.

donors represented over 75% of total contributions.<sup>1617</sup> Intergovernmental donors include contributions from, for example, the Economic Community of West African States, the OPEC Fund for International Development, the Intergovernmental Authority on Development or the African Union. UN funds include contributions from various UN funds such as the Central Emergency Response Fund, the Common Humanitarian Fund for Sudan and the Joint UN Programme on HIV and AIDS.<sup>1618</sup> Finally, contributions from the private sector were given by individuals (68%), corporations (25%) and foundations (7%).<sup>1619</sup>

The interests of donors play an important role in funding,<sup>1620</sup> and the earmarking of funds is common.<sup>1621</sup> In 2010, 53% of funds were tightly earmarked, 29% were broadly earmarked and 18% had no restrictions.<sup>1622</sup>

UNHCR refuses funds from companies involved in the manufacture of arms and landmines, etc. However, there are no general rules on the acceptance of contributions from governments.<sup>1623</sup>

To fund its operations, UNHCR launches appeals.<sup>1624</sup> A global appeal is launched each year in December.<sup>1625</sup> UNHCR also launches supplementary appeals throughout the year for unpredicted emergencies and special situations.<sup>1626</sup> UNHCR also participates in consolidated and flash appeals.<sup>1627</sup>

UNHCR also disposes of reserves. The operational reserve addresses “new and unforeseen emergencies” and amounts to 10% of the requirements of pillars 1 and 2. A reserve also exists for new or additional activities which are mandate related.<sup>1628</sup>

<sup>1617</sup> The ten largest donors were, in order of importance, the United States of America, Japan, the European Commission, Sweden, Norway, the Netherlands, the United Kingdom, Denmark, Germany and Canada (UNHCR, 2011a, p. 75; 85).

<sup>1618</sup> UNHCR, 2011a, p. 86.

<sup>1619</sup> UNHCR, 2011a, p. 76. This does not include a contribution of USD 3.9 million from the United Arab Emirates Red Crescent.

<sup>1620</sup> Loescher, 2003, p. 6.

<sup>1621</sup> Loescher, Betts & Milner, 2008, p. 92.

<sup>1622</sup> UNHCR, 2011a, p. 77. Tightly earmarked contributions are those which are earmarked at the country, thematic or sector level. Broadly earmarked contributions are those which are earmarked at the regional or subregional level.

<sup>1623</sup> Interview, 12.11.10.

<sup>1624</sup> UNHCR, 2010a, p. 10.

<sup>1625</sup> Interview, 14.06.11.

<sup>1626</sup> UNHCR, 2011g.

<sup>1627</sup> UNHCR, 2011a, p. 97.

<sup>1628</sup> UNHCR, 2010a, p. 73.

Total expenditure in 2010 amounted to some USD 1.88 billion.<sup>1629</sup> Expenditure by pillar is shown in **Figure VII.49**.

Pillar	Amount	Percentage of need	Percentage
Pillar 1: Refugees	1353	62.7%	72.0%
Pillar 2: Stateless	29	75.3%	1.5%
Pillar 3: Reintegration	90	57.6%	4.8%
Pillar 4: Internally displaced persons	406	62.1%	21.6%
<b>Total</b>	<b>1878</b>	<b>62.5%</b>	<b>100.0%</b>

**Figure VII.49: Expenditure 2010 (rounded in USD million)<sup>1630</sup>**

UNHCR is currently in the process of implementing the International Public Sector Accounting Standards.<sup>1631</sup> Audits are carried out by the UN Office of Internal Oversight Services.<sup>1632</sup>

### 6.1.7 Main challenges

This section is based on the author's understanding of the organization's main challenges for the future. The text may therefore not correspond to UNHCR's view of the challenges it faces.

The first challenge faced by UNHCR concerns the expansion of its mandate. UNHCR's original mandate was limited to refugees of the Second World War in Europe.<sup>1633</sup> Over time, the organization has expanded in mandate in terms of geography, range of activities and beneficiaries.<sup>1634</sup> Its mandate has notably expanded to internally displaced persons and victims of natural disasters.<sup>1635</sup> UNHCR's expanding role, notably in the protection of the internally displaced, has been disputed. The main concern put forward is states' possible instrumentalization of the organization, which could undermine or go against its core mandate of protecting refugees. A main challenge therefore consists in carrying out such activities without eroding its refugee protection mandate.<sup>1636</sup>

A second challenge for UNHCR is its response to trends of more complex displacement. Factors such as climate change are contributing towards an

<sup>1629</sup> UNHCR, 2011a, p. 2; 6; 80.

<sup>1630</sup> UNHCR, 2011a, p. 80; 83. The percentage of need is calculated by dividing the 2010 expenditure by the 2010 budget and multiplying by 100.

<sup>1631</sup> UNHCR, 2011a, p. 376.

<sup>1632</sup> Dunlop, 2011, p. 29; UNHCR, 2011a, p. 376.

<sup>1633</sup> Barnett & Finnemore, 2004, p. 84.

<sup>1634</sup> Crisp, 2009, p. 73ff.; Loescher, 2009, p. 46; UNHCR, 2000a, p. 3.

<sup>1635</sup> Crisp, 2009, p. 73f.; Loescher, 2009, p. 46; Loescher, Betts & Milner, 2008, p. 3; 67; 119.

<sup>1636</sup> Loescher, 2009, p. 46; Loescher, Betts & Milner, 2008, p. 109ff.

increase in the size and complexity of forced displacement.<sup>1637</sup> Climate change, referred to as a “force multiplier”, is responsible for displacement itself, but also reinforces the factors causing displacement.<sup>1638</sup> There is a need for UNHCR to determine its response and role in this new complex environment.

Challenges also remain with regards to reporting. One challenge is that information from the field also comes from implementing partners. These partners, when not funded by UNHCR, may collect information in a different manner.<sup>1639</sup> One of the notable reporting problems is the increasing amount of time spent on the task, which diverts staff away from their primary activity of protecting persons of concern.<sup>1640</sup> This point is made by Loescher, Betts & Milner: “UNHCR staff in the field increasingly complain about the seemingly uncoordinated and multiplying demands from headquarters for written reports and the volume of policies, guidelines and directives issued from headquarters that the field is expected to rapidly implement. Many staff in the field believe that these requirements from headquarters are not only unnecessary, but they take valuable time away from their protection work with refugees.”<sup>1641</sup> One staff member said the following: “Funding is still based on governments, not on private citizens, which is not so good. (...) Donors permanently require reports; it becomes a reporting organization for these reasons. It’s an ongoing story and it’s paralysing”.<sup>1642</sup>

Another challenge in UNHCR is the divide between field and headquarters. Mannet even states that there are “serious issues of organizational culture relating to (...) [headquarters]/field interface and that the processes are very much geared to (...) [headquarters] as opposed to field realities”.<sup>1643</sup> Field staff feels that headquarters is not oriented towards the needs in the field.<sup>1644</sup> Headquarters’ reporting requirements and expectations to absorb important quantities of policies and guidelines, as described above, contribute to feelings of “bombardment” and “persecution” in the field.<sup>1645</sup>

Finally, several challenges remain in the area of human resources. Areas requiring improvement include career counseling, the identification of learning needs, as well as the postings system, which lacks transparency and effectiveness in placing “the right staff in the right position”.<sup>1646</sup>

<sup>1637</sup> Guterres, 2008, p. 90; Loescher, 2009, p. 47; Sultan-Khan, 2010, p. 725f.; UNHCR, 2010a, p. 4f.

<sup>1638</sup> Guterres, 2008, p. 99.

<sup>1639</sup> Interview, 14.06.11.

<sup>1640</sup> Interview, 14.06.11; Loescher, Betts & Milner, 2008, p. 83; Wigley, 2005, p. 3; 19.

<sup>1641</sup> Loescher, Betts & Milner, 2008, p. 83.

<sup>1642</sup> Cited in Wigley, 2005, p. 19.

<sup>1643</sup> Mannet, 2005, p. 10.

<sup>1644</sup> Mannet, 2005, p. 10.

<sup>1645</sup> Wigley, 2005, p. 3; 52ff.

<sup>1646</sup> UNHCR, 2010a, p. 24f.

## 6.2 Strategic planning at UNHCR

### 6.2.1 Understanding of strategy

The term strategy is found in numerous UNHCR documents. A search by the author of UNHCR's website showed that the term is used very sparingly until the end of the 1980s. Starting from the 1990s, its use increases strongly. One definition found by the author is given in guidelines for the field written in 1999. Strategy is defined as "a clear vision of what you want to achieve (goals and objectives) and why, as well as the overall means and time frame (the "how", the tactics) to achieve it."<sup>1647</sup>

Similar definitions were given by staff during interviews. For one UNHCR staff member, a strategy is "how you achieve a set objective". The following questions illustrate this: "How do you get there?", "What is your roadmap?" and "What is your strategy to achieve that objective?".<sup>1648</sup>

Another staff member gives a similar definition, however adds a timeframe: a strategy is "setting out medium to long term objectives and demonstrating how these objectives are going to be achieved". There are two parts to strategy: First, it indicates *where* the organization is going. Second, it indicates *how* to achieve this. UNHCR is relatively strong in the first part and relatively weak in the second part. It reflects on where it wants to be in 5 years on a particular issue, but it is not so strong in specifying the specific steps to take in order to achieve the objective.<sup>1649</sup>

Different "building blocks" must be put into place to achieve an objective. These include, for example, the necessary partners and finances, as well as the political permission from the Executive Committee to move into that direction.<sup>1650</sup> If UNHCR decides to increase its emergency response capacity, for example, "one of the building blocks is to have that we can deliver (...) basic items for 600'000 people within 72 hours". The target is clearly set, but many different elements are necessary to achieve it, and reflections must be made on, for example, warehouses, supply chain, staff and budget procedures.<sup>1651</sup>

Constraints and opportunities should be carefully considered, in order to ensure that strategic objectives are viable and "not just aspirational". The staff member argues that, for example, "we could have an operational policy: (...) in 10 years time we would like to see a world without refugees. We could easily have that policy, but we would have no idea of how... to get there". And if we'd looked to the

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<sup>1647</sup> UNHCR, 1999, p. 7.

<sup>1648</sup> Interview, 14.06.11.

<sup>1649</sup> Interview, 12.11.10.

<sup>1650</sup> Interview, 12.11.10.

<sup>1651</sup> Interview, 14.06.11.

opportunities and constraints, we'd very quickly realize it was an unobtainable objective, so it's no point". A more realistic objective is, for example "in 5 years time, UNHCR should be more systematically involved in major natural disasters, where our assistance is requested by the government concerned".<sup>1652</sup>

A staff member also stressed that strategy can be placed at many different levels. At a very high and general level, strategy is "where UNHCR wants to be in a couple of years". This can then be broken down and made "a little bit more down to earth" by saying, where the organization wants to be, for example on budgeting, fundraising or human resources. The strategy consists in "how can we get there?". A strategy can also be made on a topic issue, for example, the prevention of statelessness, durable solutions or strengthening emergency response capacity, or for a sub-region. A strategy may be necessary "to start moving, to get things back on the agenda and to really move forward", such as in longstanding protracted refugee situations. However, "in the end, all the bits and pieces need to come together at a very high level". This can be lofty and general, leading to the question "But what does that mean?". Strategy must therefore be broken down.<sup>1653</sup>

Finally, the term strategy may also lead to confusion. For a UNHCR staff member, it "is one of the most confusing terminologies used". Many different concepts exist depending on the person's studies and geographical origin: some call an objective a strategy and vice versa. Furthermore, strategy has become a "buzz word" and there is a tendency to use nice terminology with little content behind it. The staff member says, "we always say we have a strategy, but if you look at it, what's underneath it".<sup>1654</sup> While one staff member says the notion of strategic planning is not used much in UNHCR,<sup>1655</sup> another says it is used often: "But it's often at different levels and different purposes and it becomes popular: 'we need to have a strategic plan' ".<sup>1656</sup>

Several requirements for strategic planning are also mentioned. Overall directions should be very clear. Reference is also made to "the chicken or the egg". Strategic planning should come from the field, in order to avoid it becoming a headquarters exercise and questions from the field such as "that's all nice in Geneva, but what am I doing with that in Afghanistan?". It should also be general. This presents the advantage of being applicable worldwide to different operations, however the disadvantage is that it becomes so general, that the question "then what does it mean?" is asked. A balance must be found between the two.<sup>1657</sup>

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<sup>1652</sup> Interview, 12.11.10.

<sup>1653</sup> Interview, 14.06.11.

<sup>1654</sup> Interview, 14.06.10.

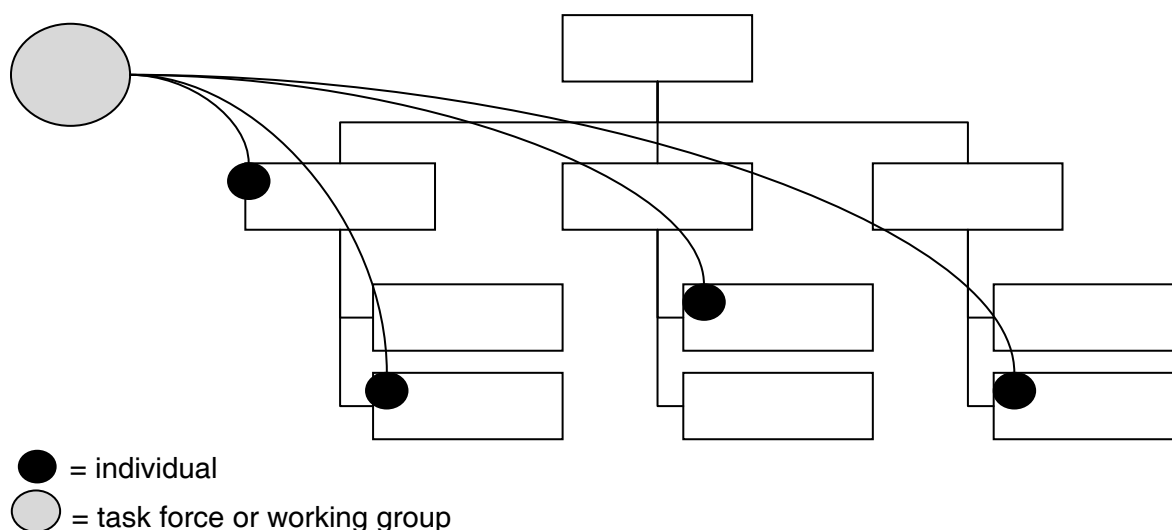
<sup>1655</sup> Interview, 12.11.10.

<sup>1656</sup> Interview, 14.06.11.

<sup>1657</sup> Interview, 14.06.11.

### 6.2.2 Lack of integrated strategic planning

A single centralized strategic planning unit or function does not exist in UNHCR. The term *strategic planning* cannot be found in any unit in the organigram. Furthermore, a proposal to create such a unit has never been made during the periodic restructuring of headquarters. Policy-making and strategic planning take place in an un-centralized and fragmented way. Rather than on formal structures, the process is based on informal networks.<sup>1658</sup> It is considered informal, “because it goes at different levels”.<sup>1659</sup> On a specific issue, individuals from different divisions and sections, such as human resources, budget, health, organizational development and management, are brought together into a task force or a working group to develop policy or plans in a consultative way.<sup>1660</sup> This process is shown in **Figure VII.50**.



**Figure VII.50: Policy-making process**<sup>1661</sup>

Many parts of UNHCR are therefore involved in the policy-making and strategic planning. These include the executive level, as well as different divisions, services and geographical bureaus within the organization.<sup>1662</sup>

In terms of high-level policy-making, the High Commissioner’s Executive Office has the most important role. Global thematic policies are developed on issues affecting UNHCR. These include, for example, the organization’s role in natural disasters, its role with refugees living in urban areas, as well as its role in the return and reintegration of displaced populations.<sup>1663</sup>

<sup>1658</sup> Interview, 12.11.10.

<sup>1659</sup> Interview, 14.06.11.

<sup>1660</sup> Interview, 12.11.10.

<sup>1661</sup> Interview, 12.11.10.

<sup>1662</sup> Interview, 12.11.10; UNHCR Policy Development and Evaluation Service, 2010, p. 9

<sup>1663</sup> Interview, 12.11.10.

The Policy Development and Evaluation Service, which is part of the Executive Office,<sup>1664</sup> notably supports the High Commissioner in this task.<sup>1665</sup> The Service focuses on the identification of the need to update or create new global operational policies and helps formulate them with other divisions, departments and regional Bureaus. It also consults external partners, including academia, research institutes, UN agencies and NGOs.<sup>1666</sup>

The Senior Management Committee, which meets on a weekly basis,<sup>1667</sup> is then consulted, but formally has no right of approval. However, difficulties would arise if members disagreed.<sup>1668</sup> The Committee essentially shares information and sometimes does short-run decision-making, but does not do strategic planning or policy making.<sup>1669</sup> A 2005 report highlighted this: the Committee “serves essentially as a forum for the sharing of information, and lacks time and/or methodology to produce a consensus around high-level policy issues”.<sup>1670</sup> At this very high level, the process is very political. This is because many different constituencies have to be satisfied, including donor states, developing countries, other UN agencies and NGOs. Their endorsement is necessary to move in a strategic direction.<sup>1671</sup>

Other kinds of policy-making and strategic planning are much more technical, and the global policy level is not really involved in these areas due to its lack of technical expertise. These include areas such human resources, administration or procurement. For instance, the High Commissioner decided to make effective emergency response the first priority. This consists in “getting the right people and the right goods to the right place at the right at the lowest possible price”, in other words, ensuring that UNHCR’s supply chain management system is able to respond to new emergencies by being able to fly in tents, blankets, etc. within 24 hours. A strategic planning process therefore should take place within supply chain management. Another example is the planning process for results-based management, which is undertaken by another part of the organization.<sup>1672</sup>

One of the reasons put forward to explain the lack of a clearly defined strategic planning function in the organization is, from the organization’s point of view, the nature of UNHCR’s work. The unpredictability of emergencies plays an important role. As one staff member says, “quite often the kinds of emergencies that we’re called to deal with are not ones that were predicted or perhaps even predictable”.

<sup>1664</sup> Executive Committee of the High Commissioner’s Programme, 2011b, p. 3; UNHCR Policy Development and Evaluation Service, 2010, p. 8.

<sup>1665</sup> Interview, 12.11.10.

<sup>1666</sup> UNHCR Policy Development and Evaluation Service, 2010, p. 9.

<sup>1667</sup> Interview, 12.11.10; Mannet, 2005, p. 21.

<sup>1668</sup> Interview, 14.06.11.

<sup>1669</sup> Interview, 12.11.10.

<sup>1670</sup> Cited in Mannet, 2005, p. 12.

<sup>1671</sup> Interview, 12.11.10.

<sup>1672</sup> Interview, 12.11.10.



For example, UNHCR's operation in Uzbekistan, launched in response to the refugee crisis in Kyrgyzstan, was launched from scratch and under great time pressure, as an office did not exist in Uzbekistan.<sup>1673</sup> This is supported by Väyrynen: "The humanitarian needs to which UNHCR is responding are, in most cases, unpredictable".<sup>1674</sup> The link between unpredictability and planning was highlighted in a review conducted in 2004: "senior officials explained that, given the unpredictability of operations (...), a strategic medium-term plan was not considered very relevant".<sup>1675</sup> Although there are attempts to identify emerging issues and scenarios, as well as to consider their implications and to formulate responses, UNHCR generally tends to be reactive rather than systematically planning for the future. As one UNHCR staff member says, "We're trying to really catch up with what happened yesterday and today".<sup>1676</sup> A 2005 report also stressed the link between UNHCR's short term "crisis mode of operation" and the avoidance of long-term thinking. One staff member argued: "We're CNNish. We respond; we don't do long term strategic planning". Another said, "we're almost always in fire fighting mode, our thinking is not long term".<sup>1677</sup>

Although auditors believe the process should be more formalized, UNHCR puts forward that the advantage of this informal process is that it is more inclusive. Different regional bureaus and sections contribute their expertise and knowledge. This "produces more buy-in" than a single strategic planning unit. Such a unit would be less connected to the rest of the structure, would become isolated and would also generate jealousy, because it would be considered to control policy and planning.<sup>1678</sup>

### 6.2.3 Overview of strategic documents

Numerous strategic documents exist in UNHCR. For this reason, a selection of current documents has been made, and the following text is based on this selection. An overview is shown in **Figure VII.51**.

Each section describes the process of elaboration or revision as well as the responsible organizational units. When possible, a table of contents of the document is presented in order to facilitate comprehension. The content of the document is then given. Finally, when possible, information on the implementation of the document is provided.

<sup>1673</sup> Interview, 12.11.10.

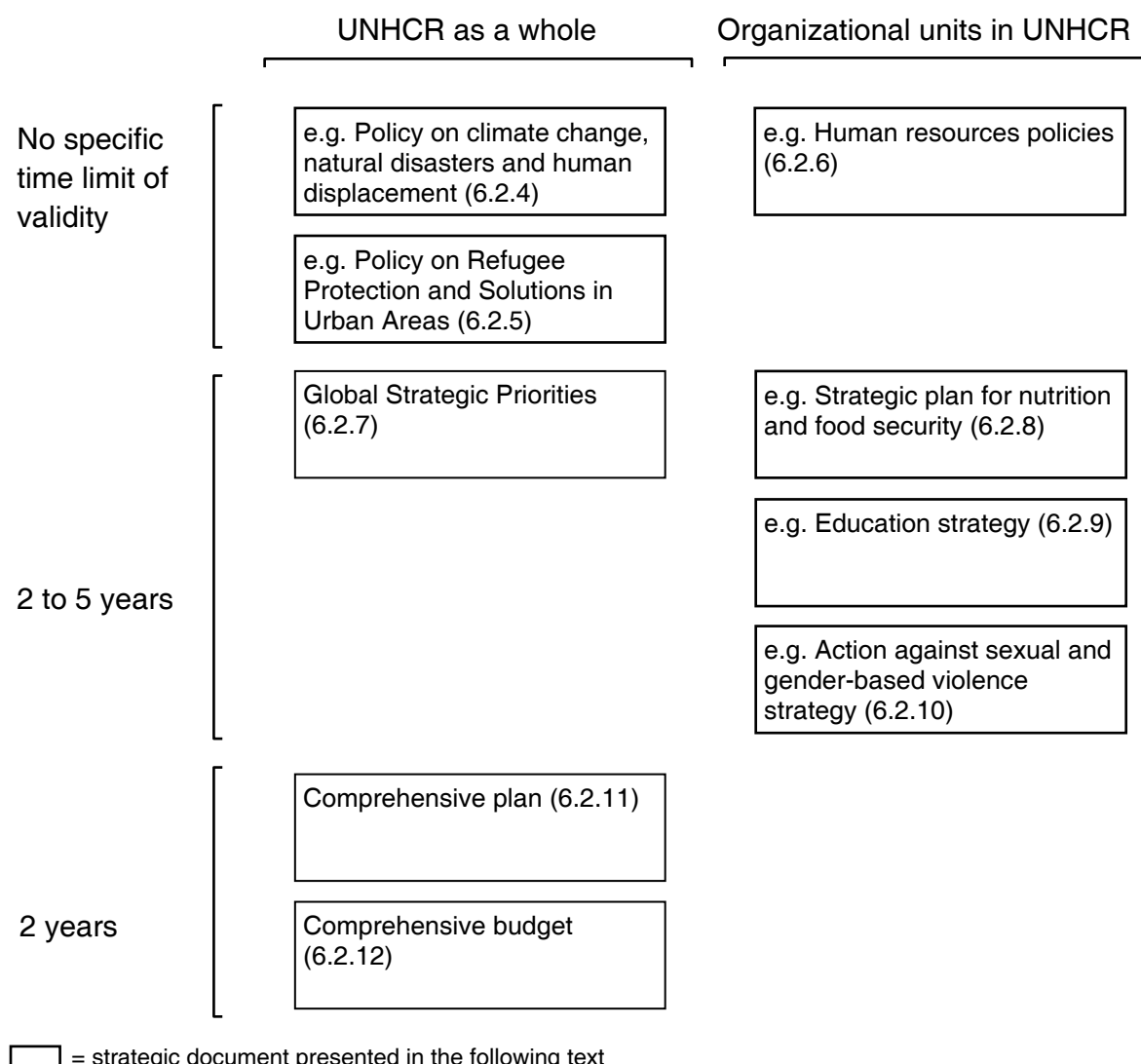
<sup>1674</sup> Väyrynen, 2001, p. 151.

<sup>1675</sup> Kuyama, Ouédraogo & Wynes, 2004, p. 4. Another argument that was given was the time-limited nature of UNHCR's mandate. This limitation has now been removed.

<sup>1676</sup> Interview, 12.11.10.

<sup>1677</sup> Cited in Wigley, 2005, p. 79f.

<sup>1678</sup> Interview, 12.11.10.



**Figure VII.51: Framework linking strategic sub-processes**<sup>1679</sup>

## 6.2.4 Policy on climate change, natural disasters and human displacement

One example of a global issue on which a policy has been developed is natural disasters. UNHCR's mandate has generally been limited to those displaced and uprooted by armed conflicts, persecution and violence, and it has generally not gotten involved in natural disasters. The High Commissioner is reappraising this for several reasons. Firstly, a growing frequency and intensity of natural disasters has been observed. Secondly, there is a lack of a clearly defined organization within the UN system with a direct mandated responsibility for natural disaster victims. Finally, the High Commissioner is an expansionist and is looking for new areas to move into. As the number of "classical refugees" has stabilized and is even declining, new business areas are being looked for. Although States have

<sup>1679</sup> Own elaboration.

expressed concern about the move into this new area, the High Commissioner argues that the issues of natural disasters and conflicts are related. This is because natural disaster victims are increasingly also those who are victims of armed conflicts, such as Afghan refugees affected by floods in Pakistan.<sup>1680</sup>

The *Policy on climate change, natural disasters and human displacement* was first drafted in 2008<sup>1681</sup> by the Policy Development and Evaluation Service.<sup>1682</sup> It was updated and replaced by a policy paper issued in 2009.<sup>1683</sup>

The table of contents of the policy is given in **Figure VII.52**.

I. Introduction
II. Displacement scenarios
III. Implications for UNHCR
IV. Terminology and the 1951 UN Refugee Convention
V. The way ahead
1. Understanding the issues
2. Prevention, mitigation and adaptation
3. Moving forward: key work sites for UNHCR

**Figure VII.52: Table of contents of the Policy on climate change, natural disasters and human displacement<sup>1684</sup>**

The policy focuses on four themes:<sup>1685</sup>

- Displacement scenarios: Five scenarios related to climate change with an impact on displacement are discussed. These are hydro-meteorological disasters, zones that are too high-risk and dangerous for human habitation, environmental degradation and slow onset disaster, 'sinking' small island states, and violent conflict triggered by a decrease in essential resources.
- Implications: The implications that the different scenarios could have for UNHCR are discussed in a second section. It is argued that some climate-related displacement could fall within UNHCR's mandate. In effect, environmental factors, such as the diminishing sources of fresh water, are likely to fuel conflicts, which provoke displacement. With the sinking states scenario, statelessness would also become a concern for UNHCR. Displacement caused by conflict will be dealt with by UNHCR through the UN cluster approach.
- Terminology and the 1951 Refugee Convention: The organization cautions against the use of the terms *environmental refugee* and *climate refugee*, as the term *refugee* has a legal basis. International borders are not crossed in most cases of climate-related displacement. These persons therefore do not qualify for the status of refugee under the 1951 Convention.

<sup>1680</sup> Interview, 12.11.10.

<sup>1681</sup> UNHCR, 2009d, p. 1.

<sup>1682</sup> Executive Committee of the High Commissioner's Programme, 2009a, p. 4.

<sup>1683</sup> UNHCR, 2009d, p. 1.

<sup>1684</sup> Own elaboration based on UNHCR, 2009d, p. 1ff.

<sup>1685</sup> UNHCR, 2009d, p. 2ff.

- Suggestions: Finally, the way forward is discussed. UNHCR encourages a rights-based response and international cooperation. Other recommendations include understanding climate-change related issues, as well as prevention, mitigation and adaptation. Key work areas for UNHCR include operations management, protection strategies and advocacy.

### 6.2.5 Policy on refugee protection and solutions in urban areas

Another global thematic issue that has been examined is UNHCR's role with refugees living in urban areas.<sup>1686</sup> In recent years, the size of the urban refugee population has increased and its composition has changed. A 1997 policy focused on refugees in camps and presented certain weaknesses in terms of scope of application. A revision was therefore deemed necessary.<sup>1687</sup>

The *Policy on refugee protection and solutions in urban areas*, drafted by the Policy Development and Evaluation Service,<sup>1688</sup> aimed to replace the policy developed in 1997.<sup>1689</sup> The initiative to develop the new policy had already been launched several years earlier by the former UNHCR evaluation and policy unit. The Policy Development and Evaluation Service based its work on evaluations in the field and consultations with staff and partners.<sup>1690</sup> The new policy was issued in 2009<sup>1691</sup> following an evaluation of the organization's involvement with Iraqi refugees in different urban areas of the Middle East.<sup>1692</sup>

A simplified table of contents of the policy is given in **Figure VII.53**.

I. Introduction: securing the rights of urban refugees
II. Expanding protection space
III. Respecting key principles
IV. Implementing comprehensive protection strategies
V. Conclusion: pursuing a positive and proactive approach
Annex: Relevant guidance materials and ExCom Conclusions

**Figure VII.53: Table of contents of the Policy on refugee protection and solutions in urban areas**<sup>1693</sup>

<sup>1686</sup> Interview 12.11.10.

<sup>1687</sup> UNHCR, 2009e, p. 2.

<sup>1688</sup> Interview, 12.11.10.

<sup>1689</sup> UNHCR, 2009e, p. 2.

<sup>1690</sup> Executive Committee of the High Commissioner's Programme, 2006, p. 3.

<sup>1691</sup> Crisp, 2009, p. 75; Executive Committee of the High Commissioner's Programme, 2011b, p. 4; Riiskjaer & Bonnici, 2011, p. 1; UNHCR, 2010c, p. 328.

<sup>1692</sup> Executive Committee of the High Commissioner's Programme, 2011b, p. 4; UNHCR, 2010c, p. 328.

<sup>1693</sup> Adapted from UNHCR, 2009e, p. 1.

The Policy provides the “broad contours and underlying principles of UNHCR’s engagement with urban refugees”. Two main objectives are given:<sup>1694</sup>

- Ensuring that cities are recognized as legitimate places for refugees to live and exercise their rights.
- Maximizing protection space for urban refugees and humanitarian organizations.

A number of principles form the basis for the policy. These are presented in section 3 and include refugee rights, state responsibility, partnerships, needs assessment, equity, community orientation, interaction with refugees, self-reliance, as well as age, gender and diversity.<sup>1695</sup>

The objectives of the *Policy on refugee protection and solutions in urban areas* are presented in section 4. They are:<sup>1696</sup>

- Providing reception facilities
- Undertaking registration and data collection
- Ensuring that refugees are documented
- Determining refugee status
- Reaching out to the community
- Fostering constructive relations with urban refugees
- Maintaining security
- Promoting livelihoods and self-reliance
- Ensuring access to healthcare, education and other services
- Meeting material needs
- Promoting durable solutions
- Addressing the issue of movement

The last part of the policy contains the measures to reach the objectives.<sup>1697</sup> Finally, a conclusion on the need to adopt a positive and proactive approach is given, as well as different documents that are relevant for implementation.<sup>1698</sup>

#### 6.2.6 Human resources policies

As stated previously, various organizational units also set policy in UNHCR. One example is the area of human resources. The division of Human Resources Management is responsible for developing such policies.<sup>1699</sup>

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<sup>1694</sup> UNHCR, 2009e, p. 3; 5.

<sup>1695</sup> UNHCR, 2009e, p. 5ff.

<sup>1696</sup> UNHCR, 2009e, p. 8ff.

<sup>1697</sup> UNHCR, 2009e, p. 8ff.

<sup>1698</sup> UNHCR, 2009e, p. 24ff.

<sup>1699</sup> UNHCR, 2010a, p. 316.

A number of different policies can be found: One example is UNHCR's staff rotation policy, which was put into place in 1982.<sup>1700</sup> The policy, which requires international staff with indefinite contracts to change location every few years,<sup>1701</sup> is based on the principle of hardship sharing. All staff therefore share the burden of being posted in stations in difficult environments.<sup>1702</sup> Another example is the policy related to gender equity. The *Policy on achieving gender equity in UNHCR staffing* was issued in 2007.<sup>1703</sup> It was developed by the division in collaboration with the Senior Adviser for Gender and the Staff Council.<sup>1704</sup> The aim of the policy was to achieve gender equity in the organization by the year 2010, as well as to develop a "gender sensitive management culture".<sup>1705</sup> The responsibility for the implementation of the policy was given to a task force chaired by the Deputy High Commissioner, and a working group was also formed.<sup>1706</sup> The gender and diversity scorecard, an intranet statistics tool allowing organization-wide access to information on human resources, was notably launched in 2010.<sup>1707</sup>

### 6.2.7 Global Strategic Priorities

An initiative to strengthen strategic management was launched in 2001 with the arrival of a new High Commissioner. He expressed concern over "the need to articulate and prioritise the use of available resources within a clearly defined vision of how UNHCR wants to carry out its mandate". This included the elaboration of several key documents, namely a vision statement and a strategic plan.<sup>1708</sup> The work on a long-term strategic framework initiated in 2001 led to the development of global objectives.<sup>1709</sup> The Global Strategic Objectives, first developed in December 2004 by the High Commissioner for the years 2006 and 2007, served as a basis for priorities at the field and headquarters levels.<sup>1710</sup>

The Global Strategic Priorities, as they were later renamed, are set for two years and build upon the results framework.<sup>1711</sup> 40 statements of intent are grouped into 7 priorities, which correspond for the most part to the 9 rights groups in the results framework. There are 95 indicators, also taken from the results framework, each

<sup>1700</sup> Weiss, 2009, p. 203.

<sup>1701</sup> Loescher, 2001, p. 361; Wigley, 2005, p. 96ff.

<sup>1702</sup> Weiss, 2009, p. 203.

<sup>1703</sup> Executive Committee of the High Commissioner's Programme, 2009b, p. 1; Executive Committee of the High Commissioner's Programme, 2008, p. 5; UNHCR, 2007d, p. 345.

<sup>1704</sup> UNHCR, 2007e, p. 506.

<sup>1705</sup> UNHCR, 2007d, p. 345.

<sup>1706</sup> Executive Committee of the High Commissioner's Programme, 2008, p. 5

<sup>1707</sup> Executive Committee of the High Commissioner's Programme, 2010, p. 3; UNHCR, 2010a, p. 317.

<sup>1708</sup> UNHCR, 2001, p. 35f.

<sup>1709</sup> Executive Committee of the High Commissioner's Programme, 2005, p. 4.

<sup>1710</sup> Chamberlain, 2005.

<sup>1711</sup> Interview, 14.06.11; UNHCR, 2010a, p. 12.

one accompanied by a description of the current situation and the target.<sup>1712</sup> The priorities and statements of intent for 2010-2011 are shown in **Figure VII.54**.

<p><b>1. Favorable protection environment: Promote a favorable protection environment for all populations of concern to UNHCR.</b></p> <ul style="list-style-type: none"> <li>International and regional instruments, national legal frameworks: The rights of persons of concern are recognized in law and in practice. There is adequate administrative capacity to support the implementation of international protection standards.</li> <li>National and regional migration policy: National and regional migration policies are protection sensitive. Measures to combat smuggling and trafficking of persons permit refugees to seek asylum and help to reduce risks of violence and exploitation, particularly of children and women.</li> <li>Prevention and reduction of statelessness: Measures are in place and implemented to prevent or reduce statelessness.</li> <li>Partnerships: Strong partnerships exist between host countries, international and national partners and States for the protection of persons of concern.</li> <li>Access to territory and non refoulement: Refugees and asylum-seekers have access to age and gender sensitive asylum systems and are protected from refoulement.</li> <li>Environmental Protection: Natural resources and shared environment are better protected.</li> </ul>
<p><b>2. Fair protection processes and documentation: Ensure persons of concern are treated fairly, efficiently and without discrimination when seeking protection and that they receive adequate documentation.</b></p> <ul style="list-style-type: none"> <li>Reception conditions, registration and profiling: Persons of concern are registered or profiled in a manner that enhances protection. Reception arrangements improve their security and access to essential services.</li> <li>Access to procedures: Persons of concern have access to status determination procedures.</li> <li>Fair and efficient status determination: Asylum systems provide for effective and fair decision-making.</li> <li>Family reunification: Effective procedures are in place to facilitate family reunification.</li> <li>Individual and civil documentation: Refugees and asylum-seekers receive individual documentation confirming their protected status, and all persons of concern are provided with documents confirming civil status.</li> </ul>
<p><b>3. Security from violence and exploitation: Intensify efforts to ensure a safe and secure environment for people of concern, including protection from violence and exploitation.</b></p> <ul style="list-style-type: none"> <li>Security from violence (particularly sexual and gender-based violence): Persons of concern, particularly children, women, older and disabled, are safe from acts of violence, abuse and exploitation.</li> <li>Access to legal remedies: Persons of concern are able to access, in an effective manner, national justice systems.</li> <li>Protection of children: Children of concern live in safety without exposure to the effects of armed conflict, forced recruitment, sexual exploitation, abuse and violence and child labour.</li> <li>Freedom of movement and non-arbitrary detention: Persons of concern are able to move freely and are not at risk of arbitrary detention.</li> </ul>
<p><b>4. Basic needs and essential services: Ensure provision of basic needs and essential services for persons of concern without discrimination.</b></p> <ul style="list-style-type: none"> <li>Food security and nutrition: Persons of concern have a sufficient quantity and quality of food, appropriate hygiene conditions and access to public health and social care services adequate to their specific needs, including their age and physical condition.</li> <li>Shelter and basic domestic and hygiene items: Persons of concern have access to adequate housing and the basic domestic and hygiene items necessary to reduce protection risks.</li> <li>Water and sanitation services: Persons of concern, including those with restricted movement capability, have access to safe and drinkable water and to proper sanitation services.</li> <li>Primary health care: Persons of concern have access to adequate primary curative and preventative healthcare services as well as appropriate health education, according to their age and physical condition.</li> <li>Prevention and treatment of HIV/AIDS: Persons of concern have non- discriminatory access to HIV prevention, treatment, care and support services.</li> <li>Education: Boys and girls of concern have equal access to quality primary and secondary education, and the development of children and youth is supported.</li> <li>Services for groups with specific needs: Persons of concern with specific protection needs have access to appropriate support.</li> </ul>

**Figure VII.54: Global Strategic Priorities**<sup>1713</sup>

<sup>1712</sup> Allen & Li Rossi, 2010, p. 17.

<p><b>5. Community participation and self management: Promote community participation and self-reliance to help people of concern live constructive lives.</b></p> <ul style="list-style-type: none"> <li>Community self-management and equal representation: Many communities have self- management structures where men and women of different ages and backgrounds actively participate.</li> <li>Self-reliance and livelihoods: Men and women of different ages and capacities are able to pursue self-reliance activities necessary to lead dignified lives, to reduce protection risks and to enhance the sustainability of any future durable solution.</li> </ul>
<p><b>6. Durable solutions: Intensify efforts and gain sustained international support to find durable solutions for people of concern.</b></p> <ul style="list-style-type: none"> <li>Voluntary return: Safe and dignified return is promoted, voluntariness is assured and men and women are individually informed and consulted.</li> <li>Rehabilitation and reintegration Support: The right of return is respected and returnees are reintegrated within an acceptable framework that guarantees political, social and economic rights to all men and women of all ages and with different capabilities.</li> <li>Resettlement: Resettlement is actively used as a protection tool, a durable solution and a means to effect greater responsibility sharing.</li> <li>Local integration support: Refugee and non-refugee stateless men and women are granted the range of rights and entitlements by the State necessary to integrate locally. Possibilities for self-reliance are improved through the provision of opportunities to refugees appropriate to their age and capabilities.</li> </ul>
<p><b>7. Headquarters and regional support: Ensure the Office maintains a leadership role in international protection and that field operations are supported to provide the fullest possible coverage of the needs of people of concern.</b></p> <ul style="list-style-type: none"> <li>Policy, advice and support: UNHCR's policies, standards and doctrine ensure coherent quality protection for populations of concern across regions.</li> <li>Global strategic direction and management: UNHCR has a clearly articulated corporate vision, strategy, results framework and set of priorities that guide its operations worldwide in meeting its commitment to protect and find solutions for people of concern.</li> <li>Prioritization, resource allocation and financial management: UNHCR's global budget provides a comprehensive picture of the organization's operational, staffing and administrative requirements. Financial resources are allocated effectively and transparently to meet the organization's global strategic priorities and UNHCR's system of financial management has integrity.</li> <li>Organizational development and design: UNHCR's headquarters provides overall direction and maximum support to its field operations from the most efficient and streamlined platform.</li> <li>Resource mobilization: Donors are regularly informed of policy, operational matters, and funding requirements. Resource mobilization strategies are strengthened globally, regionally and locally.</li> <li>Media relations and public affairs: Public, political and financial support for UNHCR is generated through pro-active and reactive multi-media communication and targeted campaigns. Coherent and accurate information is provided to the media and the public to focus attention on the plight of persons of concern, promoting values of tolerance and respect.</li> <li>Inter-agency relations and strategic partnerships: Strong operational and strategic partnerships are promoted and inter-agency cooperation strengthened, including through participation in humanitarian country teams and through the cluster approach in internally displaced persons situations.</li> <li>Strategic human resource and workforce management: UNHCR has a diverse and gender-balanced workforce that is motivated and safe, has integrity and meets the current and future needs of the organization.</li> </ul>

**Figure VII.54: Global Strategic Priorities (continued)<sup>1714</sup>**

These priorities help offices set local priorities, elaborate plans and allocate resources. Priority is given to activities contributing to those that:<sup>1715</sup>

- Deliver life-saving assistance
- Ensure key protection activities
- Improve access to education and livelihoods in protracted situations
- Strengthen protection capacity in situations of mixed migration
- Improve response to urban refugee situations

<sup>1713</sup> Adapted from UNHCR, 2011a, p. 10ff.

<sup>1714</sup> Adapted from UNHCR, 2011a, p. 10ff.

<sup>1715</sup> UNHCR, 2010a, p. 13.



- Ensure emergency preparedness and response

### 6.2.8 Strategic plan for nutrition and food security

Nutrition and food security are considered essential to protecting and assisting refugees and other persons of concern.<sup>1716</sup> Due to its importance and gaps observed, it was decided to elaborate a strategic plan on the sector.<sup>1717</sup>

The *Strategic plan for nutrition and food security* was developed and issued in 2008 by the Public Health and HIV/AIDS Section of the Division of Operational Services<sup>1718</sup> for the years 2008 to 2012. It was developed in coordination with the plans of four other sectors.<sup>1719</sup>

The plan is based on a number of documents and policies. These include the work on nutrition and food security related to the development of the Global Strategic Objectives, various Executive Committee conclusions and Standing Committee papers.<sup>1720</sup> A strategy on malnutrition produced with WFP, a UNHCR nutrition plan, a policy on milk products, as well as the High Commissioner's Special Project related to nutrition also constitute the basis for the plan. Operational partners, such as UN agencies, NGOs, and academia, were also consulted.<sup>1721</sup>

The table of contents of the strategic plan is given in **Figure VII.55**.

I. Executive Summary
II. Introduction
III. Goals and Objectives
IV. Strategies and Indicators of Achievement
Table 1: Key Strategies and Indicators of Achievement
Table 2: Summary of Indicators of Achievement

**Figure VII.55: Table of contents of the Strategic plan for nutrition and food security<sup>1722</sup>**

The overall strategic objective stated by the plan is “to support and promote nutrition and food security policies and programmes to reduce morbidity and

<sup>1716</sup> UNHCR Public Health and HIV Section, 2008, p. IV 3.

<sup>1717</sup> UNHCR Public Health and HIV Section, 2008, p. i.

<sup>1718</sup> This division is now the Division of Programme Support and Management (UNHCR, 2011e).

<sup>1719</sup> The four other sectors are HIV/AIDS, malaria control, reproductive health and water and sanitation. Each includes and overall goal or vision, six or seven strategic objectives, key strategies and indicators measuring progress (UNHCR Public Health and HIV Section, 2008, p. iff.).

<sup>1720</sup> UNHCR Public Health and HIV Section, 2008, p. IV 3.

<sup>1721</sup> UNHCR Public Health and HIV Section, 2008, p. IV 1; 3.

<sup>1722</sup> Adapted from UNHCR Public Health and HIV Section, 2008, p. IV i.

mortality and to enhance the quality of life among refugees, internally displaced persons (...), returnees and other (...) [persons of concern] to UNHCR.”<sup>1723</sup>

Seven strategic objectives are then listed. These are shown in **Figure VII.56**.

<b>1. Protection</b> To protect the right of UNHCR's persons of concern to sufficient food which relies upon access to adequate nutrition and food security.
<b>2. Coordination and integration</b> To effectively coordinate, advocate for and integrate nutrition and food security policies and programs in a multi-sectoral approach for persons of concern by strengthening and expanding strategic partnerships with key stakeholders.
<b>3. Prevention</b> To prevent malnutrition and food insecurity by supporting implementation of and scaling up effective preventative interventions to UNHCR's persons of concern with an emphasis on community participation, especially among women, children and people with special needs.
<b>4. Care, support and treatment</b> To ensure that persons of concern have access to timely, quality and effective supportive and curative nutrition services.
<b>5. Durable solutions</b> To develop and incorporate nutrition and food security strategies and interventions into policies and programs for durable solutions.
<b>6. Capacity building</b> To build and strengthen specific nutrition and food security knowledge and skills as well as to provide necessary technical tools to persons of concern and those staff working with them.
<b>7. Assessments, surveillance, monitoring and evaluation and operational research</b> To regularly monitor and report on persons of concern's nutrition and food security status to inform program planning and implementation in a timely manner; to evaluate program performance and achievements using a results-based management approach; and to develop and carry out operational research on new approaches and technologies in nutrition and food security.

**Figure VII.56: Nutrition and food security strategic objectives**<sup>1724</sup>

For each of these strategic objectives, several key strategies are formulated. For each, a number of core indicators measure progress towards achievement. A total of 41 indicators are given. Other indicators are also used at the country level, and indicators from other strategic plans of the Public Health and HIV/AIDS Section also apply.<sup>1725</sup> The key strategies and indicators of achievement of the first strategic objective are shown in **Figure VII.57**.

For each indicator, the following elements are also given:

- The target to attain by the end of 2012 (e.g. <5% for indicator 1.1.1)
- The periodicity of reporting (monthly, annually, etc.)
- The relevant strategic objectives
- The source of measurement (e.g. surveys, country offices, etc.)
- The setting where the indicator is primarily measured (camp or non-camp)

<sup>1723</sup> UNHCR Public Health and HIV Section, 2008, p. IV 2.

<sup>1724</sup> Adapted from UNHCR Public Health and HIV Section, 2008, p. IV 2.

<sup>1725</sup> UNHCR Public Health and HIV Section, 2008, p. i; IV 1ff.

<b>1. Protection</b> To protect the right of UNHCR's persons of concern to sufficient food which relies upon access to adequate nutrition and food security.			
<b>Key strategies</b>		<b>Indicators of achievement</b>	
1.1	Policies, guidelines and programs to improve nutrition (including micronutrients), infant and young child feeding and food security	1.1.1.	Prevalence of global acute malnutrition for children 6-59 months of age
		1.1.2.	Prevalence of severe acute malnutrition for children 6-59 months of age
1.2	Ensure provision of a general ration where required, which is sufficient in terms of quantity, quality, regularity and equity	1.2.1.	Amount of food distributed through general food ration, as % of planned amount, as measured by: kilocalories, fat/energy percentage, protein/energy percentage, and selected micronutrients
1.3	Support to food security through strategies to enhance self-reliance	1.3.1.	% operations where projects are being implemented with a specific focus on reducing food insecurity in the population
1.4	Provide essential non-food items where required	1.4.1	Amount of non-food items distributed as a % of planned amount
Indicators from the Strategic Plan for HIV and AIDS also apply.			
1.5	Ensure children amongst UNHCR's Persons of concern access primary and secondary education.	1.5.1	%of refugee children by sex enrolled in grades 1-6.
		1.5.2	%of refugee children enrolled by sex in grades 7 -12.

**Figure VII.57: An objective of the strategic plan for nutrition and food security**<sup>1726</sup>

### 6.2.9 Education strategy

The *Education strategy* for 2010-2012, elaborated by the Operational Solutions and Transition Section of the Division of Programme Support and Management,<sup>1727</sup> is based on UNHCR's experience in implementing the previous education strategy (2007-2009). Field offices, divisions and bureaus were consulted. The draft was also presented to the High Commissioner.<sup>1728</sup>

The table of contents of the strategy is shown in **Figure VII.58**.

The strategy begins by giving key statistics on refugee education. It is also stressed that education is a right, a protection tool, a durable solution, an international obligation and a basis for sustainable development. Education in UNHCR is then covered. The policy framework (e.g. Global Strategic Priorities), the countries where operations are prioritized and the budget are given.<sup>1729</sup>

<sup>1726</sup> Adapted from UNHCR Public Health and HIV Section, 2008, p. IV 7.

<sup>1727</sup> UNHCR, 2011e.

<sup>1728</sup> UNHCR, 2009f, p. 2.

<sup>1729</sup> UNHCR, 2009f, p. 10ff.

I. Executive Summary
II. Introduction
1. Education as a right
2. Education as a protection tool
3. Education as a durable solution
4. Education as an international obligation
5. Education as the basis for sustainable development
III. Education in UNHCR
1. Policy framework
2. Priority countries
3. Education budget
IV. Strategy
1. Long-term vision
2. Programme Objectives
3. Cross-cutting issues
4. Strategic objectives
V. Priority Action Plan 2009
VI. Plan of Action 2010 -2012
VII. Annexes
A: List of Abbreviations
B: UNHCR's Education Policy Commitments
C: Priority Country Overview
D: Standards & Indicators
E: UNHCR Global Strategic Priorities - Education
F: Overview of UNHCR Education Initiatives

**Figure VII.58: Table of contents of the Education strategy**<sup>1730</sup>

The long-term vision that is then put forward in the document is to “ensure the right to education for all people of concern to UNHCR by achieving universal primary education and creating increased opportunities for post-primary education (...) with special focus on girls, urban and protracted situations”.<sup>1731</sup>

Three main objectives<sup>1732</sup> are also set. The challenges and proposed solutions are discussed for each. These are:<sup>1733</sup>

- Increased access and enrolment: Lack of access due to factors such as low income, high costs for enrollment, transportation, books, etc., and children's work to contribute to family income constitute key challenges. Solutions proposed by UNHCR include focusing on primary and post-primary education, and notably girls and youth, and on non-formal education and program support.
- Improved quality: Factors posing a challenge are, for example, the insufficient number of schools, classrooms and qualified teachers. Proposed solutions include capacity building, monitoring and evaluation, developing tools and guidelines, as well as developing partnerships.
- Enhanced protection: Challenges to ensuring protection include cultural practices (e.g. early marriages), unsafe environments (e.g. abuse by teachers) and lack of vocational programs. The solutions proposed are focusing on girls'

<sup>1730</sup> Adapted from UNHCR, 2009f, p. 3.

<sup>1731</sup> UNHCR, 2009f, p. 4; 18.

<sup>1732</sup> UNHCR's original terminology is used by the author.

<sup>1733</sup> UNHCR, 2009f, p. 19ff.

and youth's education, community mobilization and community support. Cross-cutting issues to be considered are then discussed. These include participative needs assessments, community participation, gender sensitivity, persons with specific needs (e.g. persons with disabilities), groups at risk (e.g. orphans), as well as sport and physical education.<sup>1734</sup>

Finally, three strategic objectives<sup>1735</sup> are presented:<sup>1736</sup>

- Capacity building: This includes, for example, improved training for field staff and partners and consultancy support for thematic issues.
- Partnerships: Because UNHCR alone cannot achieve quality education, it stresses the need to develop education partnerships with governments, UN agencies, NGOs and refugee communities.
- Advocacy, visibility and fundraising: External advocacy activities include participating in the education cluster and supporting an annual report on education. The development of "packages" is included in fundraising. Finally, internal visibility is increased through education stories on the intranet.

To prepare the implementation of the strategy, a *Priority action plan 2009* was developed focusing on direct support, monitoring, capacity building, partnerships and advocacy. The *Plan of action 2010-2012*, which replaces the 2009 plan, focuses on implementation. For each of the three main objectives, targets, expected outcomes, a list of activities to achieve the objectives, as well as the responsible units are given.<sup>1737</sup>

The targets, outcomes, as well as a selection of activities and action for the first main objective, are shown in **Figure VII.59**.

## 6.2.10 Action against sexual and gender-based violence strategy

In order to develop strategic planning on sexual and gender-based violence, a steering committee involving members from different divisions at headquarters was formed. The recommendations from the evaluation of the sexual and gender-based violence policy formed one of the bases for the formulation of strategy.<sup>1738</sup>

<sup>1734</sup> UNHCR, 2009f, p. 26f.

<sup>1735</sup> UNHCR's original terminology is used by the author.

<sup>1736</sup> UNHCR, 2009f, p. 28f.

<sup>1737</sup> UNHCR, 2009f, p. 7f.; 30ff.

<sup>1738</sup> Interview, 12.11.10.

<b>Objective 1: Increased access and enrolment</b>	
<b>Targets</b> <ul style="list-style-type: none"> <li>▪ In 132 camps the percentage of refugee children aged 6-11 not enrolled in primary schools is reduced from 31% to 21%, with special attention to gender parity.</li> <li>▪ In 92 camps the percentage of refugee children aged 7-12 not enrolled in secondary schools is reduced from 69% to 60%, with special attention to gender parity in the priority countries.</li> <li>▪ In 87 urban areas, the percentage of refugee children aged 6-11 not enrolled in primary schools is reduced from 37% to 32%, with special attention to gender parity, in the priority countries.</li> <li>▪ In 66 urban areas, the % of refugee children aged 12-17 not enrolled in secondary schools is reduced from 62% to 58%, with special attention to gender parity in the priority countries.</li> <li>▪ Non-formal education enrolment for refugee youth and adolescents aged 15-24 has been increased to 20%, with special attention to gender parity in priority countries.</li> <li>▪ Scholarship programs for higher institutions of learning have been increased to 2000 per year.</li> </ul>	
<b>Outcomes</b> <ul style="list-style-type: none"> <li>▪ The quality of education programs has been improved through reduced numbers of students per teacher regular quality teacher training and upgrading.</li> <li>▪ Returning teachers have been absorbed into the education system through recognition of their certificates/ diplomas by their respective governments.</li> <li>▪ UNHCR and partner staff have received training on education guidelines, standards and indicators, safe learning environments guidelines and thematic issues.</li> <li>▪ UNHCR has mobilized additional funding for new programs in support of non-formal education with focus on youth and girls, skills training and livelihood development.</li> <li>▪ Monitoring, evaluation and reporting have been improved.</li> <li>▪ Advocacy and visibility of education program has led to increased awareness and cooperation.</li> </ul>	
<b>Activities</b>	<b>Action</b>
<ul style="list-style-type: none"> <li>▪ Provide regular technical advice &amp; undertake technical missions to field operations.</li> <li>▪ Support the development of education strategies at country level based on needs assessments.</li> <li>▪ Develop fundraising packages for priority countries and submit funding proposals</li> <li>▪ Identify new partnerships for scholarship programs and support on-going programs.</li> <li>▪ Identify opportunities for open and distance learning and initiate pilot activities in priority countries.</li> <li>▪ Develop additional education programs to increase girls' enrolment in primary and secondary schools.</li> <li>▪ Develop additional non-formal programs in skills and vocational training and literacy for youth and adolescents.</li> <li>▪ Establish partnership with Norwegian Refugee Council on Youth Pack program and pilot projects for out-of-school youth.</li> <li>▪ Expand ninemillion.org projects in support of post-primary, technology and sport education targeting girls and out-of-school youth.</li> <li>▪ Participate in a multi-sector Youth Task Force at headquarters to develop and reinforce youth programs.</li> <li>▪ Revise Education Field Guidelines and disseminate to all operations and partners.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Partners/Education Unit</li> <li>▪ Bureaus / Country Office / Education Unit</li> <li>▪ Division of External Relations / Education Unit</li> <li>▪ Division of External Relations / Education Unit</li> <li>▪ Division of External Relations / Education Unit</li> <li>▪ Bureaus / Country Office / Education Unit / Department of International Protection Services</li> <li>▪ Bureaus/Country Office/ Education Unit / Division for Programme Support and Management</li> <li>▪ Norwegian Refugee Council / Education Unit / Bureaus</li> <li>▪ Division of External Relations / Country Office / Bureaus / Education Unit</li> <li>▪ Bureaus / Department of International Protection Services / Education Unit</li> <li>▪ Country Office / Division of Operational Services</li> </ul>

**Figure VII.59: Education strategy targets for 2012<sup>1739</sup>**

On top of consultations with operations, technical sections and regional bureaus, the findings of a meeting with NGOs, independent experts and communities were

<sup>1739</sup> Adapted from UNHCR, 2009e, p. 31ff. Note: List of activities and action not exhaustive.

also included. A workshop with partners from different operational regions was also held to comment on the strategy.<sup>1740</sup>

The table of contents of the strategy is given in **Figure VII.60**.

List of acronyms and abbreviations
Executive summary
Introduction
I. Building a strategy
1. Recognizing the multi-sectoral nature of SGBV prevention and response
2. Building on existing strategies
3. Articulating the strategy
4. Using the Strategy Matrix
II. Building UNHCR's capacity
1. Data collection and analysis
2. Knowledge management and capacity-building
3. Enhancing partnerships and coordination
III. Six action areas for 2011-2016
1. Protecting children of concern against SGBV
2. Addressing survival sex as a coping mechanism in situations of displacement
3. Engaging men and boys
4. Providing safe environments and safe access to domestic energy and natural resources
5. Protecting LGBTI persons of concern against SGBV
6. Protecting persons of concern with disabilities against SGBV
Annexes

**Figure VII.60: Table of contents of the Action against sexual and gender-based violence strategy**<sup>1741</sup>

The *Action against sexual and gender-based violence strategy* gives recommended actions to build UNHCR's capacity to address sexual and gender-based violence. Three areas are considered to be particularly important:<sup>1742</sup>

- Data collection and analysis,
- Knowledge management and capacity-building
- Partnerships and coordination

Six action areas for 2011 to 2016 are identified by the strategy:<sup>1743</sup>

- Protecting children: Displaced children are notably at risk. They are victims of specific forms violence, such as traditional practices and sexual exploitation.
- Addressing survival sex as a coping mechanism: Women may be forced to trade sex for goods, protection, or forced to sell sex to survive.
- Engaging men and boys in prevention activities: There is a need to involve men and boys in prevention activities.

<sup>1740</sup> UNHCR, 2011h, p. 7.

<sup>1741</sup> UNHCR, 2011h, p. 3.

<sup>1742</sup> UNHCR, 2011h, p. 5; 10ff.

<sup>1743</sup> UNHCR, 2011h, p. 5; 14ff.

- Providing safe environments and safe access to domestic energy and natural resources: Many displaced run the risk of violence when searching for water, firewood or other resources.
- Protecting lesbian, gay, bisexual, transgender and intersex persons: Such persons are notably at risk of discrimination and violence.
- Protecting persons with disabilities: Such persons are notably at risk becoming victims of sexual and gender-based violence.

Recommendations for prevention, identification and response are given for each of these areas.<sup>1744</sup> Examples of recommendations for the first action area, protecting children, are shown in **Figure VII.61**.

<b>Prevention</b> <ul style="list-style-type: none"> <li>▪ Provide children with social and life skills training to raise awareness about their rights.</li> <li>▪ Promote equal participation and retention of girls in schools.</li> <li>▪ Promote safe learning environments for children.</li> <li>▪ Raise awareness in the community about the rights of children.</li> <li>▪ Identify and support existing child protection mechanisms.</li> <li>▪ Work with governments, NGOs and other UN agencies to map operational gaps and identify what needs to be in place to establish or improve child protection systems.</li> </ul>
<b>Identification</b> <ul style="list-style-type: none"> <li>▪ Work to identify groups of children who are particularly exposed to violence.</li> <li>▪ Ensure that children have access to registration and documentation.</li> <li>▪ Ensure that unaccompanied and separated children are provided individual documentation.</li> </ul>
<b>Response</b> <ul style="list-style-type: none"> <li>▪ Analyze areas of risk, identify concerns and solutions relevant to children.</li> <li>▪ Participate in or establish coordination mechanisms for child protection.</li> <li>▪ Provide legal remedies, and legal counseling, in a child-friendly manner.</li> <li>▪ Ensure support and assistance is provided to children who are in abusive situations or at immediate risk of sexual exploitation and abuse, where appropriate by offering shelter options.</li> <li>▪ Work with service providers to ensure child-friendly procedures are in place and staff are trained to work with child survivors.</li> <li>▪ Ensure that at-risk refugee children or child survivors have access to resettlement.</li> </ul>

**Figure VII.61: Examples of recommendations for the protection of children**<sup>1745</sup>

The strategy notably provides guidance for the development of multi-year strategies at the country level that are specific to each operational environment. A five year timeframe is recommended.<sup>1746</sup>

A matrix constitutes the basis for their development. Activities and the corresponding financial resources can be placed according to the type of intervention and action area.<sup>1747</sup>

<sup>1744</sup> UNHCR, 2011h, p. 14ff.

<sup>1745</sup> Own elaboration based on UNHCR, 2011h, p. 15f.

<sup>1746</sup> UNHCR, 2011h, p. 7.



### 6.2.11 Comprehensive plan

With biannual budgeting, operations are currently planning in great detail for the year 2012 and very globally for the year 2013.<sup>1748</sup>

The planning process begins with country offices assessing the needs of populations of concern.<sup>1749</sup> In February and March, offices draft operations plans including overall objectives, strategy, as well as the implications on areas such as staff, operational budget and administrative budget.<sup>1750</sup> In April and May, the plans are reviewed at Headquarters.<sup>1751</sup> The regional bureaus, to which the offices report, do an informal (not at working level) review.<sup>1752</sup> Technical support functions also review the plans.<sup>1753</sup> For example, water, health, nutrition, HIV/AIDS, shelter and field security sections look at the plans against standards and indicators. Thanks to an electronic system, all information can be accessed and a comparative analysis is facilitated. The Division of international protection may comment on problems with refugee status determination, recommend more staff, ask if things can be done differently, etc. Planning figures for population are a result. Adjustments are made to the plans to ensure coherence. The different elements are then discussed at the higher level by the Troika. Regional bureaus make presentations on behalf of all of their countries, and fine-tuning is done to remove inconsistencies.<sup>1754</sup>

Planning is done with the help of software, which is built upon the results framework. It includes a standard format with problems, causes, objectives and the whole results chain. It also includes the strategies at the different levels. Work is done on the basis of population groups. For some, there is one country and one population group. Large operations, such as Sudan, cover one country with several population groups. Problems, causes and management strategy are done for each. Tools cover age, gender and diversity mainstreaming, environment and health, as well as benchmarks for resettlement staff, protection staff, etc.<sup>1755</sup>

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<sup>1747</sup> UNHCR, 2011h, p. 9; 24.

<sup>1748</sup> Interview, 14.06.11.

<sup>1749</sup> Interview, 14.06.11; UNHCR, 2010a, p. 70; UNHCR, 2009a, p. 66.

<sup>1750</sup> Interview, 14.06.11.

<sup>1751</sup> UNHCR, 2010a, p. 70; UNHCR, 2009a, p. 67.

<sup>1752</sup> Interview, 14.06.11.

<sup>1753</sup> Interview, 14.06.11; UNHCR, 2010a, p. 70; UNHCR, 2009a, p. 67.

<sup>1754</sup> Interview, 14.06.11.

<sup>1755</sup> Interview, 14.06.11.

### 6.2.12 Comprehensive budget

The Comprehensive Budget corresponds to the funding necessary to implement the Comprehensive Plan.<sup>1756</sup>

Once the comprehensive plan has been developed, the comprehensive budget is discussed and adjusted. The possibilities of implementation in one year, given the capacity on the ground, access and security issues, are notably discussed. For example, if 50 million more is given, it is discussed whether it is possible to scale up rapidly and implement in one year. If not, as is often the case, it is adjusted downwards to be more realistic. For instance, in certain areas, visas are very difficult to obtain. Therefore, an NGO cannot suddenly bring in many staff members, because of the long process to obtain work permits. Similarly, it may not be possible to bring in more international staff due to security issues. Although some remote management is possible and some work can be carried out by local NGOs, limits exist. 50 million cannot suddenly be given to an NGO which has never implemented a project over 50 thousand. Staff and offices in the field also require planning. Posts and offices cannot be instantly eliminated, when security issues arise for example, due to fixed costs. At the operating level, the maintenance of staff and offices at the current level is considered and is ideally be known by July or August. At management level, certain costs are also added.<sup>1757</sup>

The minimum level of expected funding for the next year is provided to the operating level. Within the comprehensive plan, the funding at the operating level is adjusted towards the end of the year when more information is available.<sup>1758</sup>

A formal meeting of the budget committee then takes place. The overall budget is submitted to the High Commissioner for approval. The budget document is then drafted. During the first week of October, the Executive Committee approves the comprehensive budget for the next year, which constitutes the basis of the global appeal. As the budget is on a two-year basis, the Executive Committee approves the years 2012 and 2013 in 2011. In 2012, the 2013 budget is revised. Finally, in mid-December, the annual pledging conference takes place.<sup>1759</sup>

The proposed budgets for 2012 and 2013 are shown in **Figure VII.62**.

<sup>1756</sup> Allen & Li Rossi, 2010, p. 7.

<sup>1757</sup> Interview, 14.06.11.

<sup>1758</sup> Interview, 14.06.11.

<sup>1759</sup> Interview, 14.06.11.

	Pillar 1 Refugees		Pillar 2 Stateless		Pillar 3 Reintegration		Pillar 4 Internally displaced persons		Total	
	2012	2013	2012	2013	2012	2013	2012	2013	2012	2013
Field	2'102.9	2'007.7	56.2	54.6	246.4	250.9	575.4	487.9	2'980.9	2'801.1
Global programs	151.7	168.3	-	-	-	-	-	-	151.7	168.3
Headquarters	177.8	176.5	-	-	-	-	-	-	177.8	176.5
<b>Sub-total programmed activities</b>	<b>2'432.4</b>	<b>2'352.5</b>	<b>56.2</b>	<b>54.6</b>	<b>246.4</b>	<b>250.9</b>	<b>575.4</b>	<b>487.9</b>	<b>3'310.4</b>	<b>3'145.9</b>
Operational reserve	248.8	240.7	-	-	-	-	-	-	248.8	240.7
<b>Sub-total program activities and operational reserve</b>	<b>2'681.2</b>	<b>2'593.2</b>	<b>56.2</b>	<b>54.6</b>	<b>246.4</b>	<b>250.9</b>	<b>575.4</b>	<b>487.9</b>	<b>3'559.2</b>	<b>3'386.6</b>
"New or additional activities - mandate- related" reserve	20.0	20.0	-	-	-	-	-	-	20.0	20.0
Junior Professional Officers	12.0	12.0	-	-	-	-	-	-	12.0	12.0
<b>Total</b>	<b>2'713.2</b>	<b>2'625.2</b>	<b>56.2</b>	<b>54.6</b>	<b>246.4</b>	<b>250.9</b>	<b>575.4</b>	<b>487.9</b>	<b>3'591.2</b>	<b>3'418.6</b>

Figure VII.62: Proposed budgets for 2012 and 2013 by pillar<sup>1760</sup><sup>1760</sup> Adapted from Executive Committee of the High Commissioner's Programme, 2011a, p. 7.



## **VIII ANALYZING THE CASES**

### **1 Introduction**

Chapter VIII is dedicated to the fourth and final step of the case research procedure proposed by the author: analyzing the cases. In this step, the general approaches and techniques are determined and used to analyze the cases of the three international aid organizations presented in chapter VII.

The chapter is divided into several sections:

- Section 1 is the introduction.
- Section 2 exposes the procedure adopted by the author for the analysis.
- Section 3 is dedicated to the analysis at the within case level.
- Section 4 presents the analysis at the cross-case level.

### **2 Case analysis procedure**

#### **2.1 Overview**

The analysis of the three cases is done at two levels: at a within-case level and a cross-case level.

**Figure VIII.1** shows the overview of the analysis procedure adopted by the author.

#### **2.2 Analyzing at the within-case level**

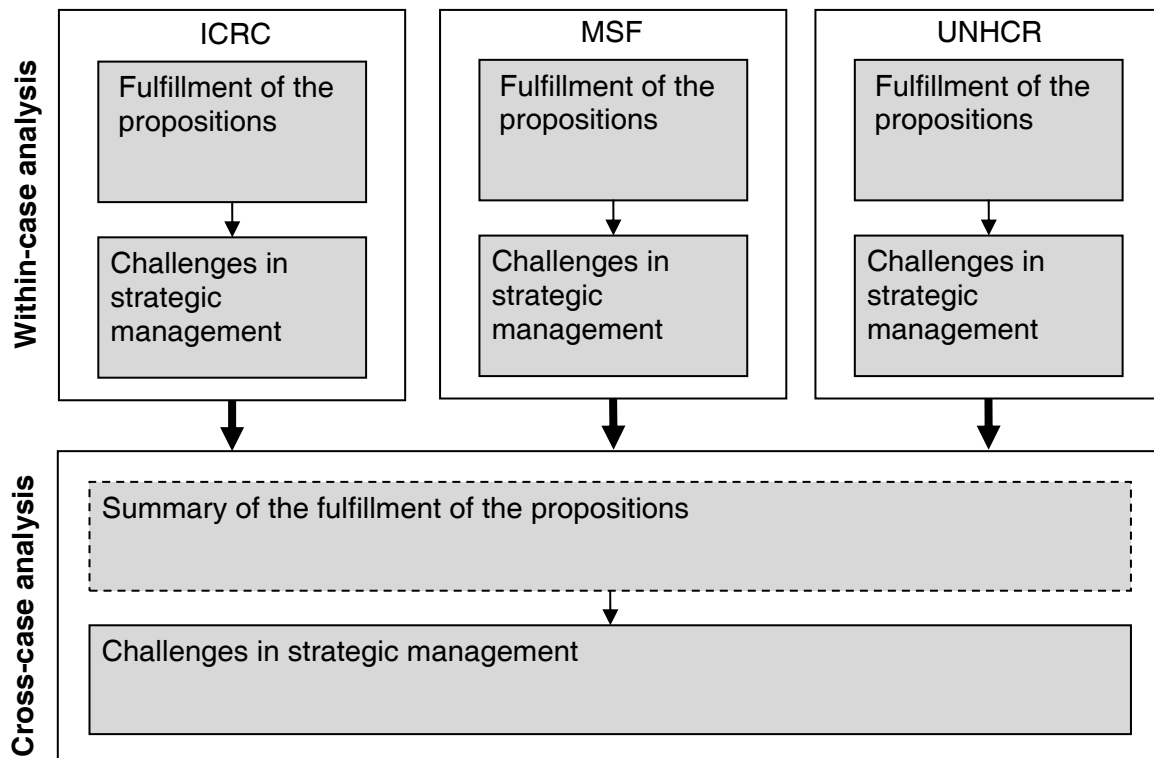
Within-case analysis is defined by Maylor & Blackmon as “the process by which you focus your analysis only on an individual case, without trying to bring in the findings or lessons from any other cases you might have been investigating”.<sup>1761</sup>

As previously shown, within-case analysis generally consists in or begins with the development of a case description.<sup>1762</sup> This has already been carried out in the previous step of the procedure and presented in chapter VII. These descriptions have allowed the author to become familiar with each case and its context.

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<sup>1761</sup> Maylor & Blackmon, 2005, p. 252.

<sup>1762</sup> Creswell, 2007, p. 156; 163; Eisenhart, 1989, p. 540; Gagnon, 2010, p. 80ff.; Maylor & Blackmon, 2005, p. 252; Yin, 2009, p. 131ff.



**Figure VIII.1: Overview of the analysis procedure**<sup>1763</sup>

To take the within-case analysis further, the author has decided to follow two additional steps:

- **Fulfillment of propositions:** This sub-step includes an analysis based on the propositions developed in the step of the author's procedure dedicated to designing and preparing case research (chapter VI). The propositions are compared to each case, with the case descriptions serving as the basis for the evaluations. The author generally seeks to evaluate the extent to which the propositions are fulfilled in each case. It is important to note that the author's evaluations remain subjective and may therefore not correspond to the views of the reader or of the organizations researched.
- **Identification of challenges in strategic management:** The previous sub-step serves as a basis for this second sub-step. The challenges are ranked by the author according to their relation to the propositions. It must be noted that this ranking is subjective. It is also important to note that these challenges are based on the author's understanding of the organization's main challenges in the present and future, and may therefore not correspond to the views of the organizations or the reader.

<sup>1763</sup> Own elaboration.

## 2.3 Analyzing at the cross-case level

Once the within-case analysis is carried out, the author moves to an analysis at the cross-case level. Two steps are distinguished:

- Comparison of the fulfillment of the propositions: The author then chooses to compare the fulfillment of the propositions. Following Yin, tables to expose data can be used to facilitate an overview and serve as a basis for looking for cross-case patterns.<sup>1764</sup> Therefore, with the help of a matrix, an overview of results of the fulfillment of propositions is given for each of the three cases. This allows cases to be compared. Similarities and differences can thus be looked for.
- Identification of challenges in strategic management: Finally, the challenges faced by the organizations are summarized. As with the challenges at the within-case level, the challenges at the cross-case level are also ranked subjectively by the author according to the propositions. The challenges are based on the author's understanding, and may therefore not correspond to the views of the organizations or the reader. They will serve as a basis for practical-normative recommendations.

## 3 Analyzing at the within-case level

### 3.1 ICRC

#### 3.1.1 Fulfillment of the propositions

In the following text, the fulfillment of the propositions in the ICRC case is evaluated by the author.

#### **1. The basic comprehension of strategy is the same as for profit organizations.**

For both the Governance and the Directorate of the ICRC, strategy is the way of realizing the vision. The ICRC's understanding of strategy in the specific context of humanitarian action is therefore similar to definitions used in the private sector, which generally understand strategy as a set of actions or decisions to achieve an organization's objectives and goals. The Directorate also emphasizes analysis and the link of strategy to the environment. Strategies are derived from opportunities and threats in the environment and strengths and weaknesses of the organization. Strategy is therefore defined as "the reflection of your self-awareness and the awareness you have of your environment and how you deal with that".<sup>1765</sup> A specific link is therefore also made to the environment, an aspect which is also

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<sup>1764</sup> Yin, 2009, p. 156.

<sup>1765</sup> Interview, 05.05.10.

found in definitions of strategy in the private sector in literature.<sup>1766</sup> For the reasons given, the author believes that the proposition is totally fulfilled (●●●).

## 2. There are no reluctances against strategic management approaches.

The ICRC is strongly based on values. As a result, business approaches and tools are difficult to accept for many staff members. Such approaches are quite new for the organization. Vocabulary also represents a challenge when introducing such approaches. Terms such as *performance* and *corporate objectives* are perceived to be business terms and therefore irrelevant for the organization. Furthermore, reluctance towards long-term approaches exists due to unpredictability in the ICRC's area of activity.<sup>1767</sup> The author deduces that reluctance towards management approaches and the related terms exist in the organization, although some staff members have tried to introduce such approaches. For this reason, the proposition is weakly fulfilled according to the author (●).

## 3. Different levels of strategy exist.

It is clearly stated that the ICRC thinks at different levels of strategy: "There are of course different levels of strategy in the organization".<sup>1768</sup> Strategies exist for the global level, as well as for different regions and activities. Different strategic documents also support this idea. For example, the organization has its overall strategy ("institutional strategy").<sup>1769</sup> It also has, for example, a Strategy of the ICRC Forensic Services and Plan of Action 2009–2014, which guides forensic activities in 40 areas.<sup>1770</sup> Although the terms used to designate the levels of strategy are not necessarily the same as in the private sector, the points mentioned above show that, similarly to large companies, the ICRC thinks at different levels of strategy. The author therefore considers the proposition to be totally fulfilled (●●●).

## 4. Resources are planned in the long-term.

Human resources planning is complicated by the uncertain environment in which the ICRC operates. Pools of staff with different professional profiles are maintained, which allows the organization to fill most posts in the field.<sup>1771</sup> This helps it meet its operational needs by having the right amount of staff with the right professional profiles at the right time. Human resources elements are also given in the four-year institutional strategy: It is stated that "the ICRC will adapt its approach to developing and managing its human resources so as to enable it to make the most of the skills and experience of its staff – be they internationally or

<sup>1766</sup> See, for example, Johnson, Scholes & Whittington, 2008, p. 3.

<sup>1767</sup> Interview, 05.05.10.

<sup>1768</sup> Interview, 05.05.10.

<sup>1769</sup> ICRC, 2010e.

<sup>1770</sup> ICRC, 2011, p. 68.

<sup>1771</sup> ICRC, 2011, p. 85.



locally hired – and to define and implement human resources strategies in support of its operational objectives”.<sup>1772</sup>

The ICRC is globally present with delegations in missions in over 80 countries.<sup>1773</sup> The organization also has a developed worldwide logistics network. It has 5 logistics bases (Abidjan, Amman, Nairobi, Peshawar and Geneva) and 130 warehouses. Its fleet includes 13 airplanes and 3’000 vehicles. The ICRC also works with 3’700 suppliers. Partnerships have also been established in this area (e.g. with MSF in aircraft sharing).<sup>1774</sup>

The author therefore believes the proposition is partly fulfilled (●●).

### **5. Activities are planned, at least as categories of activities.**

Unpredictability in the ICRC’s area of activity is often highlighted. Mr. Fonteyne states, “It’s a very uncertain business”.<sup>1775</sup> Unpredictability characterizes events themselves. In an article on stress and the ICRC delegate, Saner wrote, “Manmade catastrophes, such as war and armed conflict, are unpredictable. They can be anticipated, but full-scale planning and control are not possible. Rarely is there time or the incentive for proactive planning as a way of anticipating measures needed to be undertaken during such calamities”.<sup>1776</sup> Security issues in the field further complicate planning. Speaking of the conflict in Darfur, for example, it is stated that “the precarious security situation makes it extremely difficult to plan and carry out field activities”.<sup>1777</sup> Full implementation is not always possible due to these situations. However, it can be argued that the ICRC’s implementation rate is generally high, considering its operating environment.

However, although reluctance to longer timeframes exists due to this unpredictability, some argue that some anticipation of the future is possible.<sup>1778</sup> Unpredictability complicates planning, but the possibility to anticipate to some extent has also been highlighted. For this reason, the author assumes the proposition is weakly fulfilled (●).

### **6. The aspired position is determined in a precise way.**

Positioning is identified as one of the ICRC’s key success factors. It refers to the organization’s position “within the field of humanitarian response (in terms of purpose, complementarity, benchmarking, etc.), its perceived added value for the people affected by armed conflict and other situations of violence, and donors’ perception of the organization’s relevance, effectiveness and efficiency”.<sup>1779</sup> The ICRC’s current and target position can be found in several different documents. Its

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<sup>1772</sup> ICRC, 2010e, p. 8.

<sup>1773</sup> ICRC, 2011, p. 160.

<sup>1774</sup> ICRC, 2011, p. 92.

<sup>1775</sup> Interview, 05.05.10.

<sup>1776</sup> Saner, 1990, p. 4.

<sup>1777</sup> Dessimoz, 2007.

<sup>1778</sup> Interview, 05.05.10.

<sup>1779</sup> ICRC, 2011, p. 9.

position as “the benchmark organization for neutral and independent humanitarian action” is highlighted in its 2010 annual report.<sup>1780</sup> The 2007-2010 strategy also states that it “will strive to remain the standard-setting organization in the field of international humanitarian law”.<sup>1781</sup> The 2011-2014 strategy also “defines the organization’s desired positioning”.<sup>1782</sup> It states that “the ICRC will remain the reference organization for the development and clarification of international humanitarian law”.<sup>1783</sup> For this reason, the author considers the proposition to be completely confirmed (●●●).

### **7. Strategic management helps deal with the challenges of the organization.**

The author believes that, in the case of the ICRC, strategic management helps the organization deal with challenges. It helps set a clear overall direction and direct its limited resources towards priorities. The proposition is therefore considered to be strongly fulfilled (●●).

### **8. The three tasks of strategic management – planning, implementation and control – are present.**

The three strategic management tasks are clearly present in the ICRC. The presence of strategic planning is shown by the process in the case description, as well as the adopted institutional strategy document. This is because such strategic documents constitute the result of strategic planning.<sup>1784</sup> Strategic implementation is also present. The strategy highlights that it “will be put into practice by ICRC staff members around the world, in accordance with clearly defined management priorities that build upon the organization’s Key Success Factors.”<sup>1785</sup> A roadmap, which was then translated into objectives and plans of action, was notably developed by the Directorate to implement the strategy.<sup>1786</sup> Finally, strategic control is also present. The strategy states that “indicators will be developed to monitor results, and progress reports will be made”.<sup>1787</sup> For this reason, the author believes the proposition is strongly fulfilled (●●●).

### **9. The three tasks of strategic management are clearly interlinked.**

The link between the three strategic management tasks is also visible. The roadmap for implementation links the four strategic orientations of the strategy and the key success factors, and this implementation is then reviewed. However, the author believes the links between the three tasks of strategic management could

<sup>1780</sup> ICRC, 2011, p. 60.

<sup>1781</sup> ICRC, 2007, p. 2.

<sup>1782</sup> ICRC, 2011, p. 9.

<sup>1783</sup> ICRC, 2010e, p. 7.

<sup>1784</sup> Grünig & Kühn, 2011, p. 31.

<sup>1785</sup> ICRC, 2010e, p. 2.

<sup>1786</sup> ICRC, 2011, p. 60.

<sup>1787</sup> ICRC, 2010e, p. 2.

still be strengthened. For this reason, the author believes the proposition is partly fulfilled (●●).

#### **10. Strategic planning is based on a detailed environmental analysis.**

An analysis of the environment is thoroughly carried out in the ICRC. Firstly, the link to the environment is stressed in the definition of strategy given. Strategies are derived from opportunities and threats in the environment and strengths and weaknesses of the organization. Strategy is therefore defined as “the reflection of your self-awareness and the awareness you have of your environment and how you deal with that”.<sup>1788</sup> Secondly, the surroundings analysis workshop looked at trends in the operational environment. On this basis, different scenarios giving different views of the future were developed and the most likely state of the world identified. The adaptation of the organization’s *modus operandi* in response to these scenarios was also discussed.<sup>1789</sup> This workshop constituted the basis for the elaboration of the vision, as well as for the first Directorate workshop.<sup>1790</sup> The environmental analysis is also visible in the strategic document resulting from the strategic planning process. It presents the challenges in the environment, such as mega-trends, as well as the need to build capacity to respond to these changes.<sup>1791</sup> The author therefore believes that the proposition is strongly confirmed (●●●).

#### **11. There is a systematic strategic planning process.**

The case description showed that the ICRC has a very systematic process for strategic planning. It is methodical and based on numerous steps. The approach for the elaboration of the 2011-2014 strategy was also systematized in relation to the 2007-2010 strategic planning exercise.<sup>1792</sup> However, very little formalization of the strategic planning process exists,<sup>1793</sup> and the author believes the process could still be more systematized. The proposition is therefore considered to be strongly fulfilled (●●●).

#### **12. There is project-based implementation.**

Systematic realization of the ICRC’s strategy is visible. It is clearly stated in the strategic document itself. The institutional strategy states that it “will be put into practice by ICRC staff members around the world, in accordance with clearly defined management priorities that build upon the organization’s Key Success Factors”.<sup>1794</sup> Although not detailed in the document, indications on how this is done are given in other documents. To implement the strategy, a roadmap combining

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<sup>1788</sup> Interview, 05.05.10.

<sup>1789</sup> ICRC, 2010d, p. 1ff.

<sup>1790</sup> Interview, 05.05.10.

<sup>1791</sup> ICRC, 2010e, p. 4f.

<sup>1792</sup> Interview, 05.05.10.

<sup>1793</sup> Interview, 05.05.10.

<sup>1794</sup> ICRC, 2010e, p. 2.

the strategy's four main orientations and the six key success factors was developed by the Directorate.<sup>1795</sup> Expected results were formulated detailing "how, in concrete terms, the ICRC intends to achieve the ambitions laid out in the strategy". Objectives and plans of action were then developed for implementation directly by departments or under the supervision of departments.<sup>1796</sup> Budgets were also included for the objectives.<sup>1797</sup> For these reasons, the author believes the proposition is partly fulfilled (●●).

### **13. There is systematic and strict control.**

It is clearly stated in the strategy document that indicators will be developed to monitor results,<sup>1798</sup> although the difficulty in defining such indicators due to the nature of the task is stressed.<sup>1799</sup> Their use is however facilitated with four-year budgeting.<sup>1800</sup> It is also stated that progress reports will be made,<sup>1801</sup> and that the implementation of the strategy will be reviewed every two years.<sup>1802</sup> Results and progress can thus be evaluated. The author therefore believes there are some elements of systematic control and that the proposition is therefore partly fulfilled (●●).

### **14. The planning process is adapted to the organizational structure.**

With its headquarters in Geneva and its activities carried out worldwide, the ICRC is present in many different arenas. According to the author, the strategic planning process is only partly adapted to the organizational structure of the ICRC. This is because the author believes that key decision-makers in the organization should be more integrated in the strategic planning process. The President should notably play a more important role. The link between the Assembly, the Board and the Directorate should also be strengthened. For this reason, the proposition is considered to be weakly fulfilled (●).

### **15. There are clear documents showing strategy.**

A clear document showing the institutional strategy for four years (2011-2014) resulted from the ICRC's strategic planning process. The document, available on the organization's website, reiterates the mission, which is given by law, and the vision of the organization, which identifies four broad strategic orientations. It also includes statements on changes in the environment and ICRC's capacity to adapt to these new challenges. Finally, the four broad strategic orientations of the organization are detailed.<sup>1803</sup> This strategy is also reprinted in the organization's

<sup>1795</sup> ICRC, 2011, p. 60 ; ICRC, 2010j, p. 1.

<sup>1796</sup> ICRC, 2011, p. 60.

<sup>1797</sup> Interview 13.09.10.

<sup>1798</sup> ICRC, 2010e, p. 2.

<sup>1799</sup> Interview, 05.05.10.

<sup>1800</sup> Interview, 05.05.10.

<sup>1801</sup> ICRC, 2010e, p. 2.

<sup>1802</sup> ICRC, 2011, p. 63.

<sup>1803</sup> ICRC, 2010e, p. 1ff.

annual report.<sup>1804</sup> Whereas a clear strategic document exists for the global institutional level, the author only found a limited number of documents dealing with strategy at other levels. For this reason, the author considers the proposition to be partly fulfilled (●●).

#### **16. Strategic management tools are applied.**

Many different strategic methods were used in the ICRC's planning process. These include an environmental analysis, the development of scenarios, a stakeholder analysis, a competitive analysis, a SWOT analysis and a "swords and shields" matrix.<sup>1805</sup> However, the author considers the number of tools to be very high. Furthermore, the tools are complicated and may not be understood by all. For this reason, the author considers the proposition to be weakly confirmed (●).

#### **17. Strategic management tools are adapted to the specific needs of aid organizations.**

As discussed in the previous proposition, many tools are used by the ICRC to plan strategically, including an environmental analysis, a stakeholder analysis, a competitive analysis, a SWOT analysis and a "swords and shields" matrix. As they appear to be adapted to the needs of the ICRC, the proposition is therefore considered to be strongly fulfilled (●●●).

#### **18. There is a sound analysis of stakeholders and the plans respect their expectations.**

The main stakeholders of the ICRC, including donors, the affected populations, the Movement, States, the humanitarian community, internal stakeholders and the public, were identified and analyzed thanks to a stakeholder analysis carried out by the Directorate. Their expectations were reviewed based on interviews and reports.<sup>1806</sup> According to the author, there is therefore a sound stakeholder analysis. It must however be noted that this is new for the organization, and that it is not used to responding to the stakeholder expectations.<sup>1807</sup>

Although the author found little information on the respect of stakeholder expectations in plans, elements suggest that the organization is working towards this. The 2011-2014 strategy specifies that "the ICRC will continue to ensure that its processes and procedures reinforce accountability, both within the organization and vis-à-vis external stakeholders, by permitting efficient management of activities and strengthening coherence across the organization".<sup>1808</sup> Furthermore, stakeholder expectation statements were integrated in first Directorate

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<sup>1804</sup> ICRC, 2011, p. 566ff.

<sup>1805</sup> Interview, 05.05.10.

<sup>1806</sup> ICRC, 2010g, p. 1ff.

<sup>1807</sup> Interview, 05.05.10.

<sup>1808</sup> ICRC, 2010e, p. 8.

workshop.<sup>1809</sup> For these reasons, the author considers the proposition to be partly fulfilled (●●).

### 19. There is an analysis of competition.

A competitive analysis was included in the ICRC's strategic planning process. The analysis looked at the attractiveness of programs for donors by placing activities in a matrix combining the level of competency and the level of competition. Different strategies could then be followed depending on the positioning of activities. The ICRC's main competitors are also identified.<sup>1810</sup> The author believes that some elements could eventually complete the analysis. As shown in chapter IV, a competitive analysis could integrate other elements, such as the identification of potential competitors. For this reason, the proposition is considered to be partly fulfilled (●●).

### 20. There is long-term financial planning, if needed in scenarios.

The ICRC's funding is voluntary<sup>1811</sup> and therefore *per se* unpredictable.<sup>1812</sup> As a result, the planning of resources is more difficult.

In order to increase the predictability of funding, the organization has secured multi-year funding commitments from several governments.<sup>1813</sup> The existence of such commitments supports a long-term financial plan and also represents an improvement in strengthening the link to strategic planning. However, the need to obtain more of such long-term commitments to facilitate planning is recognized.

Despite efforts to broaden the donor base, the majority of the ICRC's funds is contributed by a relatively small number of donors: Four governments contribute over half of all funds. This may constitute a resource-related issue for strategic planning, as independence from political interests may not be guaranteed. Furthermore, the earmarking of funds may constitute a challenge. Almost three-quarters of cash contributions are loosely or tightly earmarked. This has important consequences, because only non-earmarked funds allow the ICRC to remain independent.<sup>1814</sup> One element that does help guarantee the organization's mission and identity is its refusal to accept funds from arms manufacturers, companies violating international humanitarian law, etc.<sup>1815</sup>

The move from an annual budgeting cycle towards a mid-term cycle of four years constitutes an important contribution towards strengthening the link with strategic planning<sup>1816</sup> and a long-term financial plan. An element of the organization's

<sup>1809</sup> ICRC, 2010f, p. 4.

<sup>1810</sup> ICRC, 2010h, p. 1ff.

<sup>1811</sup> Forsythe & Rieffer-Flanagan, 2008, p. 3 f.; 33f.; ICRC, 2011, p. 91.

<sup>1812</sup> Forman, 1999, p. 288.

<sup>1813</sup> ICRC, 2011, p. 91.

<sup>1814</sup> ICRC, 2011, p. 91.

<sup>1815</sup> ICRC, 2002, p. 4.

<sup>1816</sup> Interview, 05.05.10.

strategy also deals with financing. It stresses that “the ICRC will strive to ensure that it always has adequate, quality funding to implement its activities”.<sup>1817</sup>

Although moves towards long-term financing have been made (e.g. a mid-term framework and multi-year funding commitments), a sound long-term financial plan does not yet exist for the ICRC, according to the author. The voluntary nature of funding implies unpredictability, and the high level of earmarking and the small donor base may compromise independence. For these reasons, the author believes the proposition is only weakly fulfilled (●).

A summary table showing the ICRC evaluations is shown in **Figure VIII.2**.

Understanding and content of strategy	
1. The basic comprehension of strategy is the same as for profit organizations.	●●●
2. There are no reluctances against strategic management approaches.	●
3. Different levels of strategy exist.	●●●
4. Resources are planned in the long-term.	●●
5. Activities are planned, at least as categories of activities.	●
6. The aspired position is determined in a precise way.	●●●
7. Strategic management helps deal with the challenges of the organization.	●●
Executing strategic management tasks	
8. The three tasks of strategic management – planning, implementation and control – are present.	●●●
9. The three tasks of strategic management are clearly interlinked.	●●
10. Strategic planning is based on a detailed environmental analysis.	●●●
11. There is a systematic strategic planning process.	●●●
12. There is project-based implementation.	●●
13. There is systematic and strict control.	●●
14. The planning process is adapted to the organizational structure.	●
15. There are clear documents showing strategy.	●●
Applying analysis and planning tools	
16. Strategic management tools are applied.	●
17. Strategic management tools are adapted to the specific needs of aid organizations.	●●●
18. There is a sound analysis of stakeholders and the plans respect their expectations.	●●
19. There is an analysis of competition.	●●
20. There is long-term financial planning, if needed in scenarios.	●
●●● = Strongly fulfilled ●● = Partly fulfilled ● = Weakly fulfilled 0 = Not fulfilled ? = No information	

**Figure VIII.2: ICRC evaluations**<sup>1818</sup>

<sup>1817</sup> ICRC, 2010e, p. 8.

<sup>1818</sup> Own elaboration.

### 3.1.2 Challenges in strategic management

#### **a      *Reconciling business approaches and values***

The first challenge relates to proposition 2. Although reluctance towards long-term approaches exists due to unpredictability in the ICRC's area of activity, there is also reluctance to these approaches due to the humanitarian values on which the organization's action is based. The ICRC's staff has an intrinsic motivation based on humanitarian values and this makes it difficult for many of them to accept business approaches.<sup>1819</sup>

Vocabulary also constitutes an important hurdle when introducing strategy and business approaches in the organization. Terms such as *performance* and *corporate objectives* are perceived as "business talk". While this may be the case, the ICRC's performance is its work for affected people, and the better it performs, the better the victims of armed conflicts and violence are served. Mr. Fonteyne argues, "Talking about performance, people say no, no, no, we're not a business, we're here for values. So then you have to say, 'what is our performance'? Our performance is to work for these people affected. And the higher we perform the better they are served, so it's our performance".<sup>1820</sup> A key challenge is therefore to reconcile humanitarian values with business approaches and terms.

#### **b      *Planning resources***

The second challenge follows from proposition 4. According to the author, resource planning in the organization remains a challenge for strategic management. Because of the difficulties in forecasting long-term needs, resource requirements are difficult to plan. As human resources are an important factor in successful strategic management, the development of these resources constitutes a key challenge.

#### **c      *Planning activities***

Another challenge relates to proposition 5. The planning of activities remains a challenge for the ICRC, mainly due to the unpredictability and uncertainty in its area of activity. A challenge is therefore for the organization to be able to plan its activities, at least as categories.

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<sup>1819</sup> Interview, 05.05.10.

<sup>1820</sup> Interview, 05.05.10.



**d      *Determining indicators and measuring success***

The fourth challenge relates to the task of strategic control, mentioned in propositions 8 and 13. Although the use of indicators is facilitated with four-year budgeting, it is not easy to have clear indicators in the humanitarian sector. It is sometimes very difficult to know what success is and how to measure it. As Ms. Beerli argues, “If you have to work with indicators in a company which produces (...) [e.g.] cigarettes (...), it's easier to have clear indicators. But here it's sometimes very difficult to know what the success is finally. Is it a success if we visit more prisoners or is it a success if we visit fewer prisoners? Or how can you measure (...) when do we do good work?”.<sup>1821</sup> Indicators used by the ICRC include, for example, the number of detainees visited, the number of Red Cross Messages collected and distributed, and the number of people reunited with their families.<sup>1822</sup>

**e      *Formalizing planning procedures***

Another challenge can be seen as in relation to proposition 11. Little formalization of the strategic planning process exists for the moment at the ICRC.<sup>1823</sup> Another strategic management challenge therefore consists in increasing the formalization of strategic planning procedures.

**f      *Strengthening the link between operational and strategic planning***

Proposition 12 serves as the basis for this challenge. The clarification of the link between operational planning and strategic planning is one challenge. The relation between strategic planning and mid-range planning can notably be improved. The budget process, for example, is being brought to a four-year planning horizon. The view of multiple years is an important link to strategy, because it's very difficult to re-plan on an annual cycle. As the majority of delegations have a stable budget, there is no case, in terms of flexibility, to budget on an annual basis. Some express reluctance to a longer timeframe due to unpredictability. However, Mr. Fonteyne argues that, “In a way, we can [foresee what's happening in more time] and if it's something unforeseen anyway, we do an emergency appeal”.<sup>1824</sup>

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<sup>1821</sup> Interview, 05.05.10.

<sup>1822</sup> ICRC, 2011, p. 476ff.

<sup>1823</sup> Interview, 05.05.10.

<sup>1824</sup> Interview, 05.05.10.

### ***g Integrating the different organizational levels in the process***

The challenge follows from proposition 14. It relates to the strengthening of the link between the Assembly and the Directorate. It has historically not been clear who has done what between the two, and the grey zone is now being clarified.<sup>1825</sup> Furthermore, the link between the Presidency and the Directorate could be strengthened. The new Director General, who thinks in the direction of enterprise-like management, has vision on how to draw the balance. An explicit frame of management, towards which the ICRC is working now, will facilitate the dialogue between Governance and Management in a way that expectations are clear on both sides. In this way, expectations can be discussed and then indicators used.<sup>1826</sup> The organization also has very strong units, which have a direct connection with the mission and their own interpretation of it. They are not easily taken on board in an in-between structure to connect them all into a common, because every métier believes in their specificity. Work is being done to break down walls between the different sections.<sup>1827</sup>

### ***h Using simple tools***

Another challenge relates to proposition 16. The ICRC uses many tools during its planning process. These tools are also very sophisticated. This may not necessarily be optimal, as they may not be understood by all. Furthermore, the author believes there is a risk that more focus is put on tools than on content.

### ***i Ensuring funding without compromising mission***

The final challenge also follows from proposition 20. The nature of funding, and hence its unpredictability, is one aspect that may cause to strategic planning challenges in the organization. Several elements also pose challenges in terms of ensuring funding without compromising the organization's mission and identity, including earmarking and a small donor base. Fundraising is therefore a key challenge for the ICRC.

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<sup>1825</sup> Interview, 05.05.10.

<sup>1826</sup> Interview, 05.05.10.

<sup>1827</sup> Interview, 05.05.10.

## 3.2 MSF

### 3.2.1 Fulfillment of the propositions

In the following text, the fulfillment of the propositions in the MSF case is evaluated by the author.

#### **1. The basic comprehension of strategy is the same as for profit organizations.**

In MSF, strategy is how to reach an objective, the latter constituting the necessary condition for the existence of a strategy. Strategy is also linked with investments and time. Several requirements exist for a strategy, including simplicity, means of implementation and ability to convince. Also, strategies should not be evaluated compared to the other strategies that would have been possible, but against its intended achievements.<sup>1828</sup> MSF's understanding is therefore very similar to definitions used in the private sector: a set of actions or decisions to achieve an organization's objectives and goals. The necessity of time to get the benefits of strategy is also integrated. For this reason, the author considers the proposition to be strongly fulfilled (●●●).

#### **2. There are no reluctances against strategic management approaches.**

There is certain reluctance to strategic management, mainly due to the unpredictable nature of MSF's activities. MSF possesses a short-term orientation and its action is based on reactivity. Strategic management is therefore not considered to be relevant or possible. There is, however, growing recognition that there is a need for MSF to adopt such approaches in order to be more efficient. Reluctance is impossible, as strategic management will be mandatory in the future. Mr. Captier states, "You cannot be reluctant. (...) What today is optional, tomorrow is going to become compulsory. So you cannot basically go around that". Such approaches remain new for MSF, and two schools of thought exist: one believes in anticipating as much as possible, while the other believes that flexibility should be kept.<sup>1829</sup> Certain reluctance towards strategic management therefore exists in the organization. However, as some in the organization also stress the need to begin to adopt such approaches, the author considers the proposition to be weakly fulfilled (●).

#### **3. Different levels of strategy exist.**

Different levels of strategy are considered in MSF: the global Movement level, the operational center level and the national level. Documents with strategic content are developed for each level, which support this idea. For this reason, the author believes the proposition is strongly fulfilled (●●●).

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<sup>1828</sup> Interview, 05.08.10

<sup>1829</sup> Interview, 05.08.10.

#### 4. Resources are planned in the long-term.

Human resources planning is complicated by MSF's area of activity and operational environment. Pools of staff are maintained in order to deal with emergencies. Human resources are also built up with training. As it is now impossible to work with international staff in conflict areas, national staff is trained to acquire capacities.<sup>1830</sup> Human resources elements are also given in the operational policy and the strategic plan. One objective strategic plan notably focuses on the investment in "the people serving the organization".<sup>1831</sup>

Thanks to its ten specialized organizations ("satellites"), the organization has also built up resources. Several affiliate foundations carry out research contributing to MSF operations.<sup>1832</sup> MSF notably innovated by creating emergency kits including different groups of basic supplies to reply immediately to different situations.<sup>1833</sup> Its two supply centers provide medical and other equipment.<sup>1834</sup> Emergency stocks are held.<sup>1835</sup> A regional logistics hub is also located in Nairobi.<sup>1836</sup> In 2010, MSF Switzerland had a fleet of around 300 vehicles, including 4-wheel drive vehicles, trucks, cars and other vehicles.<sup>1837</sup>

Because of the maintenance of pools of staff, human resources training and the development of logistics, the author believes the proposition is partly fulfilled (●●).

#### 5. Activities are planned, at least as categories of activities.

MSF's highlights the unpredictable nature of its activities. As Mr. Captier states, "Our activity is largely unpredictable". As a result, MSF has a short-term orientation. He states, "the way we think, the way we operate, it's we have a problem we solve it. (...) We are short-term".<sup>1838</sup> Activities are therefore planned on a short-term basis. The author therefore does not consider the proposition to be fulfilled (0).

#### 6. The aspired position is determined in a precise way.

MSF's position as the largest independent medical humanitarian agency in the world can be found in several documents.<sup>1839</sup> Although the current position is given, MSF's *aspired* position is not clearly given. The author therefore considers that the proposition is not fulfilled (0).

<sup>1830</sup> Interview, 05.08.10.

<sup>1831</sup> UNHCR, 2008a, p. 16ff.

<sup>1832</sup> Lindenberg & Bryant, 2001, p. 190.

<sup>1833</sup> Tanguy, 1999, p. 236f.

<sup>1834</sup> MSF Logistique, 2011b; MSF Supply, 2011b. Going through such centers guarantees the quality and safety of medicines, because some 30% of medicine sold in developing countries are counterfeit (MSF Switzerland, 2011e).

<sup>1835</sup> MSF Supply, 2011c.

<sup>1836</sup> MSF Supply, 2011d.

<sup>1837</sup> MSF Switzerland, 2011a, p. 11.

<sup>1838</sup> Interview, 05.08.10.

<sup>1839</sup> See, for example, Bortolotti, 2010, p. 8; DeChaine, 2005, p. 72.

**7. Strategic management helps deal with the challenges of the organization.**

Strategic management helps MSF deal with the challenges it faces. Besides setting a clear overall direction, resources can also be directed towards priorities. The proposition is fulfilled to a certain extent (●●).

**8. The three tasks of strategic management – planning, implementation and control – are present.**

The three tasks of strategic management are considered to be present in MSF. On justification for this is that their presence is assumed to be necessary to run an organization. The existence of strategic documents attests to the existence of strategic planning, as such documents constitute the result of strategic planning.<sup>1840</sup> The annual plan of action attests to the implementation of the multi-year operational policy. Furthermore, the strategic plan specifies that the Operational Center Geneva “will give itself the means to ensure the implementation of the (...) [four year plan]”, and that it will be evaluated after 2 years and at its end.<sup>1841</sup> The author has little information on the implementation and control of the strategic plan. However, the intention was to develop key indicators. For these reasons, the author believes the proposition is strongly fulfilled (●●●).

**9. The three tasks of strategic management are clearly interlinked.**

Although a certain link exists between the three strategic management tasks, the author considers that this link could be clarified and strengthened. The author therefore considers the proposition to be weakly fulfilled (●).

**10. Strategic planning is based on a detailed environmental analysis.**

The MSF case description revealed the existence of an analysis of the external environment. The main environmental developments, both positive and negative, as well as their implications for MSF are notably presented in the operational policy.<sup>1842</sup> Scenarios are however not developed. For this reason, the author considers the proposition to be partly fulfilled (●●).

**11. There is a systematic strategic planning process.**

Policy is developed at the level of the MSF Movement and multi-year operational policies are developed by the different operational centers. For MSF Switzerland, operational policies are developed every four years, and plans to implement them are elaborated every year. However, strategy is not considered to be developed very systematically by the organization. The author therefore considers the proposition to be only somewhat fulfilled (●).

<sup>1840</sup> Grünig & Kühn, 2011, p. 31.

<sup>1841</sup> MSF Switzerland, 2008a, p. 12.

<sup>1842</sup> MSF Switzerland, 2008b, p. 7ff.

**12. There is project-based implementation.**

Policy developed at the level of the MSF Movement is translated into concrete action thanks to operational policies developed by the different Operational Centers. Furthermore, MSF Switzerland/Operational Center Geneva implements its operational policy with the help of annual plans of action. If possible, another document covering programs and projects is also elaborated in order to translate the annual plan. To translate the operational policy, MSF Switzerland also developed a strategic plan.<sup>1843</sup> Little information, however, is available on its implementation. For these reasons, the author gives a strongly fulfilled evaluation to the proposition (●●).

**13. There is systematic and strict control.**

The strategic plan specifies that the operational policy will be evaluated after 2 years and that, at the end of 4 years, a “critical review of what has been achieved” will also be carried out.<sup>1844</sup> Little information on control of the strategic plan is available. The development of indicators to monitor the implementation of the strategic plan was planned, but this was never finalized.<sup>1845</sup> Because of the intention, but the non-completion, the author considers the proposition to be weakly fulfilled (●).

**14. The planning process is adapted to the organizational structure.**

MSF has a decentralized organizational structure. Strategic planning in MSF takes its decentralized structure into account. Documents with strategic content are developed on several levels. Furthermore, key decision-makers are integrated in the process. Documents are drafted on a consultative basis at all levels. The operational policy and the annual plan of the Operational Center Geneva are approved by the Board of Directors (Operational Center Geneva Congress). The author presumes that the strategic plan would have been approved by the Board if it had been finalized. Because the strategic planning process is adapted to the decentralized structure of MSF and because key decision-makers are integrated in the process, the author considers the proposition to be strongly fulfilled (●●●).

**15. There are clear documents showing strategy.**

A variety of documents with strategic content have been developed in MSF. At the Movement level, these include the Charter, the Chantilly Document and the La Mancha Agreement. These documents, shared by all MSF sections, give the overriding values and objectives. The author therefore considers them to be part of MSF’s strategic orientation. At the Operational Center Geneva/MSF Switzerland level, a number of documents with strategic content also exist. These include the operational policy and the annual action plan. A strategic plan was notably also

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<sup>1843</sup> Interview 05.08.10.

<sup>1844</sup> MSF Switzerland, 2008a, p. 12.

<sup>1845</sup> Interview, 05.08.10.

elaborated by the General Director. However, due to the fact that it was not finalized and distributed, and that it represents an essential strategic document, the author concludes that the proposition is partly fulfilled (●●).

#### **16. Strategic management tools are applied.**

An analysis of the environment, in which positive and negative environmental developments and their implications for MSF were identified,<sup>1846</sup> was used by MSF and is considered by the author to be a useful tool. Besides this analysis, the author did not find any other application of strategic analysis and planning tools. The author therefore considers the proposition to be weakly fulfilled (●).

#### **17. Strategic management tools are adapted to the specific needs of aid organizations.**

Because very few strategic analysis and planning tools were used by MSF, the author cannot judge if the tools are adapted to the needs of the organization. The proposition is therefore given a “no information” evaluation (?).

#### **18. There is a sound analysis of stakeholders and the plans respect their expectations.**

No in-depth stakeholder analysis is apparent from the author’s research. Key stakeholders (donors, beneficiaries, etc.) are mentioned in various documents, and accountability to them is discussed and strived for.<sup>1847</sup> Accountability towards donors, as well as their evolving expectations, is notably highlighted in the strategic plan.<sup>1848</sup> However, according to the author, the interests, influence and importance of MSF’s multiple stakeholders are not assessed in a detailed manner. Furthermore, few indications are given on whether the different plans respect their expectations. As a result, the proposition is weakly fulfilled (●).

#### **19. There is an analysis of competition.**

No analysis of competition is apparent from the author’s research. The author therefore evaluates the proposition as not fulfilled (0).

#### **20. There is long-term financial planning, if needed in scenarios.**

The voluntary nature of MSF’s funding implies unpredictability.<sup>1849</sup> Spontaneous donations and legacies are notably difficult to predict.<sup>1850</sup> MSF Switzerland has agreements with other MSF organizations, which make contributions.<sup>1851</sup> The

<sup>1846</sup> MSF Switzerland, 2008b, p. 7ff.

<sup>1847</sup> See, for example, MSF Switzerland, 2008a, p. 24ff.; MSF Switzerland, 2008b, p. 30; Stobbaerts & de Torrenté, 2008.

<sup>1848</sup> MSF Switzerland, 2008a, p. 24ff.

<sup>1849</sup> Forman, 1999, p. 288.

<sup>1850</sup> MSF Switzerland, 2009, p. 67.

<sup>1851</sup> Interview, 05.08.10; MSF Switzerland, 2011a, p. 4; 13.

author found little other information on the existence of multi-year funding commitments. The planning of resources is more difficult due to these elements.

Several measures contribute to ensuring financing without compromising mission and identity. First, thanks to very a very high level of private funding, MSF Switzerland is able to guarantee its independence from political or other interests.<sup>1852</sup> It is therefore free to set its goals and it can respond solely on the basis of needs. Second, donors are also selected: contributions from donors whose activities may be in conflict with its mission are refused. However, two elements may reduce independence. First, the earmarking of funds for specific projects also exists,<sup>1853</sup> which reduces MSF's independence and its ability to respond solely on the basis of need. Second, the organization has recently made "a concerted effort" to increase funding from public sources,<sup>1854</sup> and this may have an effect on independence.

Financing is dealt with in the MSF Switzerland's strategic plan. The mobilization of financial resources constitutes one of the sub-objectives set out in the plan. It notably states that "We will not achieve our operational ambitions without ensuring a reliable and predictable access to funding while preserving our financial independence in order to be able to remain impartial in our action". On top of key issues and challenges, the plan also sets out several strategic orientations to build up the ability. These include the reliance on private fundraising in home societies, the diversification of sources of private income, the maintenance of relationships with public institutional donors and accountability stakes.<sup>1855</sup>

Financial planning is done on a yearly basis,<sup>1856</sup> which presents limits in terms of the links to strategic planning. Furthermore, although funding agreements with other MSF sections exist,<sup>1857</sup> little detail on other multi-year funding commitments was found by the author. MSF's policy of building up reserves allows it to respond to emergencies and to sustain programs.<sup>1858</sup> However, the author believes that, although this approach is very useful in the area of humanitarian activity, it is a short-term measure and therefore does not contribute to a long-term plan.

Although the high level of private funding and the selection of donors all contribute towards guaranteeing MSF's independence and identity, some elements may represent challenges. Furthermore, although an element of strategy deals with financing, the unpredictable nature of funding, the short financial planning horizon and the eventual lack of long-term financial commitments do not represent contributions towards a long-term financial plan. For these reasons, the author believes the proposition is weakly fulfilled (●).

<sup>1852</sup> MSF International, 2011b, p. 107; MSF Switzerland, 2011a, p. 4; Phelan, 2009, p. 23.

<sup>1853</sup> MSF Switzerland, 2011a, p. 13; 16.

<sup>1854</sup> MSF Switzerland, 2011b, p. 21.

<sup>1855</sup> MSF Switzerland, 2008a, p. 24ff.

<sup>1856</sup> MSF Switzerland, 2009, p. 63.

<sup>1857</sup> Interview, 05.08.10; MSF Switzerland, 2011a, p. 4.

<sup>1858</sup> Interview, 05.08.10; MSF International, 2011a, p. 7; 23.



A summary table showing the MSF evaluations is shown in **Figure VIII.3**.

Understanding and content of strategy		
1.	The basic comprehension of strategy is the same as for profit organizations.	●●●
2.	There are no reluctances against strategic management approaches.	●
3.	Different levels of strategy exist.	●●●
4.	Resources are planned in the long-term.	●●
5.	Activities are planned, at least as categories of activities.	0
6.	The aspired position is determined in a precise way.	0
7.	Strategic management helps deal with the challenges of the organization.	●●
Executing strategic management tasks		
8.	The three tasks of strategic management – planning, implementation and control – are present.	●●●
9.	The three tasks of strategic management are clearly interlinked.	●●
10.	Strategic planning is based on a detailed environmental analysis.	●●
11.	There is a systematic strategic planning process	●
12.	There is project-based implementation.	●●
13.	There is systematic and strict control.	●
14.	The planning process is adapted to the organizational structure.	●●●
15.	There are clear documents showing strategy.	●●
Applying analysis and planning tools		
16.	Strategic management tools are applied.	●
17.	Strategic management tools are adapted to the specific needs of aid organizations.	?
18.	There is a sound analysis of stakeholders and the plans respect their expectations.	●
19.	There is an analysis of competition.	0
20.	There is long-term financial planning, if needed in scenarios.	●
●●● = Strongly fulfilled ●● = Partly fulfilled ● = Weakly fulfilled 0 = Not fulfilled ? = No information		

**Figure VIII.3: MSF evaluations**<sup>1859</sup>

### 3.2.2 Challenges in strategic management

#### *a Motivating senior managers to think long-term*

The first challenge relates to proposition 2. Due to unpredictability of activities and the short-term orientation that results, strategic management is not considered to be relevant or possible, and operational activities are given more attention.

<sup>1859</sup> Own elaboration.

A challenge for MSF's management is to find a balance between the time spent on operations and the time spent on strategic planning. This is highlighted by the lack of finalization of the strategic plan. The plan remained at the level of a draft, due to a series of emergencies and the clear choice to spend time on reacting rather than finalizing the plan. Mr. Captier states, "But at the same time, it shouldn't be. There's always a good excuse not to do this kind of strategic thing, because you always have something more urgent to balance".<sup>1860</sup> The challenge is therefore to find a balance between managing daily business and preserving reactivity, and investing in the mid and long-term.

Senior managers plan to meet every three months at a workshop. They leave the office and are thus removed from the daily operations. This way, they can devote time to long-range issues. However, meetings take place twice a year maximum. There is "always (...) a good argument not to do it" and meetings are skipped. The challenge is to maintain the ability to have such meetings from time to time.<sup>1861</sup>

#### **b      *Planning resources***

The second challenge relates to proposition 4. The author considers that resource planning in the organization remains a challenge. Forecasting needs in the long-term, and therefore resource requirements, is difficult.

The training and development of human resources notably represents a challenge. People play a determining role in strategic planning. As Mr. Captier states, "what basically is going to make the difference in an ability (...) for an organization to do this kind of thinking and planning will be the quality of the people". The challenge at MSF Switzerland is that directors have a deep understanding of operations, as they come from the field, but they have never been directors before. It takes several years to discover the job and learn to be strategic. They must therefore be trained to learn to think in the long term.<sup>1862</sup>

#### **c      *Planning activities***

This challenge follows from proposition 5. Due to the unpredictable nature of its activity, MSF has a short term orientation. Mr. Captier states, "Our activity is largely unpredictable". As a result, MSF's action is based on reactivity. He states, "the way we think, the way we operate, it's we have a problem we solve it. (...) We

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<sup>1860</sup> Interview, 05.08.10.

<sup>1861</sup> Interview, 05.08.10.

<sup>1862</sup> Interview, 05.08.10.

are short-term”.<sup>1863</sup> The challenge therefore consists in planning activities under such circumstances.

**d     *Determining a clear target position***

Proposition 6 serves as the basis for this challenge. Although MSF’s current position is found, its target position is not clearly given. As this position represents an element of strategy and is linked to the success potentials in the offer and in resources, a challenge is therefore to produce a clear statement on the target position of the organization.

**e     *Systematizing planning procedures***

This relates to proposition 11. As the need for a systemic process has been shown in literature, the challenge for MSF is therefore to systemize its strategic planning processes.

**f     *Linking the strategic planning of the decentralized units***

Another challenge is related to proposition 14 on the adaptation of planning to the organizational structure. A main strategic management challenge results from MSF’s decentralized structure. In MSF, strategic planning can be done only at the operational center level. However, the planning horizons of the different operational centers are not the same, and coordination takes place with a certain time lag. Strategic ambitions and orientations must be aligned. For MSF, the main handicap is not to have more authority and decision-making at the central level. However, a reform of the governance is necessary to do so. Such a reform is currently taking place.<sup>1864</sup>

A current challenge for MSF is to decide what is done best at which of the three levels of the Movement. Centralizing everything makes little sense, but doing so for certain areas would bring added value. Several areas mentioned in the interview can be given as examples:<sup>1865</sup>

- Recruitment is currently being done by all 19 sections. It was concluded that it should take place at the international level. Continental recruitment centers could be created, for instance two or three in Western Europe.

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<sup>1863</sup> Interview, 05.08.10.

<sup>1864</sup> Interview, 05.08.10.

<sup>1865</sup> Interview, 05.08.10.

- Training is currently done at the operational center level. There is recognition that it should take place at the central level, but it has not been transferred because of the complicated nature of MSF's structure.
- Information technology is also currently on the operational center level. Different software is being used by each of the operational centers. A year and a half ago, it was decided that everything should be harmonized. The five centers will stop developing their own information system solutions for the field, and a new tool for supply and finance will be developed. This will reduce development, training and maintenance costs.
- Fundraising is the opposite. Having one central fundraising point makes little sense, because national markets are different. Fundraising should therefore be done at the national level.

A political struggle may result between the autonomy of the national sections and the international level. The more power is given to the international level, the less power the national level has.<sup>1866</sup> Bortolotti reports a “deep resistance to too much centralization” in the Movement.<sup>1867</sup> If centralization is carried out, the author deems it necessary to maintain the advantages linked to decentralization as much as possible.

### ***g Applying analysis and planning tools***

This challenge relates to propositions 16 to 19. Given that few analysis and planning tools were apparent, the author considers this to be another challenge for MSF. The challenge therefore consists in increasing the use of tools in the different steps of the planning process, in order to bring facts into the process, ask the pertinent questions and enable concrete results.

### ***h Ensuring funding without compromising mission***

The final challenge follows from proposition 20. Fundraising is a key challenge for MSF. The nature of its funding may cause strategic planning challenges, as it is unpredictable. Although high private funding and donor selection contribute towards guaranteeing independence, elements such as earmarking and increased public funding may represent challenges in terms of ensuring funding without compromising mission and identity. Finally, the short financial planning horizon does not create a strong link with strategic planning.

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<sup>1866</sup> Interview, 05.08.10.

<sup>1867</sup> Bortolotti, 2010, p. 71.

### 3.3 UNHCR

#### 3.3.1 Fulfillment of the propositions

In the following text, the fulfillment of the propositions in the UNHCR case is evaluated by the author.

##### **1. The basic comprehension of strategy is the same as for profit organizations.**

Similar definitions of strategy were also given in UNHCR. Although it was highlighted that confusion surrounds the term, the three definitions given in the case expressed similar ideas. One document defined strategy as “a clear vision of what you want to achieve (goals and objectives) and why, as well as the overall means and time frame (the “how”, the tactics) to achieve it.”<sup>1868</sup> Staff members defined it as “how you achieve a set objective”,<sup>1869</sup> as well as “setting out medium to long term objectives and demonstrating how these objectives are going to be achieved”. It indicates *where* the organization is going and *how* it will get there.<sup>1870</sup> All three definitions focus on setting one or several objectives and on how to achieve them. This corresponds to the business point of view that strategy is a set of actions or decisions to achieve objectives. It is also noteworthy that the first and third definitions set a timeframe for strategy, an element which was also found in several business definitions of strategy.<sup>1871</sup> The author therefore believes the proposition is strongly fulfilled (●●●).

##### **2. There are no reluctances against strategic management approaches.**

According to the author, the nature of UNHCR's activity causes some reluctance towards long-term approaches in the organization. Due to the unpredictable nature of emergencies, long-term thinking is not considered possible or relevant by some in the organization.<sup>1872</sup> One staff member says the notion of strategic planning is not used much in UNHCR,<sup>1873</sup> which shows the idea of reluctance, according to the author. However, the opposite statement was also made, which highlights the absence of reluctance. The staff member argues that strategic terms are often used. The phrase “we need to have a strategic plan” is common. Strategy has also become a “buzz word”.<sup>1874</sup> The author therefore concludes that some reluctance exists. The proposition is weakly fulfilled (●).

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<sup>1868</sup> UNHCR, 1999, p. 7.

<sup>1869</sup> Interview, 14.06.11.

<sup>1870</sup> Interview, 12.11.10.

<sup>1871</sup> See, for example, Grünig & Kühn, 2011, p. 9; Johnson, Scholes & Whittington, 2008, p. 3; Schermerhorn, 2008, p. 207.

<sup>1872</sup> Kuyama, Ouédraogo & Wynes, 2004, p. 4.

<sup>1873</sup> Interview, 12.11.10.

<sup>1874</sup> Interview, 14.06.10.

### 3. Different levels of strategy exist.

Strategy in UNHCR is developed at many different levels, functions and geographical areas. At a very high and general level, strategy is “where UNHCR wants to be in a couple of years”. This very general statement can then be broken down and made more concrete by specifying where the organization wants to be, for example on budgeting, fundraising or human resources. A strategy can also be made on a topic issue, a sub-region or to move certain situations forward.<sup>1875</sup> The author therefore considers the proposition to be strongly fulfilled (●●●).

### 4. Resources are planned in the long-term.

Due to the nature of UNHCR’s activity, the planning of human resources is more difficult. In terms of human resources, pools of staff are maintained to respond quickly to emergencies.<sup>1876</sup> An element concerning human resources is also set out in the organization’s global strategic priorities: “UNHCR has a diverse and gender-balanced workforce that is motivated and safe, has integrity and meets the current and future needs of the organization”.<sup>1877</sup>

UNHCR is globally present with 378 offices in 125 countries in 2010.<sup>1878</sup> The organization is building up its emergency response capacity by improving supply chain management. It maintains an emergency stock of basic non-food items for 600’000 beneficiaries.<sup>1879</sup> In 2009, UNHCR had a total fleet of around 7’800 units, composed of light vehicles, trucks, tankers and other vehicles. It has also established partnerships in this area.<sup>1880</sup>

For these reasons, the proposition is considered to be partly fulfilled (●●).

### 5. Activities are planned, at least as categories of activities.

The nature of UNHCR’s work plays an important role in planning. The unpredictability of most of the emergencies to which it responds notably has consequences. Needs are difficult to predict.<sup>1881</sup> Also, implementation is not always possible due to the context in which activities are carried out.<sup>1882</sup> Because of this, UNHCR tends to be reactive rather than planning for the future. For these reasons, the author believes the proposition is not fulfilled (0).

### 6. The aspired position is determined in a precise way.

UNHCR’s target position was not found by the author. For this reason, the author does not consider the proposition to be fulfilled (0).

<sup>1875</sup> Interview, 14.06.11.

<sup>1876</sup> UNHCR, 2011a, p. 139; UNHCR, 2010a, p. 111.

<sup>1877</sup> UNHCR, 2011a, p. 22.

<sup>1878</sup> UNHCR, 2011a, p. 2.

<sup>1879</sup> UNHCR, 2011a, p. 139.

<sup>1880</sup> UNHCR, 2009g, p. 6.

<sup>1881</sup> Interview, 12.11.10.

<sup>1882</sup> Interview, 14.06.11.

**7. Strategic management helps deal with the challenges of the organization.**

Policy planning and strategic planning are useful to help UNHCR deal with the challenges they face. A strong focus on issues exists. The global strategic priorities also help the organization focus on activities contributing to priorities and direct resources towards them. However, the author believes the overall direction could be clarified and therefore gives a partly fulfilled evaluation (●●).

**8. The three tasks of strategic management – planning, implementation and control – are present.**

Strategic management is assumed to exist in UNHCR, because the author considers it to be necessary to run an organization and be successful in the long term. Strategic planning is present due to the fact that documents with strategic content have been elaborated by the organization. They constitute the result of strategic planning.<sup>1883</sup> The development of plans of action and indicators for some documents also attest to the existence of implementation and control. For these reasons, the author gives a strongly fulfilled evaluation to the proposition (●●●).

**9. The three tasks of strategic management are clearly interlinked.**

Plans of action and indicators developed on the basis of strategic documents attest to the existence of a link between the three tasks. The author therefore considers the proposition to be partly fulfilled (●●).

**10. Strategic planning is based on a detailed environmental analysis.**

Some attempts to identify emerging trends and issues exist in the organization.<sup>1884</sup> For example, the policy paper on climate change identifies five displacement scenarios related to climate change and discusses their implications for UNHCR.<sup>1885</sup> However, the author is not aware of any detailed environmental analysis covering environmental developments and their consequences for UNHCR. Therefore, the proposition is considered to be only weakly fulfilled (●).

**11. There is a systematic strategic planning process.**

The organization's planning is very informal and based strongly on networks. There is also a strong focus on issues. Advantages put forward are that such a process is more inclusive and produces more buy-in. Strategy is therefore not considered to be developed systematically by the organization. As a result, the author does not consider the proposition to be fulfilled (0).

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<sup>1883</sup> Grünig & Kühn, 2011, p. 31.

<sup>1884</sup> Interview, 14.06.11.

<sup>1885</sup> UNHCR, 2009d, p. 2ff.

## **12. There is project-based implementation.**

Although plans of action have been developed to implement plans, little information is given on their systematic implementation. For this reason, the author does not evaluate this proposition (?).

## **13. There is systematic and strict control.**

To measure progress towards achievement, indicators are often included in strategic plans. Indicators are also specified for each of the global strategic priorities. However, UNHCR highlights the difficulty of defining clear indicators to measure success. The author gives a partly fulfilled evaluation (●●).

## **14. The planning process is adapted to the organizational structure.**

With its headquarters in Geneva and its activities carried out worldwide, UNHCR has global presence. It is therefore present in many different arenas. Key people are deemed to be integrated in policy-making and strategic planning processes, as plans and policies are drafted on a working group basis and many parts of the organization are involved. The process is more inclusive and therefore generates more support. However, there is a need to strengthen the link between policy-making and technical planning, as resources are not always considered when policies are produced. For this reason, the author considers the proposition to be strongly fulfilled (●●).

## **15. There are clear documents showing strategy.**

On top of a mission statement, UNHCR has elaborated numerous policy documents on various issues. These documents guide decisions and actions. Although no evidence of a corporate strategy document was found, global strategic priorities are clearly given in the organization's annual report and appeal. These only cover a period of two years.<sup>1886</sup> Clear strategic documents exist for various issues, including nutrition and food security, education and sexual and gender-based violence.<sup>1887</sup> As a result the author considers the proposition to be strongly fulfilled (●●).

## **16. Strategic management tools are applied.**

Although many tools are also used in the context of results-based management,<sup>1888</sup> very little evidence of the use of strategic analysis and planning tools were found by the author. The use of the SWOT analysis and a stakeholder analysis is recommended in some documents.<sup>1889</sup> However, the author is not

<sup>1886</sup> Interview 14.06.11; UNHCR, 2010a, p. 12.

<sup>1887</sup> See, for example, UNHCR, 2011h; UNHCR, 2009f; UNHCR Public Health and HIV Section, 2008.

<sup>1888</sup> Interview, 14.06.11.

<sup>1889</sup> See, for example, UNHCR, 2011j, p. 25f.; UNHCR, 2008, p. 32ff.; UNHCR, 2000b, p. 10f.; 86ff.; UNHCR Policy Development and Evaluation Service, 2010, p. 6.



aware of any analysis and planning tools used at the level of the organization. For this reason, the author considers that the proposition is weakly fulfilled (●).

**17. Strategic management tools are adapted to the specific needs of aid organizations.**

Because few strategic analysis and planning tools are used by the organization, the author cannot affirm that they are adapted to the needs of UNHCR. For this reason, the author has given a “no information” evaluation to the proposition (?).

**18. There is a sound analysis of stakeholders and the plans respect their expectations.**

A stakeholder analysis is recommended in some documents.<sup>1890</sup> However, no detailed document identifying stakeholders and analyzing their expectations at the level of UNHCR was found by the author. Furthermore, little information is given on whether plans respect their expectations. It is often stated that stakeholders are consulted in the drafting of plans and in the conduct of evaluations. A detailed analysis lacks, however, due to the inclusion of stakeholders in the strategic planning and evaluation processes, the author considers the proposition to be weakly fulfilled (●).

**19. There is an analysis of competition.**

Although competition with some is recognized, the author found no evidence of a detailed competitive analysis. For this reason, the author does not consider the proposition to be fulfilled (0).

**20. There is long-term financial planning, if needed in scenarios.**

The predominantly voluntary nature of UNHCR's funding<sup>1891</sup> implies unpredictability,<sup>1892</sup> which renders more difficult the establishment of long-term plans. The establishment of multi-year agreements with several countries constitutes an improvement in the predictability of funding. However, such commitments are not legally binding and are more a statement of intent.<sup>1893</sup> UNHCR would benefit from more of these commitments. The author believes the link to strategic planning would be strengthened if more of such agreements existed. UNHCR also maintains reserves to deal with emergencies,<sup>1894</sup> but this is considered by the author to be a short-term measure and therefore not a contribution towards a long-term financial plan.

<sup>1890</sup> See, for example, UNHCR, 2011j, p. 25f.; UNHCR, 2008, p. 32ff.; UNHCR, 2000b, p. 86ff.; UNHCR Policy Development and Evaluation Service, 2010, p. 6.

<sup>1891</sup> Barnett & Finnemore, 2004, p. 73; 84; Interview, 12.11.10; Loescher, 2003, p. 6; Loescher, 2001, p. 349; Loescher, Betts & Milner, 2008, p. 91f.; Sultan-Khan, 2010, p. 725; UNHCR, 2010a, p. 10; UNHCR, 2003, p. 43; Väyrynen, 2001, p. 150; Walker & Maxwell, 2009, p. 101.

<sup>1892</sup> Forman, 1999, p. 288.

<sup>1893</sup> Interview, 12.11.10.

<sup>1894</sup> UNHCR, 2010a, p. 73.

Several elements pose difficulties in terms of ensuring funding without compromising the organization's mission and identity. For one, UNHCR is funded overwhelmingly by governments, and it relies on a small number of donor states for the majority of its funds.<sup>1895</sup> This puts it in a position of dependency.<sup>1896</sup> The attempt to diversify funding sources,<sup>1897</sup> however, represents a move towards reducing this dependency. One element helping to ensure mission is the refusal of funds from companies manufacturing arms, landmines, etc. However, there are no general rules on acceptance of funds from governments. Second, the common practice of earmarking based on geopolitical/strategic interests makes planning more difficult. Contributions cannot be used for other countries or projects.<sup>1898</sup>

Financial planning only covers a period of two years. Although the transition from annual to biennial planning "gives UNHCR further scope to enhance its multi-year planning, and to adopt a more strategic, longer-term approach to its operations",<sup>1899</sup> the planning cycle remains short. Many argue that this represents a problem for UNHCR, particularly in terms of longer term solutions, where planning for a longer period of time might be needed.<sup>1900</sup> However, limitations are also associated with two-year budgeting. Difficulties notably arise for operations in the field, because emergencies are difficult to predict and because implementation is not always possible.<sup>1901</sup>

A global priority also deals with financing. On the topic of prioritization, resource allocation and financial management, it states that "UNHCR's global budget provides a comprehensive picture of the organization's operational, staffing and administrative requirements. Financial resources are allocated effectively and transparently to meet the organization's global strategic priorities and UNHCR's system of financial management has integrity." On resource mobilization, it states that "Donors are regularly informed of policy, operational matters and funding requirements. Resource mobilization strategies are strengthened globally, regionally and locally".<sup>1902</sup>

Although moves towards long-term financing have been made, the author does not consider UNHCR to benefit from a sound long-term financial plan. The small government donor base and common earmarking may compromise independence. For these reasons, the author believes the proposition is weakly fulfilled (●).

A summary table showing the UNHCR evaluations is shown in **Figure VIII.4**.

<sup>1895</sup> UNHCR, 2011a, p. 85ff.

<sup>1896</sup> Loescher, 2001, p. 350.

<sup>1897</sup> Loescher, Betts & Milner, 2008, p. 96f.; Väyrynen, 2001, p. 152f.

<sup>1898</sup> Interview, 12.11.10.

<sup>1899</sup> UNHCR, 2006b, p. 5.

<sup>1900</sup> Interview, 12.11.10.

<sup>1901</sup> Interview, 14.06.11.

<sup>1902</sup> UNHCR, 2011a, p. 20ff.

Understanding and content of strategy	
1. The basic comprehension of strategy is the same as for profit organizations.	●●●
2. There are no reluctances against strategic management approaches.	●
3. Different levels of strategy exist.	●●●
4. Resources are planned in the long-term.	●●
5. Activities are planned, at least as categories of activities.	0
6. The aspired position is determined in a precise way.	0
7. Strategic management helps deal with the challenges of the organization.	●●
Executing strategic management tasks	
8. The three tasks of strategic management – planning, implementation and control – are present.	●●●
9. The three tasks of strategic management are clearly interlinked.	●●
10. Strategic planning is based on a detailed environmental analysis.	●
11. There is a systematic strategic planning process	0
12. There is project-based implementation.	?
13. There is systematic and strict control.	●●
14. The planning process is adapted to the organizational structure.	●●
15. There are clear documents showing strategy.	●●
Applying analysis and planning tools	
16. Strategic management tools are applied.	●
17. Strategic management tools are adapted to the specific needs of aid organizations.	?
18. There is a sound analysis of stakeholders and the plans respect their expectations.	●
19. There is an analysis of competition.	0
20. There is long-term financial planning, if needed in scenarios.	●
●●● = Strongly fulfilled ●● = Partly fulfilled ● = Weakly fulfilled 0 = Not fulfilled ? = No information	

Figure VIII.4: UNHCR evaluations<sup>1903</sup>

### 3.3.2 Challenges in strategic management

#### a Clarifying terminology

The first challenge relates to the proposition 1. Confusion surrounding the term strategy was highlighted in the case. For one UNHCR staff member, it “is one of the most confusing terminologies used”. Many different concepts exist depending on the person.<sup>1904</sup> The lack of clear terms on strategic management therefore constitutes a challenge.

<sup>1903</sup> Own elaboration.

<sup>1904</sup> Interview, 14.06.10.

**b      *Planning resources***

This challenge follows from proposition 4. As long-term needs are difficult to predict, the necessary resources are also difficult to foresee. The development of human resources notably represents a challenge.

**c      *Planning activities***

The third challenge is related to proposition 5. The unpredictability of emergencies implies that planning is not necessarily considered to be relevant<sup>1905</sup> and that UNHCR generally tends to be reactive rather than systematically planning for the future.<sup>1906</sup> A key challenge is therefore to plan activities in such situations.

**d      *Determining a clear target position***

This challenge follows from proposition 6. As it was not found by the author, a challenge is to develop a clear statement on the target position of UNHCR.

**e      *Systematizing planning procedures***

Proposition 11 serves as the basis for this challenge. The need for a systematic process has been stressed in literature. As UNHCR's strategic process is not considered to be systematic, a challenge is therefore to increase systematization.

**f      *Considering resource allocation***

This challenge notably follows from proposition 12 on implementation. It is to consider the link of policies to resource allocation. Financial or human resources may not be considered when policies are produced. A new policy decision, such as an increased commitment to work in natural disasters, for example, must be coped with resources in the field. More funds, staff or equipment may be necessary. One staff member says, "They will say, you know, [we have] taken on this new commitment to do more in natural disasters, but a) we haven't been given any more money and b) we haven't been given any more staff or c) we haven't been given any more equipment".<sup>1907</sup>

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<sup>1905</sup> Kuyama, Ouédraogo & Wynes, 2004, p. 4.

<sup>1906</sup> Interview, 12.11.10.

<sup>1907</sup> Interview, 12.11.10.

The resources necessary to achieve an overall objective may not correspond to the expected funding level. For example, a representative may receive a “wish list” of security, supply, finance, etc. in order to achieve an objective. However, a planning assumption of 100 million has been given for the operation, and this “doesn't fit”. As the staff member says, there is “that tendency a little bit sometimes over headquarters, saying things like you need to do this, this is our policy and this is a priority (...). And then the poor sitting in the field, like ‘this is all very nice, but if I count this, I need 200 million’.”<sup>1908</sup> Difficult decisions must also be made, due to important needs and insufficient funding. Activities such as water, shelter and health are all essential, and it is difficult to give more importance to one. One staff member says, “What is more important if you don't have the money? They're all important.”<sup>1909</sup>

### ***g      Determining indicators and measuring success***

Another challenge relates to propositions 13 on the task of strategic control. As is the case for the humanitarian community in general,<sup>1910</sup> UNHCR is under pressure from donors to demonstrate results. A key issue for UNHCR is how to do this. In the private sector, there are clear indicators, such as profit and loss. However, no such bottom line exists in UNHCR. For example, the welfare of refugees cannot be taken as a simple indicator of success, because it does not indicate how well UNHCR is performing. In one country, it could be performing poorly, but for other reasons and other variables, the refugees could be in quite a good condition. In another country, UNHCR could be performing well, but the condition of refugees is still not good. The difficulty is in determining to what extent UNHCR's action influences the situation of refugees. Other variables, such as other actors or the political environment may influence the result.<sup>1911</sup>

There is also increasing pressure from donor states to deliver quantitative data. Governments signing framework agreements demand hard quantitative evidence. For example, the number of evaluations produced is asked for. For UNHCR, the number of evaluations alone makes little sense: “I could do 30 very bad evaluations or I could do 10 very good evaluations. It's not a question of just the number of evaluations”. Quantity seems to take precedence over quality. The number of implemented recommendations has also been requested. However, UNHCR argues that measuring the implementation and the impact is very difficult. Often, impacts are indirect.<sup>1912</sup>

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<sup>1908</sup> Interview, 14.06.11.

<sup>1909</sup> Interview, 14.06.11.

<sup>1910</sup> Interview, 14.06.11.

<sup>1911</sup> Interview, 12.11.10.

<sup>1912</sup> Interview, 12.11.10.

UNHCR's areas of work may be difficult to quantify. The reality of refugees is difficult to measure and qualitative assessments of performance prove to be more useful. The humanitarian world is more complex and political. The external variables are considered to be very strong. UNHCR states, "It's humans we're working with. It's not just a product".<sup>1913</sup>

Certain types of activities are easier to evaluate than others. UNHCR's assistance activities, for example, are relatively easy to measure. The following can be answered easily: "Did we get the tents there on time? Were they of the right quality?".<sup>1914</sup> If refugees have 10 liters of water instead of 5 liters, thanks to the drilling of boreholes, this can easily be counted. The causal link between UNHCR's work and the situation of refugees is very clear. One staff member says, "It's easier because you can count it and they say 'you see, I delivered and now you can see there are a hundred tents'. If you say 'people, refugees shouldn't live in the rain', you can clearly say, 'yes, you see all the plastic sheeting and that's why they're not in the rain', clear".<sup>1915</sup>

However, certain areas cannot be counted, "especially in the more vague protection type sort of intervention".<sup>1916</sup> Advocacy work, which consists in advocating with government to try to change legislation, is much more difficult to measure. It cannot be measured quantitatively, and if a country changes its refugee or asylum legislation, there is no way of knowing if it was a result of UNHCR's work or if it stems from other things.<sup>1917</sup> For example, when a new paragraph is included in asylum law, UNHCR cannot prove its contribution. It can, however, sometimes show some of the link and the impact of its work. For example, court cases may refer to UNHCR position papers. As one staff member argues, "You can clearly say 'you see they wrote it', so it makes a difference". However, this is not always possible. Other examples show the difficulty of proving this causal link. It is difficult to prove that a decrease sexual and gender-based violence is due to an increase in the number of awareness campaigns. To achieve the objective of non-refoulement, staff can make 50 visits to the border, monitor airport arrivals and carryout a certain number of trainings for government staff. Although these activities can be measured, the causal link between UNHCR's work and non-refoulement cannot be proved.<sup>1918</sup>

Focus may be put on what is measurable: "We're measuring only that which is easily measurable, and that which is not easily measurable we're not

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<sup>1913</sup> Interview, 12.11.10.

<sup>1914</sup> Interview, 12.11.10.

<sup>1915</sup> Interview, 14.06.11.

<sup>1916</sup> Interview, 14.06.11.

<sup>1917</sup> Interview, 12.11.10.

<sup>1918</sup> Interview, 14.06.11.

measuring”.<sup>1919</sup> The challenge is therefore not to give more importance to material assistance, because it’s easier to count and the casual link is easier to prove.

#### ***h Applying analysis and planning tools***

This challenge relates to propositions 16 to 19. As little evidence was found by the author on the use of strategic analysis and planning tools, the challenge consists in increasing their use.

#### ***i Ensuring funding without compromising mission***

This challenge follows from proposition 20. Funding represents a challenge for a number of reasons.

One challenge is the short financial planning cycle. Financial planning only covers a period two years. Although the recent transition from annual to biennial planning “gives UNHCR further scope to enhance its multi-year planning, and to adopt a more strategic, longer-term approach to its operations”,<sup>1920</sup> the planning cycle remains short. However, already budgeting for two years is difficult for operations in the field, because emergencies are difficult to predict. External factors, such as sudden decrease in security or unplanned openings, influence UNHCR’s implementation capacity.<sup>1921</sup>

On top of generally unpredictable needs, funding is also unpredictable.<sup>1922</sup> As one staff member says, “Because even if we could predict needs, and that’s difficult itself, we can’t predict income”.<sup>1923</sup> This is highlighted in UNHCR’s Global Appeal: “As in previous years, (...) it is unlikely that the Office will know the precise level of voluntary contributions that will be received for the year”.<sup>1924</sup> The disadvantage is that resources may not cover needs and activities may need to be interrupted. The planning of activities is difficult. For Väyrynen, predictable funding is “essential for the development of long-term plans for effective and timely responses”.<sup>1925</sup>

The author summarizes the challenge for organization: “The dilemma faced by UNHCR boils down to the contradiction between the expectation of it providing an effective international regime of refugee protection and the lack of predictable and robust commitments by the member states. This has made UNHCR an anomalous

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<sup>1919</sup> Interview, 12.11.10.

<sup>1920</sup> UNHCR, 2006b, p. 5.

<sup>1921</sup> Interview, 14.06.11.

<sup>1922</sup> Interview, 12.11.10; Väyrynen, 2001, p. 151.

<sup>1923</sup> Interview, 12.11.10.

<sup>1924</sup> UNHCR, 2010a, p. 70.

<sup>1925</sup> Väyrynen, 2001, p. 164.

institution which has had to meet three major requirements simultaneously: long-term planning, rapid reaction capacity, and continuing fund-raising. With such demands some trade-offs are unavoidable”.<sup>1926</sup> In order to improve the predictability of funding, UNHCR established framework agreements for 3 years with the United Kingdom, Canada and Denmark. UNHCR makes promises, and if it is able to demonstrate that it has delivered what was promised, then financial commitments are made. However, such commitments are not legally binding and are more a statement of intent.<sup>1927</sup>

UNHCR is also dependent on a small number of donor states for the majority of its funds. Because of this, it is “in a weak position to challenge the policies of its funders (...), even if those policies fail to respond adequately to refugee problems”. It is “at the mercy of its donors”.<sup>1928</sup> In order to reduce its dependency, UNHCR has tried to diversify its funding sources, notably by trying to attract funds from the private sector, including individuals, foundations and corporations, as well as from non-traditional donor states.<sup>1929</sup> The diversification of funding sources represents a strategic priority.<sup>1930</sup>

Although States do make general contributions, funds are also earmarked to specific projects based on geopolitical and strategic interests.<sup>1931</sup> Highly publicized emergencies tend to be favored,<sup>1932</sup> as well as those that are geographically close to donors or important for political reasons.<sup>1933</sup> Earmarking makes planning difficult, because contributions cannot be used for other countries or projects.<sup>1934</sup>

Another challenge is linked with the indirect way UNHCR works. UNHCR funds international NGOs, who then subcontract work to local NGOs. Some in the European Union argue that every step of the process has transaction costs. Going straight to the NGOs would reduce these costs. UNHCR is notably in an expensive location and pays high salaries.<sup>1935</sup> This view is also shared by some NGOs. As Smillie & Minear argue, “Many NGOs cannot understand why their governments give money to WFP or UNHCR, when it will just come back to them – minus the 13 percent (or more) administration charge that will be removed in Rome or Geneva”.<sup>1936</sup> UNHCR, however, argues that it has an internationally recognized mandate for refugee protection, contrary to international NGOs. It has closer relationships with States and is therefore able to be more effective and it has a

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<sup>1926</sup> Väyrynen, 2001, p. 164.

<sup>1927</sup> Interview, 12.11.10.

<sup>1928</sup> Loescher, 2001, p. 350.

<sup>1929</sup> Loescher, Betts & Milner, 2008, p. 96f.; Väyrynen, 2001, p. 152f.

<sup>1930</sup> Interview, 12.11.10.

<sup>1931</sup> Interview, 12.11.10.

<sup>1932</sup> Loescher, 2001, p. 350.

<sup>1933</sup> Väyrynen, 2001, p. 156.

<sup>1934</sup> Interview, 12.11.10.

<sup>1935</sup> Interview, 12.11.10.

<sup>1936</sup> Smillie & Minear, 2004, p. 198.



coordinating role. Also, the international prestige and moral authority of the High Commissioner implies that he has more impact.<sup>1937</sup>

A final challenge is that the Executive Committee approves the UNHCR budget, but it has no obligation to actually provide the funds required in the budget.<sup>1938</sup>

## **4 Analyzing at the cross-case level**

### **4.1 Summary of the fulfillment of the propositions**

#### **4.1.1 Comparison of the fulfillment of the single propositions**

In the following text, each of the propositions is reviewed in order to highlight the similarities and differences in each case. Based on this, the author then deducts if the proposition is confirmed overall or not.

#### **1. The basic comprehension of strategy is the same as for profit organizations.**

The understanding of strategy and its purpose appears to be very similar in all three cases. Several observations can be made:

- The “how” is strongly apparent in all three cases. Terms such as “how”, “the way”, “roadmap” all demonstrate this.
- Objectives are also strongly apparent in the definitions of all three cases.
- The timeframe is clearly given in UNHCR. The notion of time is also given by MSF. The notion of time is not present in the definition given by the ICRC.
- Only the ICRC specifically makes reference to the environment in its definition.
- None of the organizations speak of stakeholders in their definitions.

Although the definitions vary slightly, the general understanding is very similar in all three organizations according to the author. The proposition is therefore confirmed.

#### **2. There are no reluctances against strategic management approaches.**

It seems that reluctances exist in each of the three organizations. Two main reasons are given. The nature of the humanitarian task and the unpredictability of activities are cited in all three organizations. In the ICRC, values also make it difficult for staff to accept such approaches. The author also notes different opinions in each organization. Whereas some express hesitation to use business approaches and terms, others seem much more willing to adopt them. Because of

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<sup>1937</sup> Interview, 12.11.10.

<sup>1938</sup> Interview, 12.11.10; Interview, 14.06.11.

the existence of reluctance in each organization by at least some staff, the author considers the proposition to be confirmed.

### **3. Different levels of strategy exist.**

Although the terms used by the three aid organizations are not the same as those used in the private sector (corporate, business, functional levels of strategy), all three showed that strategic thinking is possible on many different levels. The organizations are therefore very similar in this respect. The proposition is therefore confirmed.

### **4. Resources are planned in the long-term.**

Human resources planning is also complicated by the uncertain environment in which all three organizations operate. All three maintain pools of staff, have established a global presence and are strong in the area of logistics. In all three, stocks are maintained to respond quickly to emergencies, and all have important fleets. However, resource planning could still be improved, according to the author. Due to non-optimal resource planning in all three organizations, the author does not consider the proposition to be confirmed.

### **5. Activities are planned, at least as categories of activities.**

In all three organizations, uncertainty and unpredictability in carrying out activities and in the operational environment were put forward. The nature of the humanitarian activity complicates planning in all of them. However, the author believes that unpredictability was stressed more in MSF and UNHCR than in the ICRC. This is because it is stated in the ICRC that some anticipation of events is possible. Because of the unpredictability that is more or less present in all three organizations, the author deducts that the proposition is not confirmed.

### **6. The aspired position of aid organizations is determined in a precise way.**

Although a clear statement on the ICRC's aspired position was given, such a statement was not clearly found in key documents in either MSF or UNHCR. Due to the fact that two of the three organizations do not appear to have a precise statement on their aspired position, the author does not consider the proposition to be confirmed.

### **7. Strategic management helps deal with the challenges of the organization.**

Strategic management helps all three organizations to a certain extent. Besides setting a clear overall direction, resources can also be directed towards priorities. The proposition is therefore considered to be confirmed.

**8. The three tasks of strategic management – planning, implementation and control – are present.**

The three tasks of strategic management appear to be present in all three organizations. One main argument is that such leading organizations in the humanitarian aid must rely on such approaches in order to survive and to be successful in the long-term. Various other elements support the idea that the tasks are present in each organization: the existence of documents with strategic content, the existence of plans of action and indicators to measure the realization of strategies. The proposition is therefore considered to be confirmed.

**9. The three tasks of strategic management are clearly interlinked.**

The links between the three tasks appear to be stronger in UNHCR than in the other two organizations. Because of room for improvement, the author does not consider the proposition to be confirmed.

**10. Strategic planning is based on a detailed environmental analysis.**

The analysis of the environment is the most detailed in the ICRC, where major trends in the operational environment were identified and scenarios were elaborated. MSF does carry out an environmental analysis, which identifies environmental developments and implications for the organization, although the analysis is not as developed as in the ICRC. Different scenarios were not developed. A detailed environmental analysis is lacking in UNHCR, although there are some attempts to identify emerging issues, scenarios and implications. The proposition is not considered to be confirmed, because of the lack of a sound analysis in two of the three organizations

**11. There is a systematic strategic planning process.**

Systematic planning is not found in all organizations. The most systematic strategic planning can be seen in the ICRC. In MSF, planning is less systematic. The least systematic procedure is found in UNHCR. As a systematic procedure is not present in all organizations, the proposition is not considered to be confirmed.

**12. There is project-based implementation.**

The most systematic implementation is assumed to be in the ICRC. In MSF and UNHCR, the implementation of plans appears to be less systematic. Due to the fact that systematic implementation cannot be confirmed in two of the three cases, the author does not consider the proposition to be confirmed.

**13. There is systematic and strict control.**

The most systematic control appears to take place in the ICRC. Indicators are developed and the progress is periodically reviewed. Less systematic control is seen in MSF and UNHCR, although the development of indicators to measure

progress in UNHCR and the intention to do so in MSF are elements of control. Due to the fact that systematic control cannot be confirmed in two of the three cases, the author does not consider the proposition to be confirmed.

#### **14. The planning process is adapted to the organizational structure.**

The planning process appears to be the most adapted in MSF. Key decision-makers and all levels of strategy are integrated. The process appears to be less adapted in the ICRC and UNHCR. The proposition is not confirmed, due to the assumption that the adaptation is not optimal in two of the three organizations.

#### **15. There are clear documents showing strategy.**

It can be noted that all three organizations have mission statements. This is not a central strategic document, because the purpose is not on maintaining and constructing success potentials, but it does show overriding values and objectives. All three are similar in the respect that documents showing strategy exist in each. However, differences can also be noted. The ICRC has a clear institutional strategy document, which has been communicated internally and externally. MSF Switzerland also has a clear strategic plan, although the document was not finalized and communicated. Finally, UNHCR has global strategic priorities and strategic documents for various issues, but an organizational level document is not present. The proposition is not considered to be confirmed, because room for improvement exists.

#### **16. Strategic management tools are applied.**

The ICRC uses many analysis and planning tools, whereas MSF and UNHCR use very few. However, the author also wonders if they are not used because they are not adapted to their needs. Because of the weak evaluations in all three cases, the author does not consider the proposition to be confirmed.

#### **17. Strategic management tools are adapted to the needs of aid organizations.**

The use of tools by the ICRC showed that tools could be adapted to its needs. Given the lack of use of strategic management tools in MSF and UNHCR, the proposition could not be considered fulfilled or not fulfilled. Due to the lack of information in two of the three organizations, the proposition can also not be confirmed or not confirmed.

#### **18. There is a sound analysis of stakeholders and the plans respect their expectations.**

All three organizations rely on multiple stakeholders, and are very similar in this respect. However, differences can be observed. The most detailed stakeholder analysis is found in the ICRC. The expectations of stakeholders are also

integrated in the strategic planning process, although it must be noted that this is new for the organization. Little analysis of stakeholders is found in MSF and UNHCR, although the author found mention of the method in several documents at UNHCR. As a sound analysis is lacking in two of the three organizations, the author does not consider the proposition to be confirmed.

#### **19. There is an analysis of competition.**

A notable difference is noted with regards to this proposition. Although it was shown that competition also exists in the aid industry, only the ICRC carries out an analysis of competition. No evidence of any competitive analysis was found in MSF or in UNHCR. Due to the lack of a sound analysis in two organizations, the proposition is not confirmed.

#### **20. There is long-term financial planning, if needed in scenarios.**

None of the three organizations appear to have a sound long-term financial plan. All rely on voluntary funding, which is per se unpredictable and makes planning more difficult. The presence of funding agreements covering multiple years in all three organizations constitutes a step towards increasing predictability. Financial planning horizons differ: the longest financial planning horizon (4 years) is found in the ICRC, the shortest in MSF (1 year), with UNHCR's in-between (2 years). The strongest link to strategic planning can therefore be found in the ICRC. Independence seems to be guaranteed the most in MSF, which benefits from a very high level of private funding. The other two organizations rely overwhelmingly on government contributions, and furthermore on a small number of donors. Finally, one similarity is that all three organizations also have rules guiding the selection of donors, which help to ensure mission and integrity. As none of the organizations appear to have a sound long-term plan, the proposition is not considered to be confirmed.

### **4.1.2 Overall comparison**

In order to facilitate the comparison of the evaluation of the different propositions, a matrix is used. It is shown in **Figure VIII.5**. The fulfillment of the propositions is indicated with the help of symbols. A final column indicates whether the author, based on the evaluation of the propositions, considers the proposition to be confirmed overall or not.

	ICRC	MSF	UNHCR	Synthesis
<b>Understanding and content of strategy</b>				
1. The basic comprehension of strategy is the same as for profit organizations.	●●●	●●●	●●●	✓
2. There are no reluctances against strategic management approaches.	●	●	●	0
3. Different levels of strategy exist.	●●●	●●●	●●●	✓
4. Resources are planned in the long-term.	●●	●●	●●	0
5. Activities are planned, at least as categories of activities.	●	0	0	0
6. The aspired position is determined in a precise way.	●●●	0	0	0
7. Strategic management helps deal with the challenges of the organization.	●●	●●	●●	✓
<b>Executing strategic management tasks</b>				
8. The three tasks of strategic management – planning, implementation and control – are present.	●●●	●●●	●●●	✓
9. The three tasks of strategic management are clearly interlinked.	●●	●●	●●	0
10. Strategic planning is based on a detailed environmental analysis.	●●●	●●	●	0
11. There is a systematic strategic planning process.	●●●	●	0	0
12. There is project-based implementation.	●●	●●	?	0
13. There is systematic and strict control.	●●	●	●●	0
14. The planning process is adapted to the organizational structure.	●	●●●	●●	0
15. There are clear documents showing strategy.	●●	●●	●●	0
<b>Applying analysis and planning tools</b>				
16. Strategic management tools are applied.	●	●	●	0
17. Strategic management tools are adapted to the specific needs of aid organizations.	●●●	?	?	?
18. There is a sound analysis of stakeholders and the plans respect their expectations.	●●	●	●	0
19. There is an analysis of competition.	●●	0	0	0
20. There is long-term financial planning, if needed in scenarios.	●	●	●	0
●●● = Strongly fulfilled ●● = Partly fulfilled ● = Weakly fulfilled 0 = Not fulfilled ? = No information ✓ = Confirmed 0 = Not confirmed ? = No information				

Figure VIII.5: Comparison of the fulfillment of the propositions<sup>1939</sup><sup>1939</sup> Own elaboration.

The first category of propositions on the understanding of strategy received very similar evaluations. The three cases have a basic understanding of strategy and its purpose, which is similar to the understanding of strategy in the private sector. They also think at different levels of strategy. Certain reluctances also exist in each organization, due to the fact that organizations are strongly based on values and/or the largely unpredictable nature of the activity. Finally, the nature of activities and resources all involve strategic management challenges. Apart from the determination of the aspired long-term position, very few differences in the evaluations are observed.

However, notable differences can be observed for the second and third categories on the execution of strategic management tasks and the application of tools. While strategic management tasks are present in all three organizations, the tasks are carried out more systematically in the ICRC and analysis and planning tools are used more than in the two other organizations. The analysis has thus enabled the author to distinguish two types in the organizations studied:

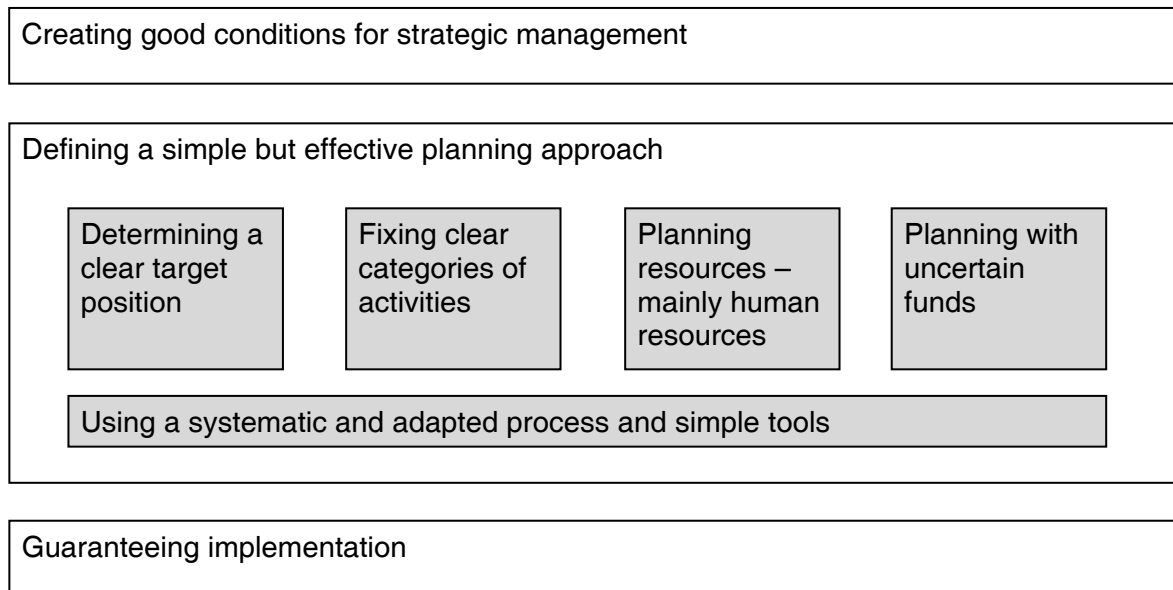
- The ICRC represents the first type. It uses a very systematic strategic planning procedure and many analysis and planning tools. Moreover, a clear institutional document is the result. A very systematic strategic planning procedure and tools, as is the case in the ICRC, is positive. In effect, the need for a systematic process has been highlighted in the literature.<sup>1940</sup> However, a high number of tools may not necessarily be optimal, as they may be complicated and not understood by all. Another eventual challenge is to maintain focus on content.
- MSF and UNHCR represent the second type. These two organizations have less systematic procedures in terms of strategic planning. Furthermore, little use is made of strategic analysis and planning tools. Less systematic strategic planning procedures and little use of strategic analysis and planning tools, as in MSF and UNHCR, may also not be optimal. However, the process is more adapted to the organizational structure and there is a strong focus on content.

## 4.2 Challenges of aid organizations in strategic management

The strategic management challenges that could exist in international aid organizations are presented by the author in the following text. It is based on a synthesis of the challenges faced by each of the three organizations. **Figure VIII.6** gives an overview of the challenges.

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<sup>1940</sup> Grünig & Kühn, 2011, p. 45f.



**Figure VIII.6: Overview of challenges for international aid organizations<sup>1941</sup>**

#### 4.2.1 Creating good conditions for strategic management

Challenges related to business approaches were present in all three organizations, due to values and/or the unpredictability of the humanitarian task and the short-term orientation that results. Furthermore, operations may be considered more important, as is the case in MSF. As a result, less time may be spent on investing in long-term planning, such as attending meetings or elaborating documents.

A key challenge is therefore to create a positive attitude towards strategic management approaches. This includes changing thinking towards strategic management, by showing its relevance and importance, as well as finding a way to reconcile values with business approaches. The motivating and training of senior managers to think long-term notably represents an important challenge.

As vocabulary is crucial in helping to create this positive attitude, it should also be considered, and represents a related challenge. Besides an aversion to “business talk”, confusion related to strategy terms, as well a tendency to use nice terminology with little content, were terminology-related issues. The establishment of a clear terminology understood and accepted by all therefore also represents a challenge.

<sup>1941</sup> Own elaboration.



#### **4.2.2 Defining a simple but effective planning approach**

##### ***a Determining a clear target position***

The target position of an organization is strongly linked to the two other types of success potentials, and it normally indicates the necessary competitive advantages in the offer and in resources. Such a statement may be lacking. The determination of a clear statement on the target position therefore represents another challenge for international aid organizations.

##### ***b Fixing clear categories of activities***

The unpredictability of activities, highlighted in all three cases, may create a strong short-term orientation and reactivity. Planning may also not be considered as relevant. The key challenge is to plan activities under such circumstances, at least as different categories of activities, as well as to maintain a balance between flexibility and planning.

##### ***c Planning resources – mainly human resources***

The planning of resources remains a challenge in all three cases. Because of the difficulty in forecasting long-term needs, resource requirements may also be difficult to plan. People play an important role in the success of strategic management. As Johnson, Scholes & Whittington state, “the knowledge and the experience of people can be the key factors influencing the success of strategies”.<sup>1942</sup> Skills and commitment notably play an important role in the success of aid organizations. The training and development of staff and management therefore constitutes a key challenge.

##### ***d Planning with uncertain funds***

The unpredictability of funds, which comes from the voluntary nature of humanitarian funding, is at the root of another strategic planning challenge for aid organizations. Predictable funding is “essential for the development of long-term plans”<sup>1943</sup> and without such predictability, long-term planning is difficult. Furthermore, different elements may create challenges in terms of ensuring funding without compromising mission and identity. These include a strong reliance on governments for funding, a small donor base and earmarking. Due to

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<sup>1942</sup> Johnson, Scholes & Whittington, 2008, p. 475.

<sup>1943</sup> Väyrynen, 2001, p. 164.

these different elements, a key challenge is to ensure funding while maintaining independence and mission.

### ***e Using a systematic and adapted process and simple tools***

While a systematic strategic process is positive, too much sophistication may not be optimal or clear for all. The challenge is to maintain focus on issues. At the other extreme, a strong focus on issues, but the lack of a systematic process, may also not be optimal. The challenge is to find a balance between a systematic procedure and the maintenance of focus on content and issues. At the same time, finding a balance between too little formalization and over-formalization represents a challenge.

The strategic planning process must also be adapted to organizational structure. In the case of a decentralized structure, this includes, for example, managing at different levels and aligning strategic orientations. An important challenge is also the integration of key players in the planning process and the strengthening of the link between them. The author considers this important, because the participation of all in the process contributes to ownership of plans, which contributes to commitment and motivation. These elements are essential to ensure strategic implementation.<sup>1944</sup> Without this, plans stay at the level of paper and do not become a reality.

A key challenge is to determine and use simple, understandable tools that are effective and bring key facts into the planning process. This is because sophisticated tools, as seen in the ICRC, may not be understood by all. The appropriate number of tools must also be determined. Using too many tools, as is the case in the ICRC, may not be optimal, as there is a risk that more focus is put on tools than on content. However, the use of certain tools is recommended. The key is to find a possible combination of simple and effective tools.

### **4.2.3 Guaranteeing implementation**

The link between operational and strategic planning represents another challenge. A strong link between the two types of planning is necessary. This is because “strategy is not isolated from shorter-term planning but integrated with it. It needs to be built on short-term operational planning, and vice versa”.<sup>1945</sup> Short financial planning cycles, for example, which are present in MSF and UNHCR, do not

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<sup>1944</sup> Courtney, 2002, p. 214f.

<sup>1945</sup> Davies, 2011, p. 16.

establish a strong link with strategic planning. One important challenge for international aid organizations is therefore to strengthen this link.

The strengthening of the link between policies with resources also constitutes a challenge. The consideration of resource implications when plans are formulated is also essential to the full implementation of plans.<sup>1946</sup>

The difficulty of defining indicators to measure success was clearly raised and represents the final challenge. The lack of clear indicators, contrary to the profit sector, results from the nature of the aid task. What success is and how to measure it may be difficult to determine, and many external variables influence results. Certain types of activities are also easier to measure than others, and their causal link may be easier to prove. A key challenge for international aid organizations therefore consists in developing indicators to measure success. Also, avoiding giving more importance to easily measurable areas of work where the casual link is easier to prove also represents a challenge.

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<sup>1946</sup> Courtney, 2002, p. 211.



## IX RECOMMENDATIONS FOR STRATEGIC MANAGEMENT IN INTERNATIONAL AID ORGANIZATIONS

### 1 Introduction

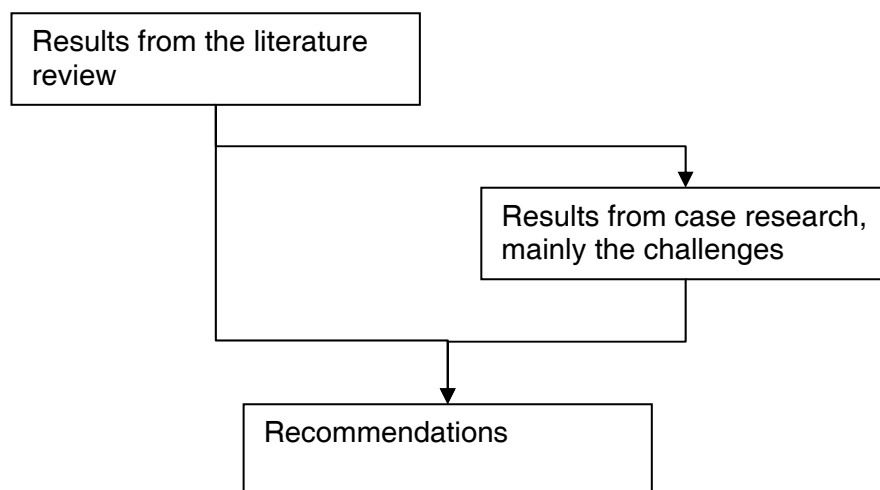
Chapter IX is dedicated to the main objective of the thesis: the development of practical normative recommendations for strategic management that meet the specific needs of international aid organizations.

The chapter has the following structure:

- Section 1 is the introduction.
- Section 2 presents the procedure for developing the recommendations.
- Section 3 is dedicated to the reserves of the author.
- Section 4 exposes the recommendations to create good conditions for strategic management.
- Section 5 details the recommendations to define a simple but effective planning approach.
- Section 6 presents the recommendations for guaranteeing implementation.

### 2 Procedure for the development of the recommendations

In order to develop the recommendations, the author adopted the procedure shown in **Figure IX.1**.



**Figure IX.1: Procedure for developing recommendations**<sup>1947</sup>

As shown, two pillars constitute the basis for the development of recommendations:

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<sup>1947</sup> Own elaboration.

- The review of literature in chapters II, III and IV serves as a first basis. The review mainly showed propositions for the planning process and for analysis and planning tools.
- The recommendations are mainly based on the empirical part of the thesis, that is, on the case research. The synthesis of challenges presented in the final section of chapter VIII notably constitutes the basis.

### **3 Reserves**

The recommendations are strongly based on the analysis of three cases: the ICRC, MSF and UNHCR. The recommendations may therefore not be valid for all aid organizations. A fourth or fifth case could present different challenges and therefore different recommendations could be given.

As all three cases are focused on humanitarian aid, the recommendations may not apply to organizations focusing on development aid. Similarly, as all three organizations are large, the recommendations may not apply as such to small organizations.

### **4 Recommendations to create good conditions for strategic management**

In order to create good conditions for successful strategic management, three recommendations are made by the author:

- Increase motivation for strategic management
- Train senior managers in long-term thinking
- Develop, introduce and apply a clear and “close” terminology

#### **4.1 Increase motivation for strategic management**

In order to create good conditions for strategic management, a positive attitude towards such approaches must exist. Managers must be motivated to do long-term thinking and to commit to long-term plans. To increasing the motivation to do long-term thinking, the relevance and benefits of strategic management for aid agencies should be shown.

First, the relevance of strategic management for aid agencies should be shown and stressed. Although aid agencies may argue that the unpredictable nature of the environment and activities make strategic planning irrelevant or impossible, the author argues that the more complex and unpredictable the environment, the more

strategic planning may actually be needed.<sup>1948</sup> All organizations, including aid agencies, are located in a changing environment, and strategic thinking can help respond to the challenges it presents. In an increasingly uncertain and interlinked world, there is a greater need to think and act strategically. As Bryson notes, “Organizations that want to survive, prosper, and do good work must respond to the challenges the world presents”.<sup>1949</sup>

A second way to increase motivation is to highlight the potential benefits of strategic planning for the organization. These include, for example, better decision-making, improved effectiveness and responsiveness, enhanced legitimacy and benefits for people.<sup>1950</sup>

To show both the relevance and potential benefits, examples of organizations with successful planning approaches can also be given. WFP, for example, was found to have “robust corporate tools with which to reinforce strategic planning and management capacities”, despite its focus on emergencies and its unpredictable operational environment.<sup>1951</sup> Such examples may help increase motivation for strategic management approaches.

Finally, training is also a means to increase motivation to think strategically. If training is adapted to the specific context and values of aid agencies, this will also contribute towards seeing the relevance and thus increase motivation. At the same time, motivation is necessary for training to be successful.<sup>1952</sup>

## 4.2 Train senior managers in long-term thinking

Motivation alone is not sufficient for creating good conditions for successful strategic management. Motivation needs to be accompanied by training of senior managers in long-term thinking. The author draws here upon Forman’s argument: “To get something done, we need to combine method with motivation. Motivation without method is ineffective. Method without motivation sits on a bookshelf.”<sup>1953</sup>

Management development, defined as “any attempt to prove current or future management performance by imparting knowledge, changing attitudes, or

<sup>1948</sup> See, for example, Brews & Purohit, 2007, p. 72; Grünig & Kühn, 2011, p. 45.

<sup>1949</sup> Bryson, 2011, p. 1ff.

<sup>1950</sup> Bryson, 2011, p. 14. It must be stressed, however, that the reaping of benefits is not automatic and depends on factors such as the support of participants and the adaptation to the specific context of the organization. The readiness of key players and tailoring to specific situations is therefore essential (Bryson, 2011, p. 17f.). This thesis notably tries to provide a set of recommendations that is adapted to the specificities of aid organizations.

<sup>1951</sup> Zhang & Chulkov, 2009, p. iii; 5.

<sup>1952</sup> Dessler, 2008, p. 296.

<sup>1953</sup> Forman, 1988, p. 58.

increasing skills”,<sup>1954</sup> is considered to be particularly important in the field of strategic management. The training of senior management in long-term thinking is essential, according to the author, because the authority and responsibility for strategy lies at this level.<sup>1955</sup> Providing managers with the necessary knowledge and skills is therefore essential to creating good conditions for strategic management.

Of the numerous training methods that exist, the author considers certain to be better suited for developing strategic thinking in aid agencies. The methods and the author’s consideration of their relevance for aid agencies are shown in **Figure IX.2**.

On-the-job training has the advantage of being less expensive. Learning is also facilitated, because “trainees learn by doing”.<sup>1956</sup> However, the necessary knowledge (e.g. applying analysis and planning tools) may need to be brought in from outside the organization. In the case of off-the-job training, it appears to be particularly important that training is adapted to the specific context and needs of aid agencies, in order to reduce any reluctance that could impede learning.

#### 4.3 Develop, introduce and apply a clear and “close” terminology

Due to the confusion that may exist surrounding strategy terms, the first recommendation is to develop a clear terminology, which is understood by all in the same way. The chosen terms should be introduced. For example, a glossary can be developed for this purpose. This will contribute to a common understanding within the organization, and thus avoid confusion.

A minimum number of terms should be chosen. This contributes to reducing the tendency to use nice terminology with little content, as was seen in UNHCR. Korten has also highlighted the “current tendency to refer to any plan as a ‘strategic plan’ ”.<sup>1957</sup> The author draws here on the recommendation given by MSF: Terms relating to strategy should be used sparingly. Mr. Captier argues, “If you talk too much about strategy, you kill strategy. (...) If everything is strategic, then nothing is strategic”. Therefore, only a limited number of elements should be placed at the strategic level; the rest should be at a lower level.<sup>1958</sup>

<sup>1954</sup> Dessler, 2008, p. 310.

<sup>1955</sup> Fowler, 2004b, p. 450.

<sup>1956</sup> Dessler, 2008, p. 300.

<sup>1957</sup> Korten, 1988, p. 17.

<sup>1958</sup> Interview, 05.08.10.



Methods	Definition	Relevance for aid organizations
<b>On-the-job training</b>		
Job rotation	A trainee is moved from department to department to broaden experience and identify strong and weak points.	Less relevant. Training should not focus on broadening the understanding of all organizational functions, but rather on developing knowledge, skills and competence specifically in strategic management.
Coaching/understudy	A trainee works directly with a senior manager or the person that he or she will replace.	Relevant. Recommended for future managers and to improve institutional memory and learning.
Action learning	Trainees are allowed to work full-time analyzing and solving problems in other departments.	Less relevant. Training should not focus on analyzing problems of other departments, but specifically on strategic management.
<b>Off-the-job training</b>		
Case study	Managers are given a written description of an organizational problem to diagnose and solve.	Relevant if cases are dedicated to aid organizations or, by default, to other NPOs.
Management games	Teams of managers compete by making computerized decisions regarding realistic but simulated situations.	Relevant if games are specially developed for aid organizations or, by default, for other NPOs. Although games designed for aid agencies exist, the author is not aware of the existence of a game specially designed for strategic thinking.
Outside seminars	Web-based and traditional classroom seminars and conferences on a wide range of topics (e.g. American Management Association)	<ul style="list-style-type: none"> <li>▪ Less relevant if programs cater to the private sector. They may therefore not be adapted to specific needs of aid organizations. Resistance may exist and leaning may be impeded as a result.</li> <li>▪ Relevant if the seminar or program is specifically designed for aid organizations or NPOs (e.g. NGO Management Association Switzerland, International NGO Training and Research Center, etc.).</li> </ul>
University-related programs	Programs with varying durations and increasingly available online (e.g. Advanced Management Program at Harvard University). Video-linked classrooms.	
Role playing	Trainees act out parts in a realistic management situation.	Less relevant. Training should not focus on solving problems by developing interpersonal skills (e.g. communication, conflict resolution, and decision-making).
Behavior modeling	Trainees are shown good management techniques in a film. They then play roles in a simulate situation and are given feedback by the supervisor.	Less relevant. Training should not focus on creating desired behaviors (e.g. developing interpersonal skills).
Corporate universities	In-house development centers providing courses are established.	Relevant. Programs and courses can be adapted to specificities and needs.
Executive coaches	An outside consultant questions an executive's associates to identify strengths and weaknesses and then counsels the executive.	Relevant. However, the acceptance of coaches from the private sector may be an issue. Therefore, the author recommends hiring coaches with experience in aid.

**Figure IX.2: Types of management development and their relevance**<sup>1959</sup>

<sup>1959</sup> Own elaboration. The description of the types of management training is based on Dessler, 2008, p. 311 ff.

Finally, a terminology that is “close” to aid organizations should be used in order to reduce reluctances towards business approaches. It should be adapted to the jargon of the aid community. Terms such as *capacity-building*, *partnership*, *mainstreaming*, *inclusiveness* and *community-based* are frequently heard. The use of numerous acronyms is also common. Terms such as *mission*, *vision* and *values* should not be problematic. On the other hand, the use of words with a strong link to the private sector should be avoided. These include, for example, *corporate*, *business*, *market*, *industry* and *portfolio*. **Figure IX.3** gives examples to adapt the vocabulary of strategy to the world of aid. For example, the ICRC uses the term *institutional* to designate its overall strategy.

Topic	Business world	Aid world
Levels of strategy	Corporate	Organizational, institutional
	Business	Programmatic, regional
Fields of analysis	Industry	Community
	Company/firm	Agency/organization
Stakeholders	Stakeholder	Interest/support group
	Customer/client	Beneficiary
Analysis and planning tools	Analysis	Assessment
	Portfolio	Matrix
Other	Alliance	Partnership
	Competitive advantage	Distinctive capacity

**Figure IX.3: Possible strategy vocabulary for aid organizations<sup>1960</sup>**

## 5 Recommendations to define a simple but effective planning approach

### 5.1 Determine a clear target position

A clear target position should be determined. It should include indications on the aspired position, the geographical extent of activities, the types of aid that will be provided and the beneficiaries of the aid. Such a statement helps determine the competitive advantages that are necessary in the offer and in resources.

A simple matrix with examples to help is shown in **Figure IX.4**.

Position		Type of aid		Beneficiaries		Geography
<ul style="list-style-type: none"> <li>▪ Strongest</li> <li>▪ Leading</li> <li>▪ Largest</li> <li>▪ etc.</li> </ul>	FOR	<ul style="list-style-type: none"> <li>▪ Distribution of food</li> <li>▪ Provision of shelter, healthcare</li> <li>▪ Protection</li> <li>▪ etc.</li> </ul>	TO/ OF	<ul style="list-style-type: none"> <li>▪ The hungry</li> <li>▪ The poor</li> <li>▪ Refugees</li> <li>▪ Children</li> <li>▪ etc.</li> </ul>	IN	<ul style="list-style-type: none"> <li>▪ Developing countries</li> <li>▪ Worldwide</li> <li>▪ Sub-Saharan Africa</li> <li>▪ etc.</li> </ul>

**Figure IX.4: Aspired position matrix<sup>1961</sup>**

<sup>1960</sup> Own elaboration.

For example, UNHCR's target position could be "the largest agency for the protection and assistance of displaced persons worldwide".

## 5.2 Fix clear categories of activities

It is often not possible to plan activities in detail, because humanitarian activities are characterized by a high degree of unpredictability.

The predictability of disasters varies.<sup>1962</sup> There is little or no warning for sudden onset disasters, such as tsunamis or landslides.<sup>1963</sup> Earthquakes are found to be the least predictable of all natural disasters.<sup>1964</sup> Agencies can better prepare slow onset disasters, because more time is available.<sup>1965</sup> Droughts, for example, are more predictable, because they generally develop over longer periods of time. Early warning systems, such as the Famine Early Warning System, also signal the arrival of disasters.<sup>1966</sup> For example, in the case of the 2011 Horn of Africa food crisis, early warning systems signaled poor rainfall and increased food insecurity as early as August 2010.<sup>1967</sup>

The author recommends that aid agencies focus on the areas responding to the most human suffering. When the detailed planning of activities is impossible due to unpredictability, the author recommends that at least the broad categories of activities be planned.

The fixing of activities also includes specifying the types of activities that are not carried out by the organization. For example, an agency fighting hunger can resort to a wide variety of activities to reach its goal. It could provide food aid, water for cooking and drinking, cooking utensils, agricultural tools or agricultural training. The types of activities that will not be carried out should be specified.

The focus on certain regions also represents a possibility. For example, an aid agency may decide to focus on Central America or on the Horn of Africa. This is because strategies with a clear focus on certain regions and types of aid may be more effective than working only little in many different areas and regions.

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<sup>1961</sup> Own elaboration.

<sup>1962</sup> Guha-Sapir, Hargitt & Hoyois, 2004, p. 30.

<sup>1963</sup> Coppola, 2011, p. 30.

<sup>1964</sup> Guha-Sapir, Hargitt & Hoyois, 2004, p. 30.

<sup>1965</sup> Tomasini & van Wassenhove, 2009, p. 51.

<sup>1966</sup> Guha-Sapir, Hargitt & Hoyois, 2004, p. 32.

<sup>1967</sup> Hillier & Dempsey, 2012, p. 3.

### 5.3 Plan resources – notably human resources

Resources include tangible and intangible assets, as well as individual and collective human resources.<sup>1968</sup> Even if detailed activities cannot be planned, resources represent an area on which aid agencies can focus. This should create a basis for success in the long-term, as well as optimal conditions to be able to react quickly and efficiently in the case of emergencies.

The consideration of resource implications when plans are formulated is essential to the implementation of plans.<sup>1969</sup> Drucker gives the example of Napoleon in considering the resources necessary: “whenever Napoleon’s brilliant marshals came out with great plans of moving against Prussia, or Spain, (...) Napoleon would listen silently and then ask, ‘How many horses does it require?’. Usually, they hadn’t thought it through and their plan outran the available horses. That’s very typical.”<sup>1970</sup>

Human resources should notably be planned. Human resource planning is generally concerned with ensuring that the number and types of people are available to match business needs in the long-term. Broader issues in the employment and development of human resources are also considered.<sup>1971</sup> The number, types and skills of employees necessary for plans should be determined. In order to face unpredictable situations, pools of qualified staff, quickly deployable after a disaster, should also be maintained. This was done in all three cases.

Other resources should also be planned. Logistics, for example, represents a key area that can be built up. Logistics centers represent assets and their locations should be considered. To build response capacity, supplies can be pre-positioned in warehouses critical regions for example. The time necessary for response can therefore be reduced. Finally, the development of “kits”, as was done by MSF, also represents a possibility for quicker response.

### 5.4 Plan with uncertain funds

As predictable funds represent an important element for successful planning,<sup>1972</sup> aid agencies should aim to increase the predictability of their funding as much as possible. Optimal conditions for strategic planning would then exist from the financing point of view. Predictable financing is particularly necessary in the case

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<sup>1968</sup> Grünig & Kühn, 2011, p. 266.

<sup>1969</sup> Courtney, 2002, p. 211.

<sup>1970</sup> Drucker, 1992, p. 64.

<sup>1971</sup> Armstrong, 2011, p. 223.

<sup>1972</sup> Smillie & Minear, 2004, p. 237; Väyrynen, 2001, p. 164.

of long-term projects, in development aid for example, or long-term humanitarian projects, such as protracted refugee situations.

A fundamental possibility to increase predictability consists in obtaining long-term funding commitments from donors. To commit over several years, government donors may need to extend their financing horizons and create multi-year budgets. Donors could also provide multi-year estimates of their contributions. Following through with commitments is also an important element. By providing more predictable funds to aid agencies, they create better planning conditions. Other measures may also be explored. These include the introduction of an annual appeal and other initiatives. MSF USA, for example, has a multi-year pledge initiative to increase predictability.<sup>1973</sup> In any case, investments should be made in building long-term relationships with donors.

Although the maintenance of reserves does not represent a long-term measure, doing so helps organizations face short-term funding difficulties. Building up reserves is also strongly recommended by the author.

Finally, increasing independence from donors also appears to be an important element linked to funding. In order to increase independence from donors, funding sources can be diversified and the donor base broadened. Non-earmarked funds should also be encouraged.

The main aspect to consider is how to deal with uncertain funds when planning.

In the private sector, the financial feasibility of strategies is normally considered at the end of the planning process.<sup>1974</sup> However, because of the unpredictability of funding in the aid world, the author recommends that funding be considered before planning is actually done.

Different funding scenarios can be developed. This recommendation is based on the assumption that aid agencies are able to predict – to a certain extent – the amount of funds that will be received. Scenarios, which are based on the probabilities that funds will be obtained, can be envisioned. Organizations can elaborate two different fundraising scenarios. For example, a first scenario consists in the amount that has a 95% chance of being received. A second scenario consists in the amount that has an 80% chance of being received. An example is given in **Figure IX.5**.

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<sup>1973</sup> MSF USA, 2012. Donors commit to a minimum of USD 5'000 per year for three to five years.

<sup>1974</sup> See, for example, Grünig & Kühn, 2011, p. 315ff.; Wheelen & Hunger, 2010, p. 319; 324.

Scenarios	Scenario 1: 95%	Scenario 2: 80%
<b>Sources of funds</b>		
Governments	70	100
Individuals	20	30
Corporations	30	40
Foundations	20	40
<b>Total</b>	<b>140</b>	<b>210</b>

**Figure IX.5: Example of funding scenarios**<sup>1975</sup>

Aid agencies should then plan for each of the two scenarios.

### 5.5 Use a systematic and adapted process and simple tools

A clear and straightforward process, as well as simple tools, should be adopted to ensure that the procedure is understood by all and increases the probability that it is applied successfully. **Figure IX.6** shows the proposed procedure.

As a wide variety of aid organizations and tasks exist, the process can be adapted to the specificities of each organization.

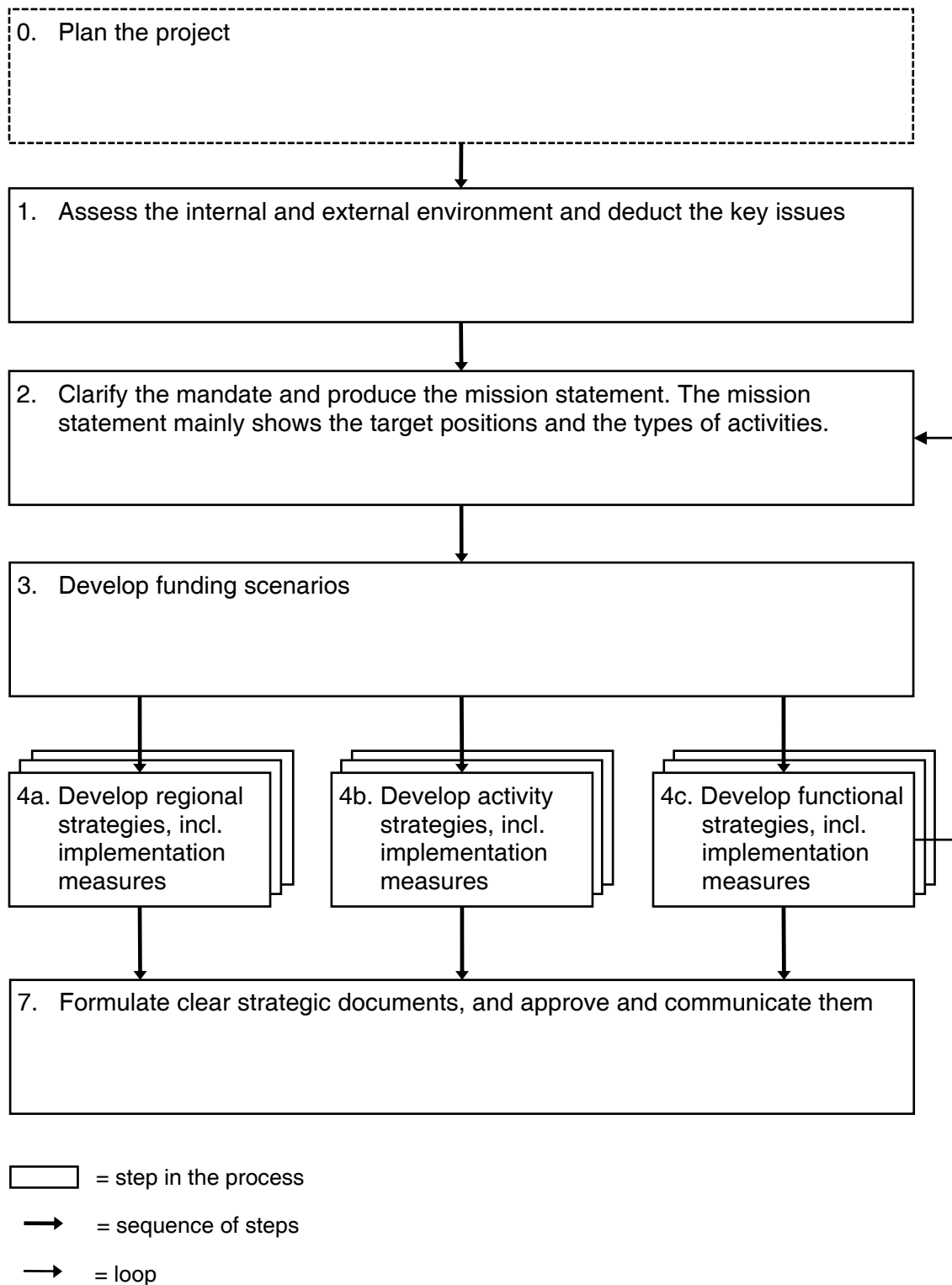
Organizational units (headquarters, operational centers, national sections, etc.) should be integrated in the strategic planning process in order to increase the probability of realization. To implement a plan, commitment from the board, staff and volunteers is necessary. Ownership of the plan, through the participation of all in the planning process, ensures such commitment.<sup>1976</sup> Without this, plans remain on paper and do not become a reality.

Analysis and planning tools should also be used. Such tools aid in collecting and analyzing information,<sup>1977</sup> and they also allow concrete results to be obtained. As seen in chapter II, a large number of tools can be used for analysis and planning purposes. The author believes the use of many tools does not necessarily bring an added value, because of the risk that more focus is put on tools than on content. The selection of a limited number of tools is therefore recommended in order to help avoid confusion and complexity. Furthermore, the use of very sophisticated tools, which may not be understood by all, should be avoided. Simple, understandable and effective tools, which deal with critical points and bring key facts into the planning process, should be used.

<sup>1975</sup> Own elaboration.

<sup>1976</sup> Courtney, 2002, p. 214.

<sup>1977</sup> Anheier, 2005, p. 264.



**Figure IX.6: Planning process for international aid organizations<sup>1978</sup>**

<sup>1978</sup> Own elaboration.

Before beginning the planning process, a preliminary Step 0 is proposed: the strategy project should be planned. In Worth's words, one should "plan to plan".<sup>1979</sup> The following elements should be considered:

- **Team:** The members making up the strategy team are determined. Here, the author recommends that the integration of key players and organizational units be aimed for as much as possible. Involving key players from the beginning of the planning process – rather than consulting them only once the strategic documents have been drafted – contributes to ownership and higher commitment, thus providing the best basis for implementation.
- **Process and schedule:** The strategic planning process that will be used is set. Furthermore, deadlines should be set for each of the steps of the process.<sup>1980</sup> The tools that will be used during the process should also be determined.
- **Consultants:** The participation of consultants in the strategic planning process should also be considered. Although the consultant can carry out certain tasks, such as recommending or applying methods, it is essential that others (e.g. choosing strategies) be carried out by the organization itself in order to ensure commitment and the realization of strategies.<sup>1981</sup> If a consultant is mandated, he/she should have experience in the field. The author draws here on the experience of MSF. The participation of "internal" consultants (former staff that is now working in consulting) represents a possibility worth considering.<sup>1982</sup>
- **Training on strategic planning:** Training on strategic planning can also be imagined in this step. This contributes to tackling the challenge of creating good conditions for strategic management.
- **Budget:** Finally, the resources necessary for the strategic planning process should be considered. This includes the cost of hiring consultants and the internal salary costs of staff.<sup>1983</sup> The cost of training in strategic management should also be considered.

Step 1 of the planning process is dedicated to strategic analysis. In this step, the information necessary for the development of strategies is collected. The author proposes three main analysis fields:

- **Global environment assessment:** Given the particularly challenging nature of the aid environment, the analysis of trends affecting the organization appears essential. Examples of influencing elements in the environment are given in **Figure IX.7**.
- **Interest group assessment:**<sup>1984</sup> This helps an organization clarify its principal objectives.<sup>1985</sup> Given that aid agencies have multiple interest groups with

<sup>1979</sup> Worth, 2012, p. 170.

<sup>1980</sup> Grünig & Kühn, 2011, p. 83.

<sup>1981</sup> Grünig & Kühn, 2011, p. 79f.

<sup>1982</sup> Interview, 05.08.10.

<sup>1983</sup> Grünig & Kühn, 2011, p. 83f.

<sup>1984</sup> This is generally known as a stakeholder analysis or a stakeholder value analysis.

<sup>1985</sup> Grünig & Kühn, 2011, p. 68; 99.



different expectations, and that their satisfaction is crucial for success and fundraising, such an analysis appears to be essential.<sup>1986</sup>

- **Strengths and weaknesses assessment:**<sup>1987</sup> This assessment allows an aid agency to be compared to a similar aid agency<sup>1988</sup> on the basis of success factors specific to the aid community. The comparison criteria could include, for example, assets such as warehouses, vehicles and financial reserves, as well as human resources such as staff commitment, skills and knowledge.<sup>1989</sup>

Based on the analysis, strategic issues can be derived.<sup>1990</sup> The identification of issues is necessary, because strategies will be developed in order to deal with them. Strategies “outline the organization’s response to the fundamental challenges that it faces”. In Bryson’s terms, strategies constitute the “bridges” between an organization and its environment, and the issues indicate “where bridges are needed”.<sup>1991</sup>

<b>Socio-economic</b>	<b>Technological</b>	<b>Ethical</b>	<b>Environmental</b>	<b>Political</b>
<ul style="list-style-type: none"> <li>▪ Population growth and age profile</li> <li>▪ Infectious diseases</li> <li>▪ Social morbidity</li> <li>▪ Public opinion and social norms</li> <li>▪ Degree of change</li> <li>▪ Degree of inter-communal tension</li> <li>▪ Economic indicators</li> <li>▪ Degree of exclusion and deprivation</li> </ul>	<ul style="list-style-type: none"> <li>▪ Existing infrastructure</li> <li>▪ Degree of spread of information technology (e.g. internet)</li> <li>▪ Technology transfers</li> <li>▪ Appropriateness and impact of emerging technologies</li> </ul>	<ul style="list-style-type: none"> <li>▪ Possibility of maintaining humanitarian principles</li> <li>▪ Unintended consequences and effects</li> </ul>	<ul style="list-style-type: none"> <li>▪ Impact of disaster</li> <li>▪ Impact of beneficiaries e.g. mass displacement</li> <li>▪ Impact of programming e.g. water and sanitation)</li> <li>▪ Land distribution</li> <li>▪ Marginalization</li> <li>▪ Level of change present</li> <li>▪ Likelihood of recovery</li> </ul>	<ul style="list-style-type: none"> <li>▪ Government type</li> <li>▪ Types of opposition</li> <li>▪ Degree of stability</li> <li>▪ Degree of freedom</li> <li>▪ Legislation</li> <li>▪ Donor interest</li> <li>▪ Tax, trade and tariffs</li> <li>▪ History of conflict</li> </ul>

**Figure IX.7: Situational factors**<sup>1992</sup>

In Step 2, the mandate is clarified and the mission is stated.

<sup>1986</sup> For an example of an analysis in the context of aid, see Morse & Struyk, 2006, p. 37ff. For an overview of such analyses in a non-profit context, see also Bryson, 2011, p. 405ff.

<sup>1987</sup> This is generally known as a competitor analysis or benchmarking.

<sup>1988</sup> For example, UNHCR could be compared with the International Organization for Migration (IOM), or CARE, World Vision and Catholic Relief Services could be compared.

<sup>1989</sup> For a four-step process to carry out this analysis, see Grünig & Kühn, 2011, p. 98ff.

<sup>1990</sup> This corresponds to the “direct approach” according to Bryson (2011, p. 195; 199f.). Other approaches to defining strategic issues also exist. For an overview, see Bryson, 2011, p. 194ff.

<sup>1991</sup> Bryson, 2011, p. 219.

<sup>1992</sup> Adapted slightly from James, 2008, p. 118.

A mandate, if one exists, constitutes the basis for the development of a mission statement.<sup>1993</sup> For instance, UNHCR has received a mandate, which must be considered as a boundary condition. Organizations must clarify formal and informal mandates that have been imposed, for example in laws or charters. This shows what is required, allowed and forbidden.<sup>1994</sup>

Following this clarification, the mission statement should be revised, if one already exists. If no mission statement exists, one should be produced. Although a mission does not aim to maintain or construct success potentials, it expresses an organization's overriding objectives and values, and this influences the development of strategies.<sup>1995</sup>

A mission statement should contain the "raison d'être" of the organization, its overriding objectives and values, the target position and areas of activity. The geographical extent of its activities can also be specified. Optionally, principles guiding certain tasks and the relationship with stakeholders can be included.<sup>1996</sup> For example, in its mission statement, the ICRC specifies its area of activity as the protection and assistance of those suffering from armed conflicts and situations of violence. It also explicitly mentions the principles of humanity, impartiality, neutrality and independence.<sup>1997</sup> Finally, the author recommends a mission statement that is as simple and clear as possible.

Step 3 is dedicated to the development of funding scenarios. The issue of planning with uncertain funds is therefore tackled in this step. In each step that follows in the strategic planning process, the scenarios should be considered.

Step 4 is dedicated to the development of strategies for the units of the organization. There are three types of such units:

- 4a: Regional strategies: Geographical desks or departments should each develop a strategy focused on their region. The challenge of fixing clear categories of activities is tackled in this sub-step.
- 4b: Activity strategies: This consists in developing strategies on different types of activities. A good example of this is given by UNHCR. In the organization, plans are developed on a wide variety of activities, ranging from education and health to the protection of certain groups of beneficiaries.
- 4c: Functional strategies: Strategies are also developed for functional areas at the organization's headquarters, such as human resources or fundraising. Such strategies guide the use of resources for the implementation of the other strategies defined above. The challenge of planning resources – mainly human resources – is therefore tackled in this sub-step.

<sup>1993</sup> Bryson, 2011, p. 121.

<sup>1994</sup> See Bryson, 2011, p. 121ff.

<sup>1995</sup> Grünig & Kühn, 2011, p. 32.

<sup>1996</sup> Grünig & Kühn, 2011, p. 112f.

<sup>1997</sup> ICRC, 2009a, p. 4; 10.

This approach is proposed by the author in order to tackle the challenge of integrating all organizational units in the process. Planning is done by each desk or department, whether regional, functional, issue-based, etc. As the heads of each desk are included in the process, this contributes to ownership and commitment, creating a sound basis for implementation.

The following elements should be specified:

- Goals and objectives: The goals and the objectives are specified.
- Actions: The different actions (in the form of projects, programs, etc.) that will be carried to achieve the objectives are also specified.
- Resources: Finally, the resources, both financial and human, to carry out activities are specified. The allocation of resources is thus considered.

With such an approach, the implementation measures to guarantee realization are also integrated in the process.

As previously stated, each of the two funding scenarios should be considered. A plan should be developed for each scenario. For example, the Africa desk should prepare two plans, one for the first scenario and one for the second.

In Step 5, clear strategic documents are formulated, approved and communicated. This step is considered to be necessary, because a clear basis for implementation should be provided in order to guarantee that strategies are realized.

The step begins with an overall evaluation of the strategies. Their financial feasibility is notably assessed on the basis of the implementation programs defined in the previous step. This ensures consistency across strategies and provides a sound basis for implementation.

Clear documents are also produced in this step. These enable effective and efficient implementation and control. This is because unclear strategies are difficult to implement. The length of documents is also considered. The author recommends that strategic documents remain short in order to promote their reading. This is also recommended by Mr. Captier of MSF: A document with many pages should be avoided, because “if it’s too long, no one will read it”. The main elements should be stated in a short document, and if necessary, details should be found in an appendix.<sup>1998</sup>

A system for documents is also produced. This system depends on the specific structure of the organization. While small aid agencies with a simple structure require a limited number of documents, larger and more complex agencies require more documents.<sup>1999</sup> The author recommends that a minimum number of documents be produced. Furthermore, the documents should be coordinated and checked for consistency. This avoids contradictions between them.

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<sup>1998</sup> Interview, 05.08.10.

<sup>1999</sup> Grünig & Kühn, 2011, p. 35.

Finally, the documents are approved and communicated. Communicating is essential, because it “helps build wide consensus and common understanding”.<sup>2000</sup> Following Grünig & Kühn, the author recommends that documents be communicated both orally and in written form.<sup>2001</sup> Kick-off meetings and retreats can be organized to communicate the strategy orally. In order to motivate staff to read documents and increase successful implementation, a variety of media can also be used to communicate the strategy in written form. For example, small laminated cards with essential points can be distributed or colorful posters can be produced.

## **6 Recommendations to guarantee implementation**

### **6.1 Guarantee implementation by creating a strong link with operational planning**

In order to guarantee the implementation of strategies, a strong link with operational planning must be established. In order to create this link, implementation measures have been integrated in step 4 of the proposed strategic planning process.

In order to reduce the risk that strategies stay on paper and are not realized, multi-year strategic plans should be integrated into operational (annual or bi-annual) planning. To do so, an operational or action plan, which specifies how and when progress will be made towards achieving the strategic plan, should be developed.

With implementation during daily management, there is a risk that daily problems take precedence over implementation measures.<sup>2002</sup> The “fire-fighting” and short-term orientation of humanitarian agencies renders them particularly vulnerable to this. The use of a tool such as Kaplan & Norton’s balanced scorecard,<sup>2003</sup> which has been adapted for the non-profit sector, reduces this risk, but does not eliminate it. With this form of implementation, the risk of non-realization of strategies also increases if short-term success is used to measure performance.<sup>2004</sup> The short-term focus of humanitarian activities makes aid agencies particularly vulnerable to this. Finally, with such an approach, opponents of strategies are more able to delay their implementation.<sup>2005</sup>

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<sup>2000</sup> Worth, 2012, p. 180.

<sup>2001</sup> Grünig & Kühn, 2011, p. 31.

<sup>2002</sup> Grünig & Kühn, 2011, p. 302.

<sup>2003</sup> Kaplan, 2001.

<sup>2004</sup> Grünig & Kühn, 2011, p. 302.

<sup>2005</sup> Grünig & Kühn, 2011, p. 302.

In light of the points mentioned above, the author recommends an implementation separate from daily management with the help of programs. Programs and projects allow work to be broken down into “chunks”, in the words of Peters & Waterman,<sup>2006</sup> in order to make them manageable.<sup>2007</sup> They can focus on direct measures or on indirect adjustment and support measures, as well as on realization at the material level or at the personnel level.<sup>2008</sup>

Programs to motivate and qualify staff should notably be considered. This is because resistance and personnel problems, such as inadequate training, are cited by Bryson as “typical causes of failure” in implementing strategies.<sup>2009</sup> On one hand, staff must be *willing* to implement strategies. Programs to increase motivation include information programs to overcome resistance or fears, as well as programs for leadership and motivation.<sup>2010</sup> The integration of key players in the proposed strategic planning process should, however, contribute to reducing resistance linked to non-participation. On the other hand, staff must be *able* to implement strategies. The knowledge, skills and competences needed to realize plans must be available. Programs for improving knowledge and competencies include for hiring suitable staff and releasing unsuitable staff, as well as training programs.<sup>2011</sup>

## 6.2 Develop “good” indicators to measure success and remember difficultly measurable activities

The increasing pressure to demonstrate performance and the need to measure progress towards realizing strategies makes the determination of indicators necessary. As Malunga states, “if the organization does not define what it understands and means by performance, (...) [it] cannot know whether (...) [it is] succeeding or failing”.<sup>2012</sup>

Guidance on how to develop indicators to measure success is widely available in literature. Generally speaking, a “good” indicator should be “illustrative of the outcome at which you are aiming”.<sup>2013</sup> Good indicators are also often said to be specific, measurable, achievable, relevant and time-bound (SMART).<sup>2014</sup> Roche also presents the SPICED properties for indicators, which relate to the indicator development process. These are shown in **Figure IX.8**.

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<sup>2006</sup> Peters & Waterman, 2004, p. 125ff.

<sup>2007</sup> Bryson, 2011, p. 293.

<sup>2008</sup> Grünig & Kühn, 2011, p. 306.

<sup>2009</sup> Bryson, 2011, p. 287.

<sup>2010</sup> Grünig & Kühn, 2011, p. 309.

<sup>2011</sup> Grünig & Kühn, 2011, p. 309.

<sup>2012</sup> Malunga, 2009, p. 96.

<sup>2013</sup> Slim & Bonwick, 2005, p. 106.

<sup>2014</sup> See, for example, Roche, 2005, p. 48; Slim & Bonwick, 2005, p. 108.

Properties	Definition
Subjective	Informants have a special position or experience that gives them unique insights which may yield a very high return on the investigators time. In this sense, what may be seen by others as 'anecdotal' becomes critical data because of the source's value.
Participatory	Indicators should be developed together with those best placed to assess them. This means involving a project's ultimate beneficiaries, but it can also mean involving local staff and other stakeholders.
Interpreted and communicable	Locally defined indicators may not mean much to other stakeholders, so they often need to be explained.
Cross-checked and compared	The validity of assessment needs to be cross-checked, by comparing different indicators and progress, and by using different informants, methods, and researchers.
Empowering	The process of setting and assessing indicators should be empowering in itself and allow groups and individuals to reflect critically on their changing situation.
Diverse and disaggregated	There should be a deliberate effort to seek out different indicators from a range of groups, especially men and women. This information needs to be recorded in such a way that these differences can be assessed over time.

**Figure IX.8: SPICED properties of indicators**<sup>2015</sup>

When developing indicators, the sources of data should be considered, as well as how data is collected. Slim & Bonwick argue that a good indicator should be “collectable”, as well as “easily processed”. If it is too dangerous to collect the data, or if too much time is required to gather and interpret the information, an indicator cannot be used in practice.<sup>2016</sup>

The author also stresses the need to move towards outcome and impact, rather focusing on measuring output. Both types of indicators – those measuring the implementation of programs and those measuring their effects – are equally important. Although the nature of some activities may make measurement difficult, the author advises against focusing only on what is measurable. “Non-measurable areas” may be essential in reaching the goals of aid agencies and should therefore not be neglected. The definition of qualitative indicators and measurement at the ordinal level is possible.

Finally, a participatory approach in determining indicators is also recommended, following Proudlock & Ramalingam.<sup>2017</sup> The integration of the views of beneficiaries provides an important approach for defining appropriate impact indicators. This is because, as Roche states, “the significant and lasting change in people’s lives must take account of their values, priorities and judgments; projects cannot be deemed a ‘success’ or ‘failure’ if the perceptions of those who the intervention aims to benefit diverge seriously from those of the project staff or an external evaluator”.<sup>2018</sup>

<sup>2015</sup> Adapted from Roche, 2005, p. 49.

<sup>2016</sup> Slim & Bonwick, 2005, p. 106.

<sup>2017</sup> Proudlock & Ramalingam, 2009, p. 121; 124.

<sup>2018</sup> Roche, 2005, p. 28.

## **X FINAL REMARKS**

### **1 Introduction**

Chapter X presents the final remarks of the thesis. The chapter is divided into the following sections:

- Section 1 is the introduction.
- Section 2 reviews the objectives of the thesis.
- Section 3 is dedicated to the review of the research methodology.
- Section 4 presents the areas for further research.

### **2 Review of the research objectives**

The main objective of the thesis was to develop concrete strategic management recommendations, which were adapted to the specific needs of international aid organizations.

Two intermediate objectives contributed to the achievement of this final objective:

- Literature review: A literature review on aid, on international aid organizations and on strategic thinking in these organizations contributed to a better understanding of the organizations and their specific needs in strategic management. It also notably showed that the management of aid organizations, and more particularly their strategic management, remains a largely neglected field of research. This is astonishing, given the important number of organizations providing aid, as well as the importance of the task of aid itself.
- Empirical study: The second intermediate objective was to explore why and how strategic management is used in international aid organizations. The challenges in strategic management presented at the end of chapter VIII notably served as a basis for the development of the recommendations.

Given the newness of strategic management approaches in the aid world and the very limited amount of literature on the subject, the author believes that the study of the topic addresses a research gap and represents a true need. The development of practical-normative recommendations therefore benefits both research and practice.

Although the author believes the recommendations represent a useful starting point for strategic management in these organizations, only time will tell if they are well received, useful and applied in practice.

### 3 Review of the research approach

As shown in chapter V, the author chose the case research approach. Several arguments notably supported this choice:<sup>2019</sup>

- The author's research questions included "why" and "how" questions.
- A contemporary phenomenon in a real-life context was studied.
- A little-researched area was explored. This was shown by the very limited amount of literature found by the author on the topic of strategic management in international aid organizations.

A qualitative approach also appeared appropriate, given the nature of the research question. Such an approach is considered to be suitable to answer "why" and "how" questions.<sup>2020</sup> Furthermore, the limited amount of research on the topic also supported this choice. A qualitative approach is often referred to as "the best strategy for discovery, exploring a new area, developing hypotheses".<sup>2021</sup>

As with any research approach, there are strengths and limitations. The main ones in the context of the thesis are discussed in the following paragraphs.

The strengths of the case research method notably include the possibility of using different sources, thus contributing to construct validity, and of providing a rich and in-depth analysis of the real-life context of international aid organizations. This approach proved to be useful to reach the main objective of developing a set of recommendations. This is because the challenges faced by the organizations could be identified and integrated.

Limitations also exist. Although the lack of rigor is often highlighted as a concern in case research, the author believes this represents only a *potential* limitation. It can be overcome by using a systematic process to carry out the research and by taking specific steps to guarantee quality and rigor. In order to counter the concern, the author adopted a systematic procedure, and a number of tactics were used during the different research steps in order to maintain quality. For example, several measures were taken to achieve construct validity: multiple sources of evidence were used (triangulation), a chain of evidence was established, and interviewees reviewed and approved the case reports. To achieve reliability, a database was developed.

The main limitation of the approach is the impossibility of statistical generalization.<sup>2022</sup> Findings are only valid for the organizations studied and cannot be extended to the population of aid organizations. As the recommendations were

<sup>2019</sup> See section 3.2 of chapter V.

<sup>2020</sup> Maylor & Blackmon, 2005, p. 250.

<sup>2021</sup> Miles & Huberman, 1994, p. 10.

<sup>2022</sup> Yin, 2009, p. 15.



developed on the basis of three cases, their validity for all aid organizations cannot be ensured.

#### 4 Areas for further research

Given the potential limitations highlighted in the previous section, the author considers the following possibilities for further research:<sup>2023</sup>

- Validation of recommendations: The recommendations developed by the author could be verified with the help of expert interviews.
- Adaptation of tools: Another area that could still be explored, according to the author, is the adaptation of strategic analysis and planning tools to the specific needs of aid organizations. This is because a number of tools exist in the private sector, but they are currently not applicable to aid agencies or other organizations not motivated by profit.
- Case research: Given resource limitations and the search for an optimal balance between breadth and depth, the author chose to research three organizations. The recommendations were also based on the challenges in the three, and may therefore not be representative. As a wide variety of organizations make up the aid community, the author thinks the development of more cases on other international aid organizations could be elaborated in order to eventually reveal additional approaches and challenges. Furthermore, as all three cases chosen by the author were focused on humanitarian aid, the research of development aid organizations – and/or organizations carrying out both types of aid – also represents an interesting area for further research. This is because the nature of the development task may imply different needs and issues.
- Action research: The recommendations developed in the thesis could be applied in concrete cases. Their usefulness for practice could thus be tested.
- Quantitative study: Finally, a quantitative approach could be adopted in order to address the limitation related to statistical generalization. Such an approach could be used to test the representativeness of the organizations studied and to obtain the statistical generalizability of results. A standardized questionnaire, for example, could be used for this purpose. However, there may be difficulties associated with a standardized questionnaire, because understandings and terms in the aid world may not correspond to those used in the private sector.

The author would like to stress that *how* aid organizations do their work is as important as *what* they do. Strategic management has the potential to help aid organizations deal with the challenges of an ever-changing and complex environment, both those of today and those of the future. It can help them change and develop in order to improve their performance. Good management matters not

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<sup>2023</sup> This list of possibilities is not considered to be exhaustive.

only to the organizations themselves. It is also important for the ones they assist. Improved management leading to improved performance helps agencies achieve their primary task: aiding those in need.

However, the adoption of management approaches must not come at the cost of the values and principles on which these organizations rely. Furthermore, a “one size fits all” approach should not be aimed for. Rather, an approach that “works” for them, taking their specificities and values into account, and building on their unique strengths should be adopted.

The author hopes to have shed some light onto the specific challenges of the aid world and to have brought some input that will be of use for practice. Finally, she also hopes to have sparked interest for further research in this new field.

## **APPENDICES**

### **1 Letter asking for interview**

Dear X,

I am currently a Ph.D. student in the Department of Management at the University of Fribourg and am carrying out research under the supervision of Professor Rudolf Grünig on strategic management in international aid organizations.

The main objective of my thesis is to develop a set of strategic management recommendations that meets the specific needs of aid organizations. The needs, issues and approaches in terms of strategic management will be explored with the help of interviews with key persons in aid agencies.

As a key agency in aid, Y could provide very valuable information and opinions to this study. For this reason, I would like to ask you for an interview on the issues mentioned above. If a suitable date can be found, my supervisor Professor Rudolf Grünig would also participate in the interview.

The interview would last about one to one and a half hours and would be arranged at a time and place convenient to your schedule. To ensure the accuracy of your input, I would ask your permission to record the interview. All information you provide will be considered anonymous and confidential unless agreed otherwise. Your name and the name of your organization will only appear in the thesis after you provide express consent to be identified and have reviewed the text and approved it.

I will contact you in the near future in order to plan a meeting if you agree to participate in the research project.

Thank you in advance for your interest and assistance with my research project.

Sincerely,

Maude Montani

## 2 Interview guide

### Introduction

- First of all, I'd like to thank you very much for giving me the opportunity to meet with you today and for your interest and assistance with my research project.
- Let me start off by introducing myself. As you saw in my letter, I am currently a Ph.D. student in the Department of Management at the University of Fribourg and I'm carrying out research under the supervision of Professor Rudolf Grünig, who is present with me here today.
- Description of research and purpose of interview: My research project is on strategic management in international aid organizations. The main objective is to develop a set of strategic management recommendations that meets the specific needs of these organizations. In parallel with a detailed analysis of relevant literature, a direct contact with organizations also seems to be important. So, in a round of practical contacts, I would like to understand the value that strategic planning has for your organization, as well as the different needs and issues. Later on, I plan on evaluating my recommendations based on discussions with persons in aid agencies.
- Reason for the selection: I would like to complete my literature analysis, so the purpose of today is to hear and feel with what extent strategic planning helps you to be successful. As a key agency in aid, [Y] could provide very valuable information and opinions to my study.
- Regarding length, the discussion will last a good hour.
- I wanted to discuss the question of confidentiality: If you wish, any information you provide will remain confidential. You will not be identified unless you expressly provide consent. Would you like today's interview to be anonymous and confidential?
- Recording equipment: Would it be alright if I recorded the interview? This would ensure accuracy and allow me to concentrate fully on the discussion. Of course, you can review the transcript and make corrections if necessary. This transcript will remain confidential.
- Opportunity to ask questions: Do you have any questions?

So let's begin. I'd like to start off with some general questions on you and your organization. With the help of literature, I have clearly informed myself on [Y] and its activities, but I'd like to know a bit more on certain points.

### General information on [Y]

- Objectives and activities: I have seen that the organization has a number of activities\*. Is this list complete or are there other activities that are not mentioned? What importance do you give these activities today and tomorrow?
- Regarding budget, I saw that your annual budget was around ...billion. Could you tell me how this budget is allocated to the different activities? Do you have any "rules" on how to use funds?

- Partnerships: Who do you have partnerships with and in what area?
- Ms./Mr. [X], I know a little bit about your curriculum, but I would still be interested in knowing your motivations to come and work for [Y]. How do you see your professional future? Ms./Mr. [Z], could you tell us about yourself?

#### Strategic planning

- Understanding of strategy: What is your understanding of the term “strategy” in your particular situation (context of humanitarian assistance)? What are its purposes?
- Expectations: What are your expectations of strategic planning?
- Documents: In which documents are your strategic intentions summarized? Would it be possible to have a look, eventually a copy, of these documents? Of course, we guarantee full confidentiality and nothing will be written in the thesis without your approval. What would you say is their importance? Are these documents of importance in your daily work?
- Process: When did you last elaborate or revise your strategic documents? Could you tell me how you proceeded?
- Methods and external help: Did you apply any methods/tools to plan strategically? Were they useful? Did you have any external help?
- Coordination with partners: Was your strategic planning also coordinated with your partners?
- Lessons learned: If you look back, what would you do differently in the next planning round?

#### Implementation, control and success

- If you look back, were the plans useful to develop and run your organization?
- How do you evaluate the implementation of your strategic ideas? Is it done in a formal or more subjective way?

#### The future

- In general: How do you see the future of [Y]? What will change in the future? Will you have new tasks or will existing tasks become less important? What directions do you think your organization will take in the future? What are the threats that you see? What are the opportunities? What are the implications of these changes on strategic planning?
- On strategic planning: Are you satisfied with what is done at the moment in terms of strategic planning? What do you think could be improved? Do you think other approaches will be taken in the future?

#### Final remarks

- Once again, thank you very much for your time and your assistance with my research project. I really appreciate it. I will send the case for your approval.

### 3 List of interviews

#### 3.1 Personal interviews

Organization	Place and date	Interviewee	Function
ICRC	Geneva, 05.05.10	C. Beerli	Vice-President
		B. Fonteyne	Head, Institutional Performance Management Unit
MSF	Geneva, 05.08.10	C. Captier	General Director
UNHCR	Geneva, 12.11.10	Person 1	...
		Person 2	...
	Geneva, 17.06.11	Person 3	...

#### 3.2 E-mail interviews

Organization	Date	Interviewee	Function
ICRC	13.09.10	B. Fonteyne	Head, Institutional Performance Management Unit

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