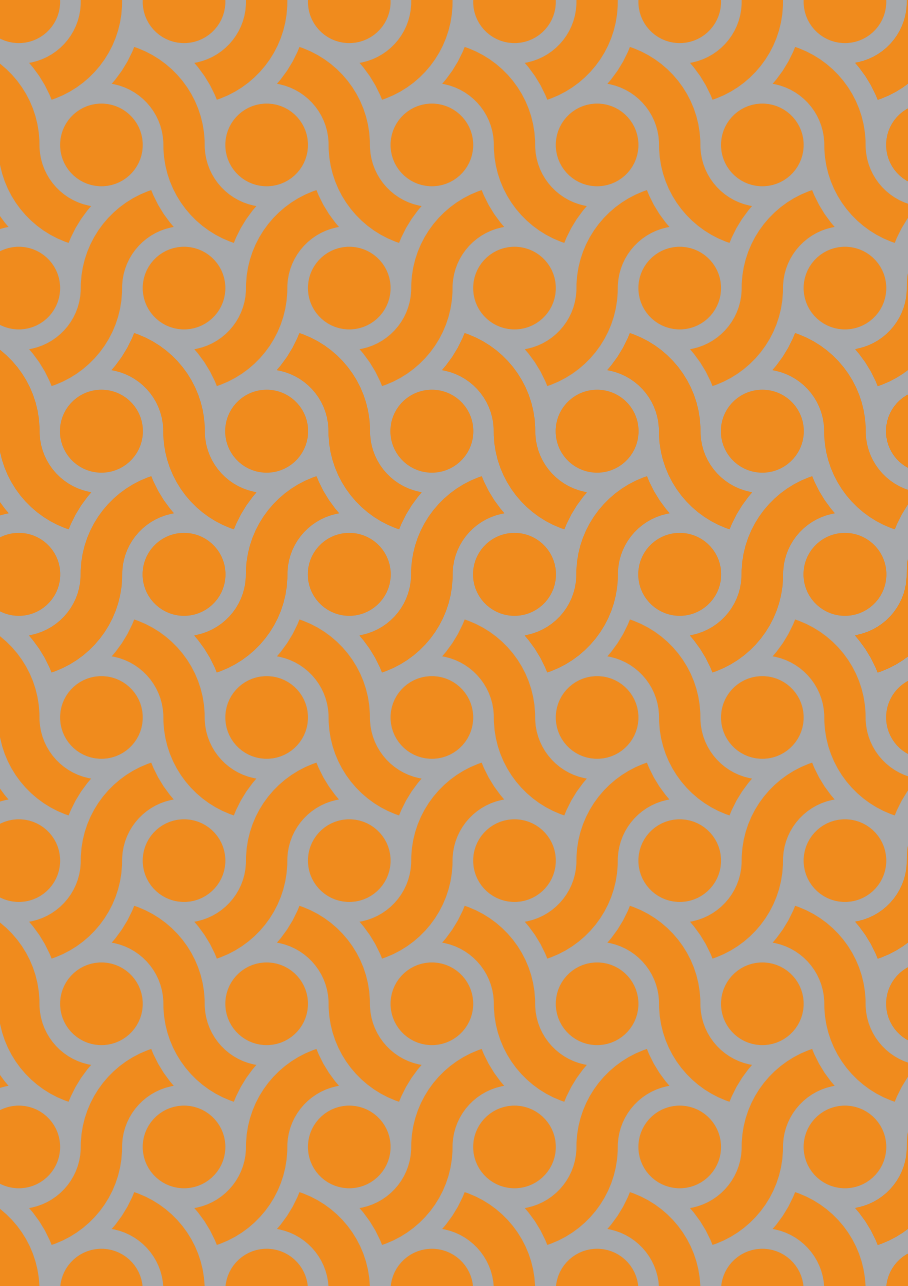




01

Insights Series 01

Public-Private Partnerships: a Brief Introduction



Insights Series 01

Public-Private Partnerships: a Brief Introduction

Introduction: Making Sense of Public-Private Partnerships

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The nature of development collaboration is changing and evolving quickly. The issues at stake are high: with a growing world population, the issues of food security, water scarcity, social inclusion, and environmental management are urgent.

In 2012 the Dutch Ministry of Foreign Affairs has launched two Public-Private Partnership (PPP) facilities: the Sustainable Water Fund (FDW) and the Sustainable Entrepreneurship and Food Security Facility (FDOV), in order to stimulate private sector participation in dealing with water, food, and sustainable development issues. These two facilities contain a wide range of PPPs with varying change strategies, partnership configurations, and business models.

In 2014, the Ministry launched PPPLab Food & Water, a four-year program with the aim of extracting knowledge and methodological lessons from all PPPs implemented within FDW and FDOV. PPPLab seeks to create and share knowledge for all stakeholders engaged with PPPs for food, water, and private sector development, and for the wider community interested in them.

PPPs are receiving a great deal of attention at present. Not only is the Dutch government investing significantly in collaboration with the private sector, but business and civil society organizations are also increasingly looking for opportunities to partner. At the same time, the concept of PPPs is open to a confusing range of interpretations.

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Also, notwithstanding strong and positive intentions, little is known about the degree to which PPPs contribute to addressing and solving development issues.

A key task of PPPLab is to create clarity, knowledge, and learning around PPPs, thereby improving the relevance, effectiveness, and quality of PPPs. Over the next four years, PPPLab will help to make sense of what happens under the umbrella of PPPs, will execute detailed studies and comparisons, and will create an open exchange and learning environment, helping to draw the main lessons and possible policy implications.

From 2014, PPPLab publishes an initial series of 'Insights Series' booklets on PPPs, and conducts a set of in-depth action research projects.

For more detailed information on PPPLab's knowledge agenda please visit our website: www.ppplab.org

Enjoy reading, thinking along and ... asking questions! Your input, feedback, and suggestions are highly valued. Please don't hesitate to contact us at: info@ppplab.org

Colophon

PPPLab Food & Water is a four-year action research and joint learning initiative (2014-2018) to explore the relevance, effectiveness, and quality of Dutch-supported public-private partnerships (PPPs). PPPLab is commissioned by the Dutch Ministry of Foreign Affairs and is driven and implemented by a consortium of the Partnerships Resource Centre (PrC), Aqua for All (A4A), the Centre for Development Innovation at Wageningen UR (CDI), and the Netherlands Development Organization (SNV). Comments and updates about this report are welcome. Please send them to: info@ppplab.org
For more information, please visit our website: www.ppplab.org

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In 2012, the Dutch government clearly confirmed its commitment to using Public-Private Partnerships as a key channel of Dutch development policy through the establishment of the Sustainable Water Fund (FDW) and the Sustainable Entrepreneurship and Food Security Facility (FDOV). The underlying rationale for this policy direction is clearly illustrated with the new ministerial post of 'Trade, Aid and Investment' in the Dutch Ministry of Foreign Affairs, in the same year. The philosophy is that both official development assistance and trade can contribute to the development of a country or region. Where more fragile states are better served with an emphasis on aid, more economically developed countries are better served by an increased emphasis on trade and investment in the local economy.¹

To link the different paradigms of development aid and trade, the concept of inclusive and sustainable investments is being developed. The gradual evolution from grant-driven to economically viable solutions, and from an aid recipient relationship to one of trading partners, requires a transition strategy. This is where Public-Private Partnerships come in. The Dutch Ministry of Foreign Affairs has already taken part in 130 partnerships in many different forms, including 75 Public-Private Partnerships.²

1] MFA (2013); 2] PrC (2013).

1. The Origin of Public-Private Partnerships

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Public-private collaboration originally emerged in the Netherlands in the 1980s as an instrument for stimulating private investment in area development and large-scale infrastructure projects.³ The underlying assumption was that such private investment would benefit economic development. Attracting additional resources was the main motive. As a result of the increasing privatization of societal sectors, such as health care and social housing, public and private actors also began to collaborate there. Over the last decade, partnerships with the private sector have become a key aspect of the Dutch development cooperation policy. Public-Private Partnerships (PPPs) are often presented as good vehicles for realizing public goals. This attention on the involvement of the private sector fits a broader international trend. Other donors (DFID in the UK, GTZ in Germany and SIDA in Sweden) have an increased focus on related approaches such as 'markets for the poor' (M4P) and challenge funds. Also, UNDP and UN Global Compact have specific facilities for stimulating and supporting inclusive business. Next to this, the private sector is also involved actively, not only through individual companies but also in the form of sector-wide and even global initiatives focused around inclusive business strategies, in which a range of international players are involved, such as the World Business Council for Sustainable Development.

3] At that time one spoke of public-private collaboration; the notion of partnership has been introduced later on. The Dutch public-private arrangements were based on similar constructions that emerged in the USA in the 50's-60's also to attract private investments in large infrastructure and real estate projects (see: *Public-Private Partnerships in American cities. Seven Cases. Written by Fosler and Berger, Lexington Book, 1982*).

Figure 1:
Notions surrounding PPPs



2. Defining Public-Private Partnerships

The literature on cross-sector collaborations in general and on Public-Private Partnerships in particular is characterized by ‘conceptual impression and weak integration’.⁴ The confusion in terms begins with how PPPs are referred to. The word cloud depicted in Figure 1 describes various notions that are used in relation to PPPs. Depending on the interpretation, each of these concepts is understood as a synonym for PPP, as a subset of PPPs, or as an overarching concept. Variations in wording mostly replace either the first part (Public-Private) or the second part (Partnership) of the concept. So, in order to improve our understanding of what a PPP is, let’s clarify both parts of the concept.

The difference between ‘Public’ and ‘Private’

While the distinction between public and private appears to be fairly simple, the notions nonetheless generate considerable confusion. This lack of clarity is based on the distinction that can be made between public and private goods and public and private organizations. While the distinction between public and private organizations refers to the ownership of organization, the distinction between public and private goods relates to whether or not individuals can be excluded from the use of these goods or services.⁵ For example, there are private provisions of public goods, such as water companies that supply drinking water. However, these are not the distinctions that are implied when we speak of PPPs.

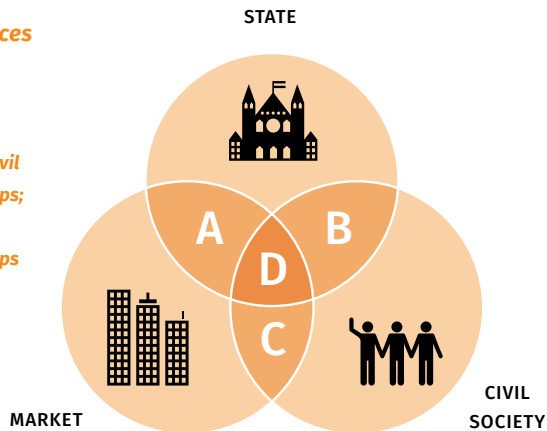
PPPs can best be understood as a type of partnership that crosses the societal sectors of state, market, and civil society. Figure 2 shows the common theoretical framework for understanding various types of cross-sector partnerships. In practice, however, this theoretical distinction between PPPs and other types of partnerships is not so clear cut.

For example, the Dutch Ministry of Foreign Affairs (MFA) defines PPPs in the following way: 'a form of cooperation between government and business (in many cases also involving NGOs, trade unions and/or knowledge institutions) in which they agree to work together to reach a common goal or carry out a specific task, jointly assuming the risks and responsibility and sharing their resources and competencies'.⁶

Figure 2:
Partnering Spaces

A = Public-Private Partnerships
B = Government-Civil Society Partnerships;
C = Business-Civil Society Partnerships
D=Tripartite Partnerships

Source: Van Tulder & Pfisterer (2013)



When is it a Partnership?

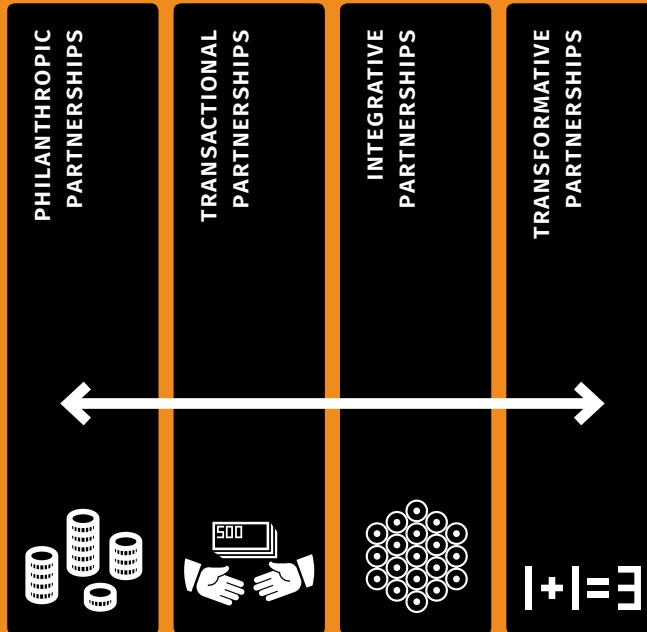
The notion of 'partnership' refers to a type of collaboration with a relatively high degree of involvement, especially when compared to notions such as 'alliance' or 'cooperation', which are frequently used in similar contexts.

Definitions of cross-sector partnerships and PPPs frequently refer to the following distinguishing features:⁷

- The partners originate from different societal spheres.
- The partners share (development) objectives, goals, and a common vision.
- They benefit from complementarity in resources and competencies.
- They are interdependent and interactive.
- Rewards and profits are shared.
- There is voluntary collaboration and contractual agreements.
- There is a mutually agreed division of labor.
- Decision making is shared and nonhierarchical.
- Risks, responsibilities, and accountability are shared.
- There are informal trust-based relationships alongside formalized relationships.
- Improved performance of the individual partners is achieved through increased effectiveness and efficiency.

4] Brinkerhoff & Brinkerhoff (2011); 5] Van Tulder and Van der Zwart (2006); 6] MFA (2010)
7] The list of partnership features is based on an unpublished PrC inventory study on PPP characteristics that was carried out in 2010.

Figure 3:
The Collaboration
Continuum



3. Types of Partnerships

Focusing on the nature a partnership, another distinction being used in partnership literature is what is called The Collaboration Continuum (figure 3).

The different levels of this continuum represent the nature of the collaboration between partners.



Philanthropic Partnerships are involved in providing welfare to society by providing charitable giving, like the sponsoring of sport clubs and donations to charity organizations. An example is the IKEA Foundation who sponsors WarChild; often the business motive here is improving their social reputation.



The rationale for **Transactional Partnerships** improving profitability or market share from a business perspective. A well-known example is Pampers who donates a certain percentage of each pack of diapers to the child vaccination program of UNICEF. Here the transaction is that the more diapers are being sold the higher the contribution to children's healthcare.

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Integrative Partnerships focus on balancing business interests with social and ecological concerns, for instance when a partnership is focusing on certification programs in order to sustain their commodity chains.



Transformative Partnerships interact with all relevant stakeholders in order to equally respond to all partners' needs. Good examples are companies working together with CSOs on 'base of the pyramid' strategies.

In the context of development objectives the first two levels are not sufficient in terms of creating more or shared value. To become an integrative or even a transformational partnership requires what is called a 'blending of values' (see section on 'Shared value creation or blending values').

4. Purposes of Combining Public and Private Resources

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Overall PPPs may come into being for different combinations of public and private interests:

- Public seeks co-investment for public purposes and the investment is commercially attractive to private players concerned. For example: infrastructure development that the government cannot afford to pay alone.
- Public seeks to engage private sector capacity for development or management tasks in pursuit of a public good or service. For example: management of a public hospital, airport or water provision.
- Private and public seek to address a problem that is essential to both of them. For example: the development of a technical innovation in which private and public parties co-invest.
- Private seeks ways to advance own commercial interests whilst at the same time realising social/public interests and strengthening its 'license to operate'. For example: inclusive business in an agricultural value chain/commodity.

Some PPPs clearly sit within one specific category. Others may combine different logics in this respect. These overall logics at the level of purposes set the scene for more specific partnering arrangements and dynamics.

Table 1:
*Differences between the
three Societal Sectors*

	 STATE	 MARKET	 CIVIL SOCIETY
<i>Primacy of</i>	<i>Political perspective</i>	<i>Economics</i>	<i>The social</i>
<i>Type of Goods</i>	<i>Public goods</i>	<i>Private goods</i>	<i>Club Community goods</i>
<i>Organizational Form</i>	<i>Governmental bodies</i>	<i>Businesses, cooperations</i>	<i>Civil society organizations, NGO's & knowledge institutes</i>
<i>Oriented towards</i>	<i>Power balance</i>	<i>Producing, services & trade</i>	<i>Engagement</i>
<i>Dominant Focus</i>	<i>Rights / democracy</i>	<i>Costs / governance</i>	<i>Emancipation / participation</i>
<i>Power Base</i>	<i>Voters (taxes)</i>	<i>Owners (profits)</i>	<i>Society (donations, contributions)</i>

Based on Van Tulder & Pfisterer (2013) and De Wal (2009)

5. Complementarity: Combining Comparative Advantages

Partnerships aim to capitalize on the relative advantages of public, private, and civil actors. So it's important to pay attention to the differences between the three societal spheres and the roles they play in society in general and in specific partnerships. Table 1 identifies some key difference between the three domains.

Note that in the overview on the left hand side 'public' is labeled as 'state' and 'private' as 'market'. This expresses that is not just about individual organizations but also about wider dynamics, rules and cultures that determine these different realms in society.

On account of the different but complementary roles of each societal sector, the contributions they can make to partnerships are also complementary. Each organization in a PPP has its own assets and core competencies that it can bring to the partnership.⁸

- Private sector partners can provide financial resources, invest in innovation, and provide expertise and a lean, mean management approach.
- Civil society organizations can utilize their strengths: knowledge, networks, and services, and the ability to facilitate complex social processes.
- Government can provide legitimacy and coordination mechanisms, as well as formal power.

⁸ PrC (2013)

Table 2:
Comparative
Advantages

	 GOVERNMENT	 BUSINESSES	 CIVIL SOCIETY
Comparative Advantage	• Control over resources • Legitimacy • Services • Scale • Institutional longevity and presence • Formal authority	• Investments • Innovation and technology • Standards and business practices • Know-how and expertise • Efficiency • Economic sustainability	• On-the-ground contacts • Local focus and expertise • Raise issues and concerns • Convening, bargaining, and facilitation • power • Implementation capacity • Credibility

Source: adapted from Brinkerhoff (2012) and PrC/TPI (2013) ⁹

In fact, in an ideal partnership, the role of each partner will be based on the comparative advantage they bring to the collaboration. Table 2 provides an overview of the comparative advantages by societal sector.

The differences between the actors in Table 2 can bring in complementary value, but also trouble, due to cultural, attitudinal, and practical differences. In the second publication in the Insights Series, we'll elaborate on the critical success factors and trade-offs that PPPs need to take into consideration in order to balance the potential benefits and potential risks.

Note that ‘knowledge actors’ are not mentioned explicitly in the above table. At the same time, it must be acknowledged that they can play vital roles, especially where PPPs address issues that have not been resolved as of yet, or where they seek to drive innovation. In PPPLab, the role of knowledge institutions (from both the semipublic and private domains) will be an explicit area of attention.

9] Porter and Kramer (2011)

6. Shared Value Creation

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THE DEFINITION OF 'SHARED VALUE':

Porter and Kramer, who coined the concept in their famous Harvard Business Review article (2011), state that shared value is created by 'policies and operating practices that enhance the competitiveness of a company while simultaneously advancing the economic and social conditions in the communities in which its operates'.¹⁰

It is more and more recognized that the private sector increasingly needs to develop (or regain) trust in their business. The concept of creating shared value seeks to perceive social problems as business opportunities, and as an opportunity for businesses to strengthen their credibility, reputation, and social acceptance.

Creating shared value places social impact on the strategic level (where it belongs), next to economic goals.¹¹ Business also has the potential (and, some would argue, the obligation) to create social and public benefits. Moreover, the 'shared' part of the concept makes it clear that crucial stakeholders, including government, have a clear role to play in support of the responsible behavior of companies: '(...) state actors [construct] regulations that enhance shared value, set goals, and stimulate innovation. This includes setting clear and measureable social goals, setting performance standards, defining phase-in periods for meeting standards, and putting in place universal performance reporting systems'.¹²

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Nevertheless, shared value creation seems to underestimate, or even ignore, the trade-offs between social and economic value creation. A known example that is often cited is the case of leading companies like Nestlé and Coca-Cola, who have been launched as pioneers of shared value creation, while at the same time consciously continuing to let their customers consume irresponsible amounts of sugar, salt, and fat, which have long been known to be seriously dangerous for human health.

Blended Value Proposition

Combining impact investment (social value, from the public perspective) with an economic return on investment (economic value from the private side) is not at all easy to do. Both scholars and practitioners have elaborated various possibilities of defining a 'value' that integrates social, economic, and environmental elements. In the literature, this is called the 'blended value proposition', a concept that actually reinvents the notion of value as it blends these three elements.¹³ In any specific PPP, there will be choices of how public, economic, social, and environmental value creation is combined and blended. There are also choices to be made and trade-offs to balance. It is always a challenge to see whether strategies and products that provide an even better combination or blend of values can be gradually developed. Finally, there is the challenge of how the mixture of values created can best be conceptualized, assessed, and measured.

¹⁰ Ibidem; ¹¹ Crane, etc. (2014); ¹² Cited from Crane (2014), p133 including a citation from Porter and Kramer (2011), p74; ¹³ Emerson (2000).

Table 3:
Characteristics of 1st call
FDOV and FDW Projects



		FDOV	FDW
Budget	Total subsidy allocated	€ 81 million	€ 28 million
	Average subsidy p. PPP	€ 3.5 million	€ 2.9 million
	Project Budget	≥ € 20 million	€ 1 - 30 million
Contribution	of Partners	≥ 50%	≥ 50%
Selection	Number of Proposals submitted which passed threshold criteria	108	81
Phases	Percentage of Proposals which passed the first selection phase	43%	62%
Proposals	Number of Proposals eventually selected	28	12
Countries	Number	15	9
Themes		1. Food Security 2. Private Sector Development	1. Acces to clean drinking water and sanitation 2. Efficient water use
Timeframe	in the Countries PPPs are in	2.5 - 7 years Development countries	3 - 7 years Sanotation countries

Partnerships Resource Centre, Survey results: The applicant's perspective. Evaluation of the selection procedure of the Sustainable Water Fund (FDW) and the Facility for Sustainable Entrepreneurship and Food Security (FDOV), Rotterdam, 2014.

7. An Emerging 'Dutch Approach'?

The focus of the Dutch Ministry of Foreign Affairs in investing in PPPs to support development objectives is based on an increased awareness that the problems of the twenty-first century, such as those reflected in the Sustainable Development Goals,¹⁴ cannot be addressed by individual societal actors, whether government, business, or civil society organizations. Complex issues, such as food security and water safety, require the resources and competencies of different societal spheres. When actors from different sectors of society manage to bundle their complementary resources and competencies, they become able to generate outcomes that they could never have achieved alone.

It is interesting to see whether it is possible to extract some characteristics of the 'Dutch Approach' to PPPs: the specific way in which the Ministry seeks to combine aid and trade, or, in other words, to blend social, economic, and environmental value.

Within both facilities (FDOV and FDW) there are very different partnerships purposes and strategies, configurations and organizational arrangements, and finance and business models.

¹⁴ One of the main outcomes of the Rio+20 Conference (2012) was the agreement by member States to launch a process to develop a set of Sustainable Development Goals (SDGs), which will build upon the Millennium Development Goals and converge with the post-2015 development agenda. Source: <http://sustainabledevelopment.un.org>

Priority Themes of the Dutch Development Cooperation Policy

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Food Security¹⁵

Dutch development cooperation policy on food security focuses on:

1. working towards an increase in sustainably produced food and better access to nutritious food;
2. making markets more efficient by removing barriers to national, regional, and world trade;
3. investing in a better business climate, allowing the private sector to play a greater role in food security; and
4. contributing to worldwide research into agriculture, nutrition, and the management of natural resources, through funding and the active participation of Dutch research institutions.

FDOV stimulates public-private collaboration in food security and private sector development in developing countries.¹⁶

PPPs are eligible for a grant for projects that respect the above-mentioned thematic conditions.

Water Management¹⁷

Dutch development cooperation policy focuses on:

1. safe, clean drinking water and improved access to safe drinking water and sanitation for 25 million people;
2. water management, improved river basin management, and safe deltas; and
3. increasing water productivity in farming by 25%.

FDW stimulates public-private collaboration in the water sector in order to contribute to water safety and water reliability in developing countries. PPPs need to have a focus on one of the three above-mentioned goals.¹⁸



Moreover, PPPs are applied to different subsectors and themes: In the case of FDOV, to food security and private sector development; In FDW, to clean drinking water, river-bed management, and efficient water use - some of which may prove to be more fit for PPP arrangements, and other less.

Another major issue to be learned about is the domain of institutionalization, replication, and financial and economic sustainability, upscaling and moving beyond PPPs.

Developing knowledge and collecting evidence is not only relevant to being accountable to the Dutch tax payer, but also to learn and improve in this relatively new development policy domain. In order to enhance the effectiveness and impact of PPPs and their contribution to the successful implementation of Dutch development goals regarding food and water, the Ministry of Foreign Affairs established PPPLab Food & Water. It is the aim of PPPLab to improve the understanding of the working of PPPs and to expand their value.

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¹⁵] Source: www.government.nl/issues/development-cooperation/the-development-policy-of-the-netherlands/food-security; ¹⁶] <http://english.rvo.nl/subsidies-programmes/facility-sustainable-entrepreneurship-and-food-security-fdov>

¹⁷] Source: www.government.nl/issues/development-cooperation/the-development-policy-of-the-netherlands/water-management; ¹⁸] Source: <http://english.rvo.nl/subsidies-programmes/sustainable-water-fund-fdw>

8. Knowledge Agenda 2014-18

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Objective and Focus of PPPLab

The main objective of PPPLab is to extract knowledge and methodological lessons from all PPPs being implemented within FDW and FDOV. This will inform further policy development, PPP implementation, and the effective support of PPPs. PPPLab will focus on research, exchange, and learning.

The leading Questions are:

- How do PPPs contribute to the realization of Dutch policy goals?
- What challenges are met and what successes achieved?
- And what (potential) improvements can thus be identified?

PPPLab does not have an evaluation mandate, but a 'helping to learn-while-doing' role. This means that we will use information from, and collaborate with, those who have evaluation roles (and who have a strong focus on impact assessment), while we ourselves seek to learn more about the outcomes and operations of PPPs and the strategies, approaches, and models through which they achieve their results. In this way, we contribute to the understanding of the impact and value of PPPs. PPPLab will thus stimulate learning while doing, and will focus on understanding and exchange across all PPPs. PPPLab is not concentrated on accountability vis-à-vis the objectives of the individual PPPs.



Audiences of PPPLab

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PPPLab is aimed at all stakeholders: government, business, CSOs, and knowledge institutes. The focus of PPPLab is on the directly involved parties: the partners in the FDW and FDOV PPPs, as well as the implementing agency (RVO) and the Dutch Ministry of Foreign Affairs.

At the same time, PPPLab acknowledges the broader national and international community of various sectors that are interested in staying informed about the latest developments around PPPs on food and water. PPPLab will function as an open, living lab: we will actively seek alignment with other knowledge-generating initiatives concerned with PPPs for food, water, and private sector development.

1. Theories of change - combining social, business and public value;
2. Business models, financial constructions and transition strategies;
3. Sustainability, scaling, 'moving on', replication and institutionalization;
4. Possible content topics, such as PM&E, financial inclusion, BoP service-delivery models, and the chain approach;
5. Partnership models, configurations, processes and success factors;
6. The Dutch PPP approach.

Six Priority Themes

Based on an extensive preparatory phase (1st half of 2014) in which we have consulted a wide range of PPP stakeholders PPPLab has identified the following six priority themes.



1. Theories of Change (ToCs)- combining social, business and public value

PPPLab aims at providing a concise overview and generic methodological guidance on different ToCs and especially how they seek to blend social, business and public value and the (fair) distribution / appropriation of such value. On the basis of the portfolio of projects of FDW and FDOV we will deepen and generate new knowledge on types of ToCs for PPPs in food and water and their specific challenges/tensions.



2. Business models, financial constructions and transition strategies

PPPLab will provide an introductory review of business models and financing strategies for PPPs in food & water. In addition PPPLab will produce advanced insights in business models, financing strategies, portfolio factors and transition processes as emerging from the portfolio of programs.



3. Sustainability, scaling, 'moving on', replication and institutionalization

PPPLab will seek to clarify the range of scaling/ replication/moving on/ institutionalization strategies for PPPs in food & water. Also PPPLab will provide advanced insights on scaling/ replication/moving on/ institutionalization strategies from the portfolio.



4. Specific research themes

PPPLab will facilitate exchange and learning on topics that several partnerships / actors are interested in. Possible topics mentioned so far by PPPs / individual partners:

- Planning, Monitoring and Evaluation (PM&E)
- Coffee - exchange between PPPs on range off specific items (coffee is a hot topic in the partnership community; several international examples and academic publications are available)
- Financial inclusion - learning on the demand for financial services with unserved populations
- The sub-sector categories in water (various: rural WASH, urban WASH, etc. to be specified)
- The various projects in the domain of accessible testing and quality control
- BoP service delivery models

- Chain approaches: from producer to consumer (a topic on which a lot of international knowledge is already available and that can be connected to the PPP field better)



5. Partnership models, configurations, processes and success factors

PPPLab will make knowledge on partnerships models and processes accessible in a pragmatic and tailored way for present and future PPPs under these two facilities (and elsewhere). It will also extract lessons from the present portfolio of projects under FDOV and FDW.



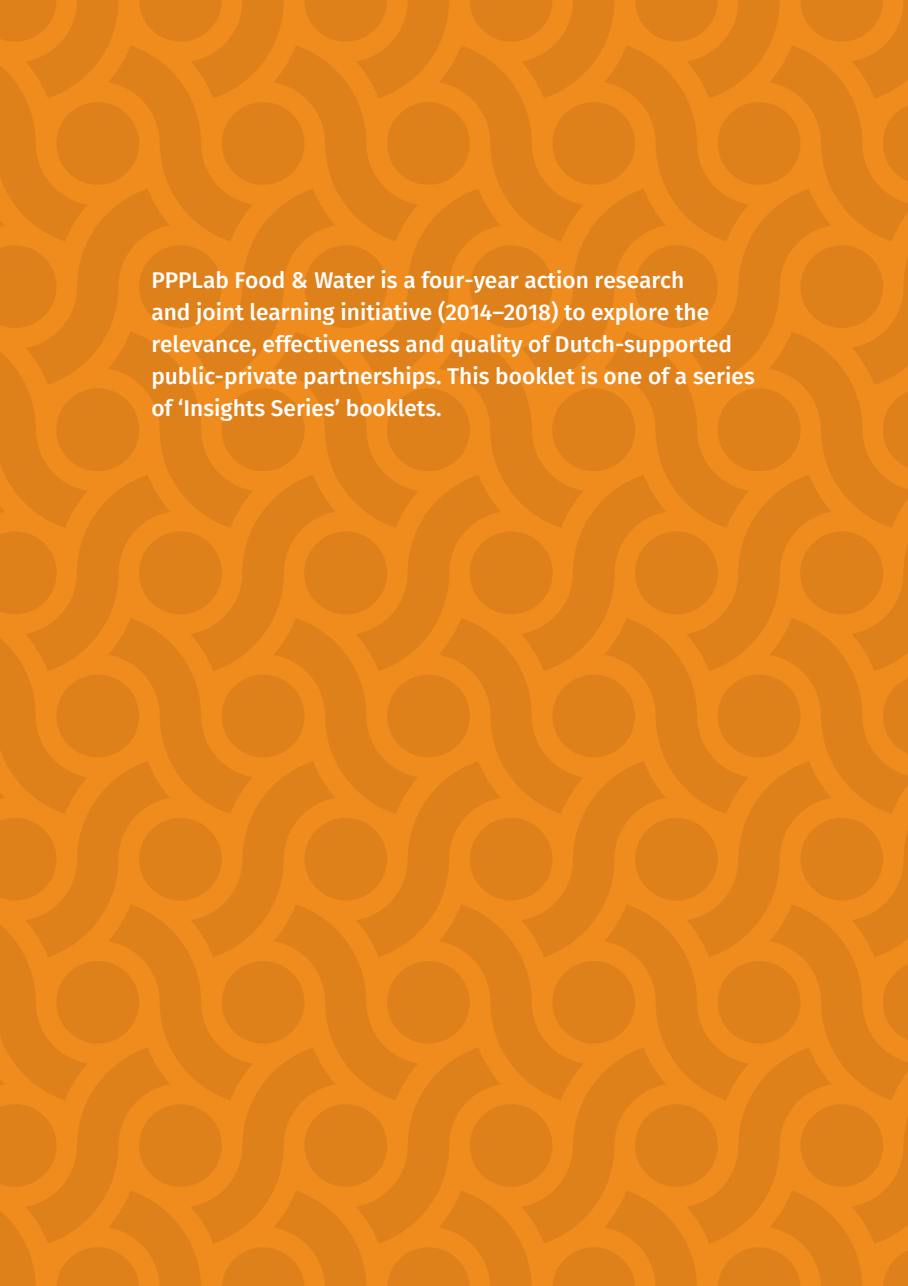
6. Dutch PPP approach / model

Finally PPPLab will help to analyze the specific position and characteristics of the two facilities as compared to other PPP facilities elsewhere. This will also be used to address the issue of additionally of the facilities: could the same result have been achieved with a different approach? PPPLab will formulate lessons learned about the strengths and weaknesses of the facilities in their present (and evolving) forms. We will use this also in international interactions, conferences, debates and donor exchanges.

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PPPLab Food & Water is a four-year action research and joint learning initiative (2014–2018) to explore the relevance, effectiveness and quality of Dutch-supported public-private partnerships. This booklet is one of a series of 'Insights Series' booklets.