



Explorations 05

How can PPPs work effectively with the Public P?

Practices in food
and water partnerships
in Ghana and Kenya

Acknowledgements

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Marije Balt, June 2017



Conversation with the lead partner (left) and deputy chief, engaged as Public P in a case in northern Ghana, November 2016

Colophon

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Introduction

4 Since 2000, complex issues such as food insecurity and sanitation have been increasingly tackled by private actors. However, for this to be done in a sustainable manner, the engagement of public actors such as governments seems crucial. For water and sanitation, which are regarded as public goods, the public partner is indispensable in partnerships. However for food security, the roles of governments are less obvious. Public-private partnerships (PPP) offer a framework for collaboration and are actively promoted by the Dutch government. However, it is important to understand the implications of involving public partners, especially in dynamic and unpredictable contexts, such as Kenya and Ghana.

This PPPLab exploration study thus aims to reach a deeper understanding of the role and engagement of the 'Public P' in PPPs in Kenya and Ghana. Within these countries, the food and water sectors have been supported through a number of Dutch grant instruments, including the Sustainable Water Fund (FDW) and the Fund for Sustainable Entrepreneurship and Food Security (FDOV). Since 2012, these instruments have aimed to accelerate development through the advantages of collaboration between the public and private sectors. In both instruments, the involvement and role of public actors varies in a number of ways - see Table 1.

Projects

The first P in a PPP refers to the public sector, which consists of organizations¹ owned (or partly owned) and operated by the government, and which exist to provide services for citizens. Public

Ps can be diverse, including both in-country Public Ps - such as the Kenyan counties or Ghanaian water boards - as well as public donors, such as the Dutch government in the case of FDW and FDOV. It is important to understand the various roles that different public actors assume in partnerships with business and civil society organizations. A finer-grained understanding of the motivations of public actors to become engaged in PPPs - what public actors contribute to a partnership and how partnerships deal with the challenges that result from the specific nature of public actors - can enhance our knowledge of how to work effectively with the Public Ps in PPPs.

This exploration brief approaches these questions mainly from the perspective of the lead partner, and offers insights into the practices from FDOV and FDW examples in Kenya and Ghana: its main focus is therefore on the in-country Public P.

This document is structured as follows: First, the research approach is outlined. Second, the experiences of the lead partners of FDOV and FDW PPPs in Kenya and Ghana are presented, highlighting their motivations, challenges, and practices in working with the Public P. These offer unique insight into the lead partners' ability to creatively link to the motivations and incentives of the in-country Public Ps in the project, and as such to create new opportunities for synergies. Two in-depth cases studies provide insights into the public partners' perspective in Kenya and Ghana. Third, the brief concludes with a summary of lessons learned and summarizes the key takeaway points on how to work effectively with the Public P.

Table 1. Differences in public actor involvement between FDOV and FDW

	FDW	FDOV
Formal requirement to have a Public P	Yes	No
Public P is a formal partner in PPP projects	100%	< 50%
Involvement of the Public P at the national government level	Approximately 50%	Approximately 75%
Involvement of Dutch government as formal partner	No	Yes

¹ CSOs are also regarded as private, though noncommercial, partners

Research approach

5 In 2016, PPPLab set up a research project to explore the Public P in PPPs. In the first step, a framework was developed to understand the Public P on the basis of its public nature. The framework outlines the motivation of public actors in partnering, their contributions and roles in partnerships, the challenges they may face, and their guiding questions (*Insights Series 5: Partnering with the Public P*)

Building on that framework, this brief explores practices concerning how to work effectively with public actors in Dutch government-funded FDOV and FDW projects in Kenya and Ghana. These two countries were selected as the focal institutional context, as several FDOV and FDW projects operate in them, and they provide an interesting governance background (see Table 2).

This exploration applies a three-phased research approach (see Figure 1). In the first step, interviews with all lead partners from 12 projects, as well as with Netherlands Enterprise Agency (RVO) staff, were held for the Kenya and Ghana FDOV and FDW portfolios (see Table 3). The lead partners were asked about their motivations in partnering with public partners, the role of the public partners in the project, the key challenges of collaborating with public partners, and the practices they have developed for managing challenges. For each PPP project, a case profile was developed (see the Appendix).

On the basis of the interviews, two cases were selected for in-depth exploration in the second step. In order to understand the Public P perspective, field-based interviews were conducted with all public partners involved in the project. In addition, diplomats at the Dutch Embassies in Accra and Nairobi were interviewed in order to gain insights into the perspectives and roles of the Dutch Public P. The findings of each case study can be consulted in the Annex.

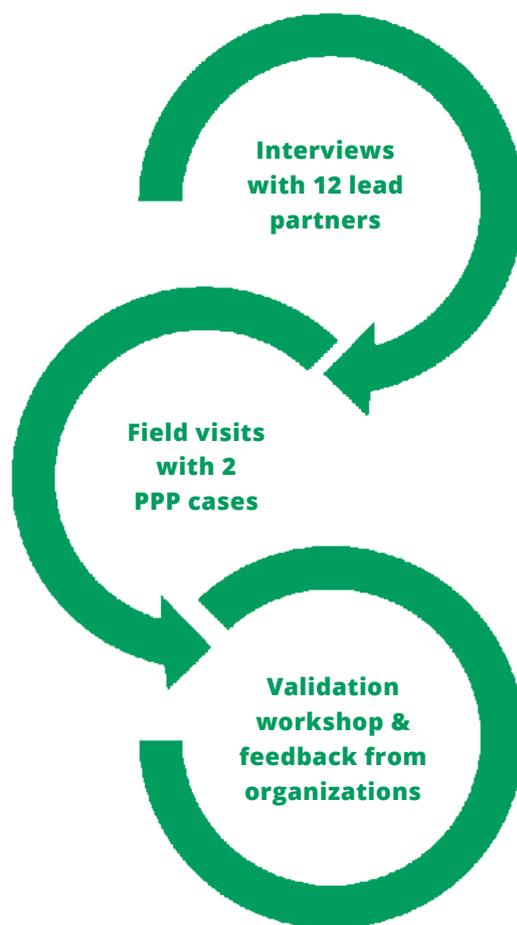


Figure 1. The three-phased research approach

In the third step, the insights from both the interviews with the lead partners and the two case studies were corroborated in order to identify key reasons for partnering with the Public P, challenges met, and practices for managing these challenges. In a more general sense, the ambition was to identify key lessons and to formulate key take-away points. These findings were validated with Netherlands-based lead partners in PPPLab's April 2017 workshop and on an individual basis with the lead partners.

Table 2. Overview of number of FDOV and FDW projects and key country indicators, *Kenya* and *Ghana*

	Kenya	Ghana
Number of FDOV projects	9	3
Number of FDW projects	2	2
GDP growth rate ²	6%	4.5%
Regulatory framework for PPPs	PPP law is in place. In the wake of the 2009 Constitution, county governments were created and in recent years have taken responsibility for PPPs in their territory. The counties work on the basis of multiannual County Integrated Development Plans.	PPP law is in place. Implementation involves a number of bureaucratic steps, which can be a lengthy process; can be delegated to parastatals such as SADA.
Ease of Doing Business ranking ³ (1 = most conducive; 190 = least)	92 out of 190	108 out of 190
Corruption Perception Index ranking ⁴ (0 = clean; 176 = corrupt)	145 out of 176	70 out of 176
Dutch development cooperation partner	Yes, transitional	Yes, transitional

Table 3. Overview of interviewed lead partners of FDOV and FDW projects in *Kenya* and *Ghana* (in-depth explorations in bold)

	Project name	Lead partner
FDW12KE03	Financial Inclusion Improves Health and Sanitation in Kenya	WASTE
FDW14KE13	Performance Enhancement of Water Utilities in Kenya	Aquanet/VEI
FDOV12KE02	Amsterdam Initiative against Malnutrition (micronutrient powders and fortified dairy produce)	AIM
FDOV12KE04	Food Security through Improved Resilience of Small-Scale Farmers in Ethiopia and Kenya (FOSEK)	Solidaridad
FDOV12KE06	Sustainable and Secure Smallholder Systems @Scale	Hivos
FDOV14KE18	Healthy Business Development Program	Pharmaccess
FDOV14KE58	Food Security via Vertical Integration of a New Kenyan Potato Chain	Agrico
FDOV14KE63	Food for All Project in Kenya	Solidaridad
FDW12GH06	Integrated Water Management and Knowledge Transfer in the SK Basin	IWAD/Wienco Ghana Ltd.
FDW12GH07	Mobile Monitoring of Rural Water and Sanitation Services that Last	IRC
FDOV12GH01	Sustainable Maize Program in Northern Ghana	Solidaridad
FDOV14GH04	Strengthening the Horticulture Export Sector in Ghana	CAB International

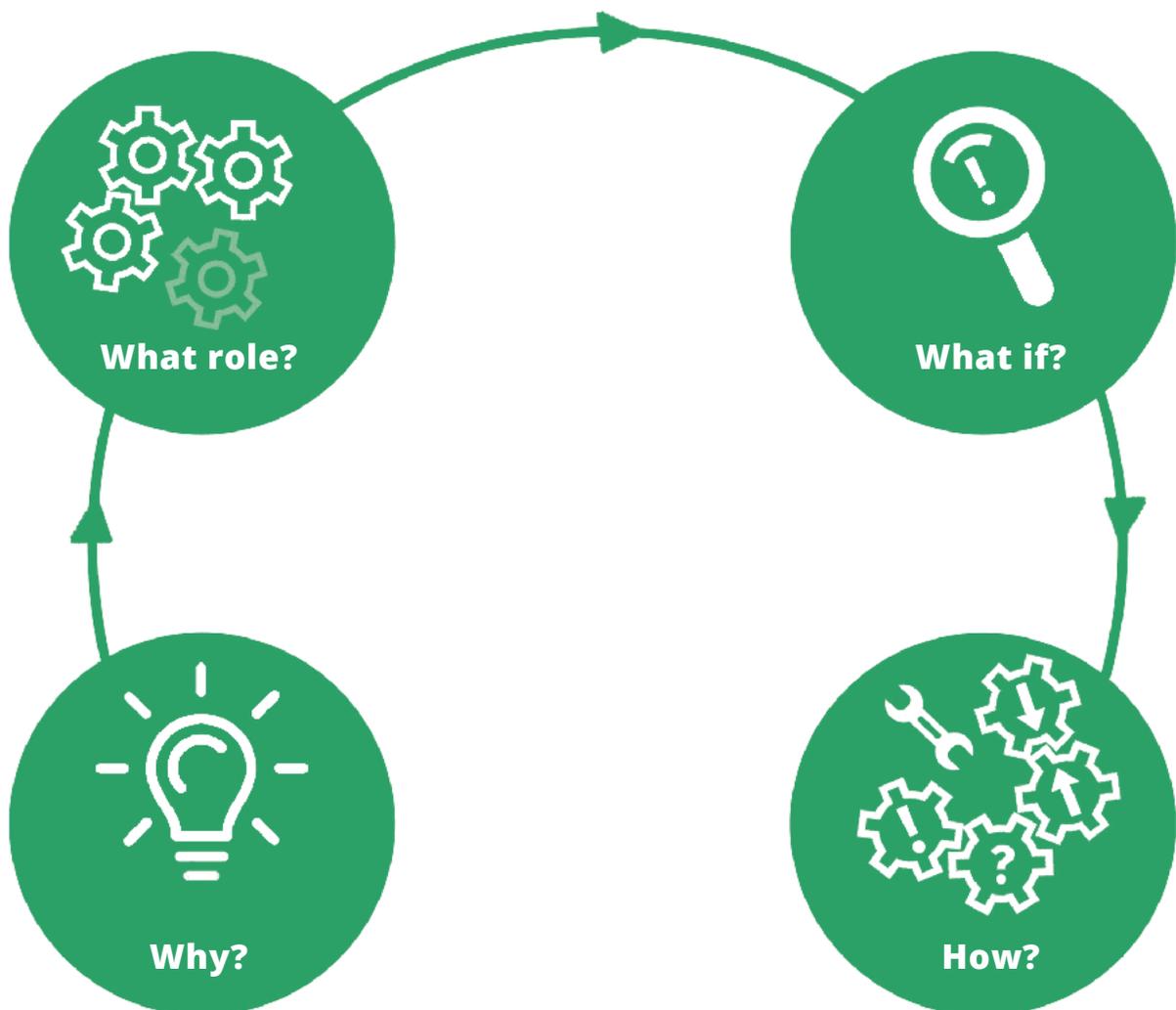
² WEF Competitiveness Report 2015/2016 ³ 2017 by the World Bank ⁴ 2016 by Transparency International

Working with the Public P

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The following chapters will share findings around four main questions on working with the in-country Public P, hereinafter called Public P:

- Why partnerships work with the Public P and their key motivations; but also, why the Public P would want to engage with the partnership and what is in it for them?
- What roles and contributions of the Public P are sought by partnerships?
- What are the challenges and risks in working with the Public P; what if they occur?
- How do partnerships work effectively with the Public P, what are approaches and practices?





Why? Key motivations for partnering

8 At the beginning of a partnership, the potential partners have a number of motivations for engaging with particular public actors. Likewise, public partners also have their own motivations for engaging in a partnership. Matching these can provide a basis for exchange with public partners both inside and outside the partnership. Some partnerships go beyond exchange and find synergies and mutual motivations and incentives, which can provide opportunities for more effective collaboration.

From the lead partner's perspective

The motivations of lead partners in working with public partners are manifold. First, the formal requirement for projects within the Sustainable Water Fund (FDW) to include a public partner in the consortium - which can include (semi)public actors, such as local water boards - triggers lead partners to engage. In FDOV, only less than half of the partnerships formally include an in-country Public P, and in all cases this is central government or parastatals (see Table 1).

This is related to the second motivation, the sector in which the PPP operates. Between the food and water sectors there is a difference of the nature of the 'public good'. In water and sanitation, developing a strong business case for private actors by recovering the costs of investment through, for example, water tariffs can be at odds with the sociopolitical objective of providing access to water for all people. The water sector therefore remains a largely public domain, despite the rise in private actor engagement. The construction and maintenance of a water supply and sanitation infrastructure remains a traditional objective of development cooperation.

Third, the country context can require a formal partnership with the government (or later, counties) or public partners. This is not always the case in Ghana or Kenya but in the African context, Government can have a steering role in PPPs such as in Rwanda and Ethiopia, regardless of the sector and region.

Fourth, the partnership requires a degree of ownership and legitimacy from the government and the wider public sector, which provide a license to operate. Fifth, sustaining and scaling the partnership's efforts is a key driver for engaging the Public P. It is generally understood that, without proper involvement of the public sector, it is difficult for PPPs to overcome barriers to scale. This requires vertical scaling, involving a focus on changing or strengthening the enabling environment⁵. The Public P plays a key role in this. For this type of scaling, the Public P requires a particular kind of capacity - namely, the partnering capacity to bring in and negotiate new partnerships. As sustainability and system change have become increasingly important in the assessment criteria of program instruments such as FDW, the chapter on approaches and practices will present how this type of capacity was nurtured by a number of projects.

From the Public P's perspective

The motivations for the in-country Public P to partner are different to those of the Lead partner, the Private P, outlined above. Development challenges - such as the provision of clean drinking water and sanitation and food security issues - cannot be tackled by the public sector alone, a fact which has prompted the Ghanaian and Kenyan governments to actively pursue partnerships with the private sector⁶. The overall objective behind their involvement in development projects is to maximize and sustain development impact. When working in a partnership, public sector organizations benefit from leveraging public resources, from enhanced service provision, from improved policy design, from a strengthened political mandate and capacity building⁷.

Opportunity for synergies

Synergies between the motivations of the partnership and the Public P usually develop throughout the project. Initially, if partners have not worked together before, the partnership is based on potential synergies which, if nurtured well, can develop over time. Ultimately, the building of a high

⁵ See also PPPLab Explorations Series 4, *Scaling: From Simple Models to Rich Strategies* ⁶ with regard to Ghana, See also 2016 overview of the PPP program by Director of Public Investment Division (PID), Ministry of Finance, Mr. Chognuru, Director-PID - focusing mainly on the infrastructure funding gap ⁷ See also PPPLab Insights Series 05, *Partnering with the Public P*, by S. Pfisterer (2016)

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level of synergies during the project period can create new opportunities for partnering. For water partnerships, the high level of synergies and the early buy-in of the public partner form the backbone of the project, since the Public P needs to be part of the consortium for a FDW project, jointly designing and developing a proposal. The motivation for water partnerships to cooperate with public partners is intrinsic to their way of working: the lead partner can be a semigovernmental organization, such as Vitens Evidens International, that may be more familiar with the public sector's way of working.



What? Roles and contributions of the Public P

10 The roles of the Public P in partnerships can range from more traditional - such as designing and implementing PPP policies - to more emerging approaches, where public actors act as conveners, catalysts, or collaborators. The contributions of the public sector can be clustered around four key roles.

The engagement of public actors usually begins during the design phase of the PPP, with central government typically getting involved to **facilitate and convene** private and public partners. An example is the integrated water management and knowledge transfer in the Sisili Kulpawn Basin, part of the IWAD Ghana Ltd. project (see the in-depth exploration study), which identified its partner, the Savannah Accelerated Development Authority (SADA), through the facilitation of the Ghanaian Ministry of Food and Agriculture and the Dutch Embassy in Accra.

In the beginning, and throughout the partnership, partners seek public partners to **enable and embed** their project. An example of enabling is governmental certification and quality control of new products and inputs. While the project to vertically integrate the potato chain in Kenya was conceived and convened on the level of central government, the PPP needed to engage with another Public P to test and certify the potatoes - the parastatal Kenya Health Plant Inspectorate Service (KEPHIS).

Another important role of public actors, which is of interest to PPPs, is to **promote and coordinate** PPPs. Working towards common goals can be an important reason to cooperate closely with public actors. Within the Amsterdam Initiative against Malnutrition partnership, the companies involved needed the Ministry of Health and the Kenya Dairy Board not only to certify their products and lower the VAT on fortified dairy, but also to market and promote them to Kenyan consumers.

An example of coordination by government is provided by the horticultural project in Ghana, led by CABI:

As a legitimate yet neutral player, the Ghanaian government has an overview, and can therefore help avoid overlap, which is key to harmonizing the initiatives of different donors and avoiding duplication and a mosaic of different standards and initiatives

Public partners can provide services, offer oversight in PPPs, and as such **supply and scale PPPs**. In rare cases, governments such as the Ghanaian government cofinance the project, as in the case of the IWAD irrigation project in northern Ghana. The government parastatal SADA cofinances 6.8% of the project budget and does so with a view to scaling the PPP, in order to attract new PPPs to its region.



What if? Challenges and risks in working with the Public P

11 Working effectively with public partners requires mitigating challenges and risks - ranging from limited capacities to issues with accountability and unpredictable political and institutional developments - that could affect the public partners in the partnership. Despite their challenges and dilemmas, a number of partnerships have found ways to mitigate such challenges. Lead partners and their partnerships have addressed both poor accountability, changes in the political and institutional context, and limited capacities through effectively linking with the public partner's motivations and incentives.

Public accountability

One challenge for PPPs is to find reliable public partners to work with. This relates to government's accountability; in some countries there is a tendency to use its bargaining power to negotiate the terms of the partnership or access to assets such as land and water. In both Ghana and Kenya, PPPs struggle with getting public partners on board and securing their commitment and buy-in. This was especially the case when public partners became involved at a later stage of the project and could (ab)use their bargaining power to make their participation and contribution conditional.

Lead partners shared stories of the high expectations of public partners with regard to compensation for their engagement. In conventional aid projects, it is common practice to pay sitting allowances for participation and to provide cash transfers for transport, accommodation, and other types of allowances. In Kenya, the high level of corruption in the public sector is not conducive to good collaboration with PPPs. Some of the experiences have been negative in the sense that the public sector obstructed⁸ the partnership. In Ghana, there have also been cases of corruption but, for example, in the case of SADA - the public partner in the water management project led by IWAD - this was addressed by a change of leadership, after which the partnership continued.

In both Ghana and Kenya, public partners in the food and water sectors are familiarizing themselves

with the concept of PPPs, which does not provide for such compensation. In sectors and areas with a high density of aid projects and NGO activity, however, public partners have used their bargaining power vis-à-vis the partnership frequently, especially in food security projects, which have tended to engage public partners only at a later stage of the project, if at all.

Political and institutional context

Another challenge is the complex and unpredictable political and institutional context, and how this affects working with public partners. PPPs operate in specific governance contexts in Kenya and Ghana (see Table 2).

The lead partners cited the complexity of working with different levels of the public sector. The political framework of the state determines which Public P (e.g., the regulator, national government agency, or municipal representatives) signs the partnership contract. The responsibility for implementation may, however, lie with another public agency. An example is the project to vertically integrate the potato chain in Kenya, which was confronted with another, more risk-averse Public P than at the start - the parastatal Kenya Health Plant Inspectorate Service (KEPHIS), which caused unexpected delays due to their adherence to strict and time-consuming certification protocols.

In unpredictable contexts, such as Kenya and Ghana, many PPPs have been confronted by the political realities of the country, whether as a result of the new county structure in Kenya or the recent change in government in Ghana. In some cases, these realities have ultimately led to a discontinuation of activities or of the partnership constellation. Some anticipated specific political and institutional risks in Ghana or Kenya, with a minimum of mitigating measures. Most lead partners operating in Kenya admitted that they had not expected the institutional changes that resulted from the devolution of powers to counties, let alone the implications for their projects. This devolution had a major impact on the Hivos @Scale project, which aimed to create opportunities for self-reliance and economic growth among smallholder coffee farmers in the

⁸ Mid-Term Review of the Facility for Sustainable Entrepreneurship and Food Security (FDOV), Royal Tropical Institute (KIT), 25 November 2016, p. 8

Nyeri area. However, as Hivos noted:

The county governor decided to begin trading coffee himself. Our consortium lost the investment and had to find another county to work in

This is a typical example of a nonconductive role being taken by the Public P.

Elsewhere in Kenya, the Amsterdam Initiative against Malnutrition (AIM) attempted to change its approach in the Micronutrient Powder workstream, in response to the administrative devolution. It shifted its activities from the nation as a whole to counties with high potential. However, these counties were to distribute the micronutrient powders, but were not allowed to do so as their health workers had not yet been adequately trained. The scaling process was thus seriously slowed down. Both workstreams in Kenya were discontinued after result phase 1.

In Ghana, the challenge was instead the unpredictability associated with the 2016 elections – which resulted in a change of government – and the resulting potential institutional ramifications of new leadership. In some cases, this influenced, and sometimes hampered, the relationship with public partners. According to the lead partner, CABI,

Elections could change everything; they are the cliff hanger for the project: a lot relies on political support from the Ministry of Agriculture

Limited capacities

Most lead partners experienced capacity as the main challenge in partnering with the Public P. This first of all concerned the technical capacity to implement roles and contributions that were sought by the lead partners. In Kenya, the main certifying body (KEPHIS) suffers from a lack of capacity and is not well-equipped to certify large numbers of crops – the number of potato varieties and seed potatoes having quadrupled in 2015 alone, resulting in delays in project certification. During the project, lead partners are often confronted with unanticipated capacity shortages. In Solidaridad's 2012 project on food security,

agricultural extension (the application of new knowledge to agricultural practices through farmer education) was needed to help improve the resilience of small scale farmers in Kenya. This was usually performed by government agencies. In the wake of the 2009 Constitution, county governments were created and took over this responsibility. However, as highlighted by the lead partner, Solidaridad:

The new county government in charge had no capacity to fulfill the role of agricultural extension, so half way through the project we had to create the new position of county coordinators to train the future trainers

In providing training to address limited capacities, one general challenge is high staff turnover, which also occurs as a result of government shuffles and other unpredictable contextual developments. This is particularly detrimental to the partnering capacity in an institution, which has been familiarizing itself with partnering with private sector. This capacity is key in that public actors may perceive a loss of control when 'opening the door' to the private sector to influence policy making. As the Kenyan Ministry of Agriculture, Livestock and Fisheries noted with regard to the potato project:

International companies are difficult for us to trust, because we do not know them or their motivation for doing business here

If the capacity that is being built to trust and work with these companies gets transferred or replaced, the next partnership that knocks on the door might be confronted with the same challenges: a lack of capacity to partner and negotiate.

Another type of capacity also hampers the working relationship with the Public P: financial capacity. This ranges from civil servants' low pay (and the subsequent brain drain) to the unavailability of budgets for continuing activities initiated by the PPP. This challenge was cited by lead partners in both Kenya and Ghana and poses a continuous challenge to the institutional sustainability of the projects – a key ingredient in vertical scaling and ultimate system change.



How? Approaches and partnership practices

13 From the very start of the project, partnerships have developed various approaches to working with the Public P. Three approaches are common among the PPPs interviewed: (1) early buy-in to ensure commitment, (2) building resilience to political change, and (3) increasing potential for scaling and sustainability. Whereas these approaches can be applied in parallel, they are all based on an understanding of the motivations and incentives of the Public P concerned. This chapter describes in what way lead partners linked to those motivations while mitigating challenges and building on opportunities to work effectively with the Public P.

Get early buy-in to ensure commitment

Early involvement is one approach to securing continuous commitment from the Public P with partnerships, as well as within partnerships. This also helps avoid the challenge of the Public P using its bargaining power at a later stage to negotiate the terms of the partnership or a higher price for access to assets such as land and water. Partnerships applying this approach demonstrate synergies with various Public P motivations: *to strengthen their political mandate, leverage resources for development, and strengthen their capacity.*

Joint design of the project ensures a degree of commitment and responsibility, but also builds in an element of monitoring the role of the public partner. Such early engagement can make the Public P more reliable, but requires from the start good management of expectations regarding the benefits of the project: transparent communication and the consistent application of rules.

Even if involving the Public P is a formal requirement, as with FDW, most water and sanitation partnerships are well connected to public partners at the earliest stages, even before the project because, as lead partner Vitens Evidens International notes:

We think like the public sector ourselves

PRACTICES TO BUILD POLITICAL MOMENTUM WITH THE PUBLIC P'

Joint project design

For SmarterWash, a project in Ghana, lead partner IRC jointly designed the proposal with the Community Water and Sanitation Agency (CWSA) of the Ghanaian government, which played a key role from the start. A good working relationship had already been built prior to the project. The project seeks to calibrate data with regard to nonfunctioning water points, as well as an effective response system for District Authorities and Ghanaian government using the internet and mobile phones. In this way, the government can effectively budget and plan investments. The project has enjoyed good cooperation with the government staff of the district assemblies and with regional and national agencies in the capacity development efforts. However, private sector involvement was relatively small and the sustainability of the activity depends largely on the likely government uptake of data calibration mechanisms.⁹

Strengthen political mandate

In Kenya, while other partnerships were struggling in their relationship with the new counties, WASTE was introduced by its locally based partner AMREF to the Busia Governor, as well as to the local Member of Parliament. They decided to coinvest in water and sanitation business opportunities for youth and women groups in this poor region bordering Uganda, where employment opportunities are few. Through the partner's good 'intelligence' on local decision makers, the partnership was able to seize momentum, create political will for the PPP, and obtain a local license to operate, while linking to the public partner's incentive of strengthening its political mandate.

Facilitate exposure visits

Creating political will and buy-in was also the approach of lead partner Vitens Evidens International when dealing with an individual public manager that used its bargaining power to negotiate the terms of the partnership. In an earlier project, the organization had been confronted with high

⁹ MTR FDW, November 2016

expectations by a particular county governor. As this county was key to the PPP, the governor was invited on an exposure visit to the Netherlands, which smoothed collaboration with this public actor on an individual level. These exposure visits are a common practice in the utility sector to ensure commitment of partners.

Build resilience to political change

Mitigating risks is one approach to building resilience to changes in the political and institutional context. This is in order to deal with the unpredictable developments that affect (collaboration with) the Public P, which can either be related to the complexity of the public sector with its different levels, or new institutional structures (as in Kenya), as well as new counterparts following elections or government shuffles. Partnerships following this approach link to the Public P's interests, such as *leveraging resources for development, strengthening policy design and implementation, and enhancing service provision*.

These practices demonstrate an ability to maintain multiple entry points in institutions and to deepen local networks. In the design of their programmes they take local context as a starting point. While such flexible design works well to mitigate the risks of an unpredictable environment, it remains important for lead partners to monitor a localized approach closely in order to avoid making the project dependent on certain local personalities. This approach should therefore be based on adaptive programming with a solid risk-monitoring component.

While most partnerships do not want to engage in politics, many are well aware of the political economy around the institutions in their sectors, which allows them to respond swiftly when opportune or needed. Timing is key: when to engage with a public partner also depends on the development of the political and institutional context - for example, as a result of elections or the introduction of new institutional structures.

In the food sector, some PPPs were not properly prepared for the political realities of the context, such as the Amsterdam Initiative Against Malnutrition, or failed to build in sufficient

contingencies. This necessitated diplomatic intervention and the trust factor provided by the Dutch Embassies. In spite of the increased dealings of governments with the international companies (as well as INGOs), government-to-government relations are still viewed in Ghana and Kenya as the backbone of partnerships.

PRACTICES FOR IDENTIFYING MULTIPLE ENTRY POINTS TO INSTITUTIONS

Engage higher decision-making levels

Lead partner Agrico was confronted with the complexity of different levels of the Public P and with the substantial delays in certification by the government agency KEPHIS. It opted for another entry point to the Public P: the ministerial level. The 2016 visit of the Dutch Secretary of Economic Affairs expedited the process, which demonstrated that high-level engagement and policy influencing can be an effective approach to mitigating such challenges. As the lead partner Agrico advised:

For other companies willing to do business in Kenya, I would advise to always work in close cooperation with the Kenyan government and the Dutch Embassies, because in Kenya you will encounter things you could have never have envisioned

Go local

In its earlier food security project in Kenya, lead partner Solidaridad had been confronted with the devolution of structures: it now had to engage with the counties. The partnership decided to invest in collaboration. In this process, Solidaridad's Kenya office had deepened its local networks with the counties. The 2014 Solidaridad project, Food for All, was led by the local office, rather than the Netherlands office, as it was better able to navigate the local political context.

Engage informal leaders

In Ghana, lead partner IWAD and its partner Wienco, having been in the area for decades, knew that the rules and regulations do not reflect the reality on the ground - that it is the local chiefs who are in charge. They were well prepared for the territorial issue of land ownership, which complicates projects all over Ghana.

As the lead partner noted:

Collaboration with the public partner in Ghana involves not only dealing with formal government institutions, but also with the chiefs in our region: sitting under trees together and negotiating land issues. Such preparations are crucial for the success of the PPP.

Increase potential for scaling and sustainability

One approach to promoting institutional sustainability is to work on increasing the potential for scaling at the level of the Public P. This addresses the challenge of limited capacities, not only on the technical level, but also with regard to partnering which, if not in place, can negatively affect the PPP's contribution to system change. What incentivizes the Public P to work with partnerships following this approach is not only *strengthening its own capacity*, but also *leveraging resources for development*. As such, the capacity it builds through partnering and negotiating with the partnership can provide a plank for new partnerships to come in. Whereas training can be useful for technical capacity in conventional aid projects, one effective approach to building capacity and developing partnering capacities is to offer the in-country Public P a full-fledged, responsible role in the partnership, based on the principle of equity in partnership.

PRACTICES FOR INVESTING IN PARTNERING CAPACITY

Many partnerships deal with the limited capacities of the Public P, while they need them to play their roles properly in the project; in this sense they are dependent on them. The practices for dealing with this range from ad hoc capacity in exchange for cash, to investing in the Public P's partnering and negotiation capacity beyond the traditional training approach.

Arrange ad hoc capacity

An example of ad hoc exchange between the

partnership and the Public P is the approach taken by Solidaridad in Ghana in its promotion of sustainable maize in northern Ghana. Whenever the PPP requires Public P engagement, public officials are hired on a consultancy basis. Whereas this is not an investment in reinforced capacity, it does provide the basic capacity that the project needs.

Forge strategic deal exchanging capacity support for policy influence

Water and sanitation partnerships, such as those led by the WASTE foundation in Kenya, go one step further and are based on strategic 'deals' that exchange strengthened capacity for policy influence, such as nurturing the Public P's capacities via platforms, investing in partners while influencing the new rules of the game for the sector through vertical scaling. Lead partner Vitens Evidens International, a joint venture of Dutch water companies, is deliberately trying to achieve system change beyond the boundaries of their own project by engaging many of the Kenyan water utilities while also gradually influencing the regulatory body (WASREB).

Build capacity to partner with the private sector

The most common method mentioned for reinforcing the capacity of the Public P is training. Lead partner Pharmaccess involved county governments by letting officials participate in the training for small and medium health enterprises, thereby supporting the counties in effectively managing their new task of public health service delivery. This project also invests in longer-term relations with the Public P by working closely with the public sector opportunities that arise for the private health (SME) sector to engage in public health service delivery, including through engagement in the National Hospital Insurance Scheme. Trust is a crucial issue in this regard. According to Pharmaccess, which has been working in Kenya for over a decade:

Once you show that it worked, you can build on that together

¹⁰ This might not be valid for (drinking) water partnerships, as many don't even include private, commercial partners, according to FDW MTR

16

The ultimate way to build partnering capacity is to allow the Public P to take up a full-fledged and responsible role vis-à-vis private, commercial partners in the partnership¹⁰, striving for equity in partnership. In a public-private partnership, this is not a linear process, though some partnerships try. This is the case in the water management partnership in Ghana, where the government agency Savannah Accelerated Development Authority (SADA) is in a cofinancing and codecision position together with commercial private sector IWAD. Having matured in this role, the empowered SADA is keen to have more responsibility in the partnership, particularly in the governance structure. However, it is also keen not to risk its good relationship with the lead partner with a view to future projects with (or scaling via) the lead partner. As SADA, which is the government agency responsible for the development of northern Ghana, notes:

In the beginning, SADA - as a new institution - did not have the capacity to negotiate good deals with the private sector. Our partnerships were based on trust. Over the years, and through our project with IWAD, this capacity has grown and we are now able to negotiate new partnerships and better deals with private sector

government policies, regulations, and standards, including through lobbying and advocacy.

See also the *PPPLab exploration, Scaling: From Simple Models to Rich Strategies*

Vertical scaling: changing the rules of the game in a specific sector with the Public P

Recently, Public Private Partnerships have been seen as one instrument for overcoming certain barriers to scale, as they combine the competencies and experience of different actors, including the Public P, to address difficult development issues and to create breakthroughs. The private sector's basic mental model is often replication or rolling out - that is, increasing the numbers and copying a successful solution to new clients, markets, and contexts. However, this also requires dealing with vertical system levels: the organizations, notably the Public P, that play a role in realizing what is scaled and the institutions and rules of the game in the sector concerned. System change happens when something becomes the 'new normal'. This institutionalization is also carried out by influencing

Lessons learned and takeaways

17 Linking practices to (new) opportunities for synergies

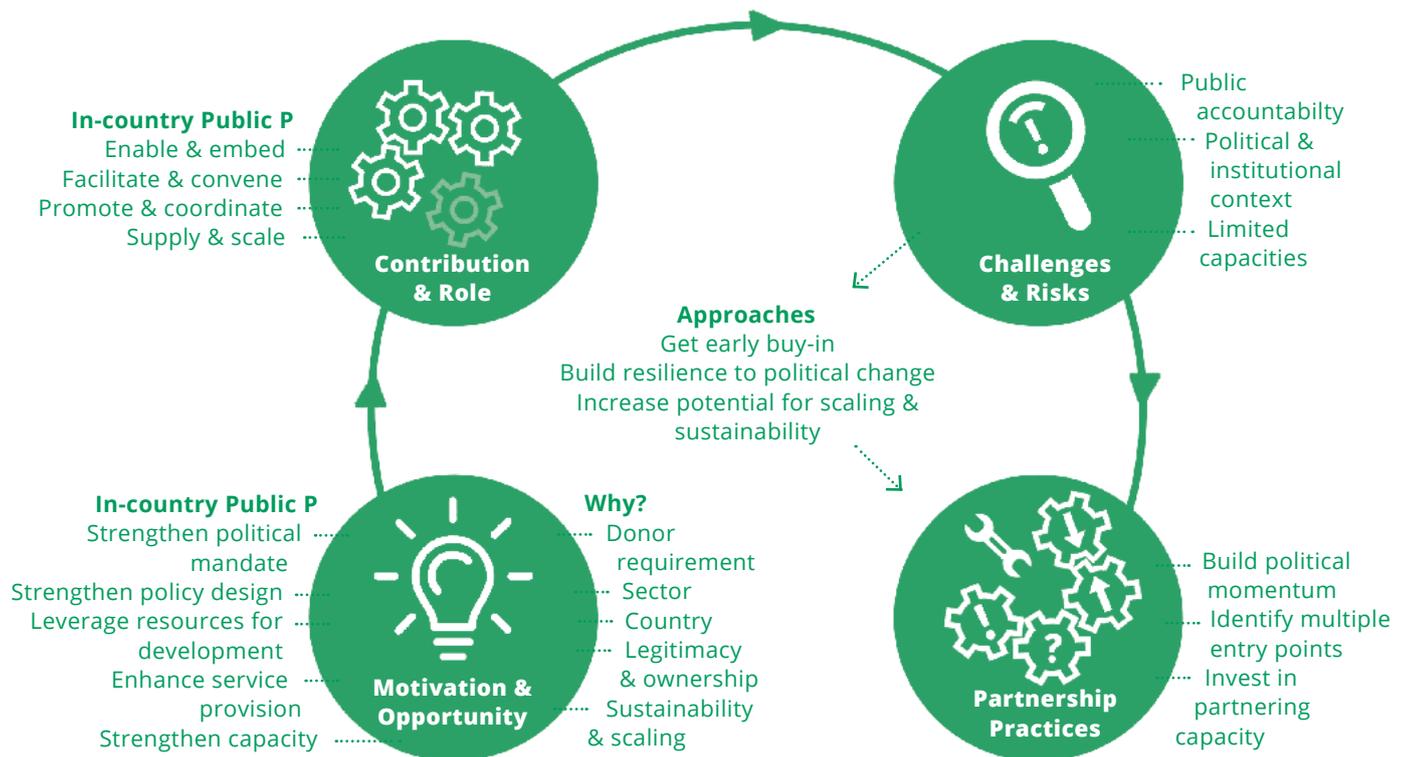
Those PPPs that manage to work effectively with the in-country Public P have intricate knowledge of the motivations and incentives of that Public P. Many that are effective in collaboration have been in the sector and country context for a long time and have built up local networks that are broader than the strictly necessary entry points at the level of the Public P.

Early engagement, building resilience, and investing in partnering capacity are approaches that help partnerships forge an effective collaboration from the start. After all, the partnership needs the Public P to play its role effectively and to provide its contribution. Even if this is not the case, when they are confronted with challenges such as weak accountability, political and institutional changes, and limited capacities, they have developed approaches that have helped to mitigate these problems. This exploration brief

provides an overview of how these approaches translate in a number of practices - and as such provides a repertoire that may be useful for other partnerships, including those outside the Kenyan and Ghanaian contexts, as well beyond the food and water sectors

It seems that partnerships that manage to achieve early buy-in have more reliable and committed partners, as they designed the project together. Partnerships that have already experienced change in the political and institutional context know how to deal with unpredictability: they spread their risk by maintaining multiple entry points and deepening local networks. Lastly, such partnerships invest in capacity of the Public P: not only immediate technical capacity, but also the capacity needed for the longer term - partnering and negotiation capacity. They do so in view of future opportunities for scaling. If not them, others can at least benefit from the Public P's reinforced capacity and potential for scaling.

Figure 3. How can PPPs work effectively with the Public P? Practices in food and water partnerships in Ghana and Kenya



Concluding remarks

18 This exploration study was a first attempt to shed light on how to work effectively with the Public P in PPPs. Based on some initial insights from FDOV and FDW projects in Kenya and Ghana, it showed that PPPs - and their lead partners in particular - work consciously and unconsciously with a repertoire of practices and approaches. Some PPPs had a transformative effect on their public partners, having matured in their roles in the water and food sectors with increased partnering and negotiation capacities. As such, the lessons from PPPs that have devised innovative and long-term approaches to engaging the Public P can serve to inform a repertoire of options for new PPPs.

There is no one-size-fits-all approach to a context or sector. However, one commonality among those PPPs that work effectively with public partners is that they invest a great deal of time in understanding the interests and incentives of their public partners, and they negotiate a high degree of flexibility into the partnership in order to respond effectively and in a timely manner.

This dimension will need to be better understood and integrated in the design phase of PPPs. Embassies have played active roles as brokers and facilitators in this, which helps PPPs anticipate challenges further down the road.

These various innovative practices for coping with challenges and building on opportunities demonstrate that a repertoire of practices and options is required for working effectively with the Public P in-country. Such a repertoire can be based on the earlier questions supplemented by key elements from this research:

- **Why to engage the Public P in the partnership? Why would the Public P engage: what is in it for them?**
- **What roles and contributions are sought from the Public P? Which actors should be involved, and at what level of their organization?**
- **What are challenges and risks in working with the Public P? What if they occur, how to mitigate these effectively? How to link to their (other) motivations and incentives? How to work with the Public P: which approaches and practices are effective? How to build (on) the partnering capacity of the Public P?**
- **Timing: when should this be done in the partnership process?**

PPPLab will continue to research how to effectively work with the Public P: (a) by exploring more cases, in both the same institutional contexts (Kenya and Ghana) and in different institutional contexts, in order to learn more about the practices and tactics; (b) by focusing on the specific role of the Dutch Public P, and (c) by comparing and contrasting practices and tactics outside of the Dutch context. This will allow us to gain a more complete picture of how to work effectively with the Public P.

If you have been inspired to collaborate with us on our research endeavor or to support us with your feedback or ideas, please do not hesitate to contact us via info@ppplab.org or balt@rsm.nl

Appendix: summaries of in-depth exploration studies

19 Summary of the Kenya case study

This study is part of a PPPLab research project on the role of the Public P in PPPs. Our research aims to provide a better understanding of the Public P in terms of incentives, roles, challenges, and partnership practices to support more effective partnering with the public sector in PPPs. The “Food security via Vertical Integration of a New Kenyan Potato Chain” PPP was launched in 2015 as part of the second FDOV call by the Netherlands Enterprise Agency to enhance food security in Kenya through the development of the Kenyan agribusiness sector.

The PPP is part of a larger strategy of developing the potato industry in the country in order to alleviate Kenya’s dependence on maize as a staple food. However, the agricultural yields of potato farming are low in Kenya and the industry is not well developed. The PPP addresses these issues by engaging local multipliers, service centers, distributors, independent farmers, commercial villages, and large-scale farmers in a collaborative approach to improve the income of smallholder farmers, and in particular of women.

The main public partners in the PPP are the Dutch Ministry of Foreign Affairs, through its Embassy; the Kenyan Ministry of Agriculture, Livestock, and Fisheries (MoALF); the Kenya Plant Health Inspectorate Service (KEPHIS); and the local county governments. The main motivation for partnering is the opportunity to combine the expertise of the public sector with the innovative capacity of the private sector to come up with new solutions for food security issues and to develop the agribusiness sector in Kenya. In order to achieve this objective, the public partners all play their part. Besides its role in providing funds for the partnership through the FDOV instrument, the Dutch Public P plays a crucial role facilitating and convening the partnership, organizing meetings, and providing training opportunities for the Kenyan Public P, which is in turn responsible for enabling and embedding the partnership and for carrying out coordination and promotion.

In addition to opportunities, partnering with the Public P also brings some challenges and risks to the fore. In this PPP, one of the most crucial of these is the lack of capacity on the part of KEPHIS,

which has led to delays in the project. Also, the apparent difference in the interest and approach of the public and private sectors is a burden on the partnering process. However, the Kenyan public sector, and KEPHIS in particular, wants to minimize risk by adhering to strict time-consuming certification protocols, the private sector wants to maximize profits by strengthening the business case.

Finally, the legal and political context has proven to be challenging - in particular, the implementation of devolution and the upcoming elections in Kenya, which may prove to have ramifications for the continuity of standing political agreements, staff involvement, and policy priorities. To deal with these challenges and to mitigate risk, the PPP has developed a number of practices focusing on capacity development, agility in navigating the political context, and collaborative policy design.

The main findings of this study are that, in order to work effectively with the Public P in a PPP, it is important to employ a repertoire of strategies for engagement, to be able to navigate the local political context, and to be willing to invest in the development of partnering capacities and trust within the PPP. Most importantly, effective partnering in PPPs requires making strategic choices on the why, how, and what of working together with the Public P.

Summary of the Ghana case study

What is the best way to effectively work with public partners in a public–private partnership (PPP)? The partnership of IWAD Ghana Ltd., supported by the Dutch government’s Sustainable Water Fund (FDW), is an interesting case to consider in exploring this question. IWAD and the Dutch–Ghanaian company Wenco are among the few active investors in the agricultural sector in northern Ghana, a region lagging behind due to its harsh climate and limited private and public investments. Since 2013, the activities of the partnership have introduced large-scale modernized irrigation farming practices involving hundreds of small holders, promoting commercial irrigation practices and food security, and creating local employment.

The partnership was created between Wenco Ghana Ltd., Alterra (Wageningen Environmental Research), Rebel Group, and the Savannah Accelerated Development Authority (SADA), which represents the Government of Ghana. Other Ghanaian partners bringing in local knowledge and research include institutes such as the University of Development Studies in Tamale, the SARI crop institute, and the Damongo training college for hands-on farm training. The Dutch government has not only financed 60% of this project, but has also facilitated and brokered the partnership, while providing a trust factor and ensuring that partners meet their commitments.

A unique element of this partnership is the deep involvement of the Government of Ghana through SADA. Its contribution is manifold; its role involves not only cofinancing, but also contributing to a conducive and enabling environment in this region, which is referred to as the Savannah Agro-Ecological Zone. This is strategically interesting for the lead partner’s scaling plans. Another crucial element of this partnership, and one that goes beyond formal structures, is the customary leaders or chiefs, who are in charge of local land and water issues. Agreements with these traditional authorities are indispensable for IWAD’s current and future activities in the area.

This specific collaboration between private and public partners, tailored to the local context and its complexities and designed in a bottom-up

manner, has proved crucial to the success of this public–private partnership. This study has explored a number of practices that could prove useful to other partnerships, such as recognizing and dealing with the changing governance requirements that stem from the political realities on the ground. In addition, it presents tips and tricks for effective partnering, such as building on what works, being realistic and managing time, and showing consistency in the face of evolving challenges, while allowing for flexibility. Although partnerships may be specific to the context and sector in which they operate, the insights of this study contribute to building a much-needed repertoire: how, why, and on what basis to work with public partners, and who to work with.

Case profiles

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Financial Inclusion Improves Sanitation and Health (FINISH Kenya) Lead partner: WASTE Foundation

22

Project number: FDW12KE03

Location of implementation: Kenya: Kilifi, and Busia Counties

Timeframe: 2013 - 2017 (5 years)

Budget: € 9,499,533 (FDW contribution of € 4,582,377)

Partners of the PPP: WASTE Foundation (NGO), African Medical and Research Foundation, AMREF Flying Doctors, Kenya Women Finance Trust, K-Rep Bank, Goodwell Investment, Social Equity Foundation, Kenyan Ministry of Public Health and Sanitation, SNS Asset Management, United Nations University-MERIT

The PPP at a glance¹

One major focus of Kenyan sanitation policy is to implement Open Defecation Free (ODF) areas and to improve sanitation facilities in order to improve public health. The project aims to contribute to this by using the Community Led Total Sanitation (CLTS+) approach to sensitize trigger communities to build (improved) sanitation facilities, and by offering microfinance products to help pay for the required investments. This proposal is based on a similar successful approach employed in India (Finish India). By the end of this project, the partnership will have made 840,000 people aware of the importance of proper sanitation. 40,000 household will have improved sanitation facilities (i.e., 280,000 people with safe sanitation) and thus increased economic potential. Approximately 20,000 households will have taken a sanitation loan and 20,000 will build a sanitation facility without a loan. Moreover, 50 sanitation enterprises will have been formed through increased demand for sanitation. In the long term, sanitation loan products will be an integral part of the microfinancing market.

Working with the in-country Public P in the PPP

The formal partner is the Kenyan Ministry of Public Health and Sanitation, which plays a key role in the national platform for coordination and collaboration with key stakeholders. Furthermore, the CLTS approach is implemented by the Kenyan government on the national level. The partnership has engaged with various Kenyan public partners, ranging from parliamentarians to schools.

Approach and practices

While other partnerships have struggled in their relationship with the new counties, lead partner WASTE was introduced by its locally based partner AMREF to the Busia Governor and to the local Member of Parliament. They decided to coinvest in water and sanitation business opportunities for youth and women groups in this poor region bordering Uganda, where employment opportunities are few. Through the partner's good 'intelligence' on local decision makers, the partnership was able to seize momentum, create political will for the PPP, and obtain a local license to operate, while linking to the Public Partner's incentive of *strengthening its political mandate*.

¹ <http://www.rvo.nl/subsidies-regelingen/projecten/>

Performance Enhancement of Water Utilities in Kenya (PEWAK)

Lead partner: Vitens Evidens International (VEI)/Aquanet

23

Project number: FDW14KE13

Location of implementation: Kenya

Timeframe: 2015 - 2020 (5 years)

Budget: € 6,354,735 (FDW contribution of € 3.743.705)

Partners of the PPP: Aquanet (applicant), Water Services Regulatory Board (WASREB; public), Water Services Provider Association (WASPA; NGO), ten Water Service Providers (WSPs) in Kenya, Water Services Trust Fund (WSTF), Vitens Evidens International (not-for-profit organization consisting of two Dutch drinking water companies), UNESCO-IHE (knowledge institute), SNV Netherlands Development Organization (NGO).

agreements. While WSBs are responsible for asset development, the contracted WSPs are responsible for the provision of water supply and sanitation services (asset operations and maintenance). The Ministry of Environment, Water, and Natural Resources provides overall coordination and develops guiding policies while the Water Services Regulatory Board (WASREB) sets rules and enforces standards to ensure that consumers are protected and have access to efficient, affordable, and sustainable services.

The relations with the county governments are equally important for the project, such as the counties of Mombasa and Nakuru.

The PPP at a glance²

The PEWAK project is led by VEI/Aquanet as the key partner and project manager, while the benchmarking activities are led by WASPA, the water utilities sector association. The project uses a learning platform and benchmarking between water utilities to improve access to safe water for at least 100,000 people. It also aims to have developed access strategies for 750,000 people in low-income areas of Kenya. Water Service Providers (WSPs) are the principle suppliers of water and sanitation services to these areas. However, due to poor commercial viability, their ability to invest sustainably in underserved areas is low. Reducing high nonrevenue water (NRW) levels is the key to improving the WSPs' commercial viability. The project therefore aims to help companies learn practical strategies to improve their performance and carry out smart investments in NRW reduction for at least 51,000 connections (400,000 people).

Working with the in-country Public P

Three public agencies play a key role as formal partners in the PPP: the Water Services Trust Fund (WSTF), the Water Services Providers (WSPs), and the Water Services Regulatory Board (WASREB; public). The Water Act (2002) heralded far-reaching institutional reforms in the Kenyan water sector. Under the Act, Water Services Boards (WSBs) contract WSPs through service provision

Approach and practices

Even though involving the Public P is a formal requirement with FDW, most water and sanitation partnerships are well connected to public partners at the earliest stages, and even prior to the project. Lead partner Vitens Evidens International explains this smooth relationship as being due to the fact that 'we think like public sector ourselves'. Creating political will and buy in was an approach used by the lead partner Vitens Evidens International when dealing with an individual public manager that used its bargaining power to negotiate the terms of the partnership. In an earlier project, the organization had been confronted with high expectations from a particular governor. As this county was key to the PPP, the governor was invited on an exposure visit to the Netherlands for high-level meetings, which smoothed the collaboration with this public actor on an individual level.

Lead partner, Vitens Evidens International (a joint venture of Dutch water companies) is deliberately attempting to achieve system change beyond the boundaries of its own project by engaging many of the Kenyan water utilities, while also gradually influencing the regulatory body (WASREB). This involves nurturing the Public P's capacities via platforms and investing in partners while influencing the new rules of the game for the sector - that is, vertical scaling.

² <http://www.rvo.nl/subsidies-regelingen/projecten/>

Amsterdam Initiative against Malnutrition (AIM): Micronutrient Powders and fortified dairy

Lead partner: Amsterdam Initiative against Malnutrition (AIM)

24

Project number: FDOV12KE02

Location of implementation: Kenya

Timeframe: 2012 - 2016 (5 years)

Budget: B3 – Micronutrient Powders: € 1,549,300 (FDOV contribution of € 769,221), B4 – Fortified Milk Product: € 1,543,807 (FDOV contribution € 766,494)

Partners of the PPP: B3 – DSM (private), Phillips Healthcare Services Kenya (private), Ministry of People Health Services Kenya (public), Global Alliance for Improved Nutrition (GAIN)

B4: Happy Cow (private), DSM (private), AMREF (NGO), SNV Kenya (NGO), Global Alliance for Improved Nutrition (GAIN)

The PPP at a glance³

Malnutrition is a serious problem among people, in particular mothers and children, at the Base of the Pyramid in sub Sahara Africa and Southeast Asia. Both hunger and lack of micronutrients are affecting millions of people. In this project, a large consortium of both local and Dutch seed, food and fortificants producers retailers, two Dutch knowledge institutes, a number of NGOs and a local Ministry is led by the Global Alliance for Improved Nutrition (GAIN) aiming to break barriers and to provide complete value chain solutions for nutritious foods, from affordable raw materials to available and accessible nutritious foods. The programme contains the ideas of AIM partners in the AIM platform that are worked out into seven separate projects (work streams) plus an umbrella layer (Support work stream). Two of these workstreams are implemented in Kenya.

The B3 workstream on Micronutrient Powders aims to develop a local packaging facility for micronutrient powders (MNP) to allow the affordable introduction of both an institutional and a commercial premix MNP supply chain to Base of the Pyramid (BoP) mothers and children in Kenya. The project also includes consumer studies and marketing push and pull to reach the targeted customer base to purchase the MNP sachets.

The B4 workstream on Fortified Milk Product aims to produce and market two fortified dairy products

and stimulate the demand for these products at BoP level. The project targets to reach 375,000 BoP families consuming and 20% of retailers carrying the fortified dairy products in Nairobi and surroundings.

Working with the in-country Public P

The AIM project works with various public partners, such as the Ministry of People Health, the Kenya Dairy Board, the Bureau of Standards, and various county governments. Their roles are mainly to promote and market the products to Kenyan audiences. The two companies involved needed the Ministry of Health and the Kenya Dairy Board to certify their products and to market and promote them to Kenyan consumers, as well as to broaden the distribution network for micronutrient powders. The partnership also attempted to influence policies on VAT exemption for fortified dairy. As for the Dutch Public P, the Ministry of Foreign Affairs is both member of the AIM platform as well as this partnership.

Approach and practice

Working towards common goals can be an important reason to cooperate closely with public actors. Within the Amsterdam Initiative against Malnutrition partnership, the companies involved needed the Ministry of Health and the Kenya Dairy Board to both certify their products and lower the VAT on fortified dairy, as well as to market and promote their products to Kenyan consumers.

AIM attempted to change the approach in the micronutrient powder workstream in response to administrative devolution in Kenya by shifting its activities from the nation as a whole to high-potential counties. However, these counties were to distribute the micronutrient powders, but were not allowed to do so as their health workers had not yet been adequately trained. The scaling process was thus seriously slowed down. Both workstreams in Kenya were discontinued after result phase 1.

³ <http://www.rvo.nl/subsidies-regelingen/projecten/>

Food Security through Improved Resilience of Small-Scale Farmers in Ethiopia and Kenya (FOSEK) **Lead partner: Solidaridad**

25

Project number: FDOV12KE04

Location of implementation: Kenya and Ethiopia

Timeframe: 2013 - 2019 (7 years)

Budget: € 9,267,581 (FDOV contribution of € 4,400,000)

Partners of the PPP: Solidaridad (NGO), Nestlé (private), Solidaridad East and Central Africa Expertise Centre (SECAEC), Coffee Research Foundation (knowledge), Ecom Agroindustrial Corporation (private), Dorman Ltd. (private), Coffee Management Services (private), Sustainable management Services (private), Yirgacheffe Coffee Farmers Cooperative Union, Sidama Coffee Farmers Cooperative Union, Oromia Coffee Farmers Cooperative Union

The PPP at a glance⁴

The demand for food in Kenya and Ethiopia is higher than its supply. Farmers have the potential to produce more food than they currently do, but they don't have sufficient knowledge or input materials to accomplish this. Smallholder farmers in the coffee sector are almost always engaged in several other agricultural activities besides coffee production. Some of them have received training in coffee growing and certification. So far, however, there has been no integral approach to improving the various activities and creating linkages between the activities. Therefore, a consortium of Solidaridad (lead partner) and the partners SECAEC, Coffee Research Foundation Kenya, C. Dormans Ltd., Coffee Management Services Ltd., Sangana Commodities Ltd., Sustainable Management Systems Ltd., Nestlé SA, and three farmers' cooperative unions (YCFCU, SCFCU, and OCFCU) is aiming to increase farmers' productivity and resilience by improving sustainable agricultural practice and combining coffee as a cash crop with the production of a selection of food crops for local markets (intercropping). Trees such as macadamia can be used for shade to improve coffee yields while at the same time producing macadamia nuts, which can be sold on the market to generate additional income for the farmer. Other food crops such as pumpkins can also be used for soil conservation and to prevent

dehydration, while at the same time producing food. Besides the food crop business case, the project also includes a dairy business case. A joint learning platform was established together with Hivos, which has implemented a similar project proposal (FDOV12KE06). Both organizations have worked together on the project proposals in order to prevent overlap, and will work together in the future in sharing accumulated knowledge and best practices.

Working with the in-country Public P

In the wake of the 2009 Constitution, county governments were created and in recent years have taken responsibility for PPPs in their territory. The counties work on the basis of multiannual County Integrated Development Plans. The initial project did not include this dimension, but initiated collaboration with counties upon the introduction of the county structure in Kenya.

Approach and practice

In general during the project, lead partners are frequently confronted with unanticipated capacity shortages of public partners. In the 2012 project on food security, agricultural extension (the application of new knowledge to agricultural practices through farmer education) was needed to help improve the resilience of small scale farmers in Kenya, which was usually done by government agencies. However, the new county government in charge lacked the capacity to fulfill the role of agricultural extension so, halfway through the project, Solidaridad created the position of county coordinators to train future trainers, and as such helped upgrade the much needed capacity.

⁴ <http://www.rvo.nl/subsidies-regelingen/projecten/>

Sustainable and Security Smallholder systems @Scale

Lead partner: Hivos

26

Project number: FDOV12KE06

Location of implementation: Kenya

Timeframe: 2013 - 2018 (6 years)

Budget: € 16,296,530 (FDOV contribution of € 5,555,800)

Partners of the PPP: Hivos (NGO), Ecom (private), Sustainable Management Systems SMS (private), Kawacom Uganda Ltd., Tutunze Kahawa Ltd., Kenya National Federation of Agricultural Producers (KENFAP)

The PPP at a glance⁵

The goal of this PPP is to create opportunities for self-reliance and economic growth for smallholder coffee farmers in parts of Kenya, Uganda, and Tanzania. Currently, due to limited knowledge, limited land availability, climate change, and lack of technology, the coffee production of smallholder coffee farmers is low and inefficient. Besides providing training and input materials to farmers, the project will promote and facilitate the use of biodigesters in order to provide the farms with energy and better manure for the land. Hivos will be responsible for the overall project management in this PPP. Other partners include ECOM and SMS, Kawacom, and Tutunze (all subsidiaries of Ecom), as well as KENFAP, a federation of Kenyan farmers. These partners will mostly be involved in training, certification, and other technical assistance. ECOM will also provide a credit facility for farmers in order to enable them to buy farming input materials and biodigesters. A joint learning platform will be established with Solidaridad, which has produced a similar project proposal (FDOV12KE04). Both organizations have worked together on the project proposals to prevent overlap, and will work together in the future sharing accumulated knowledge and best practices.

Working with the in-country Public P

In the wake of the 2009 Constitution, county governments were created and in recent years have taken responsibility for PPPs in their territory. The counties work on the basis of multiannual County Integrated Development Plans. The initial project did not include this dimension, but initiated collaboration with Nyeri County upon the introduction of the county structure in Kenya.

Approach and practice

In unpredictable contexts such as Kenya, many PPPs have been confronted by the 'political realities' of the country, such as the introduction of the new county structure in Kenya. In some cases, these realities have ultimately led to a discontinuation of activities or of the partnership constellation. Few PPPs anticipated specific political and institutional risks in Kenya, and thus had a minimum of mitigating measures in place. Most lead partners operating in Kenya admitted that they had expected neither the institutional changes that resulted from the devolution of powers to the counties nor the implications for their project. This devolution had a major impact on the Hivos @scale project, which aimed to create opportunities for self-reliance and economic growth among smallholder coffee farmers in the area of Nyeri. However, as Hivos noted: *the county governor decided to begin trading coffee himself. Our consortium lost the investment and had to find another county to work in.*

This is a typical example of a nonconductive role being played by the Public P. The project moved to another county.

⁵ <http://www.rvo.nl/subsidies-regelingen/projecten/>

Healthy Business Development Program

Lead partner: Pharmaccess

27

Project number: FDOV14KE18

Location of implementation: Kenya, three counties: Nakuru, Kisumu, Kilifi

Timeframe: 2015 - 2020 (5 years)

Budget: € 3,918,260 (FDOV contribution = € 1,959,130)

Partners of the PPP: PharmAccess Foundation (NGO), Medical Credit Fund (private), Kenyan Ministry of Health (public), Dutch Ministry of Foreign Affairs, Strathmore Business School (knowledge institute), IFC's Health in Africa Initiative (multilateral organization), AMPC International Health Consultants (private);

The PPP at a glance⁶

The public health care system in Kenya is experiencing many challenges. Public health care facilities are generally poorly equipped to meet the needs of health care provision in the country. As a result, a large part of the population, including low income groups, turn to the private sector for healthcare services. This PPP aims to improve the clinical and business performance of healthcare small and medium enterprises (HSMEs) in Kenya, enabling the private health sector to better serve the fast-growing demand for quality private healthcare services.

The core intervention of the program consists of establishing and scaling up business development services for the HSME sector in Kenya, including loan products, executive courses (mini-MBAs), and consultancy services that help HSMEs improve their performance and grow their businesses. The PPP targets three market segments: the low-end, which needs instructions on the basics of running a health business, the mid-market HSMEs, and the higher-end HSMEs, which will be helped with accessing larger loans, high-level trainings (mini-MBAs) and strategic advisory services. The project targets HSMEs that provide maternal and child health services. The desired outcomes are to increase the patient visits, revenue, and staff and to assist SMEs gaining access to loans for investments. Additionally, this PPP aims to strengthen the healthcare management skills of public healthcare managers.

Working with the in-country Public P

The PPP works with the Kenyan national government through the Ministry of Health (MoH) and, to a lesser extent, with the relevant county governments. The collaboration with the national government is important for the PPP in a number of ways. Firstly, the MoH identifies the counties that most urgently need support and which can serve as models for other counties. Another motive for engagement is the implementation of a national health standard in Kenya, developed by the PPP: SafeCare, designed to measure and improve the quality, safety, and efficiency of health services in rural Kenya. As the national licensing authority does not have the implementing power to enforce a national standard, SafeCare provides an opportunity for the partners in the PPP to scale the system nationwide.

The collaboration with the county government in the PPP is managed through the national Ministry of Health, which liaises with the county government to recruit officials to training, dialogues, and other types of capacity-building activities that will help them manage and effectively finance the health facilities under their responsibility, and will receive support engaging the private sector in public health service delivery programs. The active engagement of the counties in the project has not yet been established, but will be part of a future strategy.

Approach and practice

One of the key challenges within the PPP is the lack of capacity and know-how on the public sector level. The counties, and hence the public medical superintendents, have become responsible for managing their hospitals as a result of the devolution of healthcare responsibilities from the national to the county level. Being used to receiving top down funding for hospital management and healthcare services, many counties are now struggling with their new responsibilities. In addition, know-how on financial and human resource management and business development is lacking. By providing the public sector with training opportunities and business development,

⁶ For more information, refer to the PPPLab scaling study

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the PPP is stimulating the public sector to effectively manage health service delivery. The capacity development of the Public P is not only seen as a necessary precondition for the PPP project, but also as an investment in longer term relations with the government beyond the PPP. By working closely with the public sector, opportunities arise for the private health (SME) sector to become engaged in public health service delivery, including through engagement in the National Hospital Insurance Scheme. Trust is a crucial issue in this regard. According to the lead partner: *“Once you show that it works, you can build on that together.”*

Food for All Project, Kenya

Lead partner: Solidaridad Kenya

29

Name of the project: Food for All Project, Kenya

Project number: FDOV14KE63

Location of implementation: Kenya, eastern region

Timeframe: 2015 - 2019 (5 years)

Budget: € 5,352,986 (FDOV contribution of € 2,598,675)

Partners of the PPP: Solidaridad, Heifer International, Meru Greens Horticulture, Soilcare Foundation, Horticultural Crop Directorate

The PPP at a glance⁷

Due to limited land availability and recurrent droughts resulting from climate change, about 75% of the inhabitants of the eastern Kenya region are food insecure. The project wants to solve this problem by combining the production of bananas and vegetables with high-value agricultural products like milk and French beans. This project focuses on smallholder farmers, since they produce about 95% of the national volume of fruits and vegetables and many of them are located in the eastern region.

Smallholder farmers lack access to quality inputs and storage and marketing opportunities. Within this project, cooling, processing, and packaging facilities will be constructed. In order to increase the yields of all products, nurseries will be established and the farmers will be trained in climate-smart agriculture and livestock production practices, and will be supported in obtaining certification.

The project aims to improve the livelihood and resilience of households through improving access and the availability of good food and livestock products, thereby reducing food and nutrition insecurity in the eastern region of Kenya. The project targets 48,500 households in the region.

Working with the in-country Public P

The partnership is working with the Horticultural Crop Directorate for certification, to guarantee quality both for export and for the local market. It also liaises with a number of counties.

Approach and practice

In their earlier food security project in Kenya, lead partner Solidaridad had been confronted with the devolution of structures, meaning that it now had to engage with the counties. The partnership decided to invest in collaboration. In this process, the local office of Solidaridad deepened its local networks with counties. The 2014 Solidaridad project, Food for All, was led by the local office rather than the NL office, as it was better able to navigate the local political context.

⁷ <http://www.rvo.nl/subsidies-regelingen/projecten/>

SMARTerWASH

Lead partner: IRC

30

Name of the project: SMARTerWASH: Mobile Monitoring of Rural Water and Sanitation Services that Last

Project number: FDW12GH06

Location of implementation: 6 regions in Ghana

Timeframe: 2013 - 2017 (5 years)

Budget: € 3,812,707 (FDW contribution of € 2,220,000)

Partners of the PPP: IRC International Water and Sanitation Centre (lead partner, NGO, Netherlands), Community Water and Sanitation Agency (CWSA) (public, Ghana), AKVO Foundation (NGO, Netherlands), Skyfox Ltd. (company, Ghana), Water for People (WFP) (NGO, USA)

The PPP at a glance⁸

The project aims to contribute to reducing the high level of breakdown of drinking water and sanitation systems in Ghana. The rural water supply has been successfully extended from 29% coverage of the rural population in 1992 to 63% in 2011. However, as more systems are installed, the breakdown of existing facilities needs to be addressed. The project introduces a mobile monitoring system using SMS to allow communities to report nonfunctioning water facilities. The project will also set up an effective response system for the district authorities and the Ghanaian government which will use the internet and mobile phones to allow the government to effectively budget and plan investments. This project focuses on six out of ten regions in Ghana, and on more than 100 districts, with an envisaged impact in terms of water and sanitation on approximately eight million Ghanaian citizens. The Dutch IRC is partnering in this project with the Community Water and Sanitation Agency (CWSA), a governmental agency, as well as with Skyfox Ltd., a mobile service organization, the Dutch ICT company AKVO, and the NGO Water for People.

Working with the in-country Public P

The formal partner in this PPP is the Community Water and Sanitation Agency (CWSA), a government agency with a mandate to facilitate the provision of safe drinking water and sanitation services to rural communities and small towns in Ghana. CWSA employs 250 staff at national and regional levels.

The project has invested in developing the capacity of government officials at the district, national, and regional levels so as to develop the capacity needed for institutional sustainability of the project.

Approach and practice

Lead partner IRC jointly designed the proposal with the Community Water and Sanitation Agency (CWSA) of the Ghanaian government, which played a key role from the start. A good working relationship had already been built prior to the project. The project seeks to calibrate data with regard to nonfunctioning water points and to develop an effective response system for the district authorities and the government of Ghana using the internet and mobile phones. This will allow the government to effectively budget and plan investments. The project has enjoyed good cooperation with the government staff of district assemblies, as well as with regional and national agencies in its capacity development efforts.

However, private sector involvement was relatively small and the sustainability of the activity depends largely on the likely government uptake of the data calibration mechanisms.⁹

⁸ <http://www.rvo.nl/subsidies-regelingen/projecten/> ⁹ MTR FDW, November 2016

Sustainable Maize Program, Northern Ghana

Lead partner: Solidaridad Ghana

31

Project number: FDOV12GH01

Location of implementation: six regions in Ghana

Timeframe: 2013 - 2018 (6 years)

Budget: € 4,147,210 (FDOV contribution of € 2,000,000)

Partners of the PPP: Solidaridad (NGO), West Africa Fair Fruit (WAFF) (private), Wienco (private), Masara N'Arziki, Yara, SARI (knowledge)

Approach and practice

An example of ad hoc exchange between the partnership and the Public P is by Solidaridad in Ghana, which works on promoting sustainable maize in north Ghana. Whenever the PPP requires Public P engagement, public officials are hired on a consultancy basis. Although this is not an investment as such in reinforced capacity, it does provide the capacity that the project needs.

The PPP at a glance¹⁰

The project aims to upscale a successful pilot maize program in the north of Ghana. With this project, the agricultural start-up cooperative Masara N'Arziki wants to achieve economy of scale and financial sustainability and to introduce environmental sustainable farming practices. The PPP consists of the project applicant, West Africa Fair Fruit (WAFF), teaming up with the farmer association Masara N'Arziki, the private agricultural company Wienco Ghana Ltd., the Ghanaian agricultural research institute SARI, and one Dutch NGO, Solidaridad NL. The goal is to increase the quantity and quality of sustainable maize production in the northern regions of Ghana by strengthening the farmers' cooperative, Masara, and in this way by building the capacity for farming maize, conservation farming, and post-harvest losses. The project aims to engage 12,000 additional farmers in the north of Ghana, raising the production of maize at Masara from less than 28,000 tons to 96,000 tons.

Working with the in-country Public P

The partnership has worked with public partners to build the capacity of farmer associations. Its public partners are SARI, a public sector research institute, the Ministry of Food and Agriculture, regional protection agencies, environmental agencies, and the lands commission.

¹⁰ <http://www.rvo.nl/subsidies-regelingen/projecten/>

Strengthening the Horticultural Export Sector in Ghana

Lead partner: CABI

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Name of the project: Strengthening the Horticultural Export Sector in Ghana

Project number: FDOV14GH04

Location of implementation: Greater Accra, Central Region, Eastern Region Volta

Timeframe: 2015 - 2018 (4 years)

Budget: € 1,834,589 (FDOV contribution of € 917,274)

Partners of the PPP: CABI (knowledge), Ghana Association of Vegetable Exporters (GAVEX), Eosta BV, Sunshine Organic Farms (SOF) (all private), Plant Protection and Regulatory Services Directorate (PPRSD), Ghanaian Ministry of Food and Agriculture (MoFA) (public)

The PPP at a glance¹¹

Due to poor agricultural inputs and practices, and a lack of phytosanitary standards, the horticulture export market in Ghana has declined. In 2014, the Plant Protection and Regulatory Services Directorate (Ghanaian Ministry of Food and Agriculture) imposed a temporary ban on vegetable exports from Ghana in response to warnings from the EU. The project's objective is to increase horticultural export to the EU and other high-end markets through inclusive business and sustainable entrepreneurship. The outcome of the project is

- a professional inspection and export certification system with protocols
- a phytosanitary survey and surveillance system for the sector
- good agricultural practices with technical assistance (factsheets) for certification
- infrastructure for sorting/packing/storage
- certification for front-runner exporting companies.

By overcoming phytosanitary problems, the project aims to facilitate an increase in the export of Asian vegetables. Finally, the partners want to develop a new supply chain of organically certified pineapples from Ghana to Europe.

In summary, the PPP aims to achieve improved market access to the EU and other high-end markets as a result of phytosanitary system

development and improved compliance with internationally required production standards for Ghanaian horticulture products.

Working with the in-country Public P

The Ministry of Food and Agriculture plays an important coordinating role in the project: *"As a legitimate yet neutral player, the Ghanaian government has an overview, and can therefore help avoid overlap, which is key to harmonizing the initiatives of different donors and avoiding duplication and a mosaic of different standards and initiatives"*. A task force brings together government ministries and services, commercial farmers, exporters, and Dutch importers to overcome hurdles in the horticultural sector and prevent interceptions and bans of certain products.

Approach and practice

With this project, CABI has been building on government leadership and political will in order to push government services to collaborate. This has worked well, but it was necessary in 2016 to create neutral ground in order to mitigate the possible effect of the then upcoming elections on the continuity and sustainability of the task force. The consortium also built links with the university for that purpose. Another mitigating measure has been to work in a decentralized manner and network with local government, since central policies do not always have the same bearing locally. In order to build resilience and remain insulated against political pressure, the consortium sought a permanent agreement with university before the elections.

¹¹ <http://www.rvo.nl/subsidies-regelingen/projecten/>

Food security by vertical integration in a new Kenyan potato chain

Lead partner: Agrico East Africa

33

Project number: FDOV14KE58

Location of implementation: Kenya, all counties

Timeframe: 2015 - 2021 (7 years)

Budget: € 13,083,345 (FDOV contribution = € 3,000,000)

Partners of the PPP: Migotiyo Plantation Ltd.; (company, Kenya), Agrico East Africa (company, Kenya), IFDC (NGO, international), SNV (NGO, NL), Farm Concern International; (NGO, Kenya) Dutch Ministry of Foreign Affairs (Public, NL); Kenyan Ministry of Agriculture, Fishery and Livestock (public, Kenya); KEPHIS (Kenya Plant Health Inspectorate Service) (public, Kenya)

The PPP at a glance

Currently, Kenya's dependency on maize as the main national crop threatens the food security of the country, because yields are declining as a result of disease. This threat has been acknowledged by the Kenyan authorities, who have decided to choose the potato as a substitute for maize. In Kenya, potatoes are produced by smallholders, who often use the potatoes rejected by the market as seed potatoes. As a result of this, and because of poor agricultural practices in general, yields are very low. Another problem is that smallholder farmers receive little money for their potatoes, which they sell to middlemen since they lack of alternatives and storage facilities, and thus have little bargaining power.

The PPP wants to address this challenge by vertically integrating the Kenyan potato chain through engaging local multipliers, local service centers, distributors, independent smallholders, smallholders collaborating in commercial villages, and large farmers. The chain revolves around a new two-cycle process of potato multiplication based on high-quality seed potatoes imported from the Netherlands. As a result, follow-up private investments are expected to occur, which will in turn lead to further development in the potato chain.

Activities include the testing of new potato varieties in Kenya, the development of two service centers to sort, store, and handle the seed potatoes, developing the capacity of smallholder farmers, organizing farmers in cooperatives and commercial

markets, developing the capacity of KEPHIS to handle certification, and improving tax conditions to bring about a level playing field.

Working with the in-country Public P

Agrico works with the national government through the Kenyan Ministry of Agriculture, Fishery, and Livestock, and KEPHIS, a parastatal under the same Ministry. This Ministry is responsible for creating a level playing field in the Kenyan potato sector, so illegal competition from other private multipliers is ruled out. In addition, the Ministry is involved in the project through raising awareness of potato farming in Kenya. In addition to the central government, the county governments are involved with the implementation of the project on the ground. KEPHIS is the official crop-certifying body in Kenya and is thus of great importance for the PPP, as all potatoes must be tested and certified by this partner.

The challenges in the engagement with the in-country Public P are mainly concerned with the lack of capacity and know-how in KEPHIS. As KEPHIS does not have the experience of certifying large amounts of crops, there is the risk of delaying the project. The Dutch government has thus provided training opportunities through Dutch bacteriologists (from the NWWA) to build the capacity of KEPHIS officers.

Besides the formal partnership with KEPHIS and the Ministry of Agriculture, there is more loosely defined cooperation with the Public Ps, such as county governments, to collaborate on dealing with logistical challenges, such as the road blocks toll, thanks to which potatoes are sold in bags weighing over 100 kg each; elsewhere in the world, 25–50 kg bags are the common practice. The use of these large bags itself results in high fall-out percentages, with potatoes being crushed and destroyed. In cooperation with the local public partners, the PPP has managed to effectively lobby for a change in the rules and regulations.

Engagement of the Dutch Public P

The Dutch Ministry of Foreign Affairs has actively supported the PPP. International lobbying activities from the MoFA were required to open up the

34 Kenyan market to foreign produce and create a level playing field for Dutch potato companies. The Dutch Embassy in Nairobi plays a brokering role within the PPP by bringing the different partners together in a constructive way and bridging divergent interests and experiences within the PPP. Moreover, earlier this year, Dutch state secretary Martijn van Dam of Economic Affairs paid a visit to the project and spoke to the Kenyan Ministry of Agriculture to push for a level playing field. In addition, he has promoted a spin-off project in

The PPP is seen as a prime example of the Dutch Aid and Trade agenda, and as a result won the 2016 Ambassador's Prize. This prize is awarded to the company that exports sustainably, or operates a company abroad, in the most outstanding way.

Approach and practices

One of the challenges facing the PPP is a lack of capacity at the level of the Public P. Through collaborative effort with the Dutch Ministry of Foreign Affairs, training and learning activities can be provided, helping to move the PPP forward.

In addition, personal influence and local networks are instrumental in engaging the Public P and dealing with rules and regulations. Lead partner Agrico's seasoned business leaders are well known and respected within the Kenyan business context, and can thus lobby together with the MoFA at a high level to influence local policy making and implementation.

Integrated Water Management and Knowledge Transfer in Sisili Kulpawn Basin Ghana

Lead partner: IWAD Ghana Ltd./Wienco

35

Project number: FDW12GH06

Location of implementation: Ghana (Mamprugo Moaduri district, Sisili Kulpawn river basin, Northern Ghana)

Timeframe: 2013 - 2017 (5 years)

Budget: € 11,775,50

Partners: The Savannah Accelerated Development Authority (SADA) (public, Ghana), Alterra (knowledge, NL, now called Wageningen Environmental Research), Rebel Group International BV (private, NL), Wienco (private, NL/Ghana), and IWAD Ghana Ltd. (private/Ghana)

The PPP at a glance

Northern Ghana is a region lagging behind the rest of the country due to its harsh climate and limited private and public investment. The Mamprugo Moaduri district is among the least populated in the region and suffers from a combination of a harsh climate and ecology, outmigration, and poverty; more than half of the population live in extreme poverty.

The project's objective is to foster smallholder- and private sector-led growth through the promotion of integrated water management practices and the development of irrigation in the Savannah Agro-Ecological Zone in northern Ghana, with an emphasis on partnership, investment, capacity development, profitable crop value chains, and accountability. The partnership has introduced large-scale modernized irrigation farming practices involving hundreds of smallholders, promoting commercial irrigation practices and food security, and creating local employment. The project offers training to the population (both men and women) and provides access to land and credit, based on performance.

Working with the in-country Public P

The government of Ghana is involved in the partnership through SADA. Its contribution is manifold: not only does it cofinance 6.8% of the total budget, but it also contributes to a conducive enabling environment in this region, referred to as the Savannah Agro-Ecological Zone, which is strategically interesting for the lead partner's scaling plans. The initial contact with the lead

partner Wienco was established through the Ministry of Food and Agriculture (MOFA) and facilitated by the Dutch embassy in Accra.

Prior to the project, the lead partner had undertaken a mapping of the customary ownership structure of land in North Ghana and identified a number of local chiefs to work with. Another crucial element of the partnership that goes beyond formal structures is thus its collaboration with customary leaders, also called chiefs, who are in charge of local land and water. Agreements with these traditional authorities are indispensable for IWAD's current and future activities in the area.

Engagement of the Dutch Public P

A diplomatic support role is played by the Netherlands Embassy in Ghana, and in particular by the trade attaché, who is responsible for monitoring the PPP projects funded by the Dutch government in Ghana. The embassy played an important facilitating and brokering role between the lead partner and the Ghanaian government during the initial stage of the partnership. During implementation, it provided a trust factor for the partnership, ensuring that all partners meet their commitments. The embassy's motto is: 'Holland and Ghana, growing together', and PPPs are a key element in the Dutch policy in Ghana - especially in the two top sectors, food and water.

Approach and practices

The realities of the political and institutional context have led to changes in leadership and strategy of the public partner SADA. In a fast changing political context, the partnership needed to apply an open, flexible, yet nonpolitical approach to working with (other levels of) public actors, building relations with institutions as well as with personalities.

The partnership maintained a consistent approach from the beginning, by respecting relevant rules and regulations. Opting to work with customary leaders on land and water, rather than only resorting to central authorities, demonstrates the partnership's sense of reality regarding what works and its experience in the specific northern Ghana context.

36 In addition, in view of its further scaling plans in the region, the private partner maintained a constructive and strategic approach throughout the collaboration with its public partners, even in the face of changing governance requirements between public and private partners. Timing is key: the intensity and frequency of partnering with public partners is adjusted to the challenges and opportunities that the partnership encounters, while leveraging its good contacts with the Netherlands Embassy in Accra, when needed.



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