Better Together
Unleashing the Power of the Private Sector to Tackle Non-Communicable Diseases

A guidebook for collaboration between non-profit organisations and business
About the guidebook

The guidebook is itself the result of a cross-sectoral collaboration between The Partnering Initiative, UICC, and Bupa, along with the NCD Alliance and UICC member organisations. Nevertheless, the views expressed in the guidebook are those of the authors and do not necessarily reflect those of the organisations involved.

About The Partnering Initiative

The Partnering Initiative (TPI) is an international non-profit organisation dedicated to driving widespread, effective collaboration between civil society, government and companies towards societal innovation and sustainable development.

For over a decade, TPI has pioneered the development of the theory and practice of cross-sector partnering, working with leading global organisations from all societal sectors to support their partnering strategies and approach and in developing multi-stakeholder programmes to scale up partnership action worldwide.

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In September 2015, the governments of the world agreed the most comprehensive and integrated development agenda ever conceived: the Sustainable Development Goals (SDGs).

Developed under the auspices of the United Nations, the goals bring together not just the world’s governments but also private sector and non-profit organisations, including academics, research institutes and more.

The Goals call for action from us all, across sectors, in both developing and developed countries, to reduce poverty, improve societal wellbeing, and live within ecological limits by 2030.

In other words, they are the result of – and a call for – a new collaborative way of working. They send a powerful signal that old ways of thinking and working in silos are no longer appropriate.

One of the SDGs sets a target to reduce the global Non-Communicable Disease (NCD) burden by one-third by 2030. At a time when rates are increasing, not decreasing, this is a hugely ambitious goal. And yet the great damage to people, societies and economies that NCDs cause means we must act, and we must act now.

The scale alone of the NCD epidemic means that we need as much resource as possible put towards the problem. However, the complexity of the causes means that truly there is no alternative to an ‘all-of-society’ approach in which all sectors of society combine their unique resources to tackle the challenge in much more innovative, holistic and sustainable ways. And this needs to happen at a hitherto unprecedented scale.

Partnering across societal sectors is difficult. While we are all affected by NCDs, our drivers are different, we speak different languages, we have different incentives and ways of working, different expectations, different cultures. Aimed at NPOs (non-profit organisations), this guidebook begins to set out how to bridge that divide: to engage with business and create effective partnerships to address the causes of NCDs.

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BETTER TOGETHER

WELCOME
Introduction: challenges and opportunities

Ironically, despite the severity of the threat, NCDs are some of the most understood forms of ill health. They are caused mainly by four factors related to individuals' lifestyles: poor diets high in salt, sugar and fat and low in fruit and vegetables, physical inactivity, alcohol misuse and use of tobacco.

Across the world, making daily healthy choices is being increasingly challenged by a surrounding environment which is becoming less and less conducive towards living healthily: high-fat, high-salt and sugary foods are an easier choice for reasons of taste, cost, accessibility and preparation time; urbanisation and a built environment militate against physical activity; social networking and video-games are taking over from sport-based leisure activities; and jobs are increasingly desk-based.

Clearly the root causes of unhealthy living are a complex array of social, economic, physical, biological and behavioural factors, most of which lie outside the usual role of health agencies. Medical interventions cannot tackle the comparatively high cost of fresh vegetables in many areas. Nor can a traditional public information campaign stop teenagers playing sedentary video games.

The scale of the non-communicable disease challenge the world faces is staggering. NCDs' are estimated to be responsible for 68% of deaths globally – around 40 million per year. Hundreds of millions of people are suffering chronically which, along with the human tragedy, results in billions of lost productive working days. The combination of lost economic activity together with the ongoing cost of treatment means that NCDs are a problem that affects whole societies.

The scale of the NCD challenge

On current trends, societies will be gravely damaged by the combination of a growing, ageing and chronically sick population, with a less productive workforce to support it. In the context of ongoing public health funding challenges worldwide – challenges faced by the World Health Organisation right through to the smallest community health provider – an effective response to the NCD challenge will not emerge from simply demanding more from our already-struggling public health systems. New forms of collaboration are needed.

NCDs are responsible for 38 million deaths per year, representing 68% of all deaths*

Brazil, Russia, India and China together lose more than 20 million productive life-years annually to NCDs; the number is expected to grow 65% by 2030

Europe had equivalent mortality costs in 2013 of between €21 and €60 billion, an estimate which includes deaths from coal-related respiratory and cardiovascular illnesses, such as heart disease and lung cancer

The estimated cumulative loss in economic output due to NCDs in developing countries for 2011-2025 is US$7 trillion


1. For the purposes of this report, the term ‘NCDs’ follows the WHO definition and refers to four main diseases: cardiovascular disease, cancer, chronic respiratory disease and diabetes. These diseases share four common risk factors: tobacco use, unhealthy diet, physical inactivity and the harmful use of alcohol.
The opportunity
Tackling the NCD crisis will require a significant shift in the way we live and work. This can only be achieved through an ‘all-of-society’ approach, systematically combining the power and reach of all sectors: government – with its health, education, sports and planning mandates and its regulatory power; business with direct influence on employees, its potentially pro-health products and services, and its brand and marketing reach; civil society – from NPOs with medical expertise to community-based organisations with their community influence; the media; and academia with its research and evidence base.

While the scale of the challenge is daunting, collaboration has the potential to: 1) bring in a much wider range of resources and use available resources far more efficiently and effectively; 2) be fit for purpose to tackle the complexity of the challenges; and 3) add far more creative and innovative approaches to the arsenal, as a result of the diversity of the organisations involved.

By systematically adopting collaborative approaches – by aligning with, and expanding, the enormous positive role that can be played by many parts of the private sector – it may be possible to ‘bend the curve’ of NCD incidence towards the global target established through the Sustainable Development Goals.

The challenge
Partnering across societal sectors, bringing together organisations with different interests and incentives, cultures, values and even vocabulary, is difficult. Although real value can be gained from diverse organisations working together, this diversity can also cause tensions.

Many NPOs and government agencies find it challenging to work with the private sector: in part due to the profit imperative of the sector (and, for some business sectors such as tobacco, the direct (or potential) negative health impact of its products); in part due to a lack of trust and concern over conflicts of interest; and, in other cases, due to an apprehension born from a lack of familiarity and understanding of the private sector and little experience in assessing and mitigating risks.

Companies also commonly find it difficult to work with NPOs, sometimes due to a lack of trust and familiarity but also a perception that NPOs are too idealistic and not sufficiently pragmatic or nimble.

There is no question, given the huge footprint companies have in society and the resources they can bring to the table, that business must be engaged in the fight against NCDs.

The purpose of this guidebook
This guidebook has been designed particularly for non-profit organisations who wish to partner with companies against NCDs.

It provides a number of frameworks to help ‘situate’ a potential collaboration in terms of what it aims to achieve, and the appropriate form it should take. It looks at what incentives a company may have for working collaboratively to reduce NCDs. And it provides a range of tools and templates to support the development of a partnership, from building the essential elements for effective collaboration, to understanding issues such as conflict of interest and power imbalances.

While the tools and approaches presented are based on field experience, good partnering practice cannot come from simply following templates. Every situation is complex and unique, and it is through the experience of doing, by experimenting, by making mistakes, by being adaptive and, most importantly, by being both observant and reflective that practitioners can build their expertise in collaboration.

Finally, though the examples used in the guidebook are from organisations working within the NCD space, most of the principles and tools are applicable across the wider health and other development agendas.

KEY POINTS SUMMARY

1. NCDs indicators are heading in the wrong direction, and we need to do things differently, urgently, in order to reverse the trend.
2. Tackling the complexity and scale of the problem requires an ‘all of society’ approach, engaging the private sector as a partner against NCDs.
3. Working with the private sector can be challenging; the guidebook aims to support NPOs partner more effectively with business.
2 Understanding the private sector as a partner

The activities of the private sector interact with NCDs in multiple and complex ways, both through the products and services companies deliver, and the way in which companies operate. The private sector’s role may sometimes be positive, sometimes negative, and sometimes contradictory. And any individual company (particularly large companies) may play a complicated mixture of roles. But the private sector can play a positive role in many settings, and the potential for it to play a much more significant role is huge. Tapping into that potential requires, firstly, a nuanced understanding of what is meant by the term the ‘private sector’, its incentives for action on NCDs, and who has influence on (and within) that company.

1 The ‘private sector’ is not a homogenous entity

The private sector includes the full range of commercial entities from sole traders, through small and medium-sized businesses to vast multinational companies. Companies can be owned – and influenced – by individuals, or by families, by cooperatives or be publicly-traded. A company’s investors can include public shareholders; government treasuries; institutional investors; venture capitalists; pension funds; banks and other finance providers; through to co-operative shareholders; and even friends and family.

The lifecycle of companies varies hugely. Some companies are start-ups, others have been operating for decades or longer. And, while the private sector may appear to be dominated by multinational companies, in fact 90% of the world’s businesses are small and medium-sized enterprises and provide 50% of global employment.

2 The private sector doesn’t just think about making money

Successful, responsible companies all understand their markets and societies extremely well and they are aware that their long term prosperity is interlinked with the prosperity of the society in which they operate.

While no company can survive without healthy financial returns, no company can survive if it makes decisions purely on short-term financial considerations. Leading companies balance financial considerations with wider social, economic and environmental factors, and invest in their own sustainability.

In general, companies that are more mature, larger and financially stable will have more resources (both in terms of peoples’ time and money) to focus on their long term sustainability and their impact within society. More and more leading companies are moving well beyond the concept of ‘corporate social responsibility’ (doing no harm / philanthropy) and towards an agenda of ‘shared value’ which inherently integrates societal value creation along with financial value creation within their objectives.

One of the most compelling current examples of a company that is taking quite radical steps in this direction is Unilever, which abandoned the practice of quarterly reporting because it unhelpfully reinforced a short-term focus on profits rather than a focus on longer term sustainable business value creation and balanced performance.2

IMPLICATIONS:

When looking to partner with a company, understanding where they are in terms of their approach to sustainability and social responsibility can help to shape the initial approach and conversation.

1. Understanding the private sector as a partner
2. Unilever CEO Paul Polman offers reasons why the company has abandoned quarterly reporting in this article: http://www.managers.org.uk/insights/news/2015/february/paul-polman-unilevers-clean-winner-in-corporate-governance
Companies are most influenced by their owners, leadership, direct customers and clients

If companies are consumer-facing (i.e. their products or services are bought or used directly by the public), their brand and reputation with the public is important to them. These companies are likely to be most influenced by public opinion and invest more in initiatives that help to build their reputation and brand.

Companies which are not consumer-facing, but are part of a supply chain to one that is, may be influenced through their consumer-facing business clients.

Shareholders – whether public or private – can influence companies both informally and formally (e.g. through shareholder resolutions).

Finally, the CEO and senior leadership of a company will play a huge role in determining and driving the a focus on creating social value.

**IMPLICATIONS:**
Different types of company will have different incentives and require different entry points.

An additional incentive for consumer-facing companies to engage in action on NCDs may come through pressure from consumers and from the potential to build reputation.

Multinational companies are complicated entities and can be difficult to navigate

While companies have a reputation for efficiency, any major international organisation has its own bureaucracy and internal dynamics, both in terms of function and geography.

The nature of any given activity will determine which business unit or units within the company need to be involved, for example: marketing, product development, human resources and public affairs.

Geographically, headquarters may have more or less influence over their operations in different countries, depending on the corporate structure, degree of decentralisation and level of autonomy. In practice, in most cases this means that building a partnership at global level with a multinational company does not guarantee commitment from the company at country-level.

**IMPLICATIONS:**
It is important to have a well-placed champion from within the company to make the necessary connections and undertake the navigation of internal company dynamics to the right entry point. Further, collaborations built with HQ does not guarantee interest and engagement at country level, and efforts to develop relationships will be needed at all levels at which the partnership operates.

Understanding incentives: companies will only collaborate to reduce NCDs when it is in their strategic interests to do so

There are four main areas where a company would be interested in partnering around prevention of NCDs, as set out in the table on page 9, related either to a strategic business risk or a strategic business opportunity (including reputation building).

**IMPLICATIONS:**
It is essential to understand the motivation, or the business case that might motivate a company to collaborate on NCD reduction – beyond the fact that improving health is in everyone’s interest. The more specific and robust the business case for addressing the NCD, the higher the motivation to collaborate in order to find solutions – especially if the company has previously tried and failed to act unilaterally to solve the issue.
### What is the business case for the private sector?

<table>
<thead>
<tr>
<th>STRATEGIC BUSINESS RISK</th>
<th>STRATEGIC BUSINESS OPPORTUNITY</th>
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<tbody>
<tr>
<td><strong>Issue</strong></td>
<td><strong>Core business opportunities</strong></td>
</tr>
<tr>
<td>NCD’s effect on staff and productivity</td>
<td>1) Risk to existing products or business model from public regulation or consumer purchasing (whether short term boycott or long term trends) 2) Direct risk to business model from NCDs</td>
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<tr>
<td><strong>Incentive</strong></td>
<td></td>
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<tr>
<td>Reducing the effect of NCD on a company’s own employees and supply chain</td>
<td>1) Companies producing food, drink and other consumables (e.g. alcohol and tobacco) 2) Health insurance</td>
</tr>
<tr>
<td><strong>Most relevant to</strong></td>
<td></td>
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<tr>
<td>All companies with most interest likely from larger companies</td>
<td>1) Companies producing food, drink and other consumables (e.g. alcohol and tobacco) 2) Health insurance</td>
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<tr>
<td><strong>Relevant business unit</strong></td>
<td></td>
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<tr>
<td>Human resources, Chief Medical Officer</td>
<td>Research; product development</td>
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<tr>
<td><strong>Examples</strong></td>
<td></td>
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<tr>
<td>Workplace wellness initiatives</td>
<td>Reformulation of products to reduce salt</td>
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</tbody>
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#### What resources can the private sector bring to the table?

Companies have often in the past been viewed by NPOs and others as a source of funding or a potential donor of gifts in kind, whether products or services. While, as seen in the table above, philanthropy still has a role to play, that view misses out on the full range of important assets companies can bring, many of which can be essential for more innovative, holistic and transformational solutions.

Examples of the assets companies can bring:

- **Brand and marketing** – companies’ expertise in using their brand and marketing to sell their products can also be used to promote healthy lifestyles;
- **Innovation** – the technical and process innovation skills that they use to solve problems and increase efficiency can be utilised in action against NCDs;
- **Products and services** – Adjusting existing products or creating new products and services can have long term sustainable impacts on health;
- **Relationships, influence, social capital** – direct connections with customers, as well as, for example, industry bodies, policy makers, suppliers, contractors, communities, shareholders, governments, can be used to influence actions by others;
- **Access to employees** – companies provide the environment in which people spend a high percentage of their lives and through adjusting that environment and incentivizing healthy lifestyles, they can significantly benefit their staff;
- **Professional expertise** – companies can apply their technical, research, commercial, legal, financial, marketing, facilitation, training, and project management skills within a partnership;
- **Information** – companies will have access to a range of consumer awareness, socio-economic statistics, market intelligence, technical knowledge, local knowledge that can be hugely valuable;
- **Physical assets** – companies can potentially offer in-kind office space, event venues and other assets that can reduce the ‘hard’ costs of action.
This table illustrates how different sectors of industry have in the past responded to increased pressure to improve health outcomes and at the same time capitalising on business opportunities linked to demand for improved diet, increased physical activity and healthy lifestyles.

<table>
<thead>
<tr>
<th>Sector</th>
<th>Business opportunities</th>
<th>Example</th>
<th>Potential outcome</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pharmaceutical &amp; healthcare</td>
<td>Increase access to affordable medicines to control the major chronic diseases.</td>
<td>Abbott Laboratories introduced i-STAT handheld blood analyser to allow real time transmission of diagnostic test results for routine medical tests provided at the point of care.</td>
<td>Innovative diagnostics/treatment</td>
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<td></td>
<td>Invest in R&amp;D for innovation in treatment of NCDs, including the use of new technology.</td>
<td>Novo Nordisk established a R&amp;D strategy that identifies diabetes and obesity as areas of research for drug innovation.</td>
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<tr>
<td>Media, entertainment and communications</td>
<td>Use digital media and new technology to promote healthy lifestyles in innovative ways.</td>
<td>The video game companies Nintendo and XBox saw a business opportunity combining exercise and gaming with the Wii and Xbox Kinect.</td>
<td>Improved diet and increased physical activity</td>
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<td></td>
<td>Implement creative projects in mainstream media content and public service.</td>
<td>The Mexican television channel, Televisa saw an opportunity to reach a wider audience and sponsored Telenovas that revolve around promoting physical activity and healthy eating.</td>
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<tr>
<td>Sports and leisure</td>
<td>Market the wellness benefits of sports and promoting community activity.</td>
<td>Speedo ‘learn to swim’ range promoted products that help new swimmers learn.</td>
<td>Increased physical activity</td>
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<td></td>
<td>Increase sales by targeting healthier more active populations to expand marketshare.</td>
<td>Nike and Apple teamed up to cross promote their sports kit that tracks progress on workouts.</td>
<td>Improved consumer education</td>
</tr>
<tr>
<td>Design/built environment</td>
<td>Design buildings for the creation of active physical environments.</td>
<td>The firm Gensler designed two central staircases in the New York Times building that promote movement by employees via the stairs.</td>
<td>Physical environment conducive health</td>
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<td></td>
<td>Increase sales in bicycles in urban areas.</td>
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<tr>
<td>Information technology</td>
<td>Use new technology to promote healthy lifestyles in innovative ways.</td>
<td>WebMD, worked in partnership with Boots pharmacy in the UK to provide health information and tools via the web – to help patients by using technology.</td>
<td>Improved consumer education</td>
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<td></td>
<td>Respond to demand from more health conscious and media savvy consumers.</td>
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<tr>
<td>Consumer goods</td>
<td>Capitalise on consumer demand for improved health and wellbeing.</td>
<td>Weight Watchers International and Group DANONE created a joint venture in 2008 opening a weight management centre in China.</td>
<td>Improved diet</td>
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<td></td>
<td>Grow middle class customer base in emerging markets – demanding healthier products and services.</td>
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<td>Enabling environment</td>
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*“Many Healthy Returns”, The Partnering Initiative and the International Business Leaders Forum 2011*
<table>
<thead>
<tr>
<th>Sector</th>
<th>Business opportunities</th>
<th>Example</th>
<th>Potential outcome</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professional services</td>
<td>Invest in comprehensive workplace wellness programmes and health cost curtailment.</td>
<td>Accenture, which employs 225,000 people invests in a wide range of employee wellness resources that promote behaviour change through education.</td>
<td>Improved diet and increased physical activity</td>
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<td></td>
<td>Increase employee morale and enhance position in recruitment market.</td>
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<tr>
<td>Insurance</td>
<td>Manage risk by recognising the savings realised when customers are healthier.</td>
<td>Prudential plc created an incentive scheme to encourage healthier behaviours.</td>
<td>Improved diet and increased physical activity</td>
</tr>
<tr>
<td>Food and beverage</td>
<td>Re-formulating recipes to reduce sugar, fat, salt and improve information to facilitate consumer choice.</td>
<td>Responding to consumer demand for product information, many companies have committed globally to providing front-of-pack labelling of nutritional content such as salt, sugar and fat.</td>
<td>Improved diet Enabling environment</td>
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<tr>
<td></td>
<td>Adapt marketing policies, particularly to children in response to social expectation and regulatory pressure.</td>
<td>Unilever has reformulated the nutritional make up of its food as well as improved consumer health information and choice. Forum for the Future is working with leading food companies with the aim of creating a food system that delivers sustainable nutrition, giving everyone access to healthy and nutritious food and diets, while protecting and restoring the natural environment and ensuring decent livelihoods.</td>
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<td></td>
<td>Build industry-wide alliances to leverage business leadership towards sustainable consumption.</td>
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<tr>
<td>Food services</td>
<td>Provide healthier options for school children.</td>
<td>In 2009 Compass Group reported on its efforts to improve nutritional information, choice and health education in schools. For instance, more than 830 caterers in the UK and over 2,000 in the US were qualified to operate ‘Balanced Choices’.</td>
<td>Improved diet</td>
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<td></td>
<td>Provide clearer nutrition information on menus to facilitate healthy choices and reduce portion.</td>
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</tr>
<tr>
<td>Travel and tourism</td>
<td>Market differentiation via responding to increased health and wellness awareness.</td>
<td>Marriott Hotels &amp; Resorts offered a leisure club membership that also entitles participants to an array of discounts on all their hotel accommodation and restaurants.</td>
<td>Physical environment conducive health</td>
</tr>
<tr>
<td></td>
<td>Major hotel chains respond to customer demand for health wellness and gym facilities.</td>
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In order to engage in a collaborative venture to address NCDs, the company itself must gain value from the engagement. If those business benefits conflict, or may conflict, with the overarching aim of reducing NCDs, there is an actual, or perceived, conflict of interest. If business benefits can be achieved at the same time as reducing NCDs, there is an alignment of interest.

Conflicts of interest are most likely to happen where a company's core business includes profiting from goods (either as manufacturers or sellers) that contribute to the causes of NCDs such as tobacco or alcohol companies, manufacturers of products with a high level content of sugar, fat or salt and fast food companies.Crudely, these fall into the category of 'part of the problem'. For example, a confectionery company might run a programme in which consumers collect vouchers from chocolate wrappers that can be swapped for sports equipment at school. This creates a conflict of interest between the beneficial impact (school children do more sport) and the potential negative impact (children consume more chocolate bars in order to collect vouchers).

Conflicts are least likely to happen with companies whose core business is not directly connected with the issues, but nevertheless have critical resources to bring to the table, such as technology companies or urban environment architects ('indirectly part of the solution').

The third category here is 'directly part of the solution' – i.e. those with a business model that can be associated with promoting healthy lifestyles: sportswear companies, leisure companies, insurers, bike manufacturers, fruit and vegetable companies, pharmaceutical companies that sell products to protect against or treat NCDs etc.

It is important to note however that some industries and companies may fall within several categories, and be contributing to both the problem and the solution.

Some NPOs are concerned about engaging in partnership where the company might gain financially from their involvement. Whether it's a company wanting to engage to invest in wellness at work (thereby reducing the cost of absenteeism and increasing profits), or creating a profitable business model from a new product or service that supports healthy living (such as innovative insurance products), there must be a clear return on investment for the company. It is important to appreciate that the gaining of profit does not in itself represent a conflict of interest. Indeed, financial gain is both a driver and an enabler of scale, with possibly the greatest potential to achieve widespread impact through a sustainable business model (e.g. popular, low-cost, healthy alternative snacks aimed at children).

Nevertheless, it is important that where there is an alignment with the direct profit-making of the company, the business does not disproportionately or unjustifiably gain from their involvement compared to the risk/investment they put in and the public health benefits. Both these points are discussed further in the tools on risk and conflict of interest.

It is important to understand that a prospective business partner will have different perspectives and that commercial interest will always be an important driver. It is essential to appreciate those drivers, both as part of a due diligence process to avoid unsuitable partnerships, and to be able to develop robust, effective partnerships delivering value to all.

“Food companies face a particular challenge balancing the preferences of their consumers with pressure from policy makers and civil society to reduce the impacts of their products. While concern for and knowledge of the risks associated with NCDs and the connections with poor health are on the rise, foods which are high in salt, fat and sugar continue to be widely consumed. For most companies the competitive commercial environment prevents them from unilaterally ceasing to sell such products that often are highly demanded and profitable. Indeed, companies argue that such products are not intrinsically unhealthy as long as they are consumed in moderation as part of a balanced diet and an active lifestyle, and it is not up to them to censor their customers’ choices.”

Source: Many Healthy Returns, 2011, The Partnering Initiative, the International Business Leaders Forum
THE ROLE OF REGULATION AND TAXATION

Regulation and taxation of business operations and products can play an important role in reducing certain factors that contribute to unhealthy living.

While potentially any food can be enjoyed if consumed in moderation within an overall balanced and healthy diet, tobacco is considered dangerous at whatever level it is used and a public health hazard. It is therefore inconceivable for health NPOs or public health agencies to partner with tobacco companies, and regulation and taxation, not collaboration, are the ‘appropriate relationship’.

However, there are certain cases with some other industries that there can be a connection between the use of regulation / taxation and a collaborative approach.

Firstly, the threat of regulation can help to force companies to come to the table with other companies and other sectors, and provide them with a strong incentive to find solutions collaboratively.

Secondly, companies may be consulted when identifying the most implementable and effective mandatory regulation, for example around the exclusion or reduction of unhealthy ingredients such as salt. Of course, such engagement must be conducted transparently and carefully to ensure that public regulation is not, and is not perceived to be, subverted in any way.

Finally, and very importantly, mandatory regulation can ensure a level playing field for companies wanting to act responsibly without losing out to less responsible competitors.

"Finally, and very importantly, mandatory regulation can ensure a level playing field for companies wanting to act responsibly without losing out to less responsible competitors."

KEY POINTS SUMMARY

1. It is important to have a nuanced understanding of the potential role of business as a partner in NCD reduction.

2. Depending on a company, there are multiple different incentives for involvement in action against NCDs.

3. Companies have huge resources beyond money that they can bring to bear in the sphere of NCD prevention, when it is in their strategic interests to do so.

4. While there may be unmanageable conflicts of interest in partnering with some elements of the private sector, many conflicts of interest can be overcome. More positively, there are significant, mostly untapped alignments of interest with the majority.
An overview of partnering against NCDs

Definitions
For the purposes of this guidebook, a cross-sector partnership against NCDs is defined as:

- **An arrangement based on aligned interests that combines the complementary resources and competencies of organisations from different sectors (including business, government and NPOs) to generate maximum value in the fight against NCDs, while creating value to the partners themselves.**

Value as a partnership
If working together creates outputs greater than working separately, then the partnership is creating additional value.

Value for partners
Different partners will have different reasons for engagement. They will have their own requirements for the value they seek to derive from the partnership, and that value will have varying overlap with the objectives of the partnership. A simple framework for value to an organisation is:

1. **Mission achievement:** The degree to which the partnership contributes towards the strategic objective of the organisation. For a health agency, this could be directly aligned with the partnership objective around the reduction in NCDs; for a company, it could be about selling more goods.

2. **Organisational gain:**
   a) **Tangible:** e.g. funding or other in-kind contribution to the organisation, capacity development
   b) **Intangible:** e.g. increased social or political capital, reputation, market positioning.

Core Principles of Partnering

<table>
<thead>
<tr>
<th>EQUITY</th>
<th>TRANSPARENCY AND TRUST</th>
<th>MUTUAL BENEFIT</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Building respect</strong></td>
<td><strong>Developing strong relationships</strong></td>
<td><strong>Creating value for all</strong></td>
</tr>
<tr>
<td>Equity is not equality – partnerships often bring together organisations with vastly different status, scope and resources. Equity is recognising that each partner has a vital contribution it brings to the table for which it should be valued and which earns it the right to have a respected voice in decision-making.</td>
<td>Strong working relationships are at the core of effective partnering, and transparency is essential in order to build and maintain trust. Trust is the oil in the collaboration engine, allowing partners to make commitments with belief that the other partners will fulfil their own commitments.</td>
<td>Partnerships are based on shared risks and shared benefits. A healthy partnership will recognise that each partner needs to achieve specific value – over and above any common benefits – and all partners should help to ensure each partner achieves its goals.</td>
</tr>
</tbody>
</table>
When would you partner?

Cross-sector partnerships involve significant transaction costs; they are rarely straightforward and certainly not applicable in all circumstances. They are a means to an end and not an end in themselves, and they should only be applied where they have the potential to create significant added value.

The starting point is clarity on what it is you are trying to achieve and the nature of the challenge. You might choose to partner where:

- Combining similar resources together will have a multiplicative effect on the issue;
- The issue requires much more innovative approaches, where innovation can come from bringing together diverse resources and potentially achieve new levels of scale and impact;
- The problem is a complex one requiring more holistic approaches and coordinated action from a variety of different actors;
- There is a need to influence how others work and operate or integrate within other systems;
- For the approach to work it requires resources not available for sale, such as social capital or public instruments such as regulation.

Within the definition given above, there can be a plethora of different types of partnerships against NCDs. These different forms will focus on different issues, have different characteristics, and require somewhat different approaches to their development. In this section we begin to try to help situate the potential partnership in two ways: what the partnership will be addressing, and what type of collaboration it is, in order to understand those characteristics and their implications for developing the partnership.

What will the partnership be addressing?

In general, partnership action against the causes of NCDs can be put into one or more of three major categories:

### Wellness at work

Employers putting in place the right working environment and incentives to support their employees to have active, healthy lives.

<table>
<thead>
<tr>
<th>Wellness at work</th>
<th>Supporting positive, healthy lifestyles; health literacy and other preventive interventions</th>
<th>Mitigating or reducing the effects of factors that contribute to unhealthy living</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Examples</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Companies sponsoring gym subscriptions or cycle purchases.</td>
<td>Any actions that directly or indirectly support or encourage healthy eating, active living and a healthy environment in which people live.</td>
<td>Stopping tobacco use, reducing alcohol, salt and sugar intake and sugar levels in food; improving air quality.</td>
</tr>
<tr>
<td>Early detection (e.g. cholesterol tests, high pressure checks, mammograms etc.).</td>
<td>Health insurance premiums linked to use of gyms and healthy lifestyles.</td>
<td>Development of voluntary standards to stop all direct and indirect marketing to children.</td>
</tr>
<tr>
<td><strong>Which companies?</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Focus on larger employers: firstly, they will usually have the resources and the structures (such as a Chief Medical Officer) in place to be able to implement a programme; and, secondly, a large number of employees can be reached through a single initiative.</td>
<td>Any company whose business model includes products / services that can contribute (e.g. sports manufacturers, healthy food, urban architects, gyms, health insurers, supermarkets, pharma etc.). Companies wishing to be associated with positive lifestyles (e.g. youth brands, entertainment, tech companies etc.). Companies with a helpful technology or brand reach that might engage for ‘CSR’ reasons.</td>
<td>Any company whose business model includes products / services that contribute to unhealthy living (e.g. food and drink, supermarkets, pubs etc.) or that can create healthier substitutes (e.g. stop smoking aids; cook stove manufacturers).</td>
</tr>
<tr>
<td><strong>Implications</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>This may be more of a consulting / delivery partner role than a ‘true’ partnership (see type of partnerships below).</td>
<td>Lower risk of conflict of interest for companies that are ‘directly or indirectly part of the solution’; potential for conflict of interest with companies that are ‘part of the problem’.</td>
<td>Will be challenging, and in some case impossible, to partner with companies that are ‘part of the problem’.</td>
</tr>
</tbody>
</table>
What type of partnership?

Within those categories, there are a variety of approaches with different levels of scale, ambition and engagement. They might range from an NPO supporting a company with its workplace wellness or a ‘simple’ bi-lateral partnership with a company sponsoring an NPO’s initiative, to a ‘complex’ system transformational change requiring multiple actors.

Simplistically, most collaborations with business around NCDs can be put into one (or more) of four categories with the implications that follow:

<table>
<thead>
<tr>
<th>DELIVERY</th>
<th>LEVERAGE</th>
<th>COMBINE TO INNOVATE</th>
<th>TRANSFORM</th>
</tr>
</thead>
<tbody>
<tr>
<td>NPO works with a company to support its wellness programme</td>
<td>Company provides resources – financial or in-kind – to the NPO to carry out a programme</td>
<td>Partners combine their diverse resources to create new approaches and added value</td>
<td>Multi-actor approach to tackle complex challenges through system transformation</td>
</tr>
</tbody>
</table>

**Initiation**

- NPO might approach the company, making the case for a wellness at work programme; or the company might approach the NPO seeking assistance
- Pre-existing relationship, or NPO approaching the company, ‘selling’ an opportunity
- Dialogue between the NPO(s) and company(ies) to innovate ideas and together develop new approaches that create value for all
- Multi-stakeholder dialogues to develop understanding of the system and the interventions necessary to make systemic shifts

**Resources required**

- In most cases, the company would commission and pay the NPO to help design and possibly implement the wellness at work programme
- The company is donating to the NPO. The NPO will then undertake its activities.
- Resources are being combined (company might provide funding to allow the NPO to bring its resources to the table). External support to help facilitate the partnership might be required.
- May take a significant time to develop and must go through a proper partnering process (often led by a facilitator) to be effective. If at scale, it will need a ‘backbone’ organisation/secretariat for it to function.

**Transaction**

- One party decides the programme based on their knowledge / experience
- Co-generation, co-creation based on joint knowledge / experience
- One party purchases a service from – or donates to the work of – another
- Partners bring together complementary resources (including those not ‘for sale’ e.g. social capital)
- Fixed contractual arrangement with clear activities and outputs decided at beginning
- Collaboration agreement with agreed expected outcomes, flexibility over how to get there
- Limited engagement from parties beyond the contractual arrangement
- Requires stronger engagement and ongoing commitment
- Each party stays in its comfort zone, doing what they normally do
- Partners together create new ways of working and innovation
- One-way accountability
- Mutual accountability
- Simpler to develop and manage, lower transaction costs
- Requires much more ongoing relationship and project management
The American Cancer Society’s Quit For Life programme is a telephone-based coaching and web-based learning support service that is offered to companies for their employees. Delivered in partnership with Optum, the programme matches employees with a Quit Coach who helps them develop a personalized quit plan, provides decision support for medications and delivers ongoing follow-up. This industry-leading programme has helped more than 2 million tobacco users make a plan to quit for good.3

In Mauritius, there is a very high incidence and very low awareness of breast cancer. Screening, which is crucial for early detection, is not funded by central government. This leads to very late detection. Link to Life is a non-profit organisation that has set up two community centres to provide screening for women. Any cases are then referred to local public hospitals. Link to Life started partnering with CIM Finance on building internal awareness and implementing a screening campaign for employees. Some employees also volunteered their time to support some of CIM’s work on the ground. CIM Finance is now funding Links to Life’s outreach and screening work targeting 4,000 women, mostly in vulnerable regions in Mauritius.

Boots and Macmillan aim to connect those with cancer and their loved ones to information and support in their community. The programme combines Boots’ access to customers and high street footprint with Macmillan’s expertise in supporting cancer patients. Macmillan provides customised training to Boots UK pharmacists and cosmetic brand advisors. Boots aims to utilise their expert health and beauty advice to help people affected by cancer feel more like themselves. In addition, by offering volunteering and fundraising opportunities, Boots also offers a channel for colleagues and customers to raise funds for people affected by cancer and to become ambassadors of the programme.4

Under the supervision of the Australian Government’s Department of Health, the Healthy Food Partnership provides a platform for the public health sector, the food industry, and government to tackle obesity and encourage healthy eating. This is achieved by driving cross sectoral collaboration to bring about positive changes in the manufacturing, sale, and consumption of food. For example: a Health Star Rating system is in place to help the industry reformulate what goes into their food. The partnership also aims to encourage consumers to eat core food groups and educate them on appropriate portion sizes.5

Technology and communications
The products and services of technology and communications companies are playing an increasing role on human health and wellbeing in wide variety of ways. There is significant untapped potential in this sphere, for example companies providing the data that enables early detection of health problems, or enabling individuals to become more active managers of their own health and wellbeing. Products and services being produced by technology companies working together with health experts include the Fit Bit6 and many of the health and wellbeing apps available on mobile products.

The Be Healthy, Be Mobile partnership (see ‘partnership snapshot’) reflects this rapidly developing trend of alignment between technology, health and wellness.

A recent article in Nature magazine emphasised the extraordinary strategic shifts taking place in companies such as IBM, Apple, Google, Intel, Microsoft and Amazon in order to capitalise on these trends.7 One of the drivers behind the success of Pokemon Go is that it forces people to be outside and exercise.

The Nature article quotes cardiologist Jessica Meg, who recently moved to Google: “What I find compelling is the immersion of people with strong technology backgrounds – hardware and software engineers – sitting next to people like myself... The impact feels very, very large.” [Emphasis added].

Sports, leisure and entertainment
Some ‘sportswear’ companies such as Nike are increasingly seeing themselves not as product manufacturers and sellers but as enablers of healthy lifestyles.

For example, Nike’s FuelBand attempts to combine fitness tracking and health awareness into a ‘mobile consumer product’. The FuelBand is designed to enable anyone concerned about their health to track progress towards certain goals in real-time. This type of product, and the thinking behind it, has much wider significance. John Nosta, who writes for Forbes magazine on the intersection between science, technology and medicine, puts it this way: “[These products] can provide essential information to guide your individual wellness, but also can be a tool to track activity and sleep as a measure of drug or device efficacy – by a physician or a pharmaceutical company... And as technology advances, the use of small and unobtrusive devices to record blood pressure and blood chemistries (like serum glucose), ECGs and EEGs, respiration and a host of other yet discovered uses will ... help redefine how well we take care of ourselves.”8

Health and life insurance
The insurance industry is increasingly aware that the combination of ageing populations and growing NCD incidence present enormous strategic risks to its business model. Insurance companies risk facing significant challenges to their business model if they are required to pay out on health insurance claims relating to NCDs, on current trends of disease incidence.

The strategic interest here is therefore different from those of the previous two industry sectors. This important risk management issue explains why a South African insurance company founded a separate research organisation, the Vitality Institute, to help contribute to a step-change in NCD prevention. The institute is doing a wide range of sophisticated work across sectors, including the development of standardised health metrics for corporate reporting.

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6. Fitbit is a motion-tracking, watch-like device that tracks how many steps the wearer takes. www.fitbit.com
7. ‘Why biomedical superstars are signing on with Google’, Nature, 21st October 2015
Example issues that can be addressed through a partnership approach

The forces driving the NCD epidemic are largely outside of the health sector, opening many possibilities to partner with other non-health actors (e.g. agriculture, cities, energy, education, transport). Within these partnerships, it is possible to find “win-win” solutions that improve both the health of the population, as well as benefitting other sectors. Below are some issues and examples of solutions where cross sector collaboration can be beneficial.

The NCD Alliance has identified a number of issues which have the potential to be addressed through a cross-sector partnership approach.

<table>
<thead>
<tr>
<th>Nutritious food for all</th>
<th>Safe and sustainable cities for all</th>
<th>Sustainable energy for all</th>
</tr>
</thead>
<tbody>
<tr>
<td>A diverse diet and access to healthy food, including fruits and vegetables, and one that is limited in processed foods is important for preventing NCDs. NCD prevention will be a co-benefit of shifts in agricultural production away from commodities, such as meat, dairy, palm oil, and tobacco, toward more fruits and vegetables. This shift will reduce greenhouse gas emissions, and protect the environment.</td>
<td>Improved urban planning and sound transport policies support a shift from cars to walking, cycling, and public transport, which helps prevent heart disease, diabetes, some cancers, depression and dementia. Decreased dependency on motorised transport can also help prevent respiratory diseases through reductions in air pollution.</td>
<td>Cleaner cooking methods can help prevent illness and death from lung disease, especially among women and children. Cooking on open fires in the home is a concern for some three billion families across the world, causing respiratory conditions, deforestation and desertification and adding to climate change.</td>
</tr>
</tbody>
</table>

Source: ‘NCD Alliance Briefing Paper: Tackling Non-Communicable Diseases to Enhance Sustainable Development’

PARTNERSHIP SNAPSHOT

Be He@lthy, Be Mobile: a partnership for NCD prevention

Be He@lthy, Be Mobile uses mobile technology, in particular text messaging and apps, to help countries combat the growing burden of NCDs. This initiative takes successful pilots to the world stage through a global UN, private sector and government partnership dedicated to providing mobile solutions for NCD prevention.

PARTNERS
WHO, ITU (as Secretariat and Lead), NCD Alliance, Bupa, Novartis, GSK, Sanofi, Asian Development Bank, African Development Bank, Verizon Wireless, IFPMA.

ACHIEVEMENTS TO DATE
So far the partnership operates in seven countries (both rich and poor), with a further eight countries targeted by 2018. Four toolkits have been developed, also with another eight planned in the same timeframe. The toolkits cover issues such as diabetes prevention, smoking cessation and early diagnosis of cervical cancer.

ADDED-VALUE CREATED THROUGH PARTNERING
Innovation through technology which supports a holistic approach to prevention

VALUE TO THE PARTNERS
Combining resources across sectors to develop and market a product that individual organisations could not do unilaterally.

4 The Partnering Process

The Partnering Journey

The diagram below shows the journeys that are typically taken to build an effective collaboration: a central journey for the partnership as a whole (narrowing chevrons in the centre), and individual journeys for each of the partners (dotted arrows above and below).

In the central journey, the vision, mission, objectives, activities and roles and responsibilities of the partnership gradually become more and more specific and clear. In the individual partner journeys, each partner must develop the case internally to ensure that the resultant partnership creates net strategic value for their organisation and that they have the internal buy-in and assigned resources in place to deliver on their commitments. All the journeys meet at the signing of a partnering agreement and the partnership moves into implementation. For clarity it is shown as a linear journey; in practice, the partnership journey is an emerging and iterative process, beginning with a wide field of possibilities, resources and ideas and gradually focussing down to the point where a partnership agreement is signed. The ‘partnering journey’ can in theory start with any issue, location, sector or organisation, and part of the skill of a partnership practitioner is in identifying when a partnership solution might be an appropriate response to a challenge.

The tools in the final section help partners move through the different stages of the partnering journey to the implementation phase.

**Tool 1: Stakeholder mapping**

To identify all the organisations and individuals who need to be taken account of by a potential partnership project and who might play some role in the partnership.

**Tool 2: Resource mapping**

The resource mapping tool shows the broad range of resources that different organisations can bring to a partnership, beyond financial contributions. It also highlights the resources that a partnership needs to mobilise externally.

**Tool 3: Concept note template**

To provide an early stage draft of the partnership idea to invite a more structured conversation with key partners. Content will likely be adapted in an iterative process and eventually inform the Partnering Agreement.

**Tool 4: Partnering planning**

Partnership planning is an iterative process. It begins with an idea of the vision/mission/objectives of what the partnership will achieve and the resources required achieving it. This is followed by a reality check of available resources, and slight modification of the partnership vision/mission/objectives and so forth until the available resources and partnership ambition are exactly matched.
**Tool 5:**
**Internal prospective partnership assessment**
To assess the value, risks and implications of a partnership opportunity and inform a go/no-go decision.

**Tool 6:**
**Collaboration agreement template**
To ensure partners have thought through and agreed on essential initial aspects of a partnership.

**Tool 7:**
**Building blocks of partnership structure**
This tool presents ten elements of an effective partnership structure, ranging from accountabilities and legal structure through to communications and review processes. Alongside the outputs from the resource mapping tool and the partnership planning tool, the partnership structure tool will help to inform the partnership agreement.

**Tool 9:**
**Managing conflicts of interest**
A tool to support organisations in anticipating, managing and mitigating conflicts of interest.

**Tool 10:**
**Partnership health check**
A checklist of all the elements partners might consider in reviewing the health of a partnership, determining areas of discussion and improvement, to ensure that it is operating as efficiently and effectively as possible.

**Tool 11:**
**Managing power imbalances**
This tool will help partners acknowledge, identify and explore sources of power, and define appropriate mechanisms to manage them.

**Tool 12:**
**Troubleshooting**
A tool to help partners troubleshoot common partnering challenges.

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**Agree a common purpose/mission**

**Agree specific objectives/activities**

**Agree resources, roles and responsibilities**

**Structure the partnership**

**Sign a partnership agreement**

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**Tool 8:**
**Identifying and managing risk**
A tool to identify, prioritise and mitigate risks.
The Partnering Lifecycle

The Partnering Lifecycle shows the process a partnership will go through during its whole lifetime. The Partnering Journey diagram above sits within the initial Scoping and Building phase. Similarly to the Partnering Journey, while the process is presented linearly, it’s rarely such a step-by-step process. Partnerships tend to be more organic and iterative than a simple lifecycle may suggest.

11 – 12
In the final phase, MOVING ON, depending upon the outcomes of the partnership and reflection by the partners, the partners might decide to close (either because it has completed its tasks or is not delivering sufficient value), continue on, scale up the impact of the partnership activities, or redirect efforts.

1 – 4
In the SCOPING and BUILDING phases, one or more parties reviews the context, explores the possibility of partnering rather than using a unilateral approach, learns about the interests and motivations of the other sectors and explores partner options. Through early discussions, potential partners determine whether they want to work together, agree the principles, roles and focus of the partnership, and begin to plan for the joint effort. The partners often draw up a partnering agreement or a memorandum of understanding at the end of this phase, which serves as the operating basis for the partnership.

8 – 10
In the REVIEWING and REVISING stage, partners take stock of performance measurement for both the outcomes or results of the partnerships and the ‘health’ of the partnering relationship. A culture of ongoing review allows a partnership to adapt and develop and continue to build its effectiveness and efficiency well after an agreement is signed. The ‘implementation’ circular arrow aims to demonstrate that the partnership is dynamic, adapting how it operates based on experience to date.

5 – 7
In the MANAGING and MAINTAINING phases, partners establish the decision-making, governance and accountability procedures and communication protocols. The partners allocate human resources and financial resources, or they mobilize those resources from an external source. Where additional stakeholders are concerned, the partners engage those stakeholders.

The partners begin to deliver on their promises, jointly manage the undertaking and monitor progress for success. Strong project management combined with strong relationship management are essential to success in this stage.
Stakeholder mapping
Determining who matters and why

<table>
<thead>
<tr>
<th>Stakeholder</th>
<th>Affected by</th>
<th>Affecting</th>
<th>Resources</th>
<th>Instruments</th>
</tr>
</thead>
<tbody>
<tr>
<td>E.g. Mining company in Fuji</td>
<td>The company has a growing number of employees getting lung cancer due to high rates of tobacco use.</td>
<td>The company allows smoking within the mine compound.</td>
<td>The company has access to and strong influence over employees; The company has financial resources to put towards the issue.</td>
<td>The company sets the rules in the mine compound.</td>
</tr>
<tr>
<td>Name 2</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Name 3</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**Mapping 2: Influence against interest**

Stakeholders are mapped within a ‘Boston Square’ to capture the degree to which each stakeholder has influence over the relevant issues / possible partnership objectives, and their level of interest.

Ideal partners will have both a strong influence over and high interest in the objectives of the partnership. However, it is rarely so clear cut. By classifying stakeholders in this way, one can determine cases where: 1) significant awareness-raising is required to turn a highly-influential but low-interest stakeholder into an interested potential partner or 2) significant capacity development is required to turn a stakeholder with high interest but low influence into a stronger potential partner. At this point, collaboration with certain organisations might also be ruled out based on exclusion criteria set out by the NPO or the industry.

**Mapping 3: Roles and degree of engagement**

Multiple different organisations and individuals might play roles in a partnership project, but not necessarily as partners. This mapping of stakeholders, begins to outline the roles and level of engagement of the various stakeholders.

As the partnership is developed and relationships are built, stakeholders might well change their roles.

<table>
<thead>
<tr>
<th>Role</th>
<th>Stakeholder</th>
</tr>
</thead>
<tbody>
<tr>
<td>Partner</td>
<td></td>
</tr>
<tr>
<td>Contractor</td>
<td></td>
</tr>
<tr>
<td>Influencer / champion</td>
<td></td>
</tr>
<tr>
<td>Disseminator</td>
<td></td>
</tr>
<tr>
<td>Funder</td>
<td></td>
</tr>
<tr>
<td>Informer / consultation</td>
<td></td>
</tr>
<tr>
<td>Knowledge provider</td>
<td></td>
</tr>
<tr>
<td>Regulator</td>
<td></td>
</tr>
<tr>
<td>Beneficiary</td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td></td>
</tr>
</tbody>
</table>
Resource mapping
Determining what each partner brings to the table

<table>
<thead>
<tr>
<th>USE</th>
<th>To identify the complementary skills, attributes, knowledge and assets that partners can bring to the table to create additional value</th>
</tr>
</thead>
<tbody>
<tr>
<td>PARTNERING PHASE</td>
<td>Scoping and building</td>
</tr>
</tbody>
</table>

**Resource mapping**

A resource mapping exercise aims to identify the wide range of potential resources a partner could contribute to a partnership.

The table overleaf sets out a whole array of different kinds of resources, beyond financial resources, that each sector of society might typically contribute.

A partnership meeting (or several) dedicated to identifying what partners might contribute to maximise value is important. Run in a workshop format, possibly managed by an external facilitator with experience of this process, it can offer opportunities for partners to fully explore their own potential for resource contribution and – in the spirit of gentle competition – it can lead them to make tangible commitments that will enable the partnership to get underway more quickly and efficiently.

There are various ways of doing this dynamically. The simplest is to ask all those in the room to brainstorm the variety of different resources of all kinds they may be able to bring to the table, and write these on separate cards or post-it notes. These can then be stuck to a large piece of paper on a wall where everyone can see the growing collection. These cards can be colour coded to record which partner has made the particular offer. These cards can then be “clustered” appropriately under headings and reviewed by the group – with more being added as new ideas occur.

Apart from the very tangible contributions this will yield, this process is also invaluable in creating equity – a key principle of partnership, through building respect, understanding and team work between partners – all important pre-conditions of successful collaboration.

The final step is to compare resources required to those available, identify any potential gaps and consider if the partnership would benefit from additional stakeholders (either as partners or in some other role) to fill those resource gaps, including, potentially, funding partners.

Tool 4, Partnership Planning, demonstrates an iterative approach to planning a partnership based on the availability of resources.

## Checklist of typical resources each sector brings to the table

<table>
<thead>
<tr>
<th>Sector</th>
<th>Resources</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Business</strong></td>
<td>- Brand reach / access to customer base</td>
</tr>
<tr>
<td></td>
<td>- Access to and influence over employee base</td>
</tr>
<tr>
<td></td>
<td>- Professional expertise: technical/research/commercial legal/finance/marketing</td>
</tr>
<tr>
<td></td>
<td>- Market/consumer intelligence</td>
</tr>
<tr>
<td></td>
<td>- Business planning and project management</td>
</tr>
<tr>
<td></td>
<td>- Products and services; ability to innovate and reformulate/create healthier products</td>
</tr>
<tr>
<td></td>
<td>- Value chains</td>
</tr>
<tr>
<td></td>
<td>- Infrastructure / logistics</td>
</tr>
<tr>
<td></td>
<td>- A market-based / value creation approach</td>
</tr>
<tr>
<td></td>
<td>- Financial and in-kind contribution (office space, event venues etc.)</td>
</tr>
<tr>
<td><strong>Civil Society</strong></td>
<td>- Technical knowledge / capacity</td>
</tr>
<tr>
<td></td>
<td>- Access to and deep knowledge of communities</td>
</tr>
<tr>
<td></td>
<td>- Legitimacy / social capital</td>
</tr>
<tr>
<td></td>
<td>- Passion and people-focus</td>
</tr>
<tr>
<td></td>
<td>- Capacity building</td>
</tr>
<tr>
<td></td>
<td>- Advocacy</td>
</tr>
<tr>
<td><strong>Public Sector</strong></td>
<td>- Regulatory framework (e.g. guidelines on product labelling, marketing etc.)</td>
</tr>
<tr>
<td></td>
<td>- Integration with public systems (both health and other relevant ministries such as education) / long term planning</td>
</tr>
<tr>
<td></td>
<td>- Taxation policy</td>
</tr>
<tr>
<td></td>
<td>- Capacity building</td>
</tr>
<tr>
<td></td>
<td>- Purchasing power to influence product offers</td>
</tr>
<tr>
<td></td>
<td>- Access to large numbers of employees</td>
</tr>
<tr>
<td></td>
<td>- City planning for a health promoting design</td>
</tr>
<tr>
<td><strong>United Nations</strong></td>
<td>- International norms and standards</td>
</tr>
<tr>
<td></td>
<td>- Political connections</td>
</tr>
<tr>
<td></td>
<td>- Technical support</td>
</tr>
<tr>
<td></td>
<td>- Legitimacy and impartiality</td>
</tr>
<tr>
<td></td>
<td>- Global network with ground presence</td>
</tr>
<tr>
<td><strong>Academia</strong></td>
<td>- Academic Research</td>
</tr>
<tr>
<td></td>
<td>- Neutrality</td>
</tr>
<tr>
<td></td>
<td>- Credibility and reputation</td>
</tr>
<tr>
<td></td>
<td>- Dissemination and advocacy via access to conferences and journals</td>
</tr>
<tr>
<td><strong>Donors</strong></td>
<td>- Technical support</td>
</tr>
<tr>
<td></td>
<td>- Funding</td>
</tr>
</tbody>
</table>
Concept note template

Template for early communication

**Introduction**
- What issue/problem does this partnership address?
- What important context should the partners consider?

**Justification for action**
- What is the reason for collaboration? (Why is partnership the necessary solution?)
- How does the partnership address individual partners’ strategic priorities?

**Partnership opportunity**
- What is the potential over-arching goal of the partnership?
- What are the potential objectives of the partnership?
- What potential collaborative activities will the partners pursue to advance the partnership?

**Landscape analysis**
- What other partnerships, networks, alliances or platforms are working in this space?
- How can the partnership build on and add value to what already exists?

**Method/ methodology**
- How will the aims be achieved?

**Resources**
- What potential resources (financial and in-kind) might be required to actualize the partnership?
- What potential resources (financial and in-kind) might be required to facilitate the partnering process?

**Next steps**
- Immediate next steps moving forward

### POTENTIAL PARTNERS, INTERESTS & ROLES

<table>
<thead>
<tr>
<th>Partner</th>
<th>Organisational interest</th>
<th>Role</th>
</tr>
</thead>
<tbody>
<tr>
<td>Potential Partner 1</td>
<td>Partner 1’s potential interest…</td>
<td>Partner 1’s potential role…</td>
</tr>
<tr>
<td>Potential Partner 2</td>
<td>Partner 2’s potential interest…</td>
<td>Partner 2’s potential role…</td>
</tr>
<tr>
<td>Potential Partner 3</td>
<td>Partner 3’s potential interest…</td>
<td>Partner 3’s potential role…</td>
</tr>
</tbody>
</table>
Partnership planning
Tool for iterative planning

**USE**
To provide the basis for a workplan for the partnership

**PARTNERING PHASE**  Scoping and building

Partnership planning is an iterative process. It begins with an idea of the vision/mission/objectives of the partnership and the resources required to achieve them. This is followed by a reality check of available resources, and slight modification of the partnership vision/mission/objectives and so forth until the available resources and partnership ambition are exactly matched.

The following definitions provide a starting point for partners to begin this iteration. As the process proceeds the accompanying table can help to clarify and capture who can bring and do what for each activity.

- **Vision**: The big, overarching, inspiring way in which the world will be different.
- **Mission**: The fundamental purpose of the partnership – what specific contribution the partnership will make towards the vision (i.e. the partnership does not need to achieve the whole vision itself). An effective mission statement defines why the partnership exists and describes what it should be doing.
- **Objectives**: The specific goals / desired end state the partnership wants to achieve. Where the partnership will be at a specific future point.
- **Activities**: Specific actions/projects/programmes to accomplish the partnership’s objectives.
- **Measurement**: What are the specific measures of success of the partnership’s activities?

<table>
<thead>
<tr>
<th>Activity 1</th>
<th>Partner 1</th>
<th>Partner 2</th>
<th>Expected measurable outputs</th>
<th>Expected contribution to vision and mission</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Resources brought, roles, responsibilities…</td>
<td>Resources brought, roles, responsibilities…</td>
<td>Tangible products, services etc. produced / delivered by partnership</td>
<td>Explanation of how the outputs will achieve the ultimate aim of partnership</td>
</tr>
</tbody>
</table>

**Table**

**Activity 2**

**Diagram**

**Shortcut**

**STARTING POINT**
Every idea is still on the table, required resources unknown

**END POINT**
Clear set of focussed activities with resources available
Internal prospective partnership assessment

Reaching a go/no go decision

**USE**
To assess the value, risks and implications of a partnership opportunity and inform a go/no-go decision

**PARTNERING PHASE**
Scoping and building, prior to developing a partnership agreement

Partnerships should not be entered lightly. They are an important commitment with the potential to bring in significant value but they are not without risks and often suffer high transaction costs. This tool is used to help organisations assess the value, risks and implications of a partnership in order that they can either proceed with confidence, identify knowledge gaps, or decide not to proceed. The ‘go’ decision marks the end of the initial journey for the partner.

All but the simplest forms of partnering tend to be iterative in approach, with more and more relevant information becoming available as the partnership takes shape. Hence this tool can be referred to on an ongoing basis, being updated and adjusted as the details become better known.

The tool is in two parts – an information sheet to capture the base information followed by a checklist to provide a snapshot of current status based on the information sheet.

**CHECKLIST**

<table>
<thead>
<tr>
<th>Area</th>
<th>Assessment</th>
<th>Outstanding issues / further information required</th>
</tr>
</thead>
<tbody>
<tr>
<td>Acceptable partner (including conflict of interest)</td>
<td><img src="https://www.unicode.org/charts/Public/1.1/0200.png" alt="□" /> <img src="https://www.unicode.org/charts/Public/1.1/002c.png" alt="●" /> <img src="https://www.unicode.org/charts/Public/1.1/002c.png" alt="●" /> <img src="https://www.unicode.org/charts/Public/1.1/002c.png" alt="●" /></td>
<td><img src="https://www.unicode.org/charts/Public/1.1/0200.png" alt="□" /> <img src="https://www.unicode.org/charts/Public/1.1/002c.png" alt="●" /> <img src="https://www.unicode.org/charts/Public/1.1/002c.png" alt="●" /> <img src="https://www.unicode.org/charts/Public/1.1/002c.png" alt="●" /></td>
</tr>
<tr>
<td>Partnership fits with organisational mandate</td>
<td><img src="https://www.unicode.org/charts/Public/1.1/0200.png" alt="□" /> <img src="https://www.unicode.org/charts/Public/1.1/002c.png" alt="●" /> <img src="https://www.unicode.org/charts/Public/1.1/002c.png" alt="●" /> <img src="https://www.unicode.org/charts/Public/1.1/002c.png" alt="●" /></td>
<td><img src="https://www.unicode.org/charts/Public/1.1/0200.png" alt="□" /> <img src="https://www.unicode.org/charts/Public/1.1/002c.png" alt="●" /> <img src="https://www.unicode.org/charts/Public/1.1/002c.png" alt="●" /> <img src="https://www.unicode.org/charts/Public/1.1/002c.png" alt="●" /></td>
</tr>
<tr>
<td>Partnership has clear vision</td>
<td><img src="https://www.unicode.org/charts/Public/1.1/0200.png" alt="□" /> <img src="https://www.unicode.org/charts/Public/1.1/002c.png" alt="●" /> <img src="https://www.unicode.org/charts/Public/1.1/002c.png" alt="●" /> <img src="https://www.unicode.org/charts/Public/1.1/002c.png" alt="●" /></td>
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</tr>
</tbody>
</table>

- ![□](https://www.unicode.org/charts/Public/1.1/0200.png) Insufficient information on which to make a judgment
- ![●](https://www.unicode.org/charts/Public/1.1/002c.png) Not acceptable
- ![●](https://www.unicode.org/charts/Public/1.1/002c.png) May be acceptable with adjustments
- ![●](https://www.unicode.org/charts/Public/1.1/002c.png) Acceptable
### CHECKLIST CONTINUED

<table>
<thead>
<tr>
<th>Area</th>
<th>Assessment</th>
<th>Outstanding issues / further information required</th>
</tr>
</thead>
<tbody>
<tr>
<td>Partnership provides significant value / impact against NCDs</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Costs acceptable in relation to value gained</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Risks are sufficiently low or well mitigated</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sufficient financial resources to implement</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sufficient internal resources / capacities available</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Implications are acceptable</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sufficient buy-in from relevant staff / divisions / country offices</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Decision status as of date:**

- Insufficient information on which to make a judgment
- Not acceptable
- May be acceptable with adjustments
- Acceptable
## PROSPECTIVE PARTNERSHIP INFORMATION

### Overview
- Context and drivers
- Vision, mission, objectives and activities
- Why partner:
  - leverage resources;
  - combine resources to innovate;
  - tackle complexity / transformation?
- Non-partnership alternative approach (if applicable)
- Expected role of organisation

### Prospective partners
- Partners’ interests / priorities
- Partners’ commitment and expectations
- Alignment / conflict of interests
- Working experience of partner to date
- Brand Image / reputation

### Fit
- With organisational mandate
- With organisational strategy
- With current programmes / obligations / other partnerships

### Benefits/value
Understanding all forms of value to the organisation:
- Contribution to mission / impact for ultimate beneficiaries
- Increased capacity to deliver
- Increased technical expertise / knowledge
- Additional resources / funds
- Creativity / innovation / sustainability
- Positioning / visibility
- Political benefits
- Positive branding / reputational
- Influence
- Access to new networks / constituencies
- Making the organisation increasingly a ‘partner of choice’

### Implications
- What precedent (if any) does it set?
- Obligations / commitments being made – is there an ‘exit strategy’?
- Effect on other relationships / reputation
- Potential unintended consequences
- Accountability
- Legal obligations

### Costs
- Analysis of transaction, implementation and possible over-run costs

### Risks
- [SEE RISK MANAGEMENT TOOL]

### Practicality
- Funding sources for implementation
- Internal buy-in from relevant staff / volunteers / offices
- Sufficient resource that can be committed
- Sufficient internal skills and competencies to deliver

### Outstanding issues and next steps
- Outlining what decisions / further actions are recommended, by when and by whom
Collaboration agreement template

Standard elements for effective agreements

**NOTES**
There will usually be different forms of agreement related to a partnership:

- **Collaboration agreement** – non-legally binding, agreement of intent to capture the value, vision and spirit of a collaboration and enshrine the principles of partnership
- **Contracts** – legally-binding agreements, sometimes bi-lateral and usually including financial flows and accountabilities required by funding rules (may be similar to service contracts)
- **Constitution of a new legal entity** (if necessary) – the legal description and rules (e.g. articles of association in the UK) to register a legal body of which partners are members (not for profit)

Collaboration agreements will likely be iterative documents, adding and adapting as more information is known and understanding is built up.

**WHO?**
Short description of partners (including legal status, overall mission), identification of representatives of each partner organisation

**WHY?**
- Vision statement
- Overarching drivers / reasons for involvement of each of the partners
- Objectives of the partnership in tackling the causes of NCDs
- Demonstrable VALUE created through partnering
- Specific benefits each party hopes to gain from the collaboration
- Agreed underlying principles / values of the partnership and partners

**WHAT?**
- Mission statement
- Context and target of the partnership activities
- Roles and responsibilities of each of the partners
- Expected resource commitments of each partner and external resources
- Measures of success
- Work plan with activities, timelines, clear, measurable outputs / outcomes and performance indicators

**HOW?**
- Governance / accountability structure including decision-making principles;
- Operational structure (coordination / management arrangements)
- Reference to financial arrangements [details may be in a separate contract]
- Measures to strengthen partner capacity to implement commitments where necessary;
- Procedures for transparency and on-going partner communications;
- Timeframe and procedure for ongoing partnership review and revision
- Metrics for monitoring & measuring partnership performance against each partners’ objectives & shared objectives

**WHAT IF?**
- Conflicts of interest registry and measures for mitigation / monitoring
- Risks / threats to the partners or partnership and how these might be mitigated;
- Grievance mechanism to resolve differences;
- Rules for individual partners to leave or join
- Exit (‘moving on’) strategy for partnership as a whole

**External communications and IP**
- Rules for branding (using own, each other’s) and other rules for the public profile of the partnership
- Intellectual property and confidentiality rules
- Protocols for communicating with constituents and other interested parties

---

Building blocks of partnership structure

**Tool to clarify the parameters of partnership governance and operations**

**USE**
To provide prompting questions for the governance and operational structure of the partnership

**PARTNERING PHASE**
Scoping and building

This tool presents the ten areas of discussion for an effective partnership structure. Alongside the outputs from the resource mapping tool and the partnership planning tool, the partnership structure tool will help to inform the partnership agreement.

- **Goverance and decision-making:** Clarifying who makes which decisions at what level of authority
- **Accountabilities:** Ensuring the partnership fulfils each partner’s own relevant accountabilities
- **Legal structure:** Registering a formal new legal structure or sitting within one of the partners
- **Management structure:** Putting in place a secretariat or other arrangement for project management
- **Human capacity:** Ensuring that all involved have the necessary skills to deliver
- **Reporting:** Ensuring all reporting obligations to partners and donors are met
- **Financial arrangements:** Financial flows and fiduciary arrangement
- **Relationship management:** Continuing to build the inter-partner trust and relationship
- **Communication:** Putting in place effective internal and external communication
- **Review process:** Ensuring a culture of ongoing review as well as formal evaluation
Identifying and managing risk

A tool for identifying, prioritizing and mitigating risk

Partnering for NCDs can produce extraordinary outcomes but the benefits can come with considerable potential risk to individual partners and to the intended outcomes. The success of a partnership depends on all partners sharing an understanding of the risks, and working collectively to reduce them.

Including an explicit risk assessment and management process in the partnering approach can create opportunities, throughout the partnering cycle, for frank discussions about potential risks, their impact and their probability.

This tool is designed to provide an overview of risk assessment and management, and a simple process for applying this to your organisation and your partnership. It sets out a four-step process through which risks are identified, prioritized and mitigated.

Categories of risk

It is important to distinguish different ways to focus risk assessment when dealing with those risks threatening:
- The objectives of the individual partner organisations;
- The partnership itself (the “HOW”); and
- The outcomes of the partnership (the “WHAT”).

Risk assessment and management can be performed for each of these categories of risk, and they often closely inform one another. The process for assessing risk remains the same when applied to different contexts, however the techniques used may vary according to context, and more open, collaborative approaches may be necessary to engage all partners in the process.
What do we mean by risk assessment and management?

Risks can be defined as any events or conditions that threaten the successful realization of the objectives of the partnership or the individual partner organisations. Common risks to partnership success include power imbalances and conflicts of interest.

Risk assessment and management begin as soon as the individual partners begin considering entering into a partnership and continue iteratively throughout the partnering cycle, and they are tied closely to performance metrics and agreed costs and benefits.

A robust risk management approach includes four steps:
1. Identifying risks
2. Assessing risk impact and probability
3. Planning mitigating actions
4. Monitoring and managing risks
Each of these steps is described below.

1 Identifying risks

Having decided on the focus of your risk assessment (e.g. your organisation, the partnership, the development outcomes, etc), the first step is to identify a list of risks to be evaluated. The process can be initiated by prompting discussion of the risk categories introduced in the guidebook.

This process is followed by the development of additional risks, until the group’s ideas are adequately represented. This forms the foundation of a risk registry that will serve as a reference throughout the partnership lifecycle.

2 Assessing and prioritizing risks

The risks identified in Step 1 are then mapped within a 2x2 matrix to capture the magnitude of the impact of the risk on partnership objectives and the probability that the risk event or condition will occur. Risks falling in the High Impact/High Probability quadrant should be considered the highest priority for mitigation efforts to reduce impact, probability, or both. Risks falling into either of the High/Low quadrants form the moderate priority category for mitigation, and risks in the Low/Low quadrant may merit monitoring but are unlikely to merit any active management.

3 Planning mitigating actions

Beginning with the highest priority risks, the risks are now deconstructed into risk factors, which are specific actions, inaction, and changes in conditions, etc. that together represent the sources of the risk. Once a robust set of risk factors have been developed for a risk, actions can be identified to reduce the impact of the risk event if it occurs; reduce the probability that the risk will occur; or both. These actions, the responsible parties and the agreed timelines can all be integrated into the risk registry or within a risk mitigation section of project management plans.

4 Monitoring and managing risks

Once risks have been identified, assessed and mitigated, it is important to regularly review and evaluate the risks and mitigation activities.
Managing conflicts of interest

Anticipating, managing and mitigating conflicts of interest

**USE**  
To help partners identify and deal with conflicts of interest

**PARTNERING PHASE**  
Scoping and building

**What is a conflict of interest?**

- **Direct conflict of interest** occurs when a partner’s interests either within or outside of the partnership are actually or potentially contradictory to the objectives of the partnership.

- **Commercial conflict of interest** occurs when the commercial gains made by a company from a partnership are disproportionate to, and take precedence over, the health gains.

While many NPOs are concerned about engaging in partnership where the company might gain financially from their involvement, the **gaining of profit does not in itself represent a conflict of interest**. Whether it’s a company wanting to engage to invest in wellness at work (thereby reducing the cost of absenteeism and increasing profits), or creating a profitable business model from a new product or service that supports healthy living (such as innovative insurance products), there is a return on investment. The return in investment can be both a driver and an enabler of scale, and so have great potential to achieve widespread impact. As long as the health outcomes are linked with the commercial benefits, this represents an ‘alignment of interest’. However, commercial conflicts of interest can occur where the benefits are not balanced and commercial gains are disproportionate to, and take precedence over, health gains.

**Initial assessment**

<table>
<thead>
<tr>
<th>Is the company?</th>
<th>Potential conflict of interest</th>
</tr>
</thead>
<tbody>
<tr>
<td>‘Directly part of the solution’</td>
<td>Companies with a business model in some way associated with healthy lifestyles</td>
</tr>
<tr>
<td></td>
<td>Low potential of direct conflict of interest</td>
</tr>
<tr>
<td></td>
<td>Potential for commercial conflict of interest</td>
</tr>
<tr>
<td>‘Indirectly part of the solution’</td>
<td>Companies whose core business is not directly connected with the issues, but nevertheless have critical resources to bring to the table</td>
</tr>
<tr>
<td></td>
<td>Low potential for conflict of interest</td>
</tr>
<tr>
<td></td>
<td>Low potential for commercial conflict of interest</td>
</tr>
<tr>
<td>‘Potentially contributes to the problem’</td>
<td>A company’s core business includes profiting from goods (either as manufacturers or sellers) that contribute to the causes of NCDs</td>
</tr>
<tr>
<td></td>
<td>High potential for direct conflict of interest, both real and perceived</td>
</tr>
<tr>
<td></td>
<td>High potential for commercial conflict of interest</td>
</tr>
</tbody>
</table>

It is important to note that organisations can fit into more than one of the categories above.
Commercial conflict of interest

When looking to partner with companies, questions to be asked by the NPO in their internal assessment include:

<table>
<thead>
<tr>
<th>Questions</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Additionality:</strong> Would it happen anyway? Do we really need to engage with the company and use our public / charitable resources to make it happen?</td>
<td>If the commercial investment would happen anyway, a clear case needs to be made for how the investment from the NPO in the partnership will accelerate or create greater scale of health benefits.</td>
</tr>
<tr>
<td><strong>Market disruption:</strong> Does working with the company confer unwarranted legitimacy or special status to the company, or disincentivise competitor companies from taking action?</td>
<td>Where feasible (usually only in pre-competitive areas), NPOs should attempt to partner with multiple companies at once. Where the exclusivity is part of the commercial advantage, the NPO must take special care not to disrupt the market.</td>
</tr>
<tr>
<td><strong>Balanced benefits:</strong> Are the likely public health benefits proportionate to (or preferably, many multiples of) the investment we will make in the collaboration, and is the value the company gaining proportionately to their risk / investment?</td>
<td>The more any partner (whether a company or an NPO) invests in a partnership, the more they can legitimately expect to benefit from the partnership. The commercial benefits should never be disproportionately greater than or take precedence over the health gains.</td>
</tr>
<tr>
<td><strong>Linkage between health and commercial outcomes:</strong> Are the health and outcomes directly linked – i.e. the better the company does, the better the health outcomes?</td>
<td>The more direct the linkage, the less the risk that commercial outcomes will be prioritized above health outcomes since the two will intrinsically go together.</td>
</tr>
</tbody>
</table>

Direct conflict of interest

The form below should be completed to assess the degree of direct conflict of interest: Low Medium High

<table>
<thead>
<tr>
<th>Company partner assessment</th>
<th>Degree</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the company have products or services that are likely to contribute to the problem of NCDs?</td>
<td><img src="#" alt="Green" /> <img src="#" alt="Yellow" /> <img src="#" alt="Red" /></td>
<td></td>
</tr>
<tr>
<td>Would the company’s ‘problem’ business interests be negatively affected if the partnership is successful (e.g. sales of alcohol reduced if a ‘safe drinking’ campaign is successful)?</td>
<td><img src="#" alt="Green" /> <img src="#" alt="Yellow" /> <img src="#" alt="Red" /></td>
<td></td>
</tr>
<tr>
<td>Will any aspect of the partnership directly result in a negative effect on health or the fight against NCDs?</td>
<td><img src="#" alt="Green" /> <img src="#" alt="Yellow" /> <img src="#" alt="Red" /></td>
<td></td>
</tr>
<tr>
<td>Is the company involved in other partnerships or activities that could impact the outcome of this partnership?</td>
<td><img src="#" alt="Green" /> <img src="#" alt="Yellow" /> <img src="#" alt="Red" /></td>
<td></td>
</tr>
<tr>
<td>Will the benefits the company gains from the partnership contribute to the ‘problem’ business interests (e.g. through increasing reputation, publicity and therefore sales of that product)?</td>
<td><img src="#" alt="Green" /> <img src="#" alt="Yellow" /> <img src="#" alt="Red" /></td>
<td></td>
</tr>
</tbody>
</table>
**Conflict of interest approach**

In a complex world, there will almost always be actual or potential conflicts of interest in a partnership, even without a commercial partner. Conflicts of interest can be real or perceived, and both must be managed carefully and transparently. The assessment that needs to be made are:

- What are the actual and potential conflicts of interest?
- What can we do to mitigate the conflicts of interest?
- Are the health benefits sufficiently strong to move ahead with the partnership despite those (potential) conflicts of interest?

Answering these questions should lead to a decision point of:

- **NO-GO:** The conflicts of interest are seen to be so overwhelming and harmful, that a decision is taken to withdraw from the proposed partnership, and this should be communicated as soon as possible with the partner.
- **CAUTION:** The conflicts of interest are seen to be potentially harmful but more information is needed before a decision can be taken. The NPO may choose to perform a ‘due diligence’ process with trusted peers, or it may choose to present the uncertainties directly to the corporate partner for discussion, depending on the strength of the relationship.
- **PROCEED:** If the conflicts of interest are felt to be manageable, some proposed ‘principles of engagement’ can be drafted to share and agree with the corporate partner. Care and skill are needed to ensure that this is not simply a paper exercise.

Note that different NPOs will have different levels of tolerance for potential conflicts of interest based on the potential for reputational damage and the views of their main constituencies.

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**Commercial conflict of interest (worked example)**

A confectionary company wishes to partner with the NPO ‘Healthy Living for All’ in a cause-related marketing campaign. For every specially marked chocolate bar, they will donate 3c to the NPO to make sports equipment available in poor communities.

<table>
<thead>
<tr>
<th>Questions</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Additionality</td>
<td>The donation would not take place without the partnership.</td>
</tr>
<tr>
<td>Market disruption</td>
<td>The market is mature enough not to be concerned by market disruption. However, working with this one company would reduce the chance of working with others.</td>
</tr>
<tr>
<td>Balanced benefits</td>
<td>The company makes a profit of 6c per chocolate bar, selling 100M per year. It will put the promotion on 10M chocolate bars, resulting in $300k to Healthy Living for All. It expects to sell an extra 1M bars because of the promotion (making an extra $300k profit after the donation) as well as improve its reputation.</td>
</tr>
<tr>
<td>Linkage</td>
<td>There is a direct linkage between the commercial gain and the amount of sports equipment bought for schools, with a theory of change that leads to better health outcomes.</td>
</tr>
</tbody>
</table>

**Direct conflict of interest**

<table>
<thead>
<tr>
<th>Actual / potential conflict of interest</th>
<th>Degree of risk</th>
<th>Approach to mitigation</th>
</tr>
</thead>
<tbody>
<tr>
<td>The company’s products potentially contribute to the problem of NCD. In this case there is a direct contradiction between the health benefit (from sports equipment being made available) and the health detriment through increased sale of chocolate bars. There would also be an indirect contradiction as the company gains reputation.</td>
<td>⚫</td>
<td>To mitigate would require breaking the link between the donation and selling more chocolate bars. It is difficult to imagine a mitigation approach that would be acceptable to the company.</td>
</tr>
</tbody>
</table>

**Verdict**

In the present form, Healthy Living for All believes that the conflict of interest means that they cannot enter the partnership. Note that a different NPO, Sports in Schools, could run the same exercise and see a considerably lower conflict of interest since their mission is purely on promoting sport, not on healthy living.
Partnership health check
Ensuring your partnership is operating as efficiently and effectively as possible

**USE**
To review the ‘health’ of the partnership, determining areas for discussion and improvement

| PARTNERING PHASE | Implementation |

Monitoring the health and therefore the efficiency of the partnership’s setup, operation and processes is as important as monitoring its achievements. This tool sets out a set of indicators of partnership “good health”, together with a suggested approach for the partnership to collectively undertake a review workshop. Both the indicators and the approach should be agreed either at the outset of the partnership (or at the review point for existing partnerships), in a process involving all partners.

**Pre-workshop**
- Ask all partners to complete the checklist below, providing their opinion on where the partnership sits relative to each aspect of good practice in partnering
- Analyse the results to prioritise the areas for discussion at the workshop.

**At the review workshop**
- Agree ‘ground rules’ to encourage openness and participation, making it clear that the review is not about judgment or blame, but a positive opportunity to bring up issues, learn together and improve the partnership;
- Present the checklist analysis, jointly talk through each partnering aspect and the positive experiences or the challenges partners may have around it;
- Aim to fully understand and appreciate your cross-organisational perspectives or other sources of diversity;
- Talk through how each aspect of partnering could be either further enhanced or meaningfully improved to the satisfaction of all partners, and prioritise;
- Determine what actions should be undertaken, by whom (wherever possible by more than one partner) and by when.

**Post review workshop**
- Undertake the agreed actions, conferring with partners, keeping all informed on progress;
- Confirm with partners that the aspects have improved.

**SET-UP**

| The partnership’s goals are well articulated internally and externally |  |
| All partners’ incentives are transparent and all gain clear net value from their involvement |  |
| Partners are motivated, inspired and committed towards the common goal |  |
| Actual or potential conflicts of interest have been identified, discussed and mitigated / managed |  |

**REPRESENTATION**

| Partners are regularly and consistently present at meetings |  |
| Representation is at an appropriately senior level |  |
### SUFFICIENCY OF RESOURCES

The partnership has sufficient access to:

- General skills, e.g. communication and organisational skills
- Technical skills
- Partnering and other relevant experience
- Important networks or spheres of influence
- Facilities, e.g. office and meetings space, equipment
- Financial or other resources

### ROLES, RESPONSIBILITIES AND EQUITY

- Roles and responsibilities are clearly defined
- Partners are fulfilling their roles
- All partners feel empowered and the process for making decisions is inclusive, effective and transparent

### MEETING PROCESSES

- Meetings happen with appropriate frequency
- Setting of agendas and arrangement of meeting logistics ensures inclusivity of all partners
- Meetings are documented appropriately and minutes circulated
- Meetings are followed up with action

### WORK PROCESSES

- Deliverables and timeframes are clear
- Individuals take responsibility for their deliverables
- Process for receiving/distributing funding is effective
- Communication and documentation processes is effective
- Monitoring and reporting process is effective

### COMMUNICATION AND TRANSPARENCY

- There is clarity around joint objectives at the start of the process and beyond
- Communication of all kinds is sufficiently frequent
- Information is accessible
- Documentation supports partners in making decisions
- Partners are transparent about their assumptions, goals, needs, drivers and constraints

### TRUST AND TEAMWORK

- There is trust in the partnership
- Partners understand each other’s points of view or interests, and are clear about each other’s motivations
- Partners can rely on each other to complete agreed tasks
- Partners offer to help each other and collectively solve problems

### PARTNERSHIP ADAPTATION AND SUSTAINABILITY

- The partnership is conscious of, and remains, relevant to the context
- The partnership makes adjustments based on its experiences to date
- The partnership is achieving its goals (or is on course to do so)
- Partner organisations are individually getting net value from involvement
Managing power imbalances

Anticipating, managing and mitigating power imbalances

What is a power imbalance?
A power imbalance is being expressed when one partner (or a group of partners) is able to dominate decision-making or otherwise asserts power in ways that disadvantages other partners or are not in the best interest towards achieving the partnership objectives.

One of the core principles of partnering is equity: the idea that all partners are committing resources and bring something essential to a partnership, and that ‘buys them a seat at the table’. Power imbalance, when it is manifested, destroys equity and will likely cause poor partnering because:

- **It can result in poorer decision-making.** Partnership decisions should be made based on the best information and experience available. Power imbalances may result in the advice of a ‘weak’ partner with the best knowledge (e.g. an NPO having very close ties to a community or a particular technical specialism) not being sufficiently taken into account.

- **It reduces commitment.** If a partner feels disempowered, their level of commitment to, and willingness to invest in, the partnership will be reduced;

- **It risks unsustainable partnerships.** Partnerships are about creating value for all the partners. If power imbalances during negotiation results in a partner not gaining sufficient net value, that partner will eventually withdraw. Or if the negotiation results in one partner unfairly and disproportionately benefiting, it risks ongoing bad feeling within a partnership.

Perceived or real power imbalances may be relatively unimportant in situations where the aims of all the partners are very closely aligned but very significant where partners’ aims diverge.

USE

This tool will help partners acknowledge, identify and explore sources of power and design appropriate mechanisms to address, and actions to mitigate, problematic power imbalances

PARTNERING PHASE

Building, managing and maintaining
Balance of power assessment

Sources of power come from a whole range of factors. No partnership would expect to have balance across each individual factor (after all, each individual partner is different) but the hope would be for a ‘feeling’ (one cannot mathematically average as the sources of power are not directly comparable like for like) for an approximate balance on average across all factors.

<table>
<thead>
<tr>
<th>Partner 1</th>
<th>Partner 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 (low) - 5 (high)</td>
<td>0 (low) - 5 (high)</td>
</tr>
</tbody>
</table>

KEY RESOURCES

- Providing a disproportionate amount of funding towards the partnership
- Holding resources / knowledge / social capital etc. essential to the partnership

POSITIONAL

- Partner is in a position to be able to walk away (the partnership is not that important to them) or to easily find an alternative partner
- Formal authority (e.g. grantholder on behalf of consortium)

HUMAN INFLUENCE / ORGANISATIONAL CULTURE

- Discursive power / ability to communicate and persuade
- Seniority / numbers of representatives at meetings
- Agility / flexibility to take decisions and move quickly

Are we suffering from a power imbalance?

While the assessment above may give a theoretical or ‘book’ feel for the balance, the reality is that even if there is an apparent imbalance, it may be that partners do not exert their power, the imbalance is never manifested and no problem is caused. Also, even if there feels to be a reasonable balance of ‘book’ power, perception of power can be just as important as the reality, and can be unhelpfully asserted. The assessment below seeks to check if there is an actual or perceived power imbalance that is being manifested.

<table>
<thead>
<tr>
<th>ASSESSMENT QUESTIONS</th>
<th>Yes/No</th>
<th>NOTES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Do you feel the partnership is unfairly skewed to deliver benefits in favour of one of the partners?</td>
<td></td>
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<tr>
<td>Do you feel one partner is dominating decision-making of the partnership?</td>
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<tr>
<td>Do you feel any partner’s points of view are not being properly heard / considered?</td>
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<tr>
<td>Do any partners show signs of being disempowered? E.g. not attending, or keeping quiet, at meetings</td>
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<tr>
<td>Are any of the partners ‘doing their own thing’, rather than as part of the partnership?</td>
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</tbody>
</table>
## How can we manage/mitigate imbalances?

<table>
<thead>
<tr>
<th>Phases</th>
<th>Assessment questions</th>
<th>Steps to take to manage/mitigate imbalances</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>SET UP</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Acknowledge the</td>
<td>• Who (and who isn’t) being represented in the partnership?</td>
<td>• Take responsibility for your choices: be aware of and make explicit the boundary choices that you make and the resulting implications that entail on who is being included/excluded and whose voice is being heard</td>
</tr>
<tr>
<td><strong>boundary choices</strong></td>
<td>• Who (and who isn’t) being represented in the different committees and meetings?</td>
<td>• Create a governance structure that ensures appropriate representation and shares power</td>
</tr>
<tr>
<td>that you make</td>
<td>• How are decisions being made?</td>
<td>• Define the roles and responsibilities of each partner (as clearly as feasible at each stage)</td>
</tr>
<tr>
<td></td>
<td>• How is information being shared?</td>
<td>• Ensure participants with a similar level of seniority, who are able to make decisions on behalf of their organisations, are at the table</td>
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<tr>
<td></td>
<td></td>
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</tr>
<tr>
<td>Explore and demonstrate the</td>
<td>• What does each partner bring to the table?</td>
<td>• Define and make explicit the unique resources that each partner brings to the table</td>
</tr>
<tr>
<td><strong>unique and valuable</strong></td>
<td></td>
<td>• Acknowledge where partners bring a specific technical or social knowledge that should be paramount in decision-making</td>
</tr>
<tr>
<td><strong>resources</strong> of all</td>
<td></td>
<td></td>
</tr>
<tr>
<td>partners</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>MANAGING AND MAINTAINING</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Acknowledge the</td>
<td>• What sources of power do each partner hold?</td>
<td>• Acknowledge and explore the different sources of power/ power dynamics in the partnership</td>
</tr>
<tr>
<td><strong>sources of power</strong></td>
<td>• What are the explicit and more subtle power dynamics between the partners?</td>
<td>• Cultivate a partnering mind-set among all the members, underpinned by:</td>
</tr>
<tr>
<td>and <strong>power dynamics</strong></td>
<td>• How are these expressed? Through individuals?</td>
<td>- humility to realize others may have more appropriate knowledge / resources</td>
</tr>
<tr>
<td>in the partnership</td>
<td>• Through interactions?</td>
<td>- an ability to balance and sometimes suppress individual ambitions with those of the partnership</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- willingness to give up control and autonomy of decision-making</td>
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<td></td>
<td></td>
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</tr>
<tr>
<td>Actively manage</td>
<td>• Can I support the different partners to reduce power imbalances?</td>
<td>• Build the confidence of partners with less real/perceived power by supporting them in identifying, owning and exercising their source of power if/when appropriate</td>
</tr>
<tr>
<td><strong>power imbalances</strong></td>
<td>• Adapt the governance structure/mechanisms that reduce power imbalances?</td>
<td>• Support the more powerful (whether real or perceived) parties to appreciate what other partners bring to the table and how a collaborative approach benefits them</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Support the more powerful partners to adopt behaviours which empower others</td>
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<tr>
<td></td>
<td></td>
<td>• In meetings:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Ensure information is distributed in advance to cater to participants who may need to consult internally or to reflect in order to react and contribute actively</td>
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<tr>
<td></td>
<td></td>
<td>- Ensure everybody’s voice is being heard and encourage the quieter ones or those with less real/perceived power to express themselves</td>
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<td></td>
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</tr>
<tr>
<td>Address</td>
<td>• Are specific power dynamics problematic?</td>
<td>• Identify when specific power dynamics become problematic</td>
</tr>
<tr>
<td><strong>problematic power</strong></td>
<td>• What makes you think that?</td>
<td>• Design appropriate interventions to address them</td>
</tr>
<tr>
<td><strong>imbalance</strong></td>
<td>• Are their specific interventions that can help mitigate the imbalance?</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### How can we manage/mitigate imbalances? continued

<table>
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<tr>
<th>Phases</th>
<th>Assessment questions</th>
<th>Steps to take to manage/mitigate imbalances</th>
</tr>
</thead>
<tbody>
<tr>
<td>MOVING ON</td>
<td><em>When should you/should you not continue with a partnership?</em></td>
<td><em>Develop critical analysis skills to assess when and when not to partner</em></td>
</tr>
<tr>
<td></td>
<td><em>Are you prepared and in a position to leave the partnership if it does not fulfil your organisation’s and the collective’s needs?</em></td>
<td><em>Identify alternative options to participating in the partnership</em></td>
</tr>
<tr>
<td></td>
<td><em>Maintain the ability to walk away</em></td>
<td><em>Maintain the ability to walk away</em></td>
</tr>
</tbody>
</table>
Troubleshooting

**General approach**

Challenges and problems are a healthy part of any partnering journey. When dealing with such issues, the higher the degree of trust and the strength of the relationship, the more commitment there will be to finding solutions and moving forwards. At the same time, the way that partners deal with challenges has the potential to build the relationship (and potentially results in changes that make the partnership healthier in the long run), or it may end up damaging or even destroying the collaboration.

1. **Avoid a blame culture**
   - If you believe you are partly or fully responsible for a problem (e.g. you’ve failed to deliver on a commitment or made a mistake) accept responsibility and be transparent about it. If a problem has arisen in your partner’s domain, in recognition of your respect for them, do not simply jump to blaming the partner, but keep an open mind.

2. **Create common understanding of the issues involved**
   - When something goes wrong, partners may have quite different understandings of the causes of the problem.

The figure below demonstrates how it can happen. Firstly, partners may not have access to the same information, the ‘common data’, and will be working from different information. Secondly, in interpreting the information, each partner will have its own ‘lenses’: 1) they make assumptions, thereby adding extra data (yellow) which may or may not be valid; 2) they will then have their own cultural or experiential interpretation of the (different) information, leading to different understanding.

**Input:** **Observable data**

**Interpretation**

**Output:** **Understanding**
To build common understanding involves working with your partner to together try to merge each partner’s ‘track’ of observation, interpretation and understanding as much as possible:

i. Build as much common agreement on the observable data (merging the left hand circles);

ii. Challenge all assumptions – both theirs and yours to avoid adding in incorrect information;

iii. Understand both your and their context/experiential lenses to understand how the lenses might cause divergence of understanding;

iv. Come to a joint understanding as far as you can on the root causes of the problem and where you disagree, have clarity on exactly what you are disagreeing on and why (at what point your understanding diverges in the parallel tracks).

3 Make it a joint problem and find a solution together

A problem for one partner is a problem for the whole partnership. Even if it seems to fall squarely into the domain of one partner, there may be structural, capacity or other issues that prevent the partner from solving the problem on their own. By working on the problem together, being open, positive and forward-looking, the partners may come up with more innovative solutions, bring in additional resources or even fully redesign elements of the partnership itself in order to tackle the underlying issues.

### Common partnering challenges

<table>
<thead>
<tr>
<th>Challenge</th>
<th>Mitigation</th>
<th>If the problem does happen…</th>
</tr>
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<tbody>
<tr>
<td><strong>Ever-changing personnel:</strong>&lt;br&gt;The role of individuals in representing partner organisations is critical. When individuals move away, it can mean having to rebuild the relationship from scratch, even having to again make the case for why the partnership is important to the organisation.&lt;br&gt;Spread relationships across multiple individuals, e.g. have two partner reps for each organisation, and engage a wider network of champions beyond the representative. Agree protocol to ensure proper handover as soon as change of personnel is known.</td>
<td>If you are the new representative: don’t judge too quickly; be respectful of the history, make a purposeful effort to build up the relationship, and ask a lot of questions. If dealing with a new counterpart: you may need to bring them along the whole journey from why the partnership was set up in the first place, through how it has morphed and the value it is creating for the counterpart’s organisation.</td>
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<tr>
<td><strong>One partner not delivering:</strong>&lt;br&gt;If organisations are working together for the first time, much is taken on trust. If one organisation does not deliver, it compromises the investments of others.&lt;br&gt;Put in place good project management with light touch monitoring so that any issues are known early. Build an open and transparent culture in which partners feel able to be report if they are having challenges implementing.</td>
<td>Understand what has led to a partner not delivering: Lack of commitment? Lack of resources? Lack of competency? External challenges? Political issues? As a partnership, together find ways to solve the issue, for example through capacity building, another partner supporting the role etc.</td>
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<tr>
<td><strong>Top-down design:</strong> International partnerships negotiated at global level struggle to be implemented at country level where the level of commitment, interest and resources of the local organisations are not sufficiently in place. Partnerships must be based on the local context. The efforts of developing a partnership at HQ level should be repeated with the local actors at every level where the partnership is to be delivered, to ensure it is context-appropriate and there is sufficient buy-in to deliver it.</td>
<td>If global partnerships are not delivering in a particular location, it may be necessary to consider the local partnership as an independent entity, and take the local partner actors through a proper process to rebuild the partnership around their interests, capabilities, resources and desired outcomes.</td>
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<tr>
<td><strong>Too many partners:</strong> While having more partners may eventually bring greater scale and impact, it also increases risks from cultural differences, competing timescales and demands on resources and governance challenges. Match the diversity of organisations to the complexity of the challenge being addressed, with the presumption to go for the minimum viable number to start, and build up from there.</td>
<td>Undertake a light touch review of the collaboration to understand where value is being created, and if it could be delivered more efficiently. Consider different governance arrangements with a smaller ‘core group’ of organisations taking decisions, and with the wider group playing advisory and implementing roles.</td>
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Further reading

The World Economic Forum’s ‘Future of health’ initiative
Building on several years’ work to encourage collaboration solutions for healthy living, the World Economic Forum now lists ‘the future of health’ as one of its ten global challenge areas. This initiative aims to ‘provide a unifying framework for health promotion and disease prevention, solid expertise, broad networks and unique opportunities for public- and private-sector cooperation towards meeting the health needs of 9.7 billion people’.

The Institute of Medicine’s work on ‘Shared value in global health and safety’
This initiative, convened by the US-based Institute of Medicine, aligns closely with the approach taken by this guidebook. Three cross-sector meetings have already been convened to explore practical ‘shared value’ responses to NCD prevention. Extensive workshop materials are available from all of the meetings held to date. See http://www.nationalacademies.org/hmd/Activities/Global/PublicPrivatePartnershipsForum/2015-DEC-3.aspx

The World Health Organisation’s Global Coordination Mechanism
WHO has established a working group “to recommend ways and means of encouraging Member States and non-State actors to align international cooperation on NCDs with national plans concerning NCDs in order to strengthen aid effectiveness and the development impact of external resources in support of noncommunicable diseases”.

The Caribbean NCD Private Sector Forum
An initiative of the Healthy Caribbean Coalition, this meeting in June 2015 brought together representatives from across sectors to discuss a cross-sector response to NCDs in the specific regional setting of the Caribbean. Many valuable resources and meeting presentations are available from the private sector forum here: http://www.nationalacademies.org/hmd/Activities/Global/PublicPrivatePartnershipsForum/2015-DEC-3.aspx