CHALLENGES AND CRITICAL SUCCESS FACTORS OF HUMANITARIAN CONSORTIUM COLLABORATIVE APPROACH IN ETHIOPIA: THE CASE OF SWAN (SCI, WVE, ACF and NRC) HUMANITARIAN CONSORTIUM

By

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Declaration

I, Dawit Assefa, declare that this thesis entitled “Challenges and Critical Success Factors of Humanitarian Consortium Collaborative Approach in Ethiopia: The Case of SWAN (SCI, WVE, ACF and NRC) Humanitarian Consortium” is my own original work, and has not been submitted for any degree in any other university. All sources of materials used for this study have been duly acknowledged.

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CERTIFICATION

This is to certify that Dawit Assefa has conducted a thesis entitled “Challenges and Critical Success Factors of Humanitarian Consortium Collaborative Approach in Ethiopia: The Case of SWAN (SCI, WVE, ACF and NRC) Humanitarian Consortium” under my guidance and supervision. This thesis is original and has not been submitted to any other University or Institute for the award of any degree.

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Signature: _____

Date_____

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Table of Contents

List of tables and figure

Acronyms and Abbreviation

CaLP	Cash Learning Partnership
CSF	Critical Success Factor
DAC	Development Assistance Committee
DFID	Department for International Development
ECHO	European Commission Humanitarian Aid
EHF	Ethiopian Humanitarian Fund
ERC	Emergency Response Capacity
FPA	Framework Partnership Agreement
IDP	Internally Displaced People
INGO	International Non-governmental Organization
MPGs	Multipurpose Cash Grants
NFI	Non Food Items
NGO	Non-governmental Organization
OCHA	United Nations Office for the Coordination of Humanitarian Affairs
OECD	Organization for Economic Co-operation and Development
UNDAC	United Nations Disaster Assessment and Coordination
USAID	United States Agency for International Development
WASH	Water sanitation and Hygiene
SCI	Save the Children International
WVI	World Vision International
AAH	Action Against Hunger
NRC	Norwegian Refugee Council

Abstract

There are no agreed definitions for a consortium. However, by and large, consortia are formed around the principle of synergy. That is a formal, time-bound arrangement systematically linking diverse competencies of a group of actors to better reach shared objectives. This research aimed to evaluate the challenges and critical success factors of SWAN (Save the Children International, World Vision International, Action Against Hunger and Norwegian Refugee Council) humanitarian consortium along with its drivers, facilitators. The research designs applied to this research were explanatory s with case study design. The data was collected from 51 respondents who have been worked in SWAN humanitarian consortium as experts, managers and directors. The data collected were analyzed through the computer software SPSS and presented using descriptive, correlation, and regressions. This research found out that working in consortium helps SWAN consortium members to respond natural and human made disasters efficiently and effectively. Critical success factors, challenges, key drivers and facilitators applicable to SWAN humanitarian consortium were identified. Based on the findings of the research, the researcher proposed applicable and suitable recommendations to be considered by the humanitarian actors in order to respond acute and longstanding problems of the country. For future studies, success indicators such as impact, sustainability and relevance can be taken as indicators to study in the same consortium or similar studies can be conducted in different consortia.

Key words: Humanitarian Consortium, Critical Success Factors, Challenges, Key drivers, Facilitators

CHAPTER ONE
INTRODUCTION

1.1 Background of the study

The number and the complexity of today's disasters are stretching humanitarian actors' capacities to respond effectively and efficiently to these disasters. Experience has shown that strengthening the collaboration between the humanitarian organizations operating in the field can bring numerous advantages such as complementarity, increased geographic coverage, increased target population coverage and decreased duplication (Emergency Capacity Building ECB, 2012).

Over the past a few decades, NGOs have focused much effort on improving collaboration amongst themselves to reduce duplication of effort and wasted resources, promote skilled institutional responses and simplify emergency response. Increasing complexity surrounding humanitarian policy and action, including challenges associated with climate change and the global economic crisis, further emphasize the urgency of collaboration and partnerships for improving the speed, quality and effectiveness of humanitarian response (Humanitarian Practice Network HPN, 2021).

Collaboration is a "process through which parties who see different aspects of the problem can constructively explore their differences and search for solutions that go beyond their own limited vision of what is possible" (Gray, 1989). The large number and variety of collaborative approaches reflect the increasing complexity of environmental problems, the increased number of "self-perceived stakeholders" in environmental conflicts, the interdependence among private, public, and civil society strategies for addressing problems, and the limits of traditional policy instruments for dealing with complex environmental problems (Poncelet, 2001).

Consortia are models of collaboration bringing together multiple actors (individuals, institutions, or otherwise) who are independent from one another outside of the context of the collaboration, to address a common set of questions using a defined structure and governance model. Consortia are increasingly used to conduct applied scientific research, often for the purposes of simultaneously implementing multiple studies that work towards a common goal (Greene, Hart & Wagner 2005; Wagner *et al*. 2005)

In Ethiopia, it has been noted that existing model of international humanitarian supply pipeline management has not allowed for a timely and efficient response to the needs as they emerge. When spikes in displacement occur, the time associated with fundraising activities undertaken by humanitarian agencies lead to a significant lag between the onset of an emergency and the delivery of a response, which further exacerbates the vulnerability of internally displaced peoples (IDPs) living in poor and undignified living conditions and can cause unnecessary loss of life

and suffering among the IDPs. The rationale for the SWAN consortium model was to allow for rapid early action with prepositioned and prefunded supplies.

Currently, there are only five rapid response mechanisms in Ethiopia. These are SWAN **(**Save the Children, World Vision, Action Against Hunger, Norwegian Refugee Council), ERM (Emergency Response Mechanism), Rapid Response Fund (RRF), RRM (Rapid Response Mechanism) and PRRM (Pandemic Rapid Response Mechanism). Among these, three are consortia: SWAN, ERM and RRM. ERM is consortium of GOAL and IRC, and RRM is consortium of Concern Worldwide and IRC.

Before a couple of years, there were a few projects that adopted consortium model. In 2018, with the aim of improving capacity, coordination and evidence for Multipurpose Cash Grants (MPGs), the Emergency Response Capacity (ERC) Consortium was implemented. The consortium is comprised of five humanitarian response agencies: Save the Children, the Cash Learning Partnership (CaLP), Danish Refugee Council, Mercy Corps and the United Nations Office for the Coordination of Humanitarian Affairs (OCHA), with European Commission Humanitarian Aid (ECHO) financing. In order to achieve its aim, design of collaborative tools and mechanisms was considered. (CaLP, April 2018)

SWAN (Save the Children, World Vision, Action Against Hunger, Norwegian Refugee Council) Humanitarian Consortium

The overall objective of the consortium is to contribute towards saving lives, reducing suffering and increasing human dignity for people affected by displacement in Ethiopia. The consortium approach was pursued to facilitate a coordinated joint response, minimize beneficiary overlaps, and standardize assistance packages and to reach affected populations at scale in targeted hot spot locations and future humanitarian crises.

SWAN members have been working with one another for many years in different settings. With their history of collaboration, their combined strength and experience ensure strong capacity to deliver large-scale humanitarian response. The long-established presence of the members throughout the country with 100+ offices certifies expertise and understanding of the local context, strong relationships with local government bodies and high community acceptability. In turn, this also guarantees effective coverage of needs, enhanced coordination between organizations and less transaction costs for the requested fund. Each of these agencies has highly trained staff and expertise which will be an added value for effective implementation of the project.

All consortium members are responding individually to an ongoing emergency in at least one or more of the affected locations. The consortium model will, therefore, complement the ongoing humanitarian response programs of the consortia by filling the supply gaps in the health, water, sanitation and hygiene (WASH) and emergency shelter and non-food item (ES/NFI) in the prioritized locations. The consortium's existing infrastructure and staff will support the implementation of agreed plans in all of the locations targeted for implementation. The interventions will also support the government's effort by strengthening coordination of the government response program and leveraging identified supply gaps of government health

institutions. Consortium members will ensure a strong coordination will be put in place with other partners in the implementation areas to avoid duplication of efforts and ensure maximized use of the limited resource. Should the funding for this pilot grow and should SWAN be successful, SWAN is committed to adapting this supply mechanism to a new way of working for the entire humanitarian architecture in Ethiopia.

SWAN's design addresses a currently reactive and inadequate humanitarian supply pipeline management through the following approach and principles based on effectiveness and efficiency. Consortium members were selected based on comprehensive national coverage and current presence in priority locations (assigned organizational lead in each hot spot)

Sector leads have been assigned from SWAN (save the children international SCI-Health, world vision WV-WASH, Norwegian refuge council NRC-ES/NFI and action against hunger AAH-protection) to ensure expertise is applied, including procurement experience/leveraging existing suppliers and adequate quality Supply Chain controls.

1.2 Statement of the Problem

Coordination mechanisms vary according to the type of agencies involved in the coordination and the operational framework existing in country. There is coordination among international non-governmental organizations (INGOs), between donors and national stakeholders, and between government organizations and non-governmental organizations (NGOs), as well as inter-agency coordination (IAC) and the participation of local stakeholders and civil society organizations. There are also technical working groups, international forums, and national and regional networks. (Sneha Krishnan, 2017)

SWAN humanitarian consortium was implemented through a fully coordinated consortium approach. The consortium was mainly aimed at provision of essential humanitarian supplies of Health, WASH and ESNFIs through timely and cost-Effective procurement and response mechanism. It was funded by the United Nations Office for the Coordination of Humanitarian Affairs (OCHA) and implemented by consortium members of Save the Children International, World Vision International, Action Against Hunger and Norwegian Refugee Council.

Since its formation, the consortium has been impacting the life of millions across the country: From March 2019 to March 2020, it had reached a total of 372,631 targeted households or 2,286,242 890 individuals (487,235 men, 526,812 women, 673,540 boys and 598,655 girls) through water and sanitation (WASH),emergency shelter (ES) and non -food items (NFI), and Health sectors interventions as an immediate and prepositioned responses in various zones and woredas of Oromia, Somali, Afar, SNNP, Amhara, Gambella, Benishangul-Gumuz Regions, and Addis Ababa City Administration. SWAN Consortium is implementing projects to respond on humanitarian shocks, including natural disasters, conflict, disease outbreak (such as COVID 19 and cholera), and displacement. During a period of 18 March 2020 up to the end of April 2021, SWAN has directly benefited 3,391,148 people (440,849 men, 1,768,403 women, 625,376 boys

and 556,570 girls) in WASH, ES and NFI, and Health sectors from the two EHF funded projects and contingency fund allocated from Iris Aid.

Although the final evaluation demonstrated remarkable achievements, there is a gap in thoroughly investigating the challenges and critical success factors, alongside the facilitators, key drivers of the SWAN consortium, in a way that different humanitarian actors may consider its operation modality to adopt. Additionally, to secure sustainable partnership and collaboration, identifying the causes of consortium challenges and key elements that allow effective coordination needed to be examined. Furthermore, this study could be used as a reference tool for any planned or coming consortium approaches or strengthening an existing collaboration among emergency response agencies and wider stakeholders, including government and local communities.

1.3 Research questions

This study intended to answer the following research questions:

a) How collaborative approach helps SWAN humanitarian consortium to be effective and efficient?
b) What are the drivers of SWAN humanitarian consortium?
c) What are the facilitators of SWAN humanitarian consortium?
d) What are the challenges of SWAN humanitarian consortium?
e) What are the critical success factors for SWAN humanitarian consortium?

1.4 Research objective

1.4.1 General objective

The general objective of the study is to evaluate challenges and critical success factors of SWAN humanitarian consortium collaborative approach.

1.4.2 Specific objectives

a) To assess the role of collaboration on the effectives and efficiency of SWAN humanitarian consortium
b) To examine key drivers of SWAN humanitarian consortium
c) To examine facilitators of SWAN humanitarian consortium
d) To identify the challenges of SWAN humanitarian consortium
e) To identify critical success factors of SWAN humanitarian consortium

1.5 Significance of the Study

Ethiopia is encountering natural and man-made crises in its most regions, and in large scale. In order to address the immediate and sustainable demands of these complex disasters coordinated and consortium approaches could be considered. Before employing any response mechanisms, it is needed to fully understand the challenges and opportunities up on the implementation. This study can produce reasonable findings on the challenges and critical success factors of humanitarian consortium approach.

This study will benefit SWAN consortium in improving its efficiency and effectiveness in light of The Organization for Economic Co-operation and Development's Development Assistance Committee (OECD/DAC) evaluation criteria. It also helps to assess how much experts and leadership understands the critical success factors, along with facilitators and drivers of the collaborative approach. As challenges of the collaborative model will be highlighted in this research, the consortium can see its barriers as well. Recommendations based on the findings will further strengthen the quality of SWAN's response operations.

Government is one of the stakeholder in the process of responding emergencies. In order to increase quality, credibility and relevance of policies and directives on the matter, evidence based researches are crucial. This study could provide substantial information to be used as an input for local and international NGOs partnership and horizontal collaboration approaches.

Absence of literatures on the consortium approach is one of the gap that the researcher found out. This study provides insights to build up additional knowledge in the study area by filling the knowledge gap that currently exists.

Donors like Ethiopian humanitarian fund (EHF), European Commission Humanitarian Aid (ECHO), Department for International Development (DFID), United States Agency for International Development (USAID) and others may use the findings of this research to perform comparative analysis, as a reference for monitoring and evaluation tool, as a verification tool for projects' efficiency and to set general direction in partnership models.

1.6 Scope of the study

This research exhaustively covered the challenges and critical success factors in SWAN humanitarian consortium. This consortium started its operation in Jan/2019 as coordinated response approach for overwhelming disasters, such as displacement, flood and epidemics in different corners of the country. The consortium is still functional, lately added one additional sector-protection due to the nature of crises occurred in the country. In each sector, there are activities related to joint need assessment, sector lead procurement, warehousing, transportation, distribution and post distribution monitoring. Survey has been conducted in head offices of consortium members, Addis Ababa and designated field sites across the country.

1.7 Definition of Terms

Consortia: are models of collaboration bringing together multiple actors (individuals, institutions, or otherwise) who are independent from one another outside of the context of the collaboration, to address a common set of questions using a defined structure and governance model. (Greene, Hart & Wagner 2005)

Inter-organizational collaboration: refers to a partnership process where two or more independent organizations working closely to program and implement their operations. (Cao and Zhang, 2011; Simatupang and Sridharan, 2002)

Drivers: refer to the different reasons that encourage two parties to form a partnership. (Lambert & Knemeyer, 2004)

Facilitators: refer to the supportive environmental factors that enhance a partnerships growth. (Lambert & Knemeyer, 2004)

Critical success factors: are the conditions, characteristics, or variables that when properly cultivated, sustained, maintained or managed can have a significant impact on the success of a company or its endeavor. (Oloruntoba , 2010)

1.8 Organization of the study

The study was organized into five chapters. The first chapter provided background information about the study, rationale of the research, objectives and scope of the research. In the second chapter, theoretical and empirical studies were reviewed. The third chapter presented the research methodology focusing on the approach of the research along with the data collection procedures & analysis methods. The fourth chapter of the study discussed the results and findings of the research. Chapter five is the final chapter and it presented summary of the research, conclusions and recommendations.

CHAPTER TWO
RELATED LITERATURE REVIEW

This chapter constituted by introduction of the concept of coordination, collaboration and consortia, facilitators and drivers of humanitarian organizations collaboration, challenges and critical success factors of humanitarian consortium. The purpose of the literature review is to go through concepts, theories, and current knowledge on this topic.

2.1 Theoretical Literature Review

2.1.1 Collaboration and coordination of humanitarian organizations

The analytical paper on multi-stakeholder partnerships (MSPs) for implementing the 2030 Agenda: Improving accountability and transparency (ECOSOC, 2016) revealed that in a best-case scenario partnerships are all about creating coalitions of the willing and win-win alliances through the pooling of complementary resources. They profit from a greater degree of flexibility, an ability to move quickly, and a high level of innovation.

Moreover, they build business cases for implementing international goals and enhancing the collective good. Many case studies show that individual MSPs contributed innovative solutions with an in-depth or broad-scale impact that otherwise would not have been achieved. They also helped mobilize additional investment and resources (Schmidt-Traub and Sachs 2015).

2.1.1.1 Inter-organizational collaboration

Inter-organizational collaboration refers to a partnership process where two or more independent organizations working closely to program and implement their operations (Cao and Zhang, 2011; Simatupang and Sridharan, 2002). It could also be defined as a means to resolve the problems of information redundancy, duplication of effort, poor planning and implementation, and basic lack of knowledge and information regarding the humanitarian situations. (Andrea H. Tapia, *et al*, 2010)

Lambert, Emmelhainz et al. (Lambert *et al.*, 1999) characterize three types of inter-organizational relationships, depending on their level of integration. Accordingly, there are two extremes, Arm's length and horizontal integration. In Arm's length cooperation, organizations maintain only a limited number of exchanges and have no significant joint operations. Under horizontal integration partners can integrate or combine assets and operations. Type I, partners collaborate on a single task or to a limited extent over a short-term period; Type II collaboration, partners jointly execute a number of tasks, or several departments of each organization

collaborate over a medium-term period; Type III, known as strategic alliance, the organizations combine or integrate their operations to a significant degree. (Lambert *et al.*, 1999)

There are different literatures that explain the essence of collaboration in different perspectives, most researchers believed that collaboration is a silver bullet that can enhance the supply chain performance and improve the resilience and recovery of affected communities (Chandes & Pache, 2010). Researchers, such as, Yanchun Zhang, *et al*, asserted that unless higher level leadership instructed the collaborative approach, due to the customary emergency management pattern, the rigid ways of emergency disposal and the phenomenon of information is landing, coupled with different organizations not being positively inclined to take responsibility, ‘‘one to one’’ communication and collaboration among the numerous organizations in the emergency disposal process are very rare. (Yanchun Zhang, *et al,* 2017)

According to M.Ashari, collaboration between humanitarian organizations is a frequent call from donors and governments to improve the efficiency and effectiveness of humanitarian operations by exchanging information, knowledge, and resources. Inter-organizational collaboration within a humanitarian setting can yield benefits such as access to more resources (e.g., donations, equipment, skills, and information), improved image with donors and the public, less competition over limited resources, avoidance of unnecessary duplication of organizations’ efforts, and the ability to buffer external uncertainties. (M.Ashari, 2016)

However, Yanchun Zhang, *et al* argued that rescue practice and relevant studies have shown that the inter-organization collaboration is inefficient in dealing with emergencies. It is necessary to realize inter-organization collaboration according to the rapidly changing range and severity of emergencies. Past research paid more attention to the mechanism of emergency collaboration than how to achieve collaboration and neglected the mechanisms by which emergency collaboration obstacles are formed. If the causes and formation mechanism of inter-organization collaboration obstacles are identified through academic research or practice, obstacles can be overcome or eliminated to establish better collaboration mechanisms and improve collaboration efficiency. (Yanchun Zhang, *et al,* 2017)

In order to have successful collaboration, Herlin and Pazirandeh (2012) propose, when there is diversity between partners’ characteristics (e.g., goals, motivations), the success of collaborative relationship depends on the partners’ level of understanding about each other’s objectives, operations, and values. (Herlin and Pazirandeh, 2012)

2.1.1.2 Humanitarian coordination

Some researchers’ define coordination, cooperation and collaboration as complementary because they consist of similar elements (Kanda and Deshmukh 2008). According to (Simatupang and Sridharan, 2008) interpretation, collaboration is a close cooperation among independent business partners. Aside from mixed definitions, some researchers follow a stepwise and hierarchical approach in defining the terms. Therein, coordination is often seen as a prerequisite for

cooperation and collaboration, as mentioned by Ergun et al. (2014). According to them, collaboration describes the relationship between partners whose operations and tasks are already coordinated. Coordination is sometimes also seen as the step after cooperation, as it is more formal than cooperation (Saab et al. 2013). Another stepwise approach describes coordination and cooperation as foundations for collaboration, as the latter presents the highest level of commitment, trust and information sharing (Soosay and Hyland 2015; Spekman et al. 1998).

Humanitarian coordination is a more process-oriented system which combines traditional disaster management approaches with the guiding principles of United National General Assembly (UNGA) Resolution 46/182. Generic structures for coordinating humanitarian operations exist. The needs of a disaster-affected population are commonly identified by sectors of humanitarian activity, e.g., health, food, shelter, etc. Such sectors have been historically recognized as a common modality of organizing disaster response and organizations have traditionally specialized themselves in working in one or more sectors. (UNDAC, 2018)

Recent research highlights coordination as a solution to disorganization and inefficiencies, difference and discord occurring during emergency response operations. The consortium model could potentially reduce duplication since participating agencies work under a unified proposal, undertaking sector-specific interventions within agency-specific geographies using similar formats and procedures for joint reporting, needs assessment, data collection, intervention and financial mechanisms (Fiori, *et al*, 2016).

In 2005, a major reform of humanitarian coordination, known as the Humanitarian Reform Agenda, introduced a number of new elements to enhance predictability, accountability and partnership, including the Cluster Approach. The aim of the Cluster Approach is to strengthen system-wide preparedness and technical capacity to respond, and to provide leadership and accountability. (UNDAC, 2018)

Figure 2-1: Global cluster lead, UNDAC, 2018

According to United Nations Disaster Assessment and Coordination (UNDAC), cluster members should adhere to the minimum commitments that set out what all local, national or international organizations undertake to contribute. They include: a common commitment to humanitarian principles and the Principles of Partnership, commitment to mainstream protection in programme delivery, readiness to participate in actions that specifically improve accountability to affected populations, understand duties and responsibilities associated with membership of a cluster and commit to consistently engage in the cluster's collective work as well as cluster's plan and activities, commitment to ensure optimal use of resources and sharing information on organizational resources, commitment to mainstream key programmatic cross-cutting issues, willingness to take on leadership responsibilities as needed and as capacity and mandates allow, contribute to developing and disseminating advocacy and messaging for relevant audiences, ensure that the cluster provide interpretation so that all cluster partners are able to participate. (UNDAC, 2018)

European Civil Protection and Humanitarian Aid Operations (ECHO) is supporting two different approaches to increase coordination and collaboration in the field: Coordinated log-frames: The coordinated approach consists in signing one Specific Grant Agreement with individual Framework Partnership Agreement (FPA) partner which have decided to collaborate more closely to address the needs of a specific crisis. Under this approach the collaboration takes place ex-ante between partners present in the field. The partners share their needs assessment (or they carry out joint needs assessment), they develop in a collaborative way their response which is translated into a joint Logframe. Each partner will then submit individual proposal containing the same Logframe. They will therefore work together towards achieving the same objectives but under separate grants. Consortia: On a voluntary basis, partners may decide to join forces to respond to complex and major crisis and create a consortium. consortium within an ECHO-funded specific grant agreement is defined as an Action under which several partners (FPA or even sometimes UN/IOs) work together under a consortium arrangement, with one of the FPA partner signing the Specific Grant Agreement and acting as the lead of the consortium, while other FPA partners take part in the implementation as implementing partners. (DG ECHO, 2021)

2.1.2 Consortium Approach

There are no agreed definitions for a consortium. However, by and large, consortia are formed around the principle of synergy. That is a formal, time-bound arrangement systematically linking diverse competencies of a group of actors to better reach shared objectives. (Alan Fowler and Joe McMahon, 2010)

The consortium model differs from these coordination models in its capacity to reduce duplication: participating agencies submit joint proposals to donors and specify the spatial responsibilities and interventions that will be undertaken. They communicate with each other, thereby reducing duplication of efforts and geographies, and addressing more needs.

Humanitarian INGOs are increasingly engaging in consortia efforts that bind these organizations through their mutual interest in improved performance, building coherence between their strategies and institutional practices. (ECB, 2012). Allison Gonsalves believed tht key feature of consortia that differs the more traditional structure of project teams is the potential for work to carry on as long as its members believe they have something to contribute (and the resources to carry on the work). (Allison Gonsalves, 2014)

Consortium Alignment Framework for Excellence (CAFÉ), studied consortia of Catholic Relief Services and its partners, and asserted that the goal of consortium-led projects is to enhance impact and assist them to reach their potential. Consortia, when properly governed, have the potential to produce a sum of overall outputs that is greater than individual organizations working with little coordination. Consortia offer the opportunity for numerous organizations to increase collaboration, exchange expertise, unify advocacy efforts, and increase overall service delivery and accountability to project participants. (CAFÉ, 2008). Consortia can enhance process standardization (e.g., labeling, packaging), decrease costs through better forecasting, raise the "joint bargaining power, and address the shared risks and benefits across participants" (Balcik *et al*., 2010)

Consortium Alignment Framework for Excellence (CAFÉ) produced standards to ensure the performance of collaboration. These standards have seven components that described as the most essential principles for forming and working in an effective and efficient consortium. These are goals, strategy, structure, roles, process, interpersonal and learning. Goals describe the common understanding of the consortium's purpose; strategy defines the plans and tactics of the consortium; Structure provides a framework that organizes resources to support service delivery, accountability, and decision-making; roles define the tasks, authority, actions, and expected outputs of consortium members; process documents mechanisms that create and support an enabling environment for the consortium; interpersonal describes the ideal for individuals and institutions to interact and relate to each other; learning elaborates a reflective process resulting in change based in experience and evidence. (CAFÉ, 2008)

However, not all organizations engage in consortium on their own volition, and despite the increase in consortium-managed projects, there is a paucity of information on how to set up and effectively manage consortiums. (CAFÉ, 2008). Alan Fowler and Joe McMahon suggested that consortia are much vaunted and promoted by donors, but there is inadequate experience of how they work and need to be managed. Therefore, allow adequate time and flexibility for their processes to develop. (Alan Fowler and Joe McMahon, 2010)

2.1.3 Drivers of humanitarian consortium

Drivers refer to the different reasons that encourage two parties to form a partnership. (Lambert & Knemeyer, 2004). A study done by M. Ashari suggested that "commitment-trust" and "relationship specific investments" are key drivers of coordination performance among HOs. The former keeps the motivation for HOs to maintain coordination, and the latter improves the

effectiveness and efficiency of coordination efforts. Moreover, opportunistic behaviors of partners, organization's short-term orientation, (strategic and operational) relatedness, and relationship management capability inhibit or drive the coordination performance through their effect on "commitment-trust" and "relationship specific investments." (M.Ashari, 2016) Kozuch and Sienkiewicz-Malyjurek reported that coordination, communication and trust are the driving factors contributing to effective inter-organizational collaboration. (Kozuch and Sienkiewicz-Malyjurek, 2016)

A research prepared by M. Ashari (2016) formulated four aforementioned categories of collaboration drivers: external drivers: information and communication technologies, strategic preparedness (e.g., contacts, inventories, ho types), strategic assessment (e.g., available resources, possible risks, possible needs); organizational drivers: information and communication technologies, decision support systems, investment in capacity building, better transparency, flexibility, accountability; inter-organizational drivers: information and communication technologies, build shared cultural relationships, shared funds and visibility, shared best practices for operational policies, approaches, organizational structures, incentive mechanisms, capability building initiatives, effective inter-organizational governance, decision support systems; donor drivers: capability building initiatives, decision support systems, flexibility in the use of resources, collaborate with organizations to address real pressures, sponsored incentive mechanisms, and collaborative funding.

In another study conducted by CaLP (2018) ERC Consortium-Nigeria operational model influenced quality. Through this analytical process, five factors (or drivers) with the potential to influence quality were identified: the structure of the consortium; the design of the consortium package of activities; country-level inter-agency ownership of tools and processes; shared costs and resources; and geographic coverage.

With similar study on ERC consortium-Ethiopia, drivers of quality were identified as: structure of the consortium at global level, structure of the consortium at country level, consortium ways of working: communication, consortium ways of working: sub-contracting, resource allocation, shared costs and resources, and inter-agency ownership. (CaLP, April 2018)

2.1.4. Facilitators of humanitarian consortium

Facilitators refer to the supportive environmental factors that enhance a partnerships growth. The compatibility of organizational culture, compatibility of management philosophy, complementarity of capabilities, symmetry, and mutuality have been identified as the facilitators of effective relationships among supply chain actors Compatibility is about organizational missions, visions, and principles, as well as procedures, systems, and technology. (Lambert & Knemeyer, 2004).

Partners needn't have identical cultures or management approaches; some differences are benign. Instead, participants are asked to consider differences that are bound to create problems. A sense of mutuality of shared purpose and perspective is vital. It helps the organizations move beyond a zero-sum mentality and respect the spirit of partnership, even if the earnings of one partner are under pressure. It may extend to a willingness to integrate systems or share certain financial

information. Symmetry often means comparable scale, industry position, or brand image. But even if two companies are quite dissimilar in these respects, they might assign themselves a high score on symmetry if they hold equal power over each other's marketplace success—perhaps because the smaller company supplies a component that is unique, in scarce supply, or critical to the larger company's competitive advantage. (Lambert & Knemeyer, 2004; McLachlin & Larson, 2011).

2.1.5 Challenges of humanitarian consortium

According to M. Ashari, most of the studies exploring the collaboration among humanitarian organizations are considered less structured through interviewing HOs managers to understand the challenges within the collaboration phenomenon. (M. Ashari, 2016)

The challenges to collaboration are reviewed by Feng et al. who identify as challenges the number and diversity of actors, donor expectations, competition, effects of the media, unpredictability, resource scarcity or oversupply, cost, determining and dividing gains and lack of standardization (Feng, et al., 2010)

Challenges constraining NGOs (INGOs and CBOs) from creating effective partnerships into inter organizational, organizational, external, and donor (Moshtari, 2013): One of the major inter-organizational challenges, is the absence of mutuality, at both strategic and operational levels, in terms of objectives, missions, policies, timeframes, and techniques (Campbell & Hartnett, 2005; Balcik et al., 2010; Schulz & Blecken, 2010; Steets et al., 2010; Dolinskaya et al., 2011; Akhtar et al., 2012; Svoboda & Pantuliano, 2015). The absence of mutuality led to distrust and misunderstanding among humanitarian partners (Moshtari, 2013; Soosay & Hyland, 2015). Another inter-organizational challenge is the shortage of physical and interpersonal resources, specifically during peak seasons, that bring about intense competition over media (Van Brabant, 1999; Weiss, 2013; Apte et al., 2016), and poor communication among NGOs, thus less collaborative efforts (Balcik et al., 2010; Kovacs & Spens, 2010; Tigist, 2016). The power imbalance, accompanied with a poor distribution of responsibilities for each partner, has also led to inauthentic partnerships that lack accountability over performance (Campbell & Hartnett, 2005; Tchouakeu et al., 2011; Knudsen, 2011; ICRC, 2017).

The organizational challenges, likewise, play a major role in reducing the enthusiasm for collaboration. For instance, the benefits of initiating partnerships among NGOs are still ill-defined (Moshtari, 2013). NGOs believe that partnerships increase bureaucracy which in turn decrease timely response to the vulnerable people needs (Campbell & Hartnett, 2005; Houghton, 2011; Akhtar et al., 2012). They also believe that partnerships threaten their independency (Schulz & Blecken, 2010), identity (Tchouakeu et al., 2011), missions (Minear, 2004), and values (Steets et al., 2010). Furthermore, the stability of partnerships has been endangered by high staff turnover and by the employment of new and inexperienced humanitarian leaders, who do not have adequate knowledge to manage them effectively (Rawal et al., 2005; Stoddard et al., 2007; Balcik et al., 2010; Dolinskaya et al., 2011;Tchouakeu et al., 2011; Oliveira, 2015; ICRC,

2017). For instance, those leaders might have poor communication skills for working with other partners and donors. They may also lack the ability to plan, implement, or evaluate the joint programmes professionally (Moshtari, 2013).

The third category comprises challenges associated with external factors. This category indicates the uncertainty of resources and demand that affect the participation of NGOs in collaborative projects (Sommers & Watson Jr, 2000; Cooley & Ron, 2002; Balcik et al., 2010; Saeyeon et al., 2015; Tigist, 2016). For example, there is rarely access to accurate and complete data as well as timely exchange of data about the disasters' consequences (McEntire, 2002; Day et al., 2009; Schulz & Blecken, 2010; Weronikaszcz, 2015; Natarajan & Keene, 2015).

The fourth category includes challenges caused by donors (Svoboda & Pantuliano, 2015). The donors' orientation to introduce programmes with special conditions, prevents the NGOs from investing properly in improving their partnerships (Besiou et al., 2014; Tigist, 2016). For instance, funding is not allowed at the preparedness phase (Moshtari, 2013), and it is mostly available to be used over a short period (Cooley & Ron, 2002; Cairns, 2012; Oliveira, 2015; ICRC, 2017). In this way, the NGOs' propensity to create partnerships, particularly long-term ones, was reduced (Balcik et al., 2010; Kovacs & Spens, 2010).

2.1.6 Evaluation criteria for humanitarian consortium

The Organization for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC) produced the evaluation criteria (relevance, effectiveness, efficiency, impact and sustainability). These five criteria have come to serve as the core reference for evaluating international development and humanitarian projects, programmes and policies. Beyond development co-operation, evaluators and commissioners also use the criteria in other areas of public policy. (OECD, 2019)

This study takes the above indicators as a reference for humanitarian coordination performances. The Organization for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC) defined each criterion as follows: effectiveness: "The extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance; relevance: "The extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies; efficiency: "A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results." ; impact: "Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended."; sustainability: "The continuation of benefits from a development intervention after major development assistance has been completed. The probability of continued long-term benefits. The resilience to risk of the net benefit flows over time." (OECD, 2019)

2.1.7 Critical success factors of humanitarian consortium

Oloruntoba defined critical success factors as, "critical success factors are the conditions, characteristics, or variables that when properly cultivated, sustained, maintained or managed can have a significant impact on the success of a company or its endeavor." (Oloruntoba , 2010)

In humanitarian organizations, critical success factors are not studied or identified to increase the profits but are examined to provide effective and efficient humanitarian services and save time. Therefore, it is essential to define CSFs to avoid or minimize the risk of failure in humanitarian operations (Eriksson and Karlsson, 2017; Pettit and Beresford, 2009).

A study by M. Azmat, *et al*. presented that several researchers pressed extraordinary stress on factors like donor restrictions, transport and logistics-related issues, importance of information collection, and most importantly, on collaboration and coordination within and among organizations are critical success factors for humanitarian operations efficiency and effectiveness (M. Azmat, *et al*, 2019)

The Emergency Capacity Building Consortium Experience identified 10 critical success factors for consortiums (ECB, 2012). Below is a summary of ten critical factors for successful collaboration, followed by a more detailed explanation of each factor, which adopted by this study:

2.1.7.1 Defining common aims and objectives

This comprises sharing individual agency plans, resources and approaches; Analyzing the challenges, weaknesses and/or gaps within existing programs; Identifying activities that cannot be done better alone; Keeping activities small and simple at the beginning; Develop joint strategies, initiatives, a common log frame and work plan such as a Consortium Engagement Plan (CEP). (ECB, 2012).

H1: Defining common aims and objectives is CSF for SWAN humanitarian organization

2.1.7.2 Ensuring effective leadership

This starts with agreeing on a leadership model (e.g. lead agency, revolving leadership or secretariat model); Include responsibilities and accountability lines to other member organizations in job descriptions and performance reviews; Build trust with participating agencies using the ECB Project trust-building tool; Use the core competencies framework to define and improve leadership skills. (ECB, 2012).

2.1.7.3 Ensuring alignment

This factor includes multi-agency simulation exercises to develop understanding of capacities, structures, and systems within different organizations; Adapt job descriptions, personal work plans and objectives, and organizational strategies to foster and sustain joint activities; prepare and plan for staff turnover; Prepare a work plan to define annual consortium activities. (ECB, 2012).

H2: Ensuring alignment is CSF for SWAN humanitarian consortium

2.1.7.4 Demonstrating visible support and reliable commitment

This can be demonstrated with your approach to securing support, from meeting informally once a week to signing memoranda of understanding; Senior staff or their appointed delegates should play an active and reliable role in consortium meetings where key decisions are to be taken; Give staff members time and space to participate in the process and authorize them to speak on the agency's behalf; Go where the energy is: encourage members interested in particular activities to take them on and move them forward. (ECB, 2012).

2.1.7.5 Prioritizing staff time to facilitate and support the process

This consists of activities such as systematically allocate time for meaningful participation in consortium activities; Recognize that collaborative activities are time consuming revise job descriptions, performance plans, budgets, and staffing levels; Consider hiring a dedicated 'consortium facilitator' and support staff, and involve a number of agencies in the recruitment process; Rotate the physical base of the facilitator around participating agencies and appoint contacts (focal points) in each organization. (ECB, 2012).

H3: Prioritizing staff time to facilitate and support the process is CSF for SWAN humanitarian consortium

2.1.7.6 Ensuring transparent, effective communication

In this factor, the following activities should be seen: Communicate valuable information regarding consortium-related activities quickly and transparently to other members; Speak with one voice and incorporate the valuable feedback that beneficiary communities are able to provide; Connect consortium members through face-to-face meetings, calls, and an online platform such as an intranet site to connect field staff and store resources in a neutral place. (ECB, 2012).

H4: Ensuring transparent, effective communication is CSF for SWAN humanitarian consortium

2.1.7.7 Clarifying roles and responsibilities

This includes, Agreeing on which activities will be carried out jointly; Write down agreements regarding agencies' consortium-related roles and responsibilities; Monitor agreed roles to ensure agencies are in a position to deliver the agreed results; Prepare short guidelines on how joint activities will be conducted and who will conduct them; Communicate guidelines and agreements to all agency staff, at global and local levels. (ECB, 2012).

2.1.7.8 Funding the process

This can be demonstrated in agreeing member contributions and applications for external donor funding; Allow sufficient time (several months) for multi-agency consultation and contributions; prepare key documents in advance for example: contracts, finance processes and internal paperwork with partners before contracts are finalized with a donor. (ECB, 2012).

2.1.7.9 Finding common approaches

This factor needs to take time to understand the approach each member takes with regards to common organizational issues; Jointly create program-related tools and approaches to help with

gaps or challenges that individual agencies have not been able solve alone; Agree reporting templates and a monitoring and evaluation framework so that each partner gathers data in a similar way and results can be collated and analyzed quickly. (ECB, 2012).

2.1.7.10 Managing crisis within the consortium

This works in a way that expect crisis and do not be discouraged by disagreement; Act quickly and responsibly to rescue relationships; Allow members to air their frustrations and conduct an 'appreciative inquiry' reflecting on positive moments in the process; Provide opportunities for members to change or end an activity if it is not working. (ECB, 2012).

2.1.7.11 working in consultancy and guidance of national clusters

According to preliminary interviews the researcher conducted, it has been noted that critical success factors such as working in consultancy, which described by taking general direction about the operations, receiving consultancy and standardization of international and local procurement, accentuating advocacy activities, and cooperating in pulling funds from donors.

H5: working in consultancy and guidance of national clusters is CSF for SWAN humanitarian consortium

2.1.7.12 wide operational presence of consortium members

The preliminary interviews also indicated that wide operational presence of consortium members, which described in having operationally active offices in all regions of the country, logistics and administrative capacity to reach out to remote and unreachable places, quick deployment of sector experts from inside and outside of the organization, and presence of administrative flexibility to reach out remote areas.

H6: Wide operational presence of consortium members is CSF for SWAN humanitarian consortium

2.2 Empirical Literature Review

While reviewing different literatures on the subject of this study, the researcher understood that there is scarcity of studies on the matter. There is a scarcity of information on how to set up and manage consortia effectively, with little comparative analysis of consortia case studies and limited peer-reviewed literature (Gonsalves, 2014)

The study done by Gonsalves identified not only lessons learned and emergent practices for research and action addressing issues related to climate change, but also questioned whether consortium-based research on climate change adaptation demanded new approaches to research and interaction. Many of the insights gain0ed from this study reflect similar lessons about working on complex, uncertain problems within distributed consortia on other issues, such as health (C.F. Green *et al*. 2005).

2.2.1 Key drivers and facilitators of collaboration of humanitarian organizations

M. Moshtari suggested that Relationship specific investment, commitment and trust are key drivers of collaboration performance among international humanitarian NGOs. Relationship specific investment improves the effectiveness and efficiency of collaboration efforts but its influence on collaborative performance is indirect and through reciprocal commitment. Moreover, long term orientation, resource complementarity, coordination capability and relational capability are antecedent factors influencing collaborative performance through their effect on mutual trust, reciprocal commitment and relationship specific investment. The researcher also asserted that Employing empirical methods (e.g. well-structured single or multiple case studies, field study, or lab experiment) provides insight into the factors influencing the collaborative performance and supports HOs' managers in understanding how, why, when, where they play role within collaborative relationships and eventually strengthens the empirical base of humanitarian operations management. (M. Moshtari, 2016)

The Cash Learning Partnership (CaLP) had conducted a case study on emergency response capacity (ERC) consortium – Nigeria and identified pathways (drivers) by which the ERC Consortium operational model influenced quality, by looking in detail at specific aspects of the model and their influence on efficiency, effectiveness and accountability. In this analytical process, five factors (or drivers) with the potential to influence quality were identified: the structure of the consortium; the design of the consortium package of activities; country-level inter-agency ownership of tools and processes; shared costs and resources; and geographic coverage. (CaLP, April 2018)

2.2.2 Challenges of collaborative approach

Exhaustive study of horizontal collaboration in humanitarian operations and identifies four categories of factors: external factors, factors associated with donor's role, inter-organizational factors and organizational factors influencing collaboration among international HOs have been identified. One of the major inter-organizational challenges, is the absence of mutuality, at both strategic and operational levels, in terms of objectives, missions, policies, timeframes, and techniques (Campbell & Hartnett, 2005).

The organizational challenges, likewise, play a major role in reducing the enthusiasm for collaboration. NGOs believe that partnerships increase bureaucracy which in turn decrease timely response to the vulnerable people needs (Campbell & Hartnett, 2005; Houghton, 2011; Akhtar *et al*., 2012). External factors indicates the uncertainty of resources and demand that affect the participation of NGOs in collaborative projects (Sommers & Watson Jr, 2000). The other one is donors related, sometimes, the donors' orientation to introduce programmes with special conditions, prevents the NGOs from investing properly in improving their partnerships (Besiou *et al*., 2014; Tigist, 2016).

Table 2-1: Challenges affecting the collaborative effort among NGOs in the humanitarian sector (Moshtari, 2013)

Challenges	**Category**	**Indicators**	**References**
External Challenges	Context	Location and timing of disasters	Balcik et al., 2010;Sommers & Watson
		Availability of adequate &	
		reliable information	
		Political environment	
	Demand	Quantity, characteristics and needs of affected population	Balcik et al., 2010;Dolinskaya et al.,al., 2011
		Urgency of relief response	
	Supply	Remaining local infrastructure	Balcik et al., 2010;Cooley and Ron,2002; Van Wassenhove, 2006
		Availability of local and international resources	
		Number and experience of involved Humanitarian organizations	
Inter-Organizational challenges	Strategic Compatibility	Shared organizational objectives, missions, mandates	Akhtar et al., 2012; Balcik et al., 2010;Schulz and Blecken, 2010; Thevenaz & Resodihardjo, 2010;Van Wassenhove,2006; Zoraster, 2006
		Shared cultural values	
		Shared language	
		Level of trust among organizations	
		Strength of sense of mutuality	

Table 2-1 (Cont.)

Challenges	Category	Indicators	References
	Operational Compatibility	Similar operational policies	Akhtar et al., 2012; Campbell & Hartnett, 2005; Dolinskaya et al., 2011; Steets et al., 2010
		Similar programming approaches, timeframes	
		Similar standards and techniques	
	Competition	Competition for funds	Dolinskaya et al., 2011; Stephenson Jr & Schnitzer, 2006; Weiss, 2013
		Competition for visibility &media coverage	
	Power	Similarity in organisations'power and resources	Campbell & Hartnett 2005, McLachlin & Larson, 2011; Tchouakeu et al.,
		Symmetry between the parties	
	Process	Adequate mechanisms to allocate costs, benefits, risks	Dolinskaya et al.,2011; Thevenaz & Resodihardjo, 2010
		Accountability over performance	
		Clear roles and responsibilities	
		Adequate access to tools and technical skills	
		Adoption of transparent and responsible policies	
Organizational Challenges	Unclear benefits	Bureaucracy, transparency,	Akhtar et al., 2012; Balcik et al., 2010; Cairns, 2012; Campbell & Hartnett, 2005; Houghton, 2011; Schulz & Blecken,2010
		accountability, flexibility	
		Required speed of response	
		Risks to own competencies	
		Risks to humanitarian identity	
	Capabilities	Propensity toward command & control focus	Akhtar et al., 2012; McEntire, 2002; Tchouakeu et al., 2011; Thevenaz & Resodihardjo, 2010
		Management capacity & leadership style	
		Staff capability (e.g. attitude, knowledge, experience)	
		Incentives towards collaboration	
	Resources	Availability of resources	Akhtar et al., 2012; Balcik et al., 2010; Dolinskaya et al., 2011; Rawal et al., 2005; Van Brabant, 1999
		Stability of team leaders & focal Points	
Donors-related Challenges	Use of Resources	Timing of resource availability	Balcik et al., 2010; Stephenson Jr & Schnitzer, 2006
		Required burn rates	
		Earmarked funds establish uses	
		Access to short-term & reusable Contracts	
	Incentive mechanism	Competition over scarce local resource	Cairns, 2012; Cooley & Ron, 2002; Taylor et al., 2012

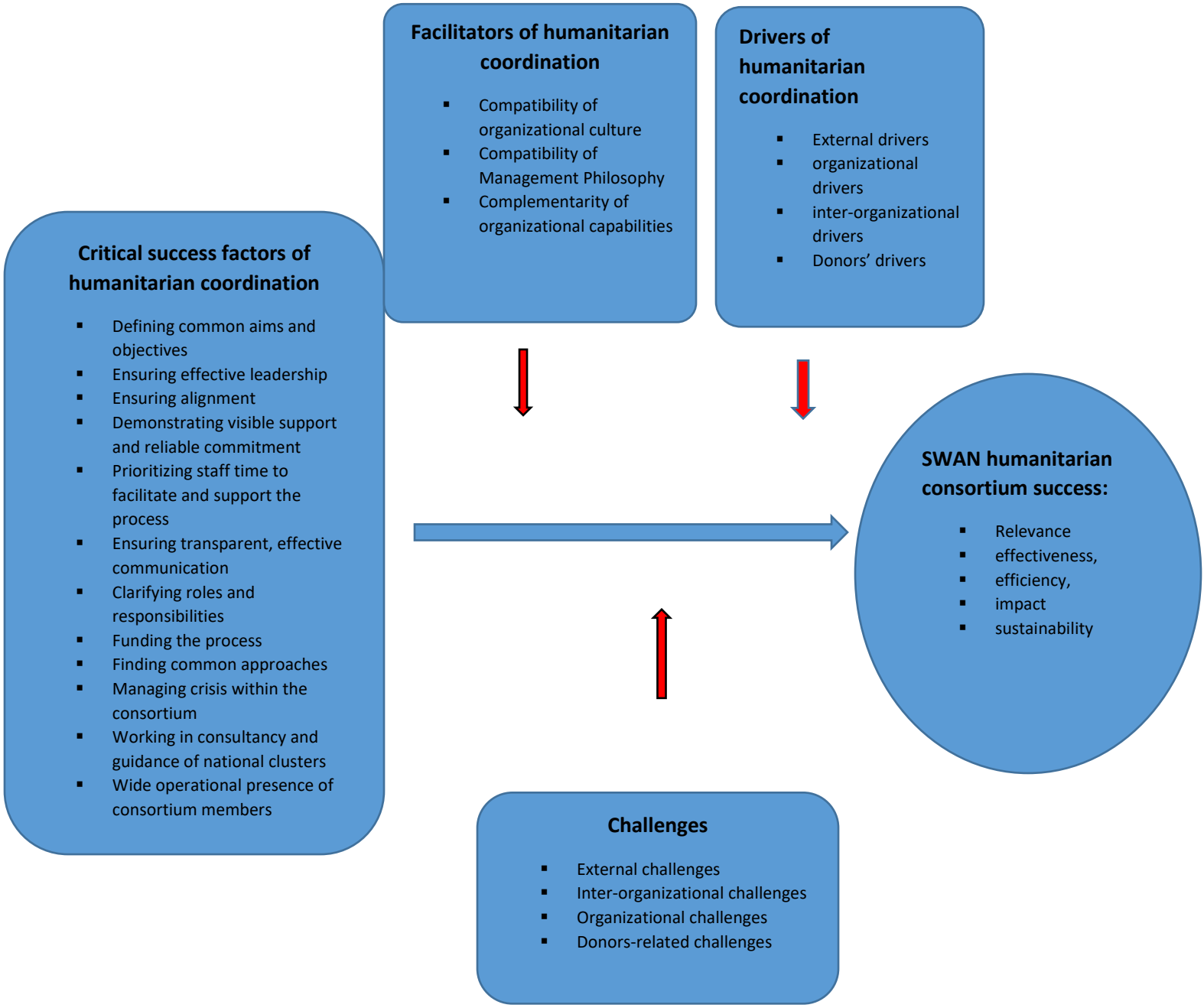
2.2.3 Critical success factors of collaborative approach

A study by E.Maria & K. Ellen has shown that CSFs are interrelated to each other to some extent and should be combined when applied to the immediate response within disaster relief operations. Hence, the research findings indicate that there is a need for humanitarian organizations to consider the realization of the joint importance of the factors. (E.Maria & K. Ellen, 2017).

Case studies of the consortia efforts, actions and approaches used during the 2012 Assam floods and 2013's Cyclone Phailin in Odisha, eastern India, studied by Sneha Krishna, found out that working in consortium helped organizations to obtain more funds, with assured funding support, agencies were able to plan, design and implement early recovery programmes and meet their humanitarian objectives. Working in a consortium reduced duplication, given the unified proposal for sector-specific interventions within agency-specific locations. Regular meetings allowed agencies to develop formats and procedures for joint reporting, needs assessment, data collection, intervention and financial mechanisms, and to provide technical support to each other and share lessons with the other members. This enhanced organizational capacities and expertise and expanded outreach, increasing scale and financial gains. Yet, as the number of actors involved in the consortia increased, there was more confusion, delay and dissatisfaction at the community level. In Assam, there was the instance where neighboring communities received different forms of material support. (Sneha Krishnan, 2017)

2.3 Conceptual framework of the study

A conceptual framework is developed based on the theoretical and empirical literatures reviewed. The key variables of the study are identified and their relationships are diagrammatically illustrated in the figure below. Drivers and facilitators of humanitarian consortium affects the relationship between critical success factors and humanitarian coordination performances. A four aforementioned categories of collaboration drivers: external drivers, organizational drivers, inter-organizational drivers and donor drivers are considered (M.Ashari, 2016). Facilitators such as the compatibility of organizational culture, compatibility of management philosophy, complementarity of capabilities, symmetry, and mutuality are adopted (Lambert & Knemeyer, 2004). Challenges of humanitarian collaboration categorized into inter organizational, organizational, external, and donor (Moshtari, 2013) and ten success factors introduced by CBE are adopted in this study.


Facilitators of humanitarian coordination
Compatibility of organizational culture
Compatibility of Management Philosophy
Complementarity of organizational capabilities
Drivers of humanitarian coordination
External drivers
organizational drivers
inter-organizational drivers
Donors' drivers
Critical success factors of humanitarian coordination
Defining common aims and objectives
Ensuring effective leadership
Ensuring alignment
Demonstrating visible support and reliable commitment
Prioritizing staff time to facilitate and support the process
Ensuring transparent, effective communication
Clarifying roles and responsibilities
Funding the process
Finding common approaches
Managing crisis within the consortium
Working in consultancy and guidance of national clusters
Wide operational presence of consortium members
SWAN humanitarian consortium success:
Relevance
effectiveness,
efficiency,
impact
sustainability
Challenges
External challenges
Inter-organizational challenges
Organizational challenges
Donors-related challenges
The variables that directly affect have other variables
The variables that indirectly affect other variables

CHAPTER THREE
METHODS OF THE STUDY

This chapter provides concise information on methods of the research. The study area described first, followed by the research approach applied to gather information. The research design is also explained. The source, population samples, collection procedures of the research data, and the method used to analyze the data collected are also discussed.

3.1 Description of the study area

The study was conducted in head offices and field sites of international organizations, are members of SWAN humanitarian consortium. The researcher selected head offices and selected field sites of the organizations to obtain relevant information related to critical success factors, challenges, drivers, facilitators, efficiency and effectiveness of the consortium.

3.2 Research Approach

There are two broad types of research approaches, deductive and inductive. “your research should use the deductive approach, in which you develop a theory and hypothesis (or hypotheses) and design a research strategy to test the hypothesis, or the inductive approach, in which you would collect data and develop theory as a result of your data analysis” (Saunders, Lewis & Thornhill, 2007). A deductive approach is concerned with “developing a hypothesis (or hypotheses) based on existing theory, and then designing a research strategy to test the hypothesis (Wilson, J., 2010). Deductive approach taken as an approach for this study since it helps to examine the applicability of critical success factors and challenges identified from literatures in SWAN humanitarian consortium.

3.3 Research Design

This study used explanatory design with case study design. The researcher believed that research questions would be addressed through explanatory design. Case study would also help to narrow and go deeper into a specific area where it is chosen to be studied. For data collection and analysis, mixed approach-qualitative and quantitative study designs were deployed.

3.4 Population and sample design

The source population of this study is consortium leaders, project managers within consortium members, sector focal persons and sector experts, who directly involve in designing, operating, monitoring and evaluating SWAN humanitarian consortium.

Primary and secondary data collection was implemented. Primary data was collected from leadership of lead agency, consortium members' project managers, sector focal persons and experts across consortium members, who have been actively participating in SWAN humanitarian consortium. To strengthen the quality of the research, secondary data was also sourced from books, journals, trusted websites and organizations' documents.

Survey using structured questionnaires was disseminated physically or via email if internet access was granted. According to the grand proposal of the project, there were a total of 55 individuals working in a consortium in a position of directory, project/sector managers and operational specialists (SCI-18, ACF-10, NRC-16, and WVE-11) who lead the consortium, manage operations and /or supervise activities. Census was used so as to collect relevant and reliable information.

Table 3-1: Participants of the study

Participants	SCI	WVE	ACF	NRC
Directors	2	2	1	1
Consortium managers	3	-	-	-
Project managers	1	1	1	6
Sector managers	4	4	4	3
Operation specialists	8	3	6	6
Total	18	10	11	16

Sourced from SWAN humanitarian consortium proposal

3.5 Sample size and selection Procedure

Quantitative Survey: The population size for this study is less than 100. If the population size is less than 100, it is advised to include all in the study. (Anita Baker, 2018). Based on this advisory, the study contacted all the 55 key professionals of the consortium with aiming at 90% response rate.

Qualitative study: This information was collected from 6 managers who lead sectors and the coordination. Consortium-lead, consortium' MEAL manager and project managers were interviewed so as to collect qualitative information.

3.6 Method of data Analysis

The data analysis was performed using descriptive and inferential statistics. Relevant demographic variables were analyzed through central tendency measurements (frequency and frequency distribution, valid & cumulative percentage and comparison of mean). In order to explain the relationship between variables inferential statistical analysis, correlation and regression methods were utilized using statistical package for social sciences (SPSS) software.

3.7 Validity test

Validity determines whether the research truly measures what it intends to measure, or how truthful the research results are (Schindler, 2003). Before conducting actual data collection, the clarity of data collection instrument by the respondents has been ensured. Pre-testing of the questionnaires was conducted and feedbacks were received.

3.8 Reliability test

In this study, the researcher used Cronbach‘s Alpha to test the reliability of the independent and dependent variables, A Cronbach’s alpha coefficient greater than 0.9 implies excellent, greater than 0.8 is good, greater than 0.7 is acceptable, greater than 0.6 is questionable, greater than 0.5 is poor, and less than 0.5 is unacceptable (Tavakol, 2011).

Table 3-2 Reliability test of study

Item-Total Statistics

	Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Squared Multiple Correlation	Cronbach's Alpha if Item Deleted
Compatibility of organizational culture, mutuality and symmetry	78.9557	18.021	.669	.	.744
Compatibility of Management Philosophy	77.4067	21.949	.344	.	.773
Complementarity of organizational capabilities	77.8904	18.707	.681	.	.744
Defining common aims and objectives	77.6894	22.097	.301	.	.776
Ensuring effective leadership	77.9296	20.549	.577	.	.757
Ensuring alignment	77.8168	23.198	.181	.	.781

Table 3-2 (Cont.)

Item-Total Statistics	Item-Total Statistics	Item-Total Statistics	Item-Total Statistics	Item-Total Statistics	Item-Total Statistics
Demonstrating visible support and reliable commitment	78.5815	22.162	.477	.	.768
Prioritizing staff time to facilitate and support the process	77.0472	23.973	.017	.	.786
Ensuring transparent, effective communication	77.8070	20.390	.723	.	.750
Clarifying roles and responsibilities	77.1158	23.902	.041	.	.785
Funding the process	77.9247	23.790	.042	.	.787
Finding common approaches	77.0325	25.659	-.439	.	.806
Managing crisis within the consortium	78.0472	23.509	.131	.	.783
working in consultancy and guidance of national clusters	77.1845	22.931	.342	.	.775
Wide operational presence of consortium members	78.0619	22.164	.457	.	.769
EXTERNAL_CHALLENGES	79.2792	23.152	.149	.	.784
INTERN_ORGANIZATIONAL_CHALLENGES	79.4516	24.661	-.200	.	.795
ORGANIZATIONAL_CHALLENGES	79.4472	22.713	.283	.	.777
DONORS_RELATED_CHALLENGES	79.2394	23.619	.028	.	.793
EXTERNAL_DRIVERS	77.9819	21.987	.412	.	.770
ORGANIZATIONAL_DRIVERS	79.0472	20.659	.613	.	.756
INTER_ORGANIZATIONAL_DRIVERS	78.0394	20.259	.649	.	.752
DONORS_DRIVERS	77.4345	22.250	.348	.	.773

Above table shows that Cronbach's alpha coefficient for dependent and independent variables are in acceptable range. The lowest Cronbach's alpha coefficient value is 0.744 and the highest value of Cronbach's alpha coefficient value is .806.

3.8 Ethical Consideration

Research ethics had been put into consideration during developing and administering data collection tools and techniques, to avoid any form of harm, suffering or violation. This was done through obtaining the consent of respondents before participation in the study, informing the respondents about the purpose of the study, and ensuring confidentiality of data.

CHAPTER FOUR

Results, Discussion and Interpretation

This chapter comprises of study findings on challenges, critical success factors, key drivers, facilitators, efficiency and effectiveness of SWAN humanitarian consortium. The variables were analyzed in a way that they could give answer for the questions the researcher raised at the beginning of the study. Among 55 questionnaires distributed to the subjects, 3 of them were not returned and 1 was invalid. 51 questionnaires were collected and analyzed.

4.1 Socio Demographic Characteristics of Respondents

In this study each SWAN consortium members has participated: SCI-16, WVI-12, ACF-12 and NRC-11. Among 51 respondents, 10 are female. 58.8% of the respondents are 30-39 years, 17.6 % are between 40 and 50, 19.6 % between 24 and 29, and 7.4% above 50 years old. 66.7 % of respondents have master's degree and above and the rest of the respondents hold bachelor's degree. In this research, 39.2% of respondents are field based and 60.8% based at head office. 43.1% of respondents have less than five years work experience in their respective organizations, 33.3% of the respondents have 6-10 years work experience, 15.7% of the respondents have 11-15 years work experience and 7.8% have above 15 years work experience. From 51 respondents, 12 of them have less than one year stay in the consortium, 19 of the respondents stayed for 1 to 2 years and 20 of them stayed for more than 2 years. For 49% of the respondents, this consortium is first experience, 31.4% of the respondents have 2 or 3 similar consortia experience, 13.7% of the respondents have 4 to 5 similar consortia experience and 5.9% have more than 5 consortia experience. The role of the respondents: 13(25.5%) of them are part of leadership at different level of the consortium, 8(15.7%) of them are sector focal points, 4(7.8%) of them are part of technical working group at head office level and 26(51%) of them are experts in any thematic areas.

Table 4-1: Demographic Characteristics of Respondents

Characteristics	Category	Frequency	Percentage
Name of Consortium member	SCI	16	31.4
	WVI	12	23.5
	ACF	12	23.5
	NRC	11	21.6
Gender	Male	41	80.4
	Female	10	19.6

Table 4-1 (cont.)

Characteristics	Category	Frequency	Percentage
Age	25-29yrs	10	19.6
	30-39 yrs	30	58.8
	40-50 yrs	9	17.6
	Above 50 yrs	2	3.9
Highest level of education	Bachelor's degree	17	33.3
	Master's degree and above	34	66.7
Base	Head office	31	60.8
	Field	20	39.2
Work experience in their respective organization	Less than 5 years	22	43.1
	6 – 10 years	17	33.3
	11 – 15 years	8	15.7
	above 15 years	4	7.8
Work experience in SWAN humanitarian consortium	Less than one year	12	23.5
	1-2 years	19	37.3
	Above 2 years	20	39.2
Work experience in similar consortia	Only 1	25	49.0
	4-5	7	13.7
	2-3	16	31.4
	More than 5	3	5.9
Role in SWAN humanitarian consortium	Part of leadership at different level of the consortium	13	25.5
	Sector focal point of consortium member	8	15.7
	Part of the technical working group at head office level	4	7.8
	Expert in any SWAN humanitarian consortium thematic areas (excluding the leadership)	26	51.0

4.2 Statistical descriptive information on Critical Success Factors, Challenges, Key drivers, Facilitators, efficiency and effectiveness of SWAN humanitarian consortium

Statistical descriptive information of critical success factors, challenges, key drivers, facilitators, efficiency and effectiveness of SWAN humanitarian consortium below presented. In each variable, there are more than three items and mean and standard deviation of the items are calculated.

4.2.1 Critical success factors of SWAN humanitarian consortium

Decision rule of mean range analysis was set to interpret the result of the SPSS. This is done by dividing the distances between the scale values (4 in a 5-point Likert scale) by the number of

values (5); and the period length (4/5= 0.80) is then used to calculate the weighted averages (Alfarra, 2009). Accordingly, mean result 1-1.79 refers strongly disagree; 1.80-2.59 means results refers disagree; 2.60-3.39 mean result refers neutral; 3.40-4.19 mean result refers agree; 4.20-5 mean result refers strongly agree.

Statistical descriptive information on critical success factors shows that respondents strongly agreed that "working in consultancy and guidance of national clusters", "Finding common approaches", "Prioritizing staff time to facilitate and support the process," are critical success factors. While they put Demonstrating visible support and reliable commitment in neutral position, they agreed, "Defining common aims and objectives", "Ensuring effective leadership", "Ensuring alignment". "Ensuring transparent and effective communication". "Funding the process", Managing crisis within the consortium", and "Wide operational presence of consortium members," are critical success factors.

Table 4-2: Critical Success Factors of SWAN humanitarian consortium (N=51)

	Number of items	Mean	Std. Deviation
Defining common aims and objectives	4	3.9657	.58741
Ensuring effective leadership	4	3.7255	.60880
Ensuring alignment	4	3.8382	.42078
Demonstrating visible support and reliable commitment	4	3.0735	.39779
Prioritizing staff time to facilitate and support the process	4	4.6078	.29264
Ensuring transparent, effective communication	4	3.8480	.52697
Clarifying roles and responsibilities	4	4.5392	.29314
Funding the process	4	3.7304	.39320
Finding common approaches	4	4.6225	.38201
Managing crisis within the consortium	4	3.6078	.36488
working in consultancy and guidance of national clusters	4	4.4706	.32652
Wide operational presence of consortium members	4	3.5931	.41219

4.2.2 Challenges of SWAN humanitarian consortium

Decision rule of mean range analysis was set to interpret the result of the SPSS. This is done by dividing the distances between the scale values (4 in a 5-point Likert scale) by the number of values (5); and the period length (4/5= 0.80) is then used to calculate the weighted averages (Alfarra, 2009). Accordingly, mean result 1-1.79 refers strongly disagree; 1.80-2.59 means results refers disagree; 2.60-3.39 mean result refers neutral; 3.40-4.19 mean result refers agree; 4.20-5 mean result refers strongly agree.

Respondents disagreed the assumption that their operation is negatively affected by external, inter organizational, organizational and donors related challenges listed on the questionnaires. As we can understand from the value of standard deviation there is no uniformity across the respondents regarding each listed challenges but the mean result revealed that the consortium is not affected by those challenges.

Table 4-3: Challenges of SWAN humanitarian consortium (N=51)

	Number of Items	Mean	Std. Deviation
EXTERNAL_CHALLENGES	6	2.3758	.49536
INTERN_ORGANIZATIONAL_CHALLENGES	8	2.2034	.33537
ORGANIZATIONAL_CHALLENGES	5	2.2078	.44355
DONORS_RELATED_CHALLENGES	5	2.4157	.57389

4.2.3 Facilitators of SWAN humanitarian consortium

Decision rule of mean range analysis was set to interpret the result of the SPSS. This is done by dividing the distances between the scale values (4 in a 5-point Likert scale) by the number of values (5); and the period length (4/5= 0.80) is then used to calculate the weighted averages (Alfarra, 2009). Accordingly, mean result 1-1.79 refers strongly disagree; 1.80-2.59 means results refers disagree; 2.60-3.39 mean result refers neutral; 3.40-4.19 mean result refers agree; 4.20-5 mean result refers strongly agree.

From the facilitators, compatibility of management philosophy is strongly agreed to be top facilitator of the consortium. While complementarity of organizational capability is agreed to be facilitator, Compatibility of organizational culture, mutuality and symmetry is disagreed to be taken as facilitator.

Table 4-4: Facilitators of SWAN humanitarian consortium (N=51)

Facilitators	Number of items	Mean	Std. Deviation
Compatibility of organizational culture, mutuality and symmetry	3	2.6993	.92197
Compatibility of Management Philosophy	3	4.2484	.56899
Complementarity of organizational capabilities	3	3.7647	.80635

4.2.4 Key drivers of SWAN humanitarian consortium

Decision rule of mean range analysis was set to interpret the result of the SPSS. This is done by dividing the distances between the scale values (4 in a 5-point Likert scale) by the number of values (5); and the period length (4/5= 0.80) is then used to calculate the weighted averages (Alfarra, 2009). Accordingly, mean result 1-1.79 refers strongly disagree; 1.80-2.59 means results refers disagree; 2.60-3.39 mean result refers neutral; 3.40-4.19 mean result refers agree; 4.20-5 mean result refers strongly agree.

The respondents agreed that donors' drivers are one of the key driver of the humanitarian consortium. They also fairly agreed on inter_ organizational and external drivers while they disagree organizational driver as a key driver.

Table4-5: Key drivers of SWAN humanitarian consortium (N=51)

Key drivers	Number of items	Mean	Std. Deviation
External drivers	3	3.6732	.48758
Organizational drivers	4	2.6078	.56182
Inter-organizational drivers	5	3.6157	.59712
Donors drivers	4	4.2206	.49155

4.2.5 Efficiency and effectiveness of SWAN humanitarian consortium

Decision rule of mean range analysis was set to interpret the result of the SPSS. This is done by dividing the distances between the scale values (4 in a 5-point Likert scale) by the number of values (5); and the period length (4/5= 0.80) is then used to calculate the weighted averages (Alfarra, 2009). Accordingly, mean result 1-1.79 refers strongly disagree; 1.80-2.59 means results refers disagree; 2.60-3.39 mean result refers neutral; 3.40-4.19 mean result refers agree; 4.20-5 mean result refers strongly agree.

Accordingly, below table shows respondents strongly agreed that working in consortium helps to be operationally effective and efficient

Table4-6: Efficiency and effectiveness of SWAN humanitarian consortium (N=51)

Efficiency_effectiveness	Number of items	Mean	Std. Deviation
Efficiency	4	4.2255	.57501
Effectiveness	4	4.2255	.57501

4.3 Correlation analysis of CSF, Challenges, Key drivers, Facilitators, Efficiency and Effectiveness

Pearson's correlation coefficient (r), which measures the strength and direction of a linear relationship between two 53 variables, is used. The values of Pearson's correlation coefficient

are always between -1 and +1. A correlation coefficient of +1 indicates that two variables are perfectly positively related whereas a correlation coefficient of -1 indicates that two variables are perfectly negatively related, and a correlation coefficient of 0 indicates that there is no linear relationship between the two variables. A low correlation coefficient; 0.1 - 0.29 suggests that the relationship between two items is weak or non-existent. If r is between 0.3 and 0.49 the relationship is moderate. A high correlation coefficient i.e. p >0.5 indicates a strong relationship between variables. The direction of the dependent variable's change depends on the sign of the coefficient. If the sign is positive, then the correlation is positive. If the sign is negative, then the correlation is negative.

Table 4-5: Correlations

		CSF	CHALLENGES	FACILITATORS	KEYDRIVERS	EFFIECIENCY_EFFECTIVENESS
CSF	Pearson Correlation	1				
	Sig. (2-tailed)					
CHALLENGES	Pearson Correlation	-.056	1			
	Sig. (2-tailed)	.698				
FACILITATORS	Pearson Correlation	.508**	.017	1		
	Sig. (2-tailed)	.000	.906			
KEYDRIVERS	Pearson Correlation	.517**	.083	.693**	1	
	Sig. (2-tailed)	.000	.562	.000		
EFFIECIENCY_EFFECTIVENESS	Pearson Correlation	.527**	.112	.518**	.532**	1
	Sig. (2-tailed)	.000	.434	.000	.000	

**. Correlation is significant at the 0.01 level (2-tailed).

According to the correlations table, there is significant relationship between variables except for challenge. The relationship between challenges and any variables in the study is not statistically significant.

Correlation coefficient between key drivers and facilitators is 0.693. Correlation coefficient between facilitators and critical success factor is 508. Correlation coefficient between facilitator and efficiency and effectiveness is 518. Correlation coefficient between CSF and key drivers is 517. Correlation coefficient between CSF and efficiency and effectiveness is 527. Correlation coefficient between key drivers and efficiency and effectiveness is 532.

4.3 Regression analysis CSF, Challenges, Key drivers, Facilitators and efficiency_effectivness

As below result table shows the test of normality (both in Kolmogorov-Smirnov and Shapiro-Wilk) is acceptable and the null hypothesis for critical success factor, challenges, key drivers and efficiency and effectiveness is accepted. Their data is normal distributed.

Table 4-6: Normality test of variables

	Kolmogorov-Smirnov[a]			Shapiro-Wilk		
	Statistic	Df	Sig.	Statistic	Df	Sig.
CSF	.088	51	.200*	.965	51	.130
CHALLENGES	.108	51	.194	.984	51	.736
FACILITATORS	.179	51	.000	.895	51	.000
KEYDRIVERS	.127	51	.040	.967	51	.169
EFFIECIENCY_EFFECTIVENESS	.115	51	.091	.962	51	.101

*. This is a lower bound of the true significance.

a. Lilliefors Significance Correction

However, in the case of facilitators the data is not normally distributed and hence, its logarithm checked and found below result.

Table 4-7: Tests of normality of logarithm of variables

	Kolmogorov-Smirnov[a]			Shapiro-Wilk		
	Statistic	Df	Sig.	Statistic	Df	Sig.
LOG_CSF	.088	51	.200*	.967	51	.160
LOG_CHALLENGES	.084	51	.200*	.981	51	.591
LOG_FACILITATORS	.200	51	.000	.875	51	.000
LOG_KEYDRIVERS	.135	51	.021	.956	51	.056
LOG_EFFIENCY_EFFECTIVENESS	.125	51	.045	.959	51	.073

*. This is a lower bound of the true significance.

a. Lilliefors Significance Correction

As shown in the above table the coefficient of log facilitators is still less than 0.05 and it is not normally distributed.
Therefore, the null hypothesis is rejected.

Test of mulitcollinearity

The table4-8 shows that there is one correlation with coefficient above 0.7 (Challenges and key drivers 0.83), which indicates multicollinearity. Since correlation coefficient for most of the variables are above 0.3, we can understand there is a probability of explaining dependent variable with independent variables.

The probability-probability plot (Annex G1) shows that there is linear relationship between dependent and independent variables with small deviation. From the scattered plot (Annex G2), we can understand that neither data fall out of -3 and 3. Minimum standard residual is -1.954 and maximum standard residual is 2.360, which is ideal. Cook's distance is 0.13, which is less than 1 and acceptable

Table 4-8: Test of mulitcollinearity (N=51)

		EFFIECIENCY_EFFECTIVENESS	CSF	CHALLENGES	FACILITATORS	KEYDRIVERS
Pearson Correlation	EFFIECIENCY_EFFECTIVENESS	1.000	.527	.112	.518	.532
	CSF	.527	1.000	-.056	.508	.517
	CHALLENGES	.112	-.056	1.000	.017	.083
	FACILITATORS	.518	.508	.017	1.000	.693
	KEYDRIVERS	.532	.517	.083	.693	1.000
Sig. (1-tailed)	EFFIECIENCY_EFFECTIVENESS	.	.000	.217	.000	.000
	CSF	.000	.	.349	.000	.000
	CHALLENGES	.217	.349	.	.453	.281
	FACILITATORS	.000	.000	.453	.	.000
	KEYDRIVERS	.000	.000	.281	.000	.

As we can see from model summary, it is statistically significant that 40% variance in independent variable can be explained by variance in independent variables.

Table 4-9: Model summary

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate	Change Statistics				
					R Square Change	F Change	df1	df2	Sig. F Change
1	.633[a]	.401	.349	.36353	.401	7.704	4	46	.000

a. Predictors: (Constant), KEYDRIVERS, CHALLENGES, CSF, FACILITATORS

b. Dependent Variable: EFFIECIENCY_EFFECTIVENESS

Table 4-10: ANOVA

Model		Sum of Squares	df	Mean Square	F	Sig.
1	Regression	4.072	4	1.018	7.704	.000[b]
	Residual	6.079	46	.132		
	Total	10.151	50			

a. Dependent Variable: EFFIECIENCY_EFFECTIVENESS

b. Predictors: (Constant), KEYDRIVERS, CHALLENGES, CSF, FACILITATORS

The ANOVA table shows that it is statistically significant

Table 4-11: Linear regression coefficients

	Unstandardized Coefficients		Standardized Coefficients			95.0% Confidence Interval for B		Correlations			Collinearity Statistics	
Model	B	Std. Error	Beta	t	Sig.	Lower Bound	Upper Bound	Zero-order	Partial	Part	Tolerance	VIF
1(Constant)	-.628	1.260		-.499	.620	-3.164	1.907					
CSF	.778	.339	.317	2.293	.026	.095	1.461	.527	.320	.262	.682	1.466
CHALLENGES	.173	.185	.108	.937	.354	-.199	.546	.112	.137	.107	.979	1.021
FACILITATORS	.148	.118	.205	1.254	.216	-.089	.385	.518	.182	.143	.489	2.045
KEYDRIVERS	.249	.189	.218	1.317	.194	-.131	.629	.532	.191	.150	.476	2.102

a. Dependent Variable: EFFIECIENCY_EFFECTIVENESS

The regression equation goes as follows:

EF=.778*CSF+.173*C+.148*F+.249KD

4.4 Multiple regression analysis critical success factors

Table 4-12: model summary CSF

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate	Change Statistics					Durbin-Watson
					R Square Change	F Change	df1	df2	Sig. F Change	
1	.781[a]	.610	.487	.32259	.610	4.962	12	38	.000	2.022

a. Predictors: (Constant), CSF12, CSF8, CSF3, CSF5, CSF4, CSF7, CSF11, CSF9, CSF10, CSF2, CSF1, CSF6

b. Dependent Variable: EFFIECIENCY_EFFECTIVENESS

Table 4-13: ANOVA CSF

Model		Sum of Squares	df	Mean Square	F	Sig.
1	Regression	6.197	12	.516	4.962	.000[b]
	Residual	3.954	38	.104		
	Total	10.151	50			

a. Dependent Variable: EFFIECIENCY_EFFECTIVENESS
b. Predictors: (Constant), CSF12, CSF8, CSF3, CSF5, CSF4, CSF7, CSF11, CSF9, CSF10, CSF2, CSF1, CSF6

Table 4-14: coefficients CSF (N=51)

Model	Unstandardized Coefficients		Standardized Coefficients	t	Sig.	95.0% Confidence Interval for B		Correlations			Collinearity Statistics	
	B	Std. Error	Beta			Lower Bound	Upper Bound	Zero-order	Partial	Part	Tolerance	VIF
1(Constant)	-.388	1.801		-.216	.830	-4.035	3.258					
Defining common aims and objectives	-.120	.117	-.156	-1.027	.311	-.356	.116	.219	-.164	-.104	.444	2.252
Ensuring effective leadership	.016	.108	.022	.153	.879	-.201	.234	.370	.025	.015	.485	2.061

Table 4-14 (cont.)

Model	Unstandardized Coefficients	Standardized Coefficients	T	Sig.	95.0% Confidence Interval for B	Correlations	Collinearity Statistics	Model	Unstandardized Coefficients	Standardized Coefficients	t	Sig.
Ensuring alignment	.374	.138	.349	2.716	.010	.095	.652	.388	.403	.275	.621	1.611
Demonstrating visible support and reliable commitment	-.050	.132	-.044	-.379	.707	-.317	.217	.237	-.061	-.038	.755	1.325
Prioritizing staff time to facilitate and support the process	.350	.181	.227	1.927	.062	-.018	.717	.030	.298	.195	.738	1.355
Ensuring transparent, effective communication	.293	.146	.342	1.997	.053	-.004	.589	.435	.308	.202	.349	2.863
Clarifying roles and responsibilities	-.501	.196	-.326	-2.556	.015	-.897	-.104	-.192	-.383	-.259	.631	1.584
Funding the process	.048	.128	.042	.378	.708	-.210	.307	.089	.061	.038	.824	1.213
Finding common approaches	-.085	.161	-.072	-.526	.602	-.411	.241	-.207	-.085	-.053	.549	1.821
Managing crisis within the consortium	.388	.159	.314	2.432	.020	.065	.710	.438	.367	.246	.616	1.624
working in consultancy and guidance of national clusters	.374	.171	.271	2.190	.035	.028	.720	.367	.335	.222	.668	1.497
Wide operational presence of consortium members	.127	.168	.116	.757	.454	-.213	.467	.321	.122	.077	.435	2.300

a. Dependent Variable: EFFIECIENCY_EFFECTIVENESS

Among 12 critical success factors studied, it is statistically significant (0.01) that a change in "ensuring alignment" can affect the efficiency and effectiveness of SWAN humanitarian consortium. Increment or decrease in the value of "ensuring alignment" can result in increment or decrease the value of efficiency and effectiveness of the consortium. It is also statistically significant (0.015) that a change in "clarifying roles and responsibilities" can affect the efficiency and effectiveness of SWAN humanitarian consortium. Increment or decrease in the value of "clarifying roles and responsibilities" can result in increment or decrease the value of efficiency and effectiveness of the consortium. It is statistically significant (0.02) that a change in "managing crisis within the consortium" can affect the efficiency and effectiveness of SWAN humanitarian consortium. Increment or decrease in the value of "managing crisis within the consortium" can result in increment or decrease the value of efficiency and effectiveness of the consortium. Additionally, it is statistically significant (0.035) that a change in "working in consultancy and guidance of national clusters" can affect the efficiency and effectiveness of SWAN humanitarian consortium. Increment or decrease in the value of "working in consultancy and guidance of national clusters" can result in increment or decrease the value of efficiency and effectiveness of the consortium. However, it is not statistically significant to draw explanation about a change in efficiency and effectiveness can be result from other critical success factors.

Therefore, H1 (Defining common aims and objectives is CSF for SWAN humanitarian organization) is rejected; H2 (Ensuring alignment is CSF for SWAN humanitarian consortium) is accepted as it is one of the critical success factor that affect the efficiency and effectiveness of the consortium. H3 (Prioritizing staff time to facilitate and support the process is CSF for SWAN humanitarian consortium) is rejected. H4 (Ensuring transparent, effective communication is CSF for SWAN humanitarian consortium) is rejected. H5 (working in consultancy and guidance of national clusters is CSF for SWAN humanitarian consortium) is accepted as it is one of the critical success factor that affect the efficiency and effectiveness of the consortium. H6 (wide operational presence of consortium members is CSF for SWAN humanitarian consortium) is rejected.

4.5 Multiple regression Facilitators analysis

Table 4-15: Model summary facilitators

					Change Statistics					
Model	R	R Square	Adjusted R Square	Std. Error of the Estimate	R Square Change	F Change	df1	df2	Sig. F Change	Durbin-Watson
1	.573[a]	.329	.286	.38080	.329	7.668	3	47	.000	2.217

a. Predictors: (Constant), Complementarity of organizational capabilities, Compatibility of Management Philosophy, Compatibility of organizational culture, mutuality and symmetry

b. Dependent Variable: EFFIECIENCY_EFFECTIVENESS

Table 4-17: coefficients facilitators(N=51)

Model	Unstandardized Coefficients		Standardized Coefficients			95.0% Confidence Interval for B		Correlations			Collinearity Statistics	
	B	Std. Error	Beta	t	Sig.	Lower Bound	Upper Bound	Zero-order	Partial	Part	Tolerance	VIF
1(Constant)	3.148	.419		7.509	.000	2.305	3.991					
Compatibility of organizational culture, mutuality and symmetry	.064	.075	.131	.861	.393	-.086	.214	.420	.125	.103	.614	1.628
Compatibility of Management Philosophy	-.026	.106	-.032	-.241	.810	-.238	.187	.224	-.035	-.029	.802	1.247
Complementarity of organizational capabilities	.278	.087	.498	3.206	.002	.104	.453	.564	.424	.383	.593	1.687

a. Dependent Variable: EFFIECIENCY_EFFECTIVENESS

Model summary of facilitators and efficiency and effectiveness shows that 32.9 % the change in efficiency and effectiveness can be explained by change in facilitators.

Table 4-16: ANOVA facilitators

Model		Sum of Squares	df	Mean Square	F	Sig.
1	Regression	3.336	3	1.112	7.668	.000[b]
	Residual	6.815	47	.145		
	Total	10.151	50			

a. Dependent Variable: EFFIECIENCY_EFFECTIVENESS

b. Predictors: (Constant), Complementarity of organizational capabilities, Compatibility of Management Philosophy, Compatibility of organizational culture, mutuality and symmetry

ANOVA result shows it is statistically significant.

The above table shows that a change in “complementarity of organizational capabilities” can affect the efficiency and effectiveness of SWAN humanitarian consortium. It is statistically

significant (0.002) that increment in this variable will cause increment in efficiency and effectiveness of SWAN humanitarian consortium.

4.6 Multiple regression analysis key drivers

Since the variable-key drivers could not be studied in linear regression, ordinal regression method employed and the above result found.

Table 4-18: Test of parallel lines key drivers

Model	-2 Log Likelihood	Chi-Square	df	Sig.
Null Hypothesis	242.976			
General	71.123[b]	171.853[c]	48	.000

The null hypothesis states that the location parameters (slope coefficients) are the same across response categories.

a. Link function: Logit.

b. The log-likelihood value cannot be further increased after maximum number of step-halving.

c. The Chi-Square statistic is computed based on the log-likelihood value of the last iteration of the general model. Validity of the test is uncertain.

Table 4-19: Parameter estimates key drivers

		Estimate	Std. Error	Wald	df	Sig.	95% Confidence Interval Lower Bound	95% Confidence Interval Upper Bound
Threshold	[EFFIECIENCY_EFFECTIVENESS = 3.38]	5.655	2.782	4.132	1	.042	.203	11.107
	[EFFIECIENCY_EFFECTIVENESS = 3.50]	6.091	2.761	4.866	1	.027	.679	11.504
	[EFFIECIENCY_EFFECTIVENESS = 3.63]	6.905	2.756	6.278	1	.012	1.503	12.306
	[EFFIECIENCY_EFFECTIVENESS = 3.75]	7.485	2.770	7.304	1	.007	2.057	12.913
	[EFFIECIENCY_EFFECTIVENESS = 3.88]	8.108	2.796	8.410	1	.004	2.628	13.588

	[EFFIECIENCY_EFFECTIVENESS = 4.00]	8.704	2.828	9.471	1	.002	3.161	14.247
	[EFFIECIENCY_EFFECTIVENESS = 4.13]	9.432	2.872	10.786	1	.001	3.803	15.061
	[EFFIECIENCY_EFFECTIVENESS = 4.25]	9.747	2.890	11.371	1	.001	4.082	15.412
	[EFFIECIENCY_EFFECTIVENESS = 4.38]	9.966	2.903	11.786	1	.001	4.276	15.656
	[EFFIECIENCY_EFFECTIVENESS = 4.50]	10.505	2.933	12.827	1	.000	4.756	16.253
	[EFFIECIENCY_EFFECTIVENESS = 4.63]	11.091	2.964	14.005	1	.000	5.282	16.899
	[EFFIECIENCY_EFFECTIVENESS = 4.75]	11.865	3.003	15.610	1	.000	5.979	17.751
	[EFFIECIENCY_EFFECTIVENESS = 4.88]	12.648	3.048	17.213	1	.000	6.673	18.622
Location	EXTERNAL_DRIVERS	.510	.542	.885	1	.347	-.553	1.573
	ORGANIZATIONAL_DRIVERS	.514	.548	.878	1	.349	-.561	1.589
	INTER_ORGANIZATIONAL_DRIVERS	1.206	.567	4.518	1	.034	.094	2.318
	DONORS_DRIVERS	.430	.568	.572	1	.449	-.684	1.543

Link function: Logit.

A change in inter-organizational drivers can result in a change in efficiency and effectiveness of SWAN humanitarian consortium statistically significant (0.34). However, it not statistically significant to draw a conclusion about efficiency and effectiveness is affected by a change in external, organizational and donors' drivers.

CHAPTER FIVE
CONCLUSION AND RECOMMENDATION

This chapter provides summary of the critical success factors, challenges, facilitators and drivers of SWAN humanitarian consortium. It also present the conclusion made from the findings. The recommendations of the researcher are included along with pointing areas for further research.

5.1 Summary

This research found out that working in consortium helps organization to respond natural and human made disasters efficiently and effectively. Working in consortium promotes better budget utilization, accountability, performance, flexibility and capacity of emergency interventions. It generally helps to achieve its objective, and better in transparency, accountable, utilize funds well, utilize expertise well, perform its activities timely, and to have decision support systems.

The common challenges that humanitarian organizations face up on the process of rapidly responding emergencies are adequate & reliable information to produce proposals, standards and techniques to implement response strategies, adequate funds, wide operational coverage, resources, tools and technical skills. The research revealed that these challenges can be minimized by working in consortium modality.

Among Key drivers, collaborative funding and incentive mechanisms induced by donors were noted. It is also found out that the pressure from donors to make humanitarian organization together and form consortium so as to place them in a position to rapidly respond the existing and upcoming emergencies is the lead driver. Management philosophy of the organization is one of the top facilitators of the humanitarian consortium.

5.2 Conclusion

Based on the findings of the study the researcher concluded that working in consortium collaborative approach helps the international organizations to achieve its objective in a better quality. Organizational transparency and accountability increased in collaborative approach. The agility of the organizations increased after participation in consortium modality. Additionally, efficiency of fund utilization increased. Application of expertise in interventions promoted as consortium helps to form a ground for mutual sharing and learning. Timeliness is one of a vital component in responding emergencies. SWAN humanitarian consortium helped the organizations to meet timeliness in their interventions. Decision support systems were also established and it further maximized the quality of the operations.

The Emergency Capacity Building Consortium Experience identified 10 critical success factors (ECB, 2012) for consortiums. However, it was not known that those factors are applicable in all humanitarian consortia. This study identified which critical success factors are applicable in the case of SWAN consortium-Ethiopia. Working in consultancy and guidance of national clusters is one of the critical success factors of SWAN humanitarian organization. National clusters were helpful in initiating the proposal, coordinating assessments at the ground, guide emergency responses, supervise the quality of procured items, and evaluate the overall performance of the humanitarian consortium. Additionally, joint program-related tools and approaches and agreeing on monitoring and evaluation framework so that each partner gathers data in a similar way and results can be collected and analyzed quickly is the reason for SWAN's success. Having a dedicated 'consortium lead' and support staff, and appoint contacts (focal points) in each organization was needed to make the consortium successful.

It has been known that working in consortium modality has many challenges from various aspects (external, inter-organizational, organizational and donors related) . Unavailability of adequate & reliable information, urgency of relief response, lack of resource, lack of tools and funds were among the common challenges. However, this study identified that challenges that humanitarian organizations face weren't commonly seen in SWAN humanitarian consortium. This could be because of the outcome of collaborative approach or strong relationship they built with national clusters and government.

This study revealed that donors are key drivers of collaborative scheme. They use either incentive mechanisms or allow certain budget only to be used by consortia. Donors' initiative to sponsor consortia is the main cause for the formation of SWAN humanitarian consortium. On top of that, following to strategic assessment and preparedness of the consortium members, collaborative approach identified as a means to achieve their objectives.

The researcher examined that facilitators of humanitarian consortium are necessary to keep the span of consortia and scale up its impact. Among facilitators, management's philosophy, which can be defined as a quality of consortium members to plan, execute, organize, program, coordinate and control, and their feedback mechanism impact the continuity and sustainability of the consortium. Complementarity in vision, mission and goals among consortium members is also one of the reasons for sustainability of the consortium

5.2 Recommendation

- Humanitarian consortia: Strengthening humanitarian consortium approach is necessary to respond acute and longstanding problems of the country. Since humanitarian organizations share the same principles, humanity, impartiality, neutrality and independence, there is always a ground for them to work in collaboration and coordination. Specially, during emergencies, working in a collaborative and consortium schemes bring about a significant impact on the quality of response. Working in consortium helps organizations to achieve their goals and promote their individual

impact. Therefore, it is recommended to strengthen existing consortia, advance existing coordination, and promote the formation of consortia by national cluster leads, government and humanitarian organizations.

- SWAN humanitarian consortium members: CSFs identified in this research should be understood and applied by the consortium members so as to gain most advantage out of the consortium modality. Additionally, the findings of this thesis help to understand the challenges, facilitators and key drivers of the consortium, which is vital to establish suitable strategy and applicable goals. The researcher suggested each consortium members to comprehend the findings of the research and use it to form working strategies and operation plans.

- Donors: It has been known that donors are interested to seeing humanitarian organizations, which meet timeliness of emergency response, proper budget utilization, impactful, and take care of dignity of the subjects. Working in collaborative scheme can help to achieve those goals of the donors. Hence, donors should continue in exerting pressure in establishment of consortia.

- Organizational flexibility: SWAN humanitarian consortium members should maximize their flexibility. The usual working modality and particularity is not enough to overcome the dynamic and wide demands of the affected people. Participating in coordination meeting, experience sharing platforms, mutual review meetings and clusters are needed. Loosening unnecessary bureaucracies and reevaluating the operation system is compulsory in optimizing the quality and timelines of interventions.

5.3 Future research recommendation

This research is conducted in one humanitarian consortium. Investigating critical success factors, challenges, drivers and facilitators of humanitarian consortium can be further studied in different case studies. This study was limited to efficiency and effectiveness of the consortium as a success indicators but impact, sustainability and relevance are also can be taken as indicators and studied.

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Annex-I: Questionnaire

SCHOOL OF COMMERCE

MA PROGRAM

Dear Respondent,

My name is Dawit Assefa. I am preparing an academic research work with a title, "Challenges *and Critical Success Factors of Humanitarian Consortium Collaborative Approach in Ethiopia: The Case of SWAN (SCI, WVE, ACF and NRC) Humanitarian Consortium*," for my postgraduate study in Masters of Arts in Logistics and Supply Chain Management at Addis Ababa University.

I therefore, humbly request your assistance and cooperation in responding to the questions attached herewith. I would like to bring to your attention that this research work is done only for academic purpose. In addition, the response provided here will only represent your personal opinion, not that of your organization. I assure you that your response will be kept confidential.

Look forward to your response and cooperation.

Respectfully,

If you need further explanation, please contact me.

(Telephone No. +251 910119049, E-mail davuassefa@yahoo.com)

PART I. Basic Information:

1. Name of Organization: _____
2. Your Gender: ☐ Male ☐ Female
3. Age range: ☐ 25-29yrs ☐ 30-39 yrs ☐ 40-50 yrs ☐ Above 50 yrs
4. What is your highest level of Education?
   ☐ Diploma ☐ Master's Degree and above
   ☐ Bachelor's Degree ☐ Other Specify_____
5. Region/City you are currently based: _____
6. Years of experience in the organization:
   ☐ Less than 5 years ☐ 6 – 10 years ☐ 11 – 15 years ☐ above 15 years
7. For how long did you work in the above mentioned SWAN humanitarian consortium? _____ (months)
8. What was your role in SWAN humanitarian consortium scheme?
   ☐ Part of leadership at different level of the consortium
   ☐ Sector focal point of consortium member
   ☐ Part of the technical working group at head office level
   ☐ Expert in any SWAN humanitarian consortium thematic areas (excluding the leadership)
9. Previous work experience in similar humanitarian consortia? (Including this one)
   ☐ Only 1 ☐ 4-5 ☐ 2-3 ☐ More than 5

PART II. Critical Success Factors of SWAN humanitarian consortium approach:

Please relate the success of SWAN humanitarian consortium against listed below critical success factors using 5 point likert scale: (1) Strongly disagree; (2) Disagree; (3) Neither agree nor disagree; (4) Agree; (5) Strongly agree. **(put tick mark (√))**

S.No	Critical Success Factors (CSF)	1	2	3	4	5
1. Defining common aims and objectives:						
1.1	Sharing individual agency plans, resources and approaches is the reason for SWAN's success					
1.2	Analyzing the challenges, weaknesses and/or gaps within existing programs is the reason for SWAN's success					
1.3	Identifying activities that cannot be done better alone is the reason for SWAN's success					
1.4	Developing joint strategies, initiatives, a common log frame and work plan is the reason for SWAN's success					

2.	**Ensuring effective leadership**					
2.1	Deciding on a leadership model (e.g. lead agency, revolving leadership or secretariat model) is the reason for SWAN's success					
2.2	Including responsibilities and accountability lines to each member organizations in job descriptions and performance reviews is the reason for SWAN's success					
2.3	Building trust with participating agencies is the reason for SWAN's success					
2.4	Using core competencies framework to define and improve leadership skills is the reason for SWAN's success					
3.	**Ensuring alignment**					
3.1	Using multi-agency simulation exercises to develop understanding of capacities, structures, and systems within different organizations is the reason for SWAN's success					
3.2	Adapting job descriptions, personal work plans and objectives, and organizational strategies to foster and sustain joint activities is the reason for SWAN's success					
3.3	Preparing and planning for staff turnover is the reason for SWAN's success					
3.4	Preparing a work plan to define annual consortium activities is the reason for SWAN's success					
4.	**Demonstrating visible support and reliable commitment**					
4.1	Deciding on approach to securing support; signing memoranda of understanding is the reason for SWAN's success					
4.2	Senior staff or their appointed delegates playing an active and reliable role in consortium meetings is the reason for SWAN's success					
4.3	Giving staff members time and space to participate in the process and authorize them to speak on the agency's behalf is the reason for SWAN's success					
4.4	Encouraging members interested in particular activities to take them on and move them forward is the reason for SWAN's success					
5.	**Prioritizing staff time to facilitate and support the process**					
5.1	Systematically allocating time for meaningful participation in consortium activities is the reason for SWAN's success					
5.2	Recognizing that collaborative activities are time consuming and accordingly revise job descriptions, performance plans, budgets, and staffing levels is the reason for SWAN's success					
5.3	Considering hiring a dedicated 'consortium lead' and support staff, and involve consortium members in the recruitment process is the reason for SWAN's success					
5.4	Appoint contacts (focal points) in each organization is the reason for SWAN's success					
6.	**Ensuring transparent, effective communication**					
6.1	Agreeing on which activities will be carried out jointly, prepare short guidelines on how joint activities will be conducted and who will conduct them is the reason for SWAN's success					
6.2	Writing down agreements regarding members' consortium-related roles and responsibilities is the reason for SWAN's success					
6.3	Monitoring agreed roles to ensure agencies are in a position to deliver the agreed results is the reason for SWAN's success					

6.4	Communicating guidelines and agreements to all consortium members staff, at global and local levels is the reason for SWAN's success					
7. Clarifying roles and responsibilities						
7.1	Communicating valuable information regarding consortium-related activities quickly and transparently to other members is the reason for SWAN's success					
7.2	Speaking with one voice is the reason for SWAN's success					
7.3	Incorporating the valuable feedback that beneficiary communities are able to provide is the reason for SWAN's success					
7.4	Connecting consortium members through face-to-face meetings, calls, and an online platform and store resources in a neutral place is the reason for SWAN's success					
8. Funding the process						
8.1	Agreeing member contributions and applications for external donor funding is the reason for SWAN's success					
8.2	Allowing sufficient time for multi-agency consultation and contributions is the reason for SWAN's success					
8.3	Preparing key documents in advance for example: contracts, finance processes is the reason for SWAN's success					
8.4	Preparing internal paperwork with partners before contracts are finalized with a donor is the reason for SWAN's success					
9. Finding common approaches						
9.1	Taking time to understand the approach each member takes with regards to common organizational issues is the reason for SWAN's success					
9.2	Creating joint program-related tools and approaches to help with gaps or challenges that individual agencies have not been able solve alone is the reason for SWAN's success					
9.3	Agreeing on reporting templates is the reason for SWAN's success					
9.4	Agreeing on monitoring and evaluation framework so that each partner gathers data in a similar way and results can be collected and analyzed quickly is the reason for SWAN's success					
10. Managing crisis within the consortium						
10.1	Expecting crisis and being not discouraged by disagreement is the reason for SWAN's success					
10.2	Acting quickly and responsibly to rescue relationships is the reason for SWAN's success					
10.3	Allowing members to air their frustrations and conduct an 'appreciative inquiry' reflecting on positive moments in the process is the reason for SWAN's success					
10.4	Providing opportunities for members to change or end an activity if it is not working is the reason for SWAN's success					
11. Working in consultancy and guidance of national clusters						
11.1	Taking general direction from national clusters(NCs) regarding each operations is the reason for SWAN's success					
11.2	Receiving consultancy from NCs in international and local procurement is the reason for SWAN's success					
11.3	Having support from NCs in promoting advocacy role of the consortium is the reason					

	for SWAN's success					
11.4	Cooperating with NCs in pooling funds is the reason for SWAN's success					
12. Wide operational presence of consortium members						
12.1	Having operationally active offices in all regions of the country is the reason for SWAN's success					
12.2	Having a capacity to reach out to remote and unreachable places is the reason for SWAN's success					
12.3	Ability to deploy sector experts in any operational area is the reason for SWAN's success					
12.4	Having administrative flexibility to reach out remote areas is the reason for SWAN's success					

PART III. Challenges in SWAN humanitarian consortium approach Please evaluate the challenges of SWAN humanitarian consortium approach using a 5 point likert scale: (1) Strongly disagree; (2) Disagree; (3) Neither agree nor disagree; (4) Agree; (5) Strongly agree. **(put tick mark (√))**

S.No	Challenges in SWAN humanitarian consortium approach	1	2	3	4	5
13. External challenges						
13.1	Unavailability of adequate & reliable information negatively affects SWAN humanitarian consortium					
13.2	Inconvenient location and timing of disasters negatively affects SWAN humanitarian consortium					
13.3	Instable political environment negatively affects SWAN humanitarian consortium					
13.4	The number, characteristics and needs of affected population negatively affects SWAN humanitarian consortium					
13.5	Urgency of relief response negatively affects SWAN humanitarian consortium					
13.6	Poor local infrastructure negatively affects SWAN humanitarian consortium					
14. Inter-organizational challenges						
14.1	Lowered level of trust among organizations negatively affects SWAN humanitarian consortium					
14.2	Absence of similar standards and techniques among organizations negatively affects SWAN humanitarian consortium					
14.3	Presence of competition for funds negatively affects SWAN humanitarian consortium					
14.4	Presence of competition for visibility & media coverage negatively affects SWAN humanitarian consortium					
14.5	Lack of similarity in organizations' power and resources negatively affects SWAN humanitarian consortium					
14.6	Existence of inadequate mechanisms to allocate costs, benefits, risks negatively affects SWAN humanitarian consortium					
14.7	Lack of access to tools and technical skills among organizations negatively affects SWAN humanitarian consortium					

14.8	Lack of adoption of transparent and responsible policies negatively affects SWAN humanitarian consortium					
15. Organizational challenges						
15.1	Lack of required bureaucracy, transparency, accountability, flexibility negatively affects SWAN humanitarian consortium					
15.2	Absence of required speed of response negatively affects SWAN humanitarian consortium					
15.3	Lack of staff capability (e.g. attitude, knowledge, experience) negatively affects SWAN humanitarian consortium					
15.4	Unavailability of resources negatively affects SWAN humanitarian consortium					
15.5	Presence of turnover/relocation of team leaders & focal points negatively affects SWAN humanitarian consortium					
16. Donors-related challenges						
16.1	Timing of resource availability negatively affects SWAN humanitarian consortium					
16.2	Short financial burn rates negatively affects SWAN humanitarian consortium					
16.3	Absence of designated funds negatively affects SWAN humanitarian consortium					
16.4	Being short-term & non-reusable contracts negatively affects SWAN humanitarian consortium					
16.5	Competition over scarce local resource negatively affects SWAN humanitarian consortium					

PART IV. Facilitators of collaborative scheme in SWAN humanitarian consortium:

Based on your experience working with SWAN humanitarian consortium, evaluate the facilitators of the collaborative scheme using 5-point likert scale: (1) Strongly disagree; (2) Disagree; (3) Neither agree nor disagree; (4) Agree; (5) Strongly agree. **(put tick mark (√))**

S.No	**Facilitators**	**1**	**2**	**3**	**4**	**5**
17. Compatibility of organizational culture, mutuality and symmetry						
17.1	Compatible beliefs and behaviors among employees of consortium members is a facilitator of SWAN humanitarian consortium					
17.2	Compatible perceptions, and understanding among employees of consortium members is a facilitator of SWAN humanitarian consortium					
17.3	Compatibility in cultural priorities and goals is a facilitator of SWAN humanitarian consortium					
18. Compatibility of Management Philosophy						
18.1	Compatibility in planning and executing tasks is a facilitator of SWAN humanitarian consortium					
18.2	Compatibility in organizing, programming, coordinating and controlling actions is a facilitator of SWAN humanitarian consortium					
18.3	Compatibility in feedback mechanism is a facilitator of SWAN humanitarian consortium					
19. Complementarity of organizational capabilities						
19.1	Complementarity in vision and mission is a facilitator of SWAN humanitarian					

	consortium					
19.2	Complementarity in relevant knowledge and experience, guidance and support is a facilitator of SWAN humanitarian consortium					
19.3	Complementarity in leadership and succession of plans is a facilitator of SWAN humanitarian consortium					

PART V. Key drivers of SWAN humanitarian consortium collaborative scheme:

Based on your experience working with SWAN humanitarian consortium, evaluate the key drivers of the collaborative scheme using 5-point likert scale: (1) Strongly disagree; (2) Disagree; (3) Neither agree nor disagree; (4) Agree; (5) Strongly agree. **(put tick mark (√))**

S.No	Key drivers	1	2	3	4	5
20. External drivers						
20.1	Information and communication technologies is the key driver for SWAN humanitarian consortium scheme					
20.2	Strategic preparedness is the key driver for SWAN humanitarian consortium scheme					
20.3	Strategic assessment is the key driver for SWAN humanitarian consortium scheme					
21. Organizational drivers						
21.1	Investment in capacity building is the key driver for SWAN humanitarian consortium scheme					
21.2	Better transparency is the key driver for SWAN humanitarian consortium scheme					
21.3	Flexibility is the key driver for SWAN humanitarian consortium scheme					
21.4	Accountability is the key driver for SWAN humanitarian consortium scheme					
22. Inter-organizational drivers						
22.1	Build shared cultural relationships is the key driver for SWAN humanitarian consortium scheme					
22.2	Shared funds and visibility is the key driver for SWAN humanitarian consortium scheme					
22.3	Shared best practices for operational policies, approaches, organizational structures, incentive mechanisms, capability building initiatives is the key driver for SWAN humanitarian consortium scheme					
22.4	Effective inter-organizational governance is the key driver for SWAN humanitarian consortium scheme					
22.5	Decision support systems is the key driver for SWAN humanitarian consortium scheme					
23. Donors' drivers						
23.1	Capability building initiatives is the key driver for SWAN humanitarian consortium scheme					
23.2	Collaborate with organizations to address real pressures is the key driver for SWAN humanitarian consortium scheme					

23.3	Sponsored incentive mechanisms is the key driver for SWAN humanitarian consortium scheme					
23.4	Collaborative funding is the key driver for SWAN humanitarian consortium scheme					

PART VI. The role of collaboration in efficiency and effectiveness of SWAN humanitarian consortium:

Based on your experience working with SWAN humanitarian consortium, evaluate role of collaboration using 5-point likert scale: (1) Strongly disagree; (2) Disagree; (3) Neither agree nor disagree; (4) Agree; (5) Strongly agree. **(put tick mark (√))**

S.No	**The role of collaboration in efficiency and effectiveness of the consortium**	**1**	**2**	**3**	**4**	**5**
24. Effectiveness: Achieving its objectives						
24.1	Working in collaboration helps SWAN to achieve its objectives					
24.2	Working in collaboration helps SWAN to be better in transparency					
24.3	Working in collaboration helps SWAN to be flexible					
24.4	Working in collaboration helps SWAN to be accountable					
25. Efficiency: Well resource utilization						
25.1	Working in collaboration helps SWAN to utilize funds well					
25.2	Working in collaboration helps SWAN to utilize expertise well					
25.3	Working in collaboration helps SWAN to perform its activities timely					
25.4	Working in collaboration helps SWAN to have decision support systems					

Part VII. Interview questions

1. For the purpose of this research, what is your name, position and responsibilities in SWAN humanitarian consortium

2. How do you assess the role of collaboration on the effectives and efficiency of SWAN humanitarian consortium?

3. What are key drivers and facilitators of SWAN humanitarian consortium collaborative approach?

4. What are the challenges of SWAN humanitarian consortium scheme?

5. What are the critical success factors of SWAN humanitarian consortium scheme?

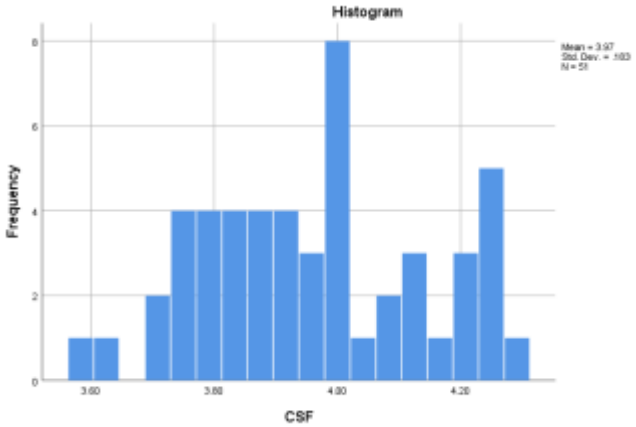
Annex-II

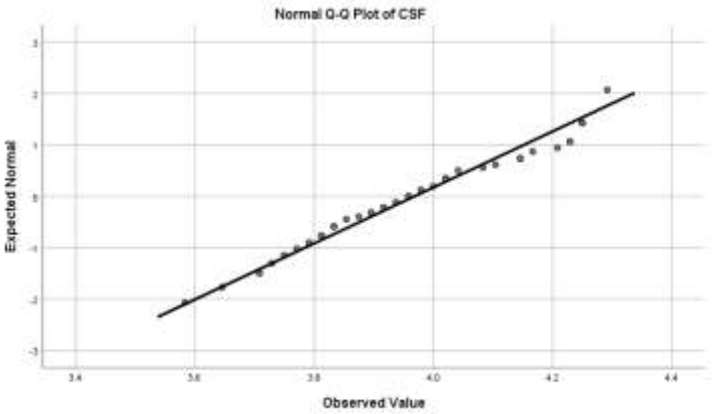
A: Items statistics

	Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Squared Multiple Correlation	Cronbach's Alpha if Item Deleted
Compatibility of organizational culture, mutuality and symmetry	78.9557	18.021	.669	.	.744
Compatibility of Management Philosophy	77.4067	21.949	.344	.	.773
Complementarity of organizational capabilities	77.8904	18.707	.681	.	.744
Defining common aims and objectives	77.6894	22.097	.301	.	.776
Ensuring effective leadership	77.9296	20.549	.577	.	.757
Ensuring alignment	77.8168	23.198	.181	.	.781
Demonstrating visible support and reliable commitment	78.5815	22.162	.477	.	.768
Prioritizing staff time to facilitate and support the process	77.0472	23.973	.017	.	.786
Ensuring transparent, effective communication	77.8070	20.390	.723	.	.750
Clarifying roles and responsibilities	77.1158	23.902	.041	.	.785
Funding the process	77.9247	23.790	.042	.	.787
Finding common approaches	77.0325	25.659	-.439	.	.806
Managing crisis within the consortium	78.0472	23.509	.131	.	.783
working in consultancy and guidance of national clusters	77.1845	22.931	.342	.	.775
Wide operational presence of consortium members	78.0619	22.164	.457	.	.769
EXTERNAL_CHALLENGES	79.2792	23.152	.149	.	.784

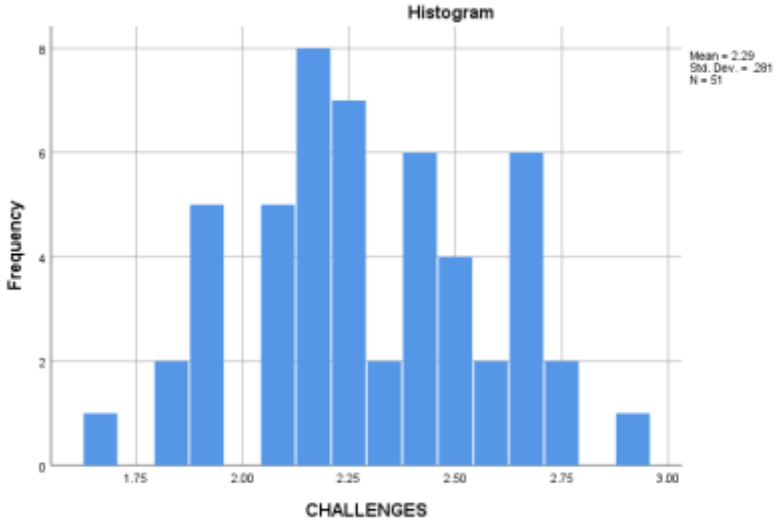
INTERN_ORGANIZATIONAL_CHALLENGES	79.4516	24.661	-.200	.	.795
ORGANIZATIONAL_CHALLENGES	79.4472	22.713	.283	.	.777
DONORS_RELATED_CHALLENGES	79.2394	23.619	.028	.	.793
EXTERNAL_DRIVERS	77.9819	21.987	.412	.	.770
ORGANIZATIONAL_DRIVERS	79.0472	20.659	.613	.	.756
INTER_ORGANIZATIONAL_DRIVERS	78.0394	20.259	.649	.	.752
DONORS_DRIVERS	77.4345	22.250	.348	.	.773

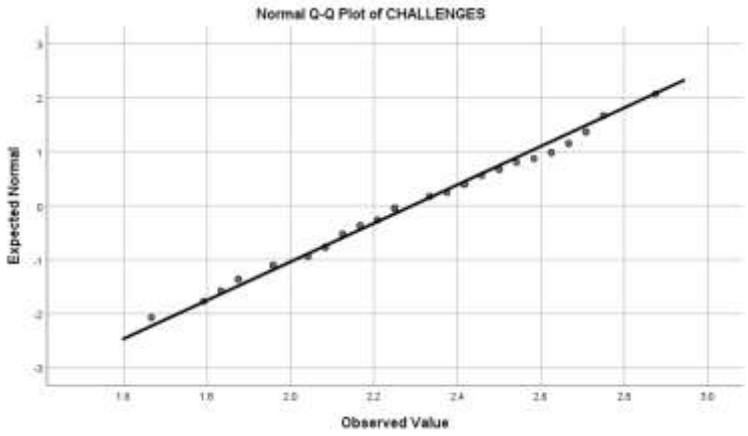
B: Normal distribution histogram and plot CSF



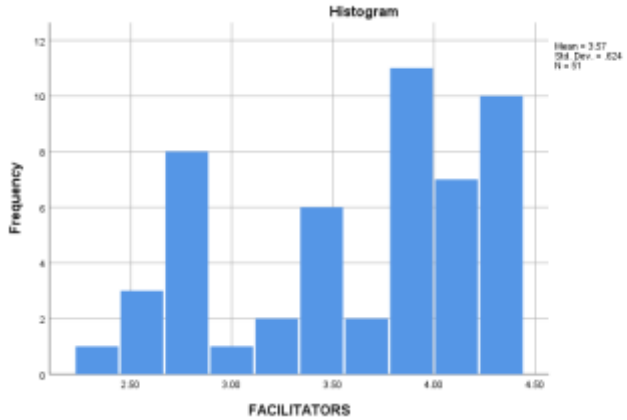


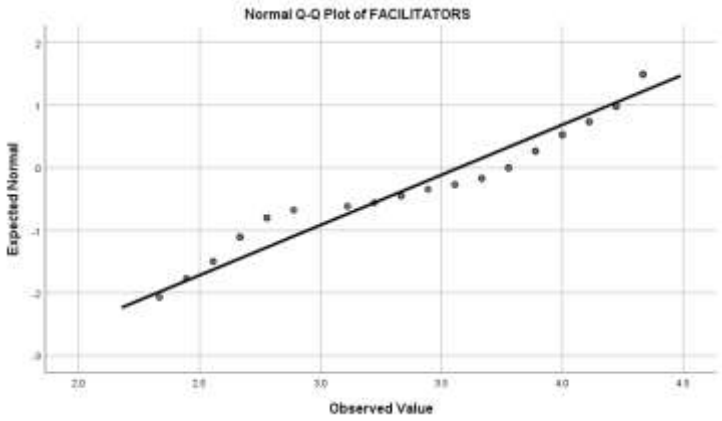
C: Normal distribution histogram and plot challenges



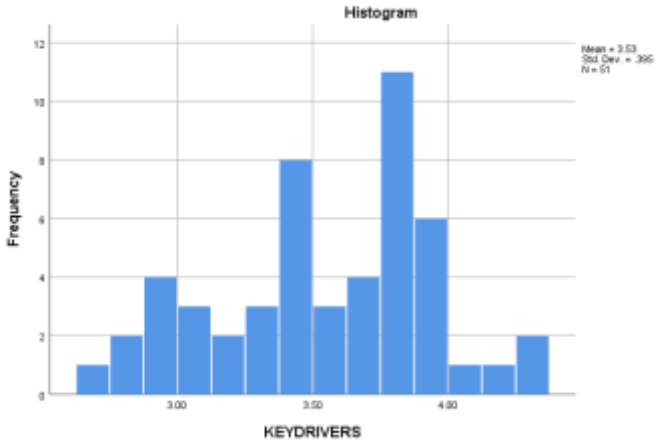


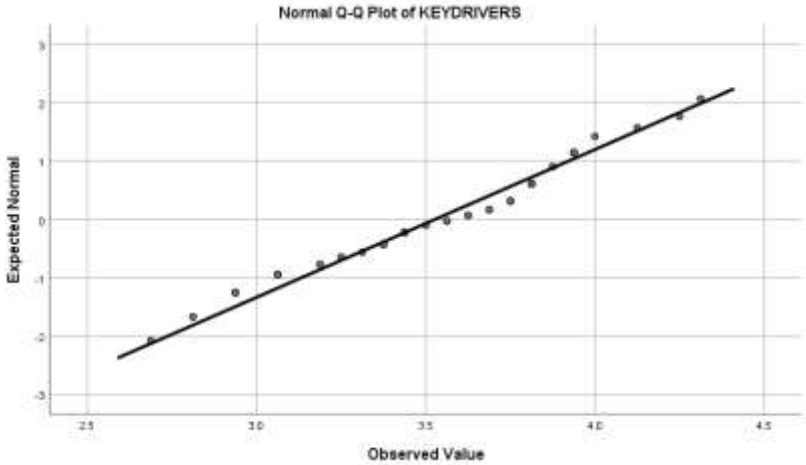
D: Normal distribution histogram and plot facilitators



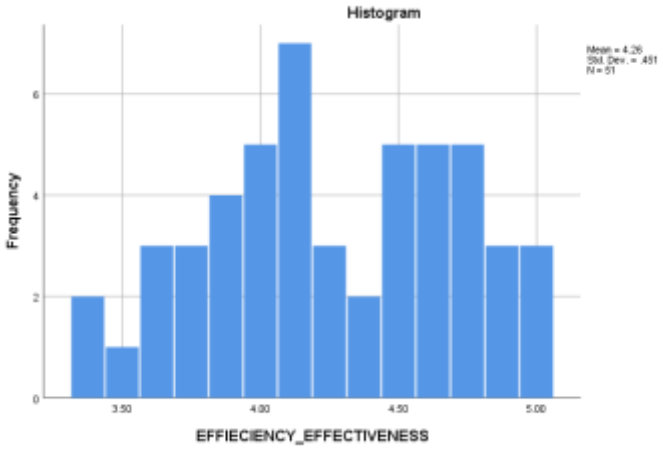


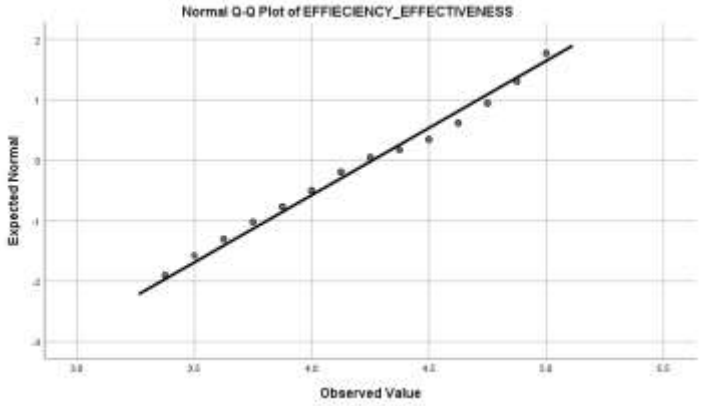
E: Normal distribution histogram and plot key drivers



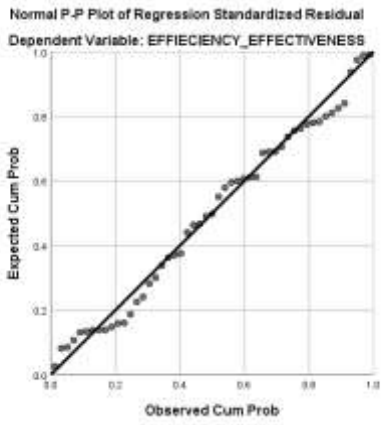


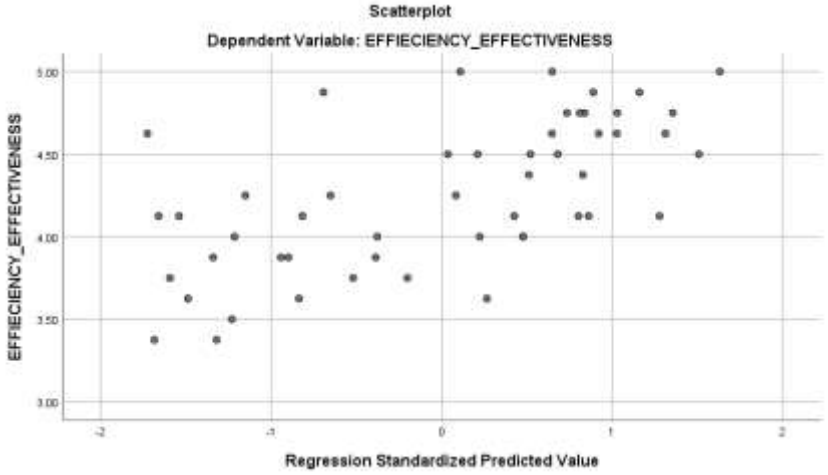
F: Normal distribution histogram and plot efficiency and effectiveness





G: Linearity graph




Scatterplot
Dependent Variable: EFFIECIENCY_EFFECTIVENESS
EFFIECIENCY_EFFECTIVENESS
5.00
4.50
4.00
3.50
3.00
-2
-1
0
1
2
Regression Standardized Predicted Value