

NGO-PRIVATE SECTOR PARTNERSHIPS AGAINST POVERTY: LESSONS LEARNED FROM ASIA



WORKSHOP PROCEEDINGS AND CASE STUDIES
PATTAYA, THAILAND 28-31 MARCH 2004

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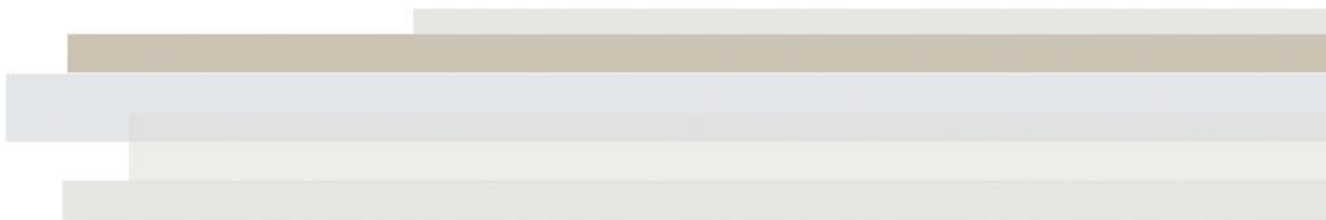
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DEDICATED TO THE MEMORY OF
MR. ENRICO GARDE
AND HIS COMMITMENT
TO PEACE AND DEVELOPMENT
IN THE PHILIPPINES.

“... fighting poverty is a long-term battle. It requires concerted efforts by all parties, including private sector, civil society, non-government organizations, governments and international community like bilateral and multilateral institutions. In this battle, we are all partners. Every one of us has its own strong points and weaknesses. To succeed, we must cooperate...”

TADA0 CHINO, FORMER PRESIDENT, ASIAN DEVELOPMENT BANK¹

¹ Opening Remarks at the Manila Social Forum, “The Asian Perspective and the Role of ADB in Promoting Social Development and Poverty Reduction”, 9 November 1999, ADB Headquarters. Source: <http://202.4.3.34/Documents/Speeches/1999/ms1999046.asp>

“Countries throughout the region are experiencing significant changes in the fabric of their societies. Against this backdrop, comes a renewed need to forge and maintain collaborative initiatives to help foster business skills in local communities.”

SENATOR MECHAI VIRAVAIIDYA, CO-CHAIRMAN, ASIAN FORUM ON CORPORATE SOCIAL RESPONSIBILITY²

² Source: <http://www.csrwire.com/article.cgi/2119.html>

FOREWORD

This document combines the following “HOW TO” guides into one accessible package:

“HOW TO” Design and Deliver a Workshop on NGO-Private Sector Partnerships, compiling best practices and lessons learned (Chapter 2).

“HOW TO” Initiate and Implement an NGO-Private Sector Partnership, considering the possibilities and challenges (Chapter 3).

“HOW TO” Build Momentum for NGO-Private Sector Partnerships Across Asia and the Pacific (Chapter 4).

As a variant of the traditional proceedings, this document does not represent the “final word” on NGO-Private Sector Partnerships. However, it does contain practical advice, drawn from the experience of professionals, that should help anyone interested in multi-sector partnerships.

This document and the workshop upon which it is based would not have been possible without the thoughtful contributions and insight of all those who participated in Pattaya.

ACRONYMS

ACA	Ayala Center Association
ACT	American Corporations for Thailand
ADB	Asian Development Bank
AHCs	alternative health channels
BCG	Business Consensus Group
BWHC	Bangladesh Women's Health Coalition
CBNRM	Community-Based Natural Resource Management Agreements
CEF	Cultural Environment Fund
CEOs	chief executive officers
CSOs	civil society organizations
CSR	corporate social responsibility
DFI	Development Finance International, Inc.
ESCO	Energy Service Company
ESN	Energy Services Network
ESP	Essential Services Package
EOC	Emergency Obstetric Care
FCF	Friendship to Community Foundation
GSK Bio	GlaxoSmithKline Biologicals
HFH	Habitat for Humanity
H-FSS	Household Food Security Status
HIV/AIDS	Human Immunodeficiency Virus / Acquired Immunodeficiency Syndrome
ICEF	India Canada Environment Facility
IDE	International Development Enterprises
IFES	International Foundation for Election Systems
JFPR	Japan Fund for Poverty Reduction
KIAsia	Kenan Institute of Asia
KuIS	Coalition for Healthy Indonesia

LGU	Local Government Unit
MACEA	Makati Commercial Estate Association
MCBD	Makati Central Business District
MOU	memorandum of understanding
MRF	Materials Recovery Facility
MSGs	Multi-sectoral Coalitions/Groups
NGO	nongovernmental organization
NGOC	NGO Center (of the ADB)
PA	Presidential Apparatus
PBSP	Philippine Business for Social Progress
PDA	Population and Community Association
PKS	Healthy Family Program (or in Bahasa Indonesia, Program Keluarga Sehat)
RET	Renewable Energy Technologies
RFSA	Rapid (Household) Food Security (Status) Assessment
SEIPHI	Semiconductor Industry of the Philippines
SMEs	Small and Medium Enterprises
STDs	Sexually Transmitted Diseases
STEP-UP	Strategic Private Sector Partnership for Urban Poverty Reduction
SWM	solid waste management
TBCSD	Thailand Business Council for Sustainable Development
TERI	The Energy and Resources Institute
UAP	United Architects of the Philippines
UEC	Unified Election Code
UPHCP	Urban Primary Health Care Project
USAID	United States Agency for International Development
VDC	Village Development Committee

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INTRODUCTORY REMARKS HIGHLIGHTS

There is no better way to launch a workshop on multi-sector partnerships than to illustrate the fruits of such collaboration by hearing directly from those representing organizations in the public, private and NGO sectors that have worked closely together.

Coming from three very different perspectives, the following speakers all played important roles in making the workshop possible, and offered different, yet complementary, perspectives on the value of NGO-private sector partnerships.

Robert Dobias, Head of the ADB NGO Center, described the policy basis for ADB's support for NGO-private sector partnerships - drawn from ADB's "Framework for ADB-Government-NGO Cooperation."

Deborah Myers, Director, External and Government Affairs and Public Partnerships, GSK Biologicals, outlined her program to develop partnerships worldwide to fill the gaps in immunization coverage by ensuring the successful introduction of affordable vaccines - new and traditional - to communities that need them.

In his keynote address, **Senator Mechai Viravaidya**, founder and chairman of the Population and Community Development Association (PDA), encouraged NGOs to look at how the private sector can enrich their organizations' development activities and help them achieve sustainable funding for operations. The Senator also gave concrete examples of how PDA has adopted business principles to generate funding, and how partnerships with private-sector entities have contributed to poverty reduction in PDA's partner communities.

ADB – Committed to Multi-Sector Partnerships

ROBERT J. DOBIAS

Director of the Agriculture, Natural Resources and Social Sectors Division and concurrently Officer in Charge of the NGO Center, Asian Development Bank (ADB)

In 2000, ADB's President formed a high-level committee and task force to comprehensively review ADB's institutional arrangements for cooperation with non-governmental organizations (NGOs)³. The task force recommended that ADB should strengthen institutional arrangements and processes for sustained consultation and dialogue with NGOs to adequately address current and emerging developments in the NGO sector and at ADB. Following from these recommendations, ADB created an NGO Network in 2001 anchored by a new NGO Center (NGOC) and comprising individuals in departments and offices throughout the institution.



In 2002, ADB initiated an unprecedented exercise in drafting a Framework for ADB-Government-NGO Cooperation (the Framework). Representatives of ADB, Developing Member Country (DMC) governments, NGOs, and the private sector prepared the Framework through a series of 14 participatory workshops held around the region. Drawing on a compilation of the inputs gathered during the workshops, a select subgroup of participants from 25 of the various organizations convened in Manila to produce the initial draft of the Framework during an intensive one-week “writeshop⁴.”

One of the recommendations to emerge from this process concerned the important role that ADB could play to help strengthen NGOs in the region. An important component in NGO capacity building is looking at how NGOs and the private sector can work together in poverty reduction. In this regard, ADB's role could include facilitating NGO-private sector partnerships through such avenues as this workshop. With the indispensable help received from GSK Biologicals and the Population and Community Development Association, we are glad to embark on this effort today, and hope that this spurs the development of some long-term and mutually beneficial relationships among the NGO and private sector participants here.

³ The term NGO is used as a generic term of convenience, and should be understood to cover a range of civil society organizations.

⁴ A “writeshop” is a participatory workshop process used for developing a document or publication. It maximizes the perspectives of the participants so that a first draft of the document is ready by the end of the workshop. Participants were given a synthesis of the recommendations from previous workshops as a starting point, and worked together in writing committees and thematic groups to draft each section of the Framework.

GSK Bio - Working Toward A Common Goal

DEBORAH MYERS

Director of External and Government Affairs and Public Partnerships,
GlaxoSmithKline Biologicals (GSK Bio)



I wish to welcome all of you to this workshop. I am glad to be here today.

Why would GSK be sponsoring this workshop? Our business, really, is to develop and sell vaccines. Why do we need to look at the developing world or to the nongovernmental sector?

Ten out of thirty vaccines that are under development at GSK Bio are for diseases prevalent in the developing world. Our goal is not just to develop vaccines, but to ensure that they reach the people who need them.

That is why we want to learn from you. You all have expertise and experience in reaching communities. My role here is to listen and to work in partnership with you. I hope we can develop ways to work together for a common goal.

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NGO and the Private Sector: Towards Alleviating Poverty and Improving Quality of Life Together⁵

SENATOR MECHAI VIRAVAIIDYA

Founder and Chairman, Population and Community Development Association (PDA)

I have been invited to talk about NGO cooperation with the business sector. I would like to begin from the perspective of NGOs, since most of us participating in the Pattaya workshop have had experience working in, or are from, NGOs.

NGOs have been trained to ask for money from those who have money. Usually we find money from abroad, though sometimes we also find funding at home. But if you look closely at current trends, you'll see a dead end street. In Thailand alone, around 200 NGOs have closed down in each of the three recent years. What we find today is unlimited demand facing limited supply. As new issues arise, many more people are looking for funds - including in the former Soviet Union, China and other countries.



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Moving away from the pond...

Traditional donors constitute an ever-evaporating pond. Because we need money to subsist, we need to look for additional sources of funds. But is there something bigger than the pond? Yes, and that is the lake - the corporate sector. I do not suggest that you go to governments, because often they do not have positive feelings towards NGOs, and even if they do, they need money too.

But, even the lake may dry up. Thus, I would like to suggest an alternative source: your own business. If you have your own business (as a separate legal entity), then you can generate profits, which can in turn be given to your NGO. In the USA, NGOs earned \$61 billion in a year from their businesses, based on a survey conducted sometime ago. This is because the biggest source of money - the ocean, as it were - are consumers.

So my first point is, you need resources. In the past, we have depended so much on the pond - the traditional donors. Increasingly, we need to look toward the private sector. But ultimately, we should re-focus our attention to running our own business.

For example, PDA today has 16 companies, including this resort in Pattaya. We own other resorts, restaurants, real estate, construction, manufacturing; undertake some training, produce handicrafts among other activities. Our businesses are entirely for social progress, with the profits used entirely for our NGO.

⁵The Speech has been edited for the purposes of this document.

Working with the private sector...

With that, I move to how to work constructively with the private sector. I call this approach, “The Privatization of Poverty Reduction and Improving the Quality of Life”.

Let us start by taking an historical look view of poverty reduction over the last forty years. Most poverty reduction endeavors have been carried out by governments based on the welfare approach: that is the poor deserve pity, so we must help them. This approach is akin to using the wrong doctor and the wrong medicine. While governments can provide infrastructure, this approach does not increase income.

Poor people - whether they pick up and sell garbage, grow vegetables, sell cooked food, or raise chickens - are engaged in business. They all try to generate a profit. They are poor because they lack business skills and are denied opportunities to borrow money in the formal market place. What we need to do is to teach these people how to conduct business and to make sure they are in the position to borrow in the regular market.

This is where the business sector comes in: by assisting the poor in doing business by teaching them and helping them locate sources of loan funds. I strongly believe that the business approach is the right medicine, and the business person is the right doctor.

The PDA Experience

The bottom line is that you are more likely to achieve your results with the help of the business sector. We should therefore look at the business sector for more than just cash. The provision of technical inputs is also critical.

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What follows are some examples of ways in which businesses have supported PDA target communities - by helping to equip them with the means to increase their incomes and quality of life. What hopefully will be revealed is that NGOs - like the communities in these examples - need to learn how to generate a steady stream of income and to move away from purely a dependency relationship with the international development and corporate donors.

Example One: Accessing Credit

In PDA’s Partnership Poverty Reduction Activities, big and small businesses assign teams of young energetic staff to share skills and creativity to help the poor raise themselves out of poverty. People from the business sector can sit with the poor and consult with them: “Have you had your soil tested? Are you using good seeds? Are you using the right fertilizer?” Then you begin to talk to them: “You may need to borrow \$250, and there is ten of you, so that’s \$2500.” Then the company people can go to the bank to guarantee the loan or at least half the loan. Work can be done in batches, starting with ten and then moving to the next ten. There is no need to get everyone right

Participants arrive at Cabbages and Condoms Resort, one of PDA’s corporations that help sustain its development activities.



away. The business people can also help them market their products and can check on them once in a while to monitor their progress. The NGOs, on the other hand, can serve as the matchmaker between the bride and the groom - that is, the communities and the companies.

Example Two: Upgrading Skills

At one point, a petroleum company provided scientists to teach us how to improve our red jasmine rice. Now, we deliver these training programs to farmers ourselves. We have also expanded to producing rice crispies, taking the business approach of always asking what more we can do.

Example Three: Identifying and Filling an Unmet Demand

Volvo executives went to a village, sat with the people, and asked them what they are doing to improve their living conditions. The executives soon realized there were no profits generated from their community enterprises. In considering what more the villagers could do, they toured the surrounding area and saw that developments such as housing estates and highways all generated a demand for trees. They prepared a business plan, selected the best-selling trees, and sold the seedlings on wholesale. Months later, you could see all the trees along the highways, all of which came from this small village. The community is continuing and sustaining their business by selling trees. When you visit Sap Tai now, nobody there is poor anymore.

Example Four: Instigating Product Innovation

One good thing about business people is that they do not take no for an answer. A recent example is that of Thai International Airlines. When we went to them to propose to have blankets made of Thai silk, they decided to try it for their Business Class. There are other prospects too, like scarves for schools and sports teams, and even Scottish tartans made of Thai silk. Imagine the possibilities! The women in our community have become so good now, having worked on these various Thai silk products for over twelve years. Their children are now able to go to university and husbands are willing to be subservient because it's the women who earn money.

Example Five: Promoting Social Capitalism

In terms of combining technical and financial inputs from the private sector... while we were very proud of our chicken pens, we believed we could do even better, so we said goodbye to chickens and started to make Nike shoes. The women earned very well, and after awhile, we allowed them the right to buy shares. In the end the workers owned 40% of the shares and the company, which had a contract with Nike, shared the profits. Nike earned sixty and the workers earned forty, and we were even. We call that social capitalism. Profits are high, and the workers are happy. There is a very low turnover of labor, the local government takes in taxes, local businesses earn more, new entrepreneurs have emerged, and women have become stronger and stronger. Now more day care centers are open and women are educated about their health and their rights.

Example Six: Investing in communities

How about those companies who would like to give direct educational support to communities? Examples of corporate sponsored initiatives include:

- Infrastructure enhancements to schools, such as ensuring a good water supply;
- Scholarship programs for children orphaned by AIDS;
- Programs to help children to learn about agriculture;
- School lunch programs;
- A language laboratory, which help children earn good income at a later stage;
- Donations of second-hand computers and training on their use;
- Canadian scholarships available to women to allow them to spend time in Canada to learn English;
- A donation of a school offering a new way of teaching using innovative methods. The kids turn out fantastic!
- An environment education program, in three thousand schools, and sex education through a Sex Education Van.
- Support to teach kids about self-preservation, bargaining, life skills, HIV/AIDS, and so on.

As for companies that give environmental support, some have provided a micro-credit fund for communities that engage in projects for planting trees. They also join the villagers in planting trees and provide training for income-generating activities that are environment-friendly. In this regard, classes are held for women on food processing and other enterprises. Other activities include teaching about renewable energy.

Companies can also promote democracy and gender equality. We have a Democracy Van that goes around schools, - visits that are followed up with a village government program (such as a youth government program) and a youth camp. Kids get together, learn the law and anti-corruption, and form a network. I am happy to say that in the last five years, all these youth officials have been elected because the villagers have seen what they can do. The youth dancers in the camp are also speakers; they are able to speak about democracy.

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In Summary

As the examples illustrate, there is no need to have a big loan from a bank. In fact, we need more business skills and not just money to make these initiatives work. Therefore, when you look at say, GSK, do not just look to their money; look at their business skills. Traditional donors and governments may give you money, but not business skills. But the business sector has both money and business skills. Very importantly, they also have connections.

Thank you.



CHAPTER ONE HIGHLIGHTS

This chapter discusses the global and regional trends that are driving heightened interest in NGO-private sector partnerships to reduce poverty and sustain development. This section builds on the discussion of participants at the Pattaya workshop.

The chapter then presents background on the tri-sector collaboration that has made this workshop and follow-up activities possible.

Finally, the purpose and organization of the document is outlined.



CHAPTER ONE

BACKGROUND AND OBJECTIVES

Globalization and rapid development brought about by technological advancements and the information age have resulted in significant changes in the Asia-Pacific region. With these changes, medicines have become more accessible, rural communities have gained access to international markets for their wares, and manufacturing has become more global in nature. As a result, employment in the formal economy has risen, especially among Asian women and youth. Participatory democracy has given a voice to many of those who were previously unheard and has elevated the role of non-governmental and community-based organizations. This has led to greater transparency of government and corporate activities, as “watchdog” associations expose inappropriate practices. New tools of information dissemination have enabled consumers to base their purchases on social and environmental considerations, rather than on price alone.

But these developments have also brought new challenges. Free trade agreements have solidified the dominant role of corporations in some sectors, leaving smaller entities struggling to compete. Intellectual property laws have limited - fairly or not - technology transfers from rich nations to poorer nations. Some workers in developing countries blame trade liberalization for poor working conditions and exploitation of women and children, while their counterparts in developed countries hold trade liberalization responsible for job losses and wage freezes. Such concerns, real or perceived, have given new impetus to calls - often in the name of national sovereignty - for protectionist measures to prevent “invasions” of imports. Moreover, certain firms have turned to over-fishing, illegal logging and other means of resource exploitation. Many foreign buyers, enticed by attractive prices, turn a blind eye to the harmful impact these practices have on inter-generational equity, biodiversity and other issues.

At the same time, many public institutions in Asia have suffered from a decline in fiscal prowess and a loss of public credibility. Corruption and nepotism are rampant in many Asian countries - from local governments, to the police and military, to lawmakers and judges.

Nor is the NGO sector immune to criticism. The motives of some NGOs have proved questionable. Even well-intentioned NGOs have, in certain cases, failed to properly represent the people they purport to speak for. Other NGOs, especially smaller ones, have failed to adopt transparent and professional accounting practices, further undermining both donors’ and communities’ confidence.

RESPONDING TO NEW EXPECTATIONS

Recognizing these challenges, there are calls for a new way of doing business.

Private companies are increasingly under pressure to adopt codes of conduct or to practice Corporate Social Responsibility (CSR). More and more companies are beginning to acknowledge that it makes good business sense to contributing to projects that support social well-being, poverty-reduction and a healthy environment in the communities in which they operate. Such initiatives boost employee morale, build customer loyalty and raise living standards, thereby expanding the customer base. But corporations often find it difficult to launch such initiatives in hard-to-reach communities on their own.

Simultaneously, NGOs are facing their own set of new challenges, especially when it comes to fundraising. Traditionally NGOs have relied on the generosity of governments and donors to sustain their projects. But with demand for international funding on the rise, NGOs are being forced to employ more innovative ways to raise funds. Restrictions imposed by donors on certain grants and donations do not help matters. The increased uncertainty of sustained funding makes it difficult for NGOs to undertake long-term planning, improve their services and reach their full potential.

Notwithstanding suspicion about the motives of some corporations, more and more NGOs appreciate that successful development initiatives often depend on the products and services produced in the private sector - whether those initiatives are related to education (textbooks, school supplies), e-governance (computers), or health (vaccines, disease monitoring databases).

3

A productive way to overcome the challenges facing both private-sector entities and NGOs would be to encourage partnerships between for-profit and non-profit organizations that possess complementary knowledge or resources.

NGO-private sector partnerships are not new. Indeed, the private sector has for many years demonstrated a willingness to contribute its resources to charitable causes supported by NGOs. With their experience and expertise in handling grassroots community projects, NGOs are in a strong position to help private companies achieve their goal of accessing local communities and expressing their corporate social responsibility.

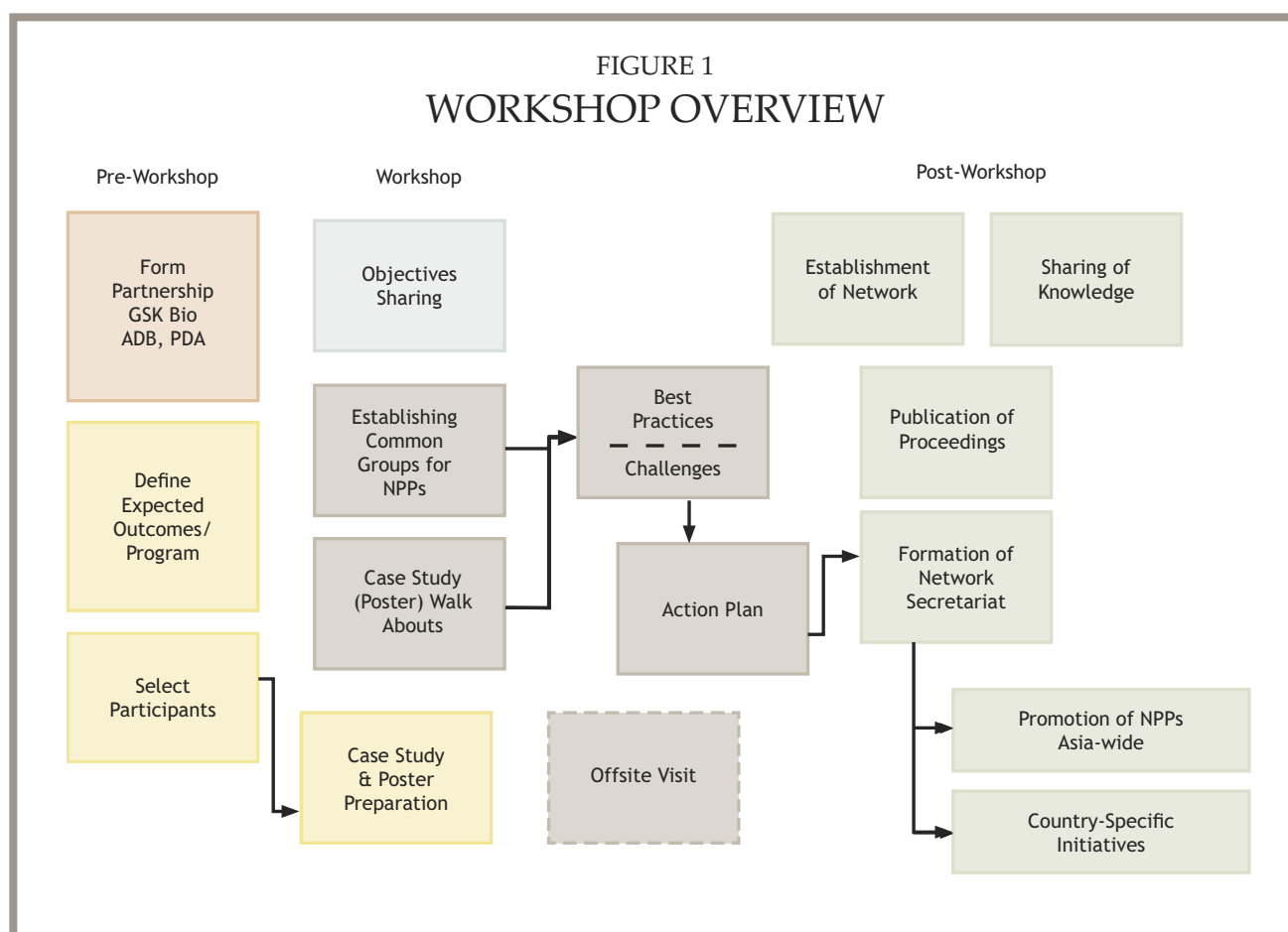
But such partnerships are rare in the Asia-Pacific region. Those that do exist are generally limited to corporations providing grants to NGOs, with little effort made to develop the relationship and explore synergies. While this arrangement may satisfy both parties in the short run, satisfied with such a limited arrangement, it neglects the full potential of the partnership.

THE WORKSHOP

ADB's NGO Center (NGOC), the Population and Community Development Association (PDA) and Glaxo-SmithKline Biologicals (GSK-Bio) came together in 2004 to kick-start a process aimed at moving beyond the traditional, limited view of NGO-private sector partnerships in an effort to understand and promote more substantive partnerships (see Figure 1). A workshop in Pattaya, Thailand, in March 2004, brought together NGO development practitioners and private sector representatives from around Asia to:

- Identify ways to strengthen partnerships between NGOs and the private sector;
- Explore options for developing a network of NGOs and private sector representatives that could provide a platform for follow-up activities; and
- Identify the potential role of international organizations in facilitating such partnerships.

The workshop was attended by 30 participants from 10 countries. Eighteen case studies were presented by individual organizations, representing nine countries from across the region. Overall, the workshop was hailed a success. Using their own experiences, participants discussed ways to create, foster and sustain NGO-private sector partnerships aimed at poverty reduction and economic development (see Figure 1).



THE TRI-SECTOR STEERING COMMITTEE

The ADB's Long Term Strategic Framework states that: *"ADB will seek to develop ways of working closely with NGOs, civil society and the private sector."*⁶ In doing so, the ADB also plays a facilitating role in encouraging players from the various sectors to work together toward poverty reduction. From an ADB perspective, there is always a seat at the table for individuals or organizations that wish to direct their energies and resources toward development. This is just one of the reasons the NGOC decided to play a critical role in designing and ensuring the success of the workshop and its follow-on activities.

GSK Bio, a private multi-national corporation, provided the funds for the workshop and took an active role in ensuring its success. GSK Bio has invested substantial resources into developing new individual and combination vaccines for diseases prevalent in the developing world - such as HIV, TB, malaria, rotavirus and pneumococcus. The corporation is working with development partners to advocate wellness through vaccines, an initiative that will advance global immunization coverage to protect millions of lives. GSK Bio management believes that inadequate investment and insufficient regional support translates into an opportunity for the private sector, development agencies and the NGO community to identify their respective contributions and collectively ensure vaccines for all.

PDA, acting as host, served as a model NGO whose business approach to revenue generation (16 corporations to date) has led to its sustainability. Moreover, its innovative collaboration with the private sector - with multinational companies like Nike, American Express and Volvo - has resulted in development successes in its target communities. PDA's main objective is to "encourage successful businesses to help improve the quality of life of rural people." For sustainability of the target communities, it advocates income generation (rural industry, cottage industries, agriculture), educational opportunities, environmental stewardship, local institutional strengthening and social development.

PURPOSE OF THE DOCUMENT

This document is directed to all individuals and organizations that are committed to, or open to consider, the merits of NGO-private sector partnerships in the non-governmental, public and private sectors, as well as within the donor community. It is intended to increase awareness about the opportunities and challenges associated with NGO-private sector partnerships and to share practical ideas on what can be done to build on the wealth of existing experience - especially the success stories. This document offers fresh insight that will spark untapped interest and renew enthusiasm for collaboration on a critical cause - poverty reduction in the Asia-Pacific region, home to more poor people than any other region on Earth.

The document also hopes to challenge NGOs to determine the resource-generating strategies that will best enable their organizations to expand their activities and attain sustainability. Similarly, this

⁶ ADB-Government-NGO Cooperation: A Framework for Action, 2003 - 2005

document is intended to challenge the thinking of private sector managers, who are often reticent about engaging with NGOs. Increasingly, the question that needs to be asked by players from both sectors is: How can we advance our organizational and development objectives by collaborating with non-traditional partners?

The private sector, donor agencies, government agencies and other supporters of NGOs are moreover asked to contemplate how to maximize support for NGO-run initiatives targeting community needs.

ORGANIZATION OF THE DOCUMENT

This document draws on deliberations of the Pattaya workshop and is divided into four chapters. The case studies that provided the foundation for the workshop discussions have been woven into the text (these case studies are annexed at the end of this document).

Chapter 1 summarizes the key changes in Asia that are driving heightened interest in NGO-private sector partnerships. The chapter also outlines the purpose and objectives of the workshop, highlighting the important collaboration that made this NGO-private sector partnership activity possible.

Chapter 2 describes the workshop approach and methodology. It presents a template of how to conduct a similar workshop, with emphasis on paving the way for a fruitful exchange of perspectives and ideas among participants.

Chapter 3 presents best practices and lessons learned from NGO-private sector partnerships, drawn from the case studies generated by workshop participants. It includes practical advice about what to consider when contemplating or launching an NGO-private sector partnership.

Chapter 4 focuses on the action plan developed by workshop participants. The action plan steps away from individual partnerships and considers ways to garner support and momentum for NGO-private sector partnerships across the Asia-Pacific region.



CHAPTER TWO HIGHLIGHTS

This chapter provides the mechanics and design of the workshop including the purpose, brief description and outcome of each session. A template of the workshop is also provided as a reference tool for organizers of future workshops.



CHAPTER TWO

THE WORKSHOP

OVERVIEW AND OBJECTIVES

ADB's NGO Center and GSK Bio organized the workshop *Building NGO-Private Sector Partnerships Against Poverty*, 28-31 March 2004. PDA hosted the workshop at the Cabbages and Condoms Resort, one of its corporations. Dr. Peter Malvicini, an expert on participatory workshops, facilitated the three-day workshop, which culminated in a site visit to the Sap Tai Community Based Integrated Rural Development (CBIRD) Center.

Twenty-six participants from 10 Asian countries, representing NGOs, ADB and the private sector, convened to share and learn about partnership experiences. NGO participants included experienced practitioners of private sector partnerships. Others had only limited familiarity with such partnerships, but were keen to learn more about their potential and how to forge successful ones. In advance of the workshop, each participant was required to submit a case study and prepare a poster, both of which were used in the workshop discussions to distill best practices and lessons learned.

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The purpose of the workshop was to explore how to support poverty reduction and sustainable development in Asia through partnerships between NGOs and the private sector. In particular, the workshop sought to:

- Identify ways to strengthen partnerships between NGOs and the private sector in poverty reduction in Asia and the Pacific;
- Explore options for developing a network of NGOs and private sector representatives that could provide a platform for follow-up activities; and
- Consider the role of international organizations in facilitating such partnerships.

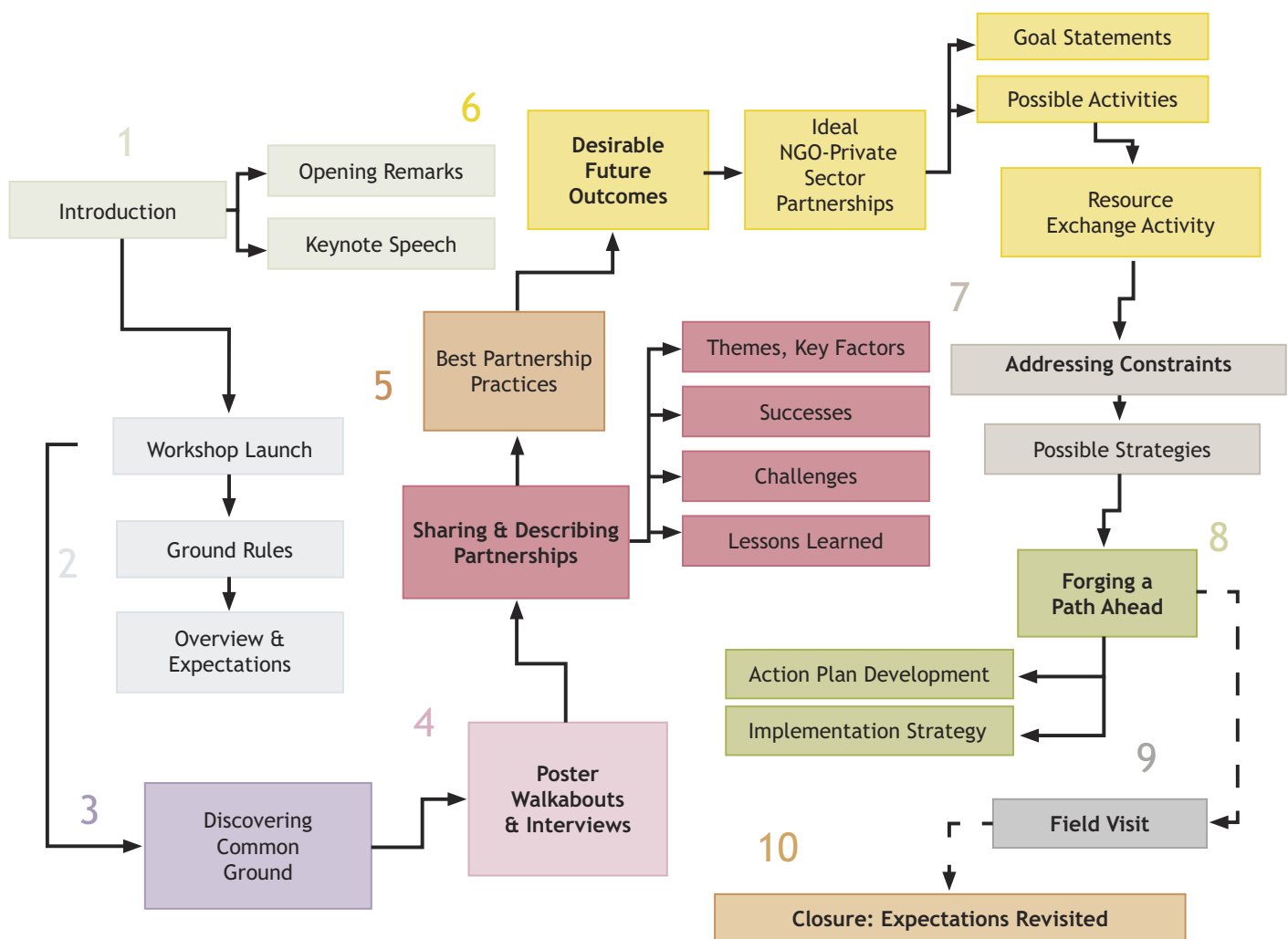
In pursuing these objectives, three concrete outputs from the workshop were envisioned:

- Templates and models to replicate future NGO-private sector collaboration;
- A plan of action on how to move forward in strengthening NGO-private sector partnerships in Asia and the Pacific; and
- A series of case studies and lessons learned to support future network activities.

WORKSHOP MECHANICS – A 10-STEP PROGRAM

The following section discusses in some detail the workshop sessions, including objectives, format and overall outcomes (see Figure 2). Rather than presenting the substantive results of the sessions, participant input has been consolidated to form the basis for subsequent chapters: Chapter 3, *Forging an Effective NGO-Private Sector Partnership*, offers a “how to” guide to forming successful partnerships; Chapter 4, *Generating Momentum Asia-Wide*, presents an action plan to generate momentum for NGO-private sector partnerships across the Asia-Pacific region.

FIGURE 2
WORKSHOP OVERVIEW



Source: Pattaya Workshop, March 2004

Step 1: Introduction

OPENING REMARKS

The workshop was formally opened by Ms. Deborah E. Myers, Director of External & Government Affairs and Public Partnerships, GSK Bio. As official sponsor of the workshop, Ms. Myers welcomed participants to Pattaya and provided a brief overview of GSK Bio's interest in working with NGOs to expand immunization coverage across the globe, and the company's broader objective of promoting multi-sector partnerships in all fields of development.

Mr. Robert J. Dobias, Director Agriculture, Natural Resources and Social Sectors Division (RSAN) and Officer-in-Charge, NGO Center, ADB, explained the genesis of the workshop and introduced the keynote speaker, Senator Mechai Viravaidya, Founder and Chairman of PDA. Mr. Dobias noted ADB's commitment to cultivating a vibrant NGO community and explained how the workshop contributed to that aim.

KEYNOTE SPEECH

Using PDA as an example, Senator Mechai Viravaidya illustrated how an NGO can succeed by:

1. Achieving self-generated financing by adopting business strategies from the private sector; and
2. Collaborating with private sector entities to equip communities with the ability to help themselves. He cited a range of partnership examples, including programs to:
 - a. Access credit
 - b. Upgrade skills
 - c. Identify and fill unmet demands
 - d. Instigate product innovation
 - e. Promote social capitalism
 - f. Invest in communities

Senator Mechai's citation of six successful and creative NGO examples at PDA served as an inspirational and energetic launch to the workshop.

Step 2: Workshop Launch

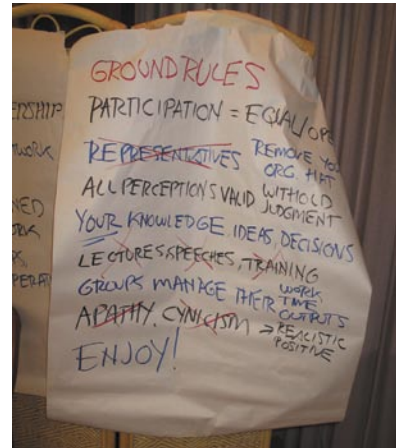
The workshop launched with a simple "meet-and-greet exercise" in which participants partnered and introduced each other to the group. This method provided all participants with a brief background of their colleagues while also serving to illustrate the diverse composition and interests of the participants. Participants shared the details of their partnership experiences later in the workshop during the discussion of case studies and in the poster session.

GROUND RULES

From the outset, workshop organizers were committed to ensuring that the workshop would be conducted in an environment conducive to discussion. The participatory approach adopted by the organizers blended plenary sessions with small-group, “break-out” sessions, participant presentations, and facilitator wrap-ups. This approach empowered participants to comment on both the negative and positive realities of NGO-private sector partnerships.

The facilitator articulated a number of ground rules for the workshop. These rules helped to create a relaxed and open atmosphere for friendly but frank discussion and debate. The ground rules included:

- Participation is equal or open. Speak freely for yourself, not as a representative for your organization (in other words, “take off” your professional hat).
- All perceptions and perspectives are valid. Respect differences in opinion.
- Each piece makes part of the whole; in other words, without your contribution, the group is less complete.
- While we create a structured learning environment, you do the talking. It is you who brings the knowledge and experience and generates the ideas.
- Small groups work for the large group.
- People manage the work themselves. You’re responsible for tasks and outcomes and ensuring that no one dominates or is silent.
- The most dangerous enemies are apathy, hopelessness and cynicism. Be realistic and critical, but try to be caring, hopeful, constructive and optimistic.



With such a diverse representation of experiences and perspectives, it was important to set the stage for an open and equitable participatory forum.

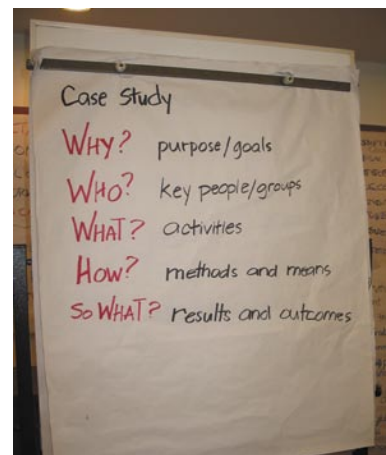
Facilitator encourages open interaction of ideas among participants.

OVERVIEW / EXPECTATIONS SETTING

The workshop overview was followed by a presentation of the proposed schedule of activities. The bulk of discussion focused on the experiences of participants, as revealed by case studies prepared in advance of the workshop by several of the NGO representatives.

Since the participants represented different cultures and settings, the expectation-setting session was particularly important. Specifically, it encouraged participants to keep an open mind to new ideas. Expectations were discussed in pairs before being posted for broader consumption and discussion in plenary.

One common expectation was to learn about others' partnership experiences. Some expressed an interest in better understanding what NGOs need in order to mobilize resources. Others hoped to emerge from the workshop with a keener understanding of the changes occurring in Asia and the Pacific, and some feedback on how they might adjust their activities to reflect these changes. Many looked forward to establishing new linkages and networks with other stakeholders beyond the workshop.



Most participants, including those from the private sector, wanted to learn how to communicate better with representatives of other sectors, including in order to sell" better the idea of collaboration to senior management of their own, and each others', organizations. To this end, some participants needed clarification about the likely dynamics of future partnerships, in the light of differing roles and responsibilities, varying cultures and preconceived ideas of the major partners and stakeholders. They maintained a need for comprehensive, practical guidelines to forming partnerships, building on successful experience.

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Step 3: Discovering Common Ground

A key exercise at the outset of the workshop was to identify significant political and socio-economic developments around the world, particularly in Asia and the Pacific. The facilitator posed the following questions: *What significant changes have you seen in the world in the past three to five years that will be important into the future? What major trends in society of the past three to five years will affect development in the region?*

This exercise was designed to get the diverse participants to think about the context of their work and to discuss the similarities and differences of the challenges they face. The idea was to create a shared picture of the world in which participants worked.

After listing observed global trends (a summary of which appeared in the first section of Chapter 1), the facilitator helped distill from the complete list those trends that were most significant for NGO-private sector partnerships in Asia and the Pacific. The posted outputs reinforced that:

- While participants come from different backgrounds, they are all affected by the same global and regional trends;
- Similarly, whereas private sector entities and NGOs have dissimilar mandates and ways of carrying out their activities, the contexts in which they operate are similar; and
- Without collaboration, organizations will have greater difficulty adjusting to new trends and managing the impact of external forces. That is, there are benefits that accrue to both businesses and NGOs when common ground is identified and common objectives are defined - even if such benefits may differ for each organization.

This session successfully paved the way for participants to discuss their experiences in greater detail. Moreover, it became clear as the workshop progressed that despite major differences between the private and non-governmental entities, common ground - and hence a basis for partnership - can be found.

Step 4: Poster Walkabouts and Interviews

The poster walkabouts and associated interviews were a central component of the workshop. The exercise allowed the participants to share their experiences with each other. The posters, many prepared in advance of the workshop along with written case studies, offered a visual representation of NGO-private sector partnerships.

An exchange of perspectives, successes, challenges and lessons learned ensued. To ensure that each participant had an opportunity to both showcase his or her case study and learn about others' experiences, the group was divided into two, with half the participants manning their posters while the other half walked around conducting interviews.

The basis for the interviews was an *Appreciative Interview Protocol*⁷ (see Figure 3).

The exercise succeeded in moving beyond common impressions of NGO-Private Sector partnerships to examine the concrete realities of such alliances - including challenges and misconceptions. This exercise helped:

- Expose the key concerns of the NGO participants regarding their partnerships with the private sector;
- Offer a clear window into the systems and practices of other NGOs;
- Encourage genuine interaction among the participants; and
- Lay the foundation for subsequent workshop activities.



⁷Appreciative Inquiry: Rethinking Human Organization Toward a Positive Theory of Change by David L. Cooperrider (Editor), Jr. Sorensen Peter F. (Editor), Diana Whitney (Editor), Therese F Yaeger (Editor). Stipes Publishing, Champaign Illinois.

FIGURE 3
APPRECIATIVE INTERVIEW PROTOCOL

1. What factors led to any successes with the NGO-private sector partnership?
 - a. What gave life to the initiative?
 - b. What was exciting or significant about this experience?
 - c. Which factors about the people or organization led to success?
2. What were the greatest challenges and obstacles to partnering?
 - a. What hurdles or roadblocks did you encounter?
 - b. What strategies did you employ to overcome them?
 - c. What aspects/issues do you continue to struggle with?
3. What key lessons about partnerships did you learn?
 - a. Do you have significant impressions or conclusions?
 - b. Are there things that “work” in practice?
 - c. What will you do differently or carry forward into future work?

The results of this and the following sessions formed the basis for Chapter 3, *Forging an Effective NGO-Private Sector Partnership*, which addressed the creation of alliances between profit-making and non-profit organizations.

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Step 5: Sharing and Describing Partnerships

While the posters provided an opportunity to share real-life examples of NGO-private sector partnerships, the next session analyzed common experiences. Specifically, after the poster walkabout exercise participants were divided into four groups and told to draw on case studies in order to identify:

- Factors leading to successful NGO-private sector partnerships;
- Challenges and obstacles relating to these partnerships; and
- Key lessons learned from partnerships.

Meeting in plenary session, the groups presented the most important factors, which were then consolidated with the assistance of the facilitator. This material became the building block of “best partnership practices.”

Step 6: Desirable Future Outcomes for Partnership

IDEAL NGO-PRIVATE SECTOR PARTNERSHIPS

After identifying the key factors that affected the success of participants' NGO-private sector partnerships, the facilitator challenged the group to step back and consider how ideal partnerships between the non-governmental and private sectors could be nurtured. Still working in small groups, the facilitator posed the question: *What would you most want NGO-private sector partnerships in Asia and the Pacific to look like in 2010?* Imagining an ideal future, each group was tasked with generating four or five scenarios and placing them on a flipchart to be presented to the group.

Following the group presentations, a plenary session ensued, during which the participants identified the major themes across groups (such as sustainable revenue generation for NGOs, to name but one). Participants were then asked to sign up under one of the thematic categories. In small groups of three to five members, they discussed their selected theme, and by borrowing the ideas from the future outcomes activity, each group was instructed to draft a broader goal statement. Upon formulation of the goal statement, they were asked to list potential activities to help realize the goals.

The purpose of this session was to reveal the aspirations of participants regarding NGO-private sector partnerships. It also provided each organization, as well as the collective team, with a set of goals to aspire to. The outputs of this session contributed directly to the formulation of a joint action plan that was used later in the workshop. Upon formulation of the goal statement, they were asked to list potential activities to help realize the goals.

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RESOURCE EXCHANGE ACTIVITY

Before the end of the session on desirable outcomes, the facilitator introduced the resource exchange activity. The facilitator posed the question: *What specifically can I/my organization offer this group now (service, capacity, opportunity, function, resource)?* This activity served two purposes, namely to:

- Provide participants with the opportunity to assess how their organization might contribute to a concerted strategy to improve the environment for NGO-private sector partnerships; and
- Gauge the “ideal” situation for NGO-private sector partnerships against the aggregate resources and capabilities of the organizations represented at the workshop.
- The results of Step 6 - both the goal statements and the resource exchange exercise
 - were revisited and utilized during the session on action-plan development (*Step 8 - Forging a Path Ahead*).

Step 7: Strategies to Address Constraints

Following the discussion on “ideal” partnership scenarios, participants were encouraged to ground the exciting ideas generated in Step 6 in reality by recognizing potential constraints. It offered a balanced perspective from which the group could develop realistic collective goals and meaningful recommendations in the final steps of the workshop.

Stemming from the previous activities, the facilitator asked participants to identify possible constraints to implementing the goals and activities they had developed by having them answer the following question: *What are the major roadblocks or barriers in the way of getting to the desirable future of NGO-private sector cooperation in Asia and the Pacific?*

After the discussion, the participants were divided into small groups to work on identifying potential strategies to address three of the most commonly selected constraints. In light of the output from the resource exchange exercise, some participants remarked that many problem-solving strategies and techniques could be drawn from the immediate group. The groups' findings were then presented in the plenary for full discussion.

Step 8: Forging a Path Ahead

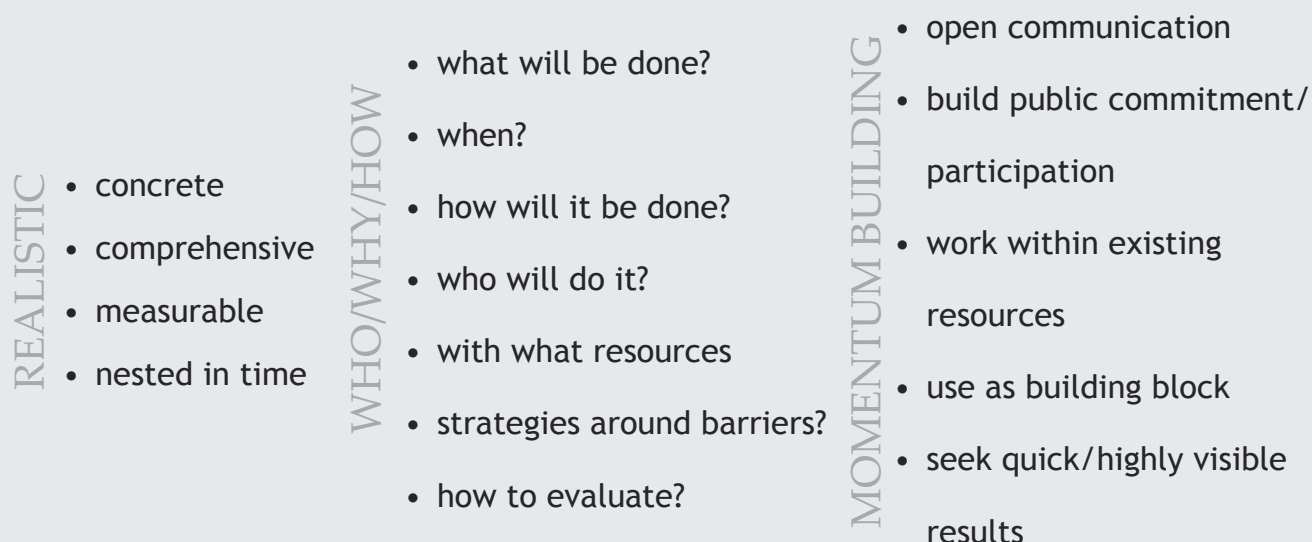
ACTION-PLAN DEVELOPMENT

At this point in the workshop, the participants were eager to explore what they could do - both individually and as a group - to facilitate and improve the partnerships NGOs make in the region. Grounded in both theory and real practices for social development, they began to draft plans for future action, which later would be consolidated into a comprehensive action plan.

Based on the goal statements and proposed activities generated in Step 6, individuals signed up in small groups to translate these outcomes into draft action plans. The facilitator provided guidelines for action planning. In particular, he recommended that plans be realistic, cover the “Whos”, “Whys” and “Hows”, and include activities that would sustain the momentum of the workshop (see Figure 4).

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FIGURE 4
ACTION PLAN CHARACTERISTICS



Breakout sessions were used to encourage quality brainstorming. The outputs of each group were then posted, and participants went through another walkabout exercise to share their comments for improvement. Group outputs were also presented in plenary for collective contribution to further refine the draft action plans.

IMPLEMENTATION STRATEGY

The final phase of the formal part of the workshop was the translation of goals and draft plans into an implementation strategy. An open discussion of participants' draft action plans focused on compiling the various recommendations into one group action plan that comprised of:

- Strategies to be implemented;
- Plans to integrate action items into the work of individual organizations; and
- Strategies for sustaining momentum toward partnership building.

The output of this final session is captured in the last chapter of this document, Chapter 4, *Generating Momentum Asia-Wide*.

Step 9: Field Visit

The last day of the workshop was spent at PDA's Cabbages and Condoms Mountain Resort in the Sap Tai community. The site visit reinforced the idea among participants that financial independence is not just a dream for NGOs - it can be a reality. PDA is a perfect example of an NGO that formulated business strategies and often partnered with the private sector to attain self-sufficiency (see figure 5 for more details).

Step 10: Closure - Expectations Revisited

As a proper conclusion the Workshop, the participants were asked to complete a workshop post-evaluation survey. The questions asked participants to rate the success of meeting against the key objectives identified at the start of the Workshop, namely:

1. Based on the lessons learned, identify ways to strengthen partnerships between NGOs and the private sector in poverty reduction for Asia and the Pacific;
2. Explore options for developing a network of NGOs and private sector representatives that can provide a platform for follow-up activities; and
3. Explore the role of international organizations in facilitating such partnerships.

Participants were also asked to share what they found most helpful in this workshop, as well as recommendations for future actions.

As found with most participatory workshops of this nature, this input and reflection is important in the design and replication of future workshops.

FIGURE 5
PDA'S COMMUNITY-BASED INTEGRATED RURAL
DEVELOPMENT CENTER

CBIRD Center Genesis:

- PDA established the Sap Tai CBIRD Center ("The Center") in 1985 with funding from German Agro Action (GAA).

Current Offerings:

- The Center features a resort and restaurant, training for youth, agricultural production, environmental conservation and other rural developmental activities.
- Recent projects include:
 - The Carbon Bank Project, supported by Unocal (Thailand);
 - The Mini Farm for School Lunch Program, supported by Novartis (Thailand) Limited; and
 - The Capacity Building for Youth Program in Phaya Yen Sub-District, supported by Phillips Morris (Thailand) Limited.

Business Strategies:

- The Center engages in business activities to generate its own sources of funding for development projects.
- The Center has earned a good reputation among villagers.
- Sap Tai Development Company Limited was established in 2000. It runs the C&C restaurant and resort in Sap Tai (with 19 employees), where amenities include accommodation, a campsite, a meeting room for seminars and a restaurant.
- The youth camp provides services for all types of schools and academic institutions and promotes awareness of environmental conservation among students.
- Eco-tourism activities include trekking with experienced guides in the local area. Guides are members of Environmental Protection Society (EPS). They take visitors to five different routes near Khao Yai National Park and Sap Tai Village. A package tour (cattle farm, waterfall, and other tourist spots) is also offered.
- Agricultural products, such as mushrooms and vegetables, are sold to guests.

Marketing & Sale Strategies:

- The team consists of three staff members at PDA's headquarters in Bangkok. These employees meet with potential clients at government agencies, state enterprises, private companies and academic institutions. Other mechanisms for marketing include brochures and leaflets, the Internet (www.pda.or.th/saptai/) and newspaper advertisements.
- Future business plans include building additional rooms, starting a spa, erecting a convenience store, advertising in travel magazines and making billboard signs.

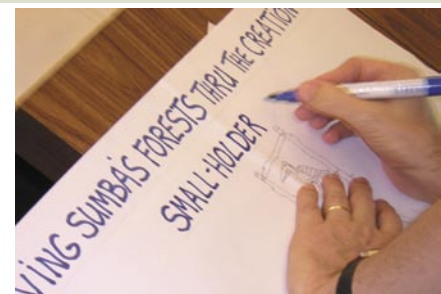


CHAPTER THREE HIGHLIGHTS

This chapter summarizes lessons learned about NGO-private sector partnerships. It draws heavily from workshop sessions and case studies, combining theoretical considerations about the opportunities and challenges associated with NGO-private sector partnerships with the real experiences of workshop participants. The case studies referred to in this chapter can be found in the annex.

NGO-private sector partnerships take a variety of forms and serve various purposes. However, a common theme throughout is that while these partnerships have the potential for success, prospective partners need to be cautious about “who” they partner with, “why” they believe an NGO-private sector partnership is the best approach, and “how” they go about implementing a joint work plan. It is important to appreciate the limitations and challenges of collaboration with entities that may have different styles, approaches and motivations.

It is hoped that this chapter will serve as a template for parties interested in pursuing an NGO-private sector partnership.



CHAPTER THREE

FORGING AN EFFECTIVE NGO-PRIVATE SECTOR PARTNERSHIP

Evolving political, economic and social forces argue for a new type of relationship between the private sector and NGOs. As concrete examples reveal, much can be accomplished when entities from the business sector and civil society combine forces. Yet such partnerships must not be entered into lightly. The choice of partner (the “who”), the articulated objectives (the “why”) and the mode of operations (the “how”) are decisive factors in the success of any partnership.

This chapter explores the nature of successful NGO-partnerships, underlining key challenges and exploring the factors that lead to success. All examples and conclusions flow from the workshop and the participants’ case studies (see Annex).

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THE NATURE OF PARTNERSHIPS

Successful NGO-private sector partnerships come in many shapes and forms. The 18 case studies presented at the workshop addressed a range of issues, including health, human resources development, housing for the poor, rural electrification, the environment and electoral reform. Some involved a limited group of partners, whereas others embraced multiple NGOs and/or companies and included government and donor institutions as well. Many featured multinational corporations and international NGOs, while others targeted partnerships at the local level. Partnerships were initiated by a variety of players - sometimes a corporation and sometimes an NGO - and were pursued for a variety of reasons.

In short, while partnerships often face common challenges, at the end of the day no two partnerships are alike.

KEYS TO SUCCESSFUL PARTNERSHIPS

When weighing the pros and cons of entering into an NGO-private sector partnership, several factors should be considered.

THE WHO: Choosing the Right Partner

Finding the right partner is not straightforward. First and foremost, a successful partnership requires trust.

Trust is generally built over time through involvement in shared activities. But often prospective partners do not have the benefit of a long-standing relationship. In this case, it may be still worthwhile moving into a partnership, provided trust can be established through other means. At the outset, it's worth asking:

- What is the mandate of the organization/company?
- What is its reputation in the target community?
- Is the reputation of my person or entity likely to be soiled through an association with this individual or entity?
- If this individual or entity has been critical of my operations in the past, will a partnership help alleviate such criticisms or will it exacerbate them?

When assessing trust, it is important to determine whether any feelings of distrust stem from general skepticism (or perhaps lack of understanding) toward the “other sector”, or whether they stem from more serious, specific concerns about a prospective partner. For example, many NGOs are distrustful of anyone or anything associated with the private sector - especially multinational corporations. Similarly, many in the corporate world are concerned that NGOs are simply out to get them. These broader feelings of distrust, while warranted in some cases, need to be resolved directly or it will be extremely difficult to forge a successful partnership. The key is to assess each prospective partner on its own merits.

Related to the issue of trust is the issue of **respect** - for both the individuals and the organizations they represent. In this regard, try putting yourself in the shoes of the prospective partner and ask: *“If I were working for their organization or in their line of business, would I conduct myself in a similar fashion?”* If the answer is yes, then there may be a basis for respect.

In the context of NGO-private sector partnerships, the issue of respect often comes into play when an NGO, driven by “social profit”, considers joining forces with a company, driven by “financial profit.” It is often asked: *“How can I respect (or trust for that matter) someone who is largely motivated by the bottom line, rather than by social development.”*

Indeed, the Soaltee Group of Nepal, a private sector entity that works with NGOs to explore how partnerships can be most effective in the delivery of services to the poor, cites conflicting profit motives as the biggest challenge to successful partnerships. This often remains the case even when NGOs have secured their financial viability through profit-generating endeavors.

THE WHY: Why Form a Partnership?

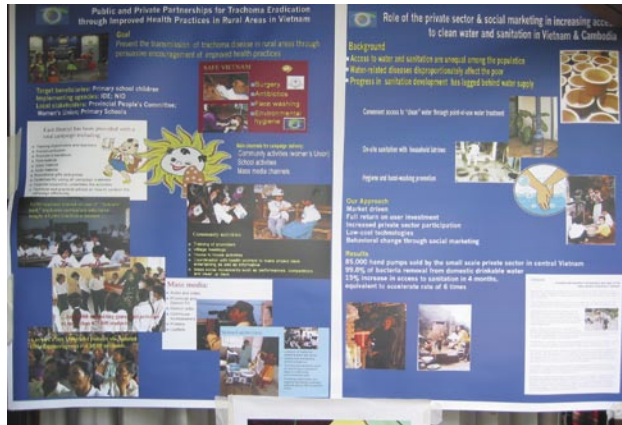
The answer to this question typically lies in finding **common ground** - or shared interest - in forging a partnership. In this regard, there must be a shared vision of what is to be accomplished and recognition that motives can be complementary even when they are different.

Indeed, it is a near certainty that parties entering into a partnership are doing so for different reasons, although there is bound to be at least some overlap. For most NGOs in the development field, the ultimate reason for collaborating with the private sector or, for that matter, a donor organization or government agency, is to advance its development agenda - whether it be in the name of the environment (as in the case of World Neighbors in its efforts to halt the destruction of the forests in Sumba, Indonesia) or providing for the needs of the disadvantaged (as is the case with Habitat for Humanity, which provides housing for the poor). Under this umbrella, an NGO may have other hopes from the partnership. These might include:

- **Financial resources** - the most common (and most traditional) reason that NGOs have sought out collaboration with the private sector. For example, under the American Companies for Asia (ACT) program, the Bangkok-based Kenan Institute solicits corporate social responsibility funding from interested American companies to implement a host of training initiatives aimed at raising the human resources capacity in Thailand. For corporate sponsors, the program represents an efficient and effective way to ensure that their donations make a difference. The Kenan Institute Asia, meanwhile, gets a base of resources upon which it can build a comprehensive and ongoing program.
- **Technical know-how:** In his opening remarks at the Pattaya workshop, Senator Mechai of PDA stated: *“In the past, we have depended so much on the pond - the traditional donors. Increasingly, we need to look toward the private sector. But ultimately, we should refocus our attention to running our own business.”*

It is increasingly recognized that the NGO community has much to learn from the private sector. The PDA, with numerous businesses, is a perfect example of an NGO that has solved its sustainable funding problem by adapting a business approach to its operations. The workshop brought to light other examples of technical know-how being transferred from the private sector to an NGO partner. In Vietnam, International Development Enterprises (IDE) joined forces with the consumer goods company Unilever to design and implement a social-marketing campaign aimed at encouraging children to wash their hands with antibacterial soap to reduce the prevalence of worms and diarrhea. Aside from funding, a stated benefit accruing to IDE was learning about marketing from Unilever, as the organizations jointly developed and delivered a communications strategy.

- **Profile:** NGOs are often in search of credible public relations opportunities in order to raise their profile in communities or among donors. To illustrate, one anticipated result of the work of Habitat for Humanity with the semiconductor and electronics industry in the Philippines was greater awareness of the NGO. Another anticipated result was building public awareness of the plight of poor urban residents without adequate housing.



Poster depicts lessons learned in implementing a social marketing campaign to improve health practices in rural Vietnam.

- **Leverage:** Working with the private sector may be a way to secure additional funding from other sources. For example, the United States Agency for International Development (USAID) recently included the Global Development Alliance (GDA) approach in its bilateral aid program. Under the GDA, alliances - formed between private sector and NGO partners - may be eligible for grant funding in amounts dependent on the size of the financial and in-kind contribution of the alliance itself.
- **Goods and Services:** There are some situations in which NGOs may be interested in working with businesses to ensure that goods or services produced in the private sector reach remote or marginalized communities that lack distribution networks. For example, an NGO may seek out a partnership with GSK Bio - not necessarily for funding or preferential pricing on vaccines - but to help the NGO ensure that communities that lack access to vaccines are able to secure access. In the area of rural electrification, the British High Commission of New Delhi offers a relevant example. The Bangalore Salesian Society (NGO), SELCO (private company) and Winrock International (funding agency) forged an affiliation to install solar-home systems in a rural community that lacked electricity. The women in the community wanted to extend their working hours to supplement their meager income through the sales of homemade woven products. Thanks to these three groups and the beneficiaries themselves, a revolving fund to provide short-term financing was established. The key was finding a way to extend private sector services into a remote village.

- **Advocacy:** In many cases, NGOs and companies join forces to lobby or advocate for certain legislative or policy reforms. This gives them a stronger voice with the government. For example, the Thailand Cultural Environment Fund engaged private sector associations in its “Beauty of Silence” campaign to increase public awareness of the importance of noise control and ensure enforcement of noise laws and regulations.

Similarly, the reasons that corporations or business associations may be interested in working with the NGO community differ from case to case.

- **Corporate Social Responsibility:** In many cases, companies may seek to tap the expertise of NGOs or community-based organizations to deliver grant-based development programming through direct contributions. In some circumstances, the company may be willing to provide untied funds to an NGO, while in others it may wish to be a more active player.

- **Because it makes good business sense:** Companies and NGOs increasingly recognize that CSR can be practiced alongside solid business strategies. In Indonesia, the flour maker Bogasari originally sought out a partnership with an NGO focusing on preventive health in order to develop and implement a health program for the communities in which the company operated. The theme of the program was that households, not health providers or systems, are the main producers of health. Although the company was not looking to reduce its health care expenses through the collaboration (it was looking to show its concern for local communities), health expenditures on its employees were reduced.

- **Access to local markets:** One of the great offerings of NGOs to private sector partners is their understanding of, and access to, local communities and networks. The IDE/ Unilever partnership referred to earlier - “Lifebuoying Hands to Improve Children’s Health in Rural Areas of Vietnam” - is an ideal example. Through this program, Unilever was able to increase the local demand for its soap (Lifebuoy) while simultaneously providing a public service.

- **Fulfilling regulatory/contractual obligations:** In certain cases, partnering with an NGO may help a company fulfill legal or contractual obligations or its own code of conduct. Lane Xang Minerals, an Australian mining company, works with the Lao

PRIVATE SECTOR TAKE NOTE:

Advice of NGOs to Private Sector

- Recognize there are broader objectives of a program than just making money or making the company look good.
- If you want my organization to make commitments on your behalf to the community, make sure you follow through – my credibility is on the line.
- Don’t be patronizing – we each bring a unique set of experiences, expertise and skills to the table.

People's Democratic Republic to extract gold and copper in the southern part of that country. As part of its social contract with the Government, Lane Xang Minerals acts to mitigate the possible impact of HIV/AIDS resulting from labor migration and local infrastructure development. The Lao Red Cross, with its interest and expertise in disease prevention, proved to be the ideal partner. The Red Cross gained regular access to laborers and villagers so it could deliver training and build awareness of disease risks; the company met its commitment to the Government.



The Lao Red Cross serves as a link to laborers and villagers in raising awareness on HIV/AIDS risks as depicted in the poster.

One message emerging from the workshop was that organizations should try to anticipate what benefits might accrue to a prospective partner and present these as part of the rationale for collaboration. You should not expect a partner to come on board simply to advance your organization's mandate and interests.

BEYOND THE CONFINES OF THE PARTNERSHIP

Just because the potential for a mutually beneficial partnership between an NGO and a private company exists, it does not exclude the possibility that others - potentially from other sectors - may also have a role to play. For example, while recognizing the importance of respecting the interests of partners, it is also important that the interests of the intended beneficiaries are not forgotten and that their buy-in and ownership is critical. So much attention is often focused on meeting the needs of the respective partners that the larger interests and participation of the community itself may be overlooked.

Along these lines, it is also important to carefully identify and target the intended beneficiaries. In his presentation in Pattaya, Dr. Ravi Jayakaran pointed out that the nature of the intervention, as well as the types of partners who would be effective, are dependent less on the level of development of the community as a whole than on the "Household Food Security Status" of the target population segment. For example, those "above the prosperity line" (i.e. those who have enough to eat and can lend) will benefit from a different kind of support than those just above or below the poverty line (or even below the "charity line"). Dr. Jayakaran encourages partners to understand their target beneficiaries and design their initiatives accordingly. He further notes that other members of the community may be in a position to contribute or participate in partnership objectives.

NGOs TAKE NOTE:

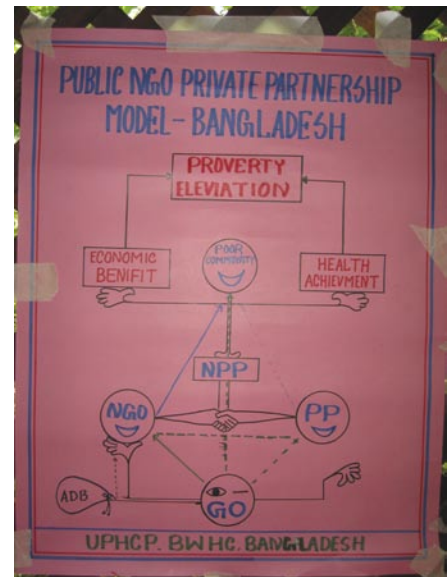
Advice of Private Sector to NGOs

- We have just as hard a time as you in convincing our management that there are merits to partnering up with an NGO – give me reasons that I can use with my management.
- If you continue to see us as “the enemy”, there is no hope of reaching the necessary level of trust and respect.
- Understand that private entities work with different timetables and respect for deadlines and commitments – if you say something will get done by Tuesday, please mean it.

Similarly, “bi-sector partnerships” might be enhanced through a multi-sector approach. Indeed, sometimes NGO-private sector partnerships grow out of another partnership between a player and a public sector donor agency. The Strategic Private Sector Partnerships for Urban Poverty Reduction (STEP-UP) program is a multi-sector approach to housing and urban development in the Philippines. The Philippine Business for Social Progress (PBSP), a nonprofit coalition of companies, secured support for this initiative from the Japanese Poverty Reduction Fund of the ADB, and relied on the Government of the Philippines’ Housing and Urban Development Coordinating Council to serve as primary executing agency. However, to improve effectiveness and sustainability at the local level, small and medium sized enterprises (SMEs), local government units, NGOs and the academic community were all brought on board to serve as city champions or to provide other contributions and services.

Another successful example of an NGO-private sector partnership that worked within a broader context stemmed from another ADB project. In this case, the ADB provided assistance to the Government of Bangladesh to improve the health of the urban poor by nurturing non-public or the “alternative health channels” sector. Under the Urban Primary Health Care Project (UPHCP), a number of Health Care centers were established and run by implementing agencies, including NGOs like the Bangladesh Women’s Health Coalition (BWHC). To strengthen the effectiveness of its operations, the BWHC developed additional partnerships with private local groups, such as diagnostic centers and legal agencies. According to BWHC, these secondary partnerships with the private sector contributed substantially to overall improvements in health within the communities they served.

Finally, if you do not find common ground with an entity that you believe would make a good partner, do not despair. Not every initiative will be appealing to everyone. For example, the PBSP notes that those companies new to CSR might find it easier and more logical to support development initiatives directly related to their core business. Hence “common ground” may be more apparent to one counterpart than to another.



THE HOW: Managing Partnership Dynamics

Once partners have been identified, the challenge becomes working successfully together. Based on the experience of the Pattaya workshop participants, there are number of practices that can be adopted to avoid problems down the line:

SHARED OBJECTIVES

While the benefits accruing to each partner will likely differ, a joint initiative is doomed to fail if the parties cannot agree on the objectives.

To illustrate, the Makati Central Business District (MCBD) initiated the Solid Waste Management Program to reduce residual solid waste, or waste that ends up in dumpsites. This was to be accomplished by recovering materials that can be reused, recycled or processed into compost. For the MCBD, solid waste management was mandated by law. Aside from (ultimately) making good business sense, the business community benefited from the initiative by finding a workable way to respect the law. And environmental groups brought on board to provide training and technical assistance benefited because their cause was being advanced and supported by a prominent group of businesses. While the benefits to the organizations differed, the objectives were shared - namely, to reduce the pressure on Manila-area dumpsites in such a way that other players (the dump-truck drivers and the scavengers) were not adversely affected.

CLEARLY DEFINED EXPECTATIONS

A successful partnership depends on the articulation of clear expectations about the roles and responsibilities of each party. Some partnerships are crystallized through the development of a formal memorandum; in other cases, the relationship is more fluid. Either way, a partner should not just assume that its counterpart will act in a certain way or undertake certain activities. Among the issues that should be clarified are:

- **Roles:** Both parties need to be clear about the roles they will play in the alliance. This eliminates uncertainties on the part of both parties and helps make the collaboration a rewarding experience. Does the private sector partner wish to play an active role in the delivery of the program, or does it wish to stay in the background? Is the NGO an equal partner in all decision-making, or is it playing a supporting role? Roles will vary from case to case and no single approach works in every circumstance. Be prepared for a negotiation of sorts, in which both partners compromise to ensure a win-win situation for all.
- **Accountabilities:** It must be clear from the outset who will be responsible (and take responsibility) for what. The decision-making structure should be transparent. Which partner, for example, will ensure that funds are properly spent and accounted for? What deadlines and milestones have been agreed to, and are there consequences if they are not met?

- **Policies:** Partners should jointly develop operational procedures or policies to address issues such as confidentiality and public relations. Some partners may have an interest in seeing the relationship or initiative advertised, whereas others might prefer a more discrete, low-key approach. While both approaches have their merits, it is useful to have clear guidelines on external communications in advance.

ACKNOWLEDGEMENT OF POSSIBLE CONSTRAINTS

In addition to clearly defining expectations, it is equally important to acknowledge possible barriers to success. As workshop showed, a candid discussion of constraints encourages the development of realistic goals and a meaningful plan and scope of work. Possible constraints revolve around:

Adequate Stakeholder Buy-In on All Sides

- Motivating necessary levels of political will;
- Identifying effective champions;
- Securing commitment and empowerment; and
- Inclusion in long-term strategic planning;

Operational

- Lack of funding;
- Time constraints;
- Weak communication channels;
- Bureaucratic limitations; and
- Lack of defined ethical standards.

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While this exercise may reveal some larger barriers, the majority of the constraints are easily surmountable with proper acknowledgment and attention.

MECHANISMS FOR COMMUNICATION

One of the major determinants of partnership success is the quality of communication between the partners. In this regard, the degree to which parties are to be kept abreast of developments will differ from partnership to partnership. Take, for example, the partnership between STATOIL and the International Foundation for Election Systems (IFES). In this case, the petroleum company helped fund the NGO's efforts to assist the Government of Azerbaijan to draft a Unified Election Code. A key reason for the success of this partnership was that IFES kept stakeholders, such as STATOIL, abreast of developments and the legislative framework as it evolved.

It is also important to have a mechanism in place to deal with any mishaps or problems that may emerge during the course of the partnership.

Finally, the frequency of communication is not all that counts; often the manner of communication is just as important. The language of NGOs differs from that of the private sector. A pervasive argument or reasonable excuse in one sector may not be seen as legitimate in another. Recognize these differences and try to talk the same talk. This is just as important during the implementation of a project as it is during the exploration or negotiation phase.

SHARED RISK-TAKING

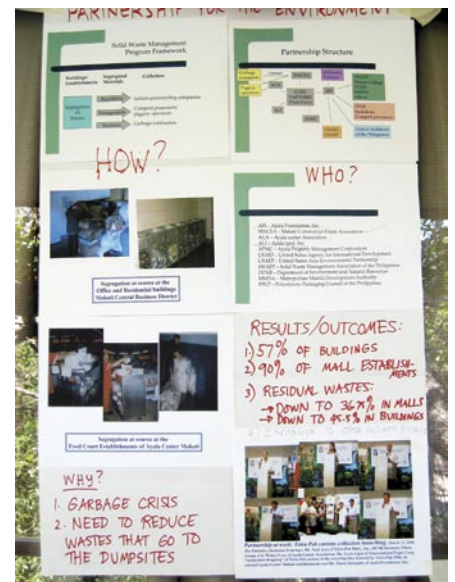
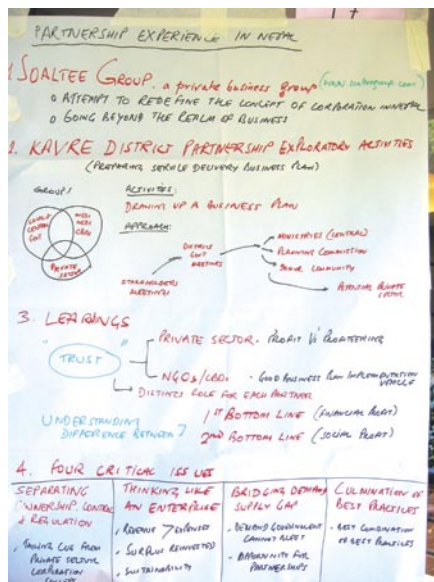
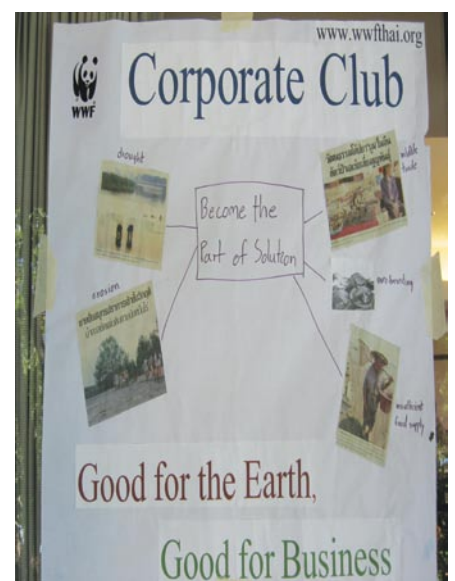
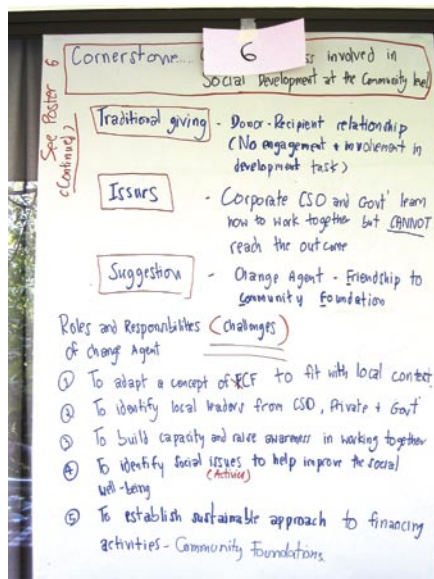
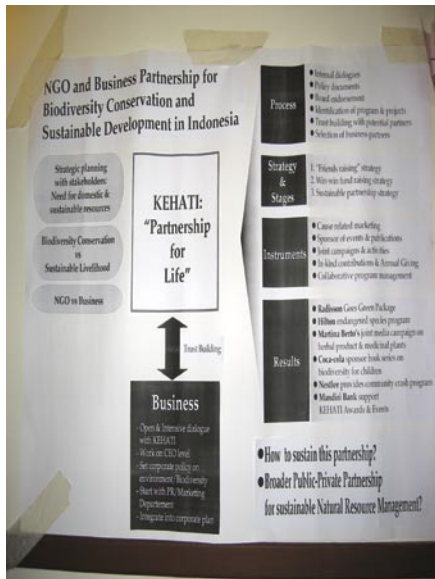
Another ingredient for success is risk-sharing among partners. In a second partnership involving SELCO and its solar technology, a local Indian resident, who later became a solar-light entrepreneur, approached SELCO about acquiring the appropriate technology to provide electricity to nomadic street vendors who were unable to receive electricity from the utility company. However, the local entrepreneur could not afford the system on his own. In the end, the bank agreed to provide a loan because an NGO and SELCO agreed to share the financial risks - risks that were later assumed by the entrepreneur himself, as his creditworthiness was established.

Risk-sharing does not always have a financial angle. The reputation of one or both partners may also be at risk. Funding under the India-Canada Environment Facility (ICEF) was secured by The Energy and Resources Institute (TERI) to launch an energy-services network for provisioning renewable energy technology in rural areas of India. Through a collective of NGOs, dealers, retailers and community groups, a commercial collaborative was formed to retail, assemble, service and market renewable energy technology. While the entrepreneurs assumed the financial risk, the risk for the NGOs was to their reputation. If the program had failed, their reputation would have been harmed and credibility undermined.

Creating a Partnership: Next Steps

As outlined earlier, this chapter has provided a guide to creating and developing a new NGO-private sector partnership. The best practices and the foundation for this “how-to” stem directly from the many successful models presented in the case studies and discussed at the workshop. **NGO and private sector representatives need not feel they are forging into uncharted territory as they explore the creation of new partnerships.** There are models ongoing today from which to draw. Readers are encouraged to browse through the annexed case studies, contact workshop participants and join in regional exchange initiatives.

As further outlined in Chapter 4, *Generating Momentum Asia-Wide*, this workshop developed a framework for a regional support network to facilitate and advance these partnerships. Broad participation and exchange is encouraged.





CHAPTER FOUR HIGHLIGHTS

This chapter summarizes the direction outlined by the Pattaya participants to generate enthusiasm for NGO-private sector partnerships to combat poverty around Asia and the Pacific, and to ensure that greater successes flow from these partnerships. Follow-up activities aim to improve information sharing on best practices, improve the dialogue between the private sector and NGOs, and improve the financial independence of NGOs.

In February 2005, workshop participants launched a secretariat at the Bangkok headquarters of the Kenan Institute Asia to oversee implementation of the action items formulated at the workshop. Kenan Institute Asia, along with GSK Bio, provided resources to advance regional and country-specific activities envisioned by the action plan. For more information, visit the website.



CHAPTER FOUR

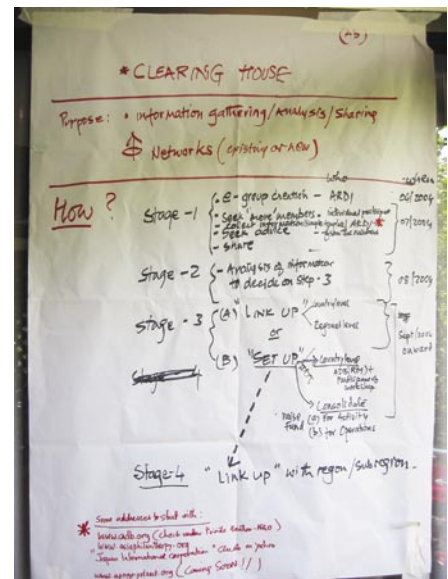
GENERATING MOMENTUM ASIA-WIDE

In addition to encouraging a thorough discussion of what leads to a successful NGO-private sector partnership, the workshop devoted significant time to developing an action plan aimed at generating enthusiasm for NGO-private sector partnerships throughout Asia and the Pacific.

OBJECTIVES

From the brainstorming discussions, a number of general objectives emerged:

- More NGO-private sector partnerships needed to inspire and serve as models for organizations throughout the region;
- More and better information sharing and networking;
- A more solid foundation of trust, generated through organized and mutually accepted mechanisms for future collaborations;
- Greater financial independence of NGOs;
- Enhanced regulation of NGOs by NGOs (i.e., improved self-regulation); and
- Greater communication between NGOs and the private sector.



Participants eagerly share ideas in formulating action points as shown in this diagram.



Pareena Prayukvong, Development Specialist, Kenan Institute Asia

SECRETARIAT: NGO-PRIVATE SECTOR PARTNERSHIPS AGAINST POVERTY

An important recommendation for building momentum Asia-wide was the establishment of a secretariat to bring to life the action points developed at the workshop. In line with that recommendation, the Kenan Institute of Asia has been selected to host the secretariat.

In short, the secretariat will work to spearhead regional and country-specific initiatives. Among its mandates:

- To form a network of interested NGO and private sector members;
- To build a platform of understanding of common interests between private sector and NGO participants in the network, and to identify issues and priorities among them;
- To support the pooling of resources by creating bridges between existing Asian and Pacific organizations; this will enable organizations to cooperate on current research, development issues, case studies, lessons learned, new standards and practices, and other information benefiting the group and the group's future agenda;
- To communicate with participating organizations and outside stakeholders via the Internet, and to come up with other cost-efficient ways to facilitate the exchange of information among NGOs and businesses looking to explore potential partnerships for poverty alleviation and sustainable development;
- To work with participants of the Pattaya workshop to create in-country programs on NGO-private sector cooperation; these programs should focus on priority issues like NGO sustainability; and
- To encourage NGO-private sector partnerships in the context of projects and programs funded by development-funding institutions.

CONCRETE ACTIONS

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Within the context of secretariat activities, and depending on the priorities set by network members and the Secretariat Advisory Committee, a number of concrete deliverables may be realized in the first two years:

- **A reference tool to foster potential partnerships should be created.** Partnership experiences need to be documented so that other organizations can refer to them. NGO-private sector partnerships that have proved to be effective should be presented as models that other partnerships can refer to.

ACTION POINTS

- ✓ Documentation and analysis of partnership experiences
- ✓ Continuous consultations among stakeholders to discuss partnerships and realign perspectives

- **A network of NGOs across Asia and the Pacific should be established;** this will ensure that a stronger system for sharing information on significant issues, representing various geographic locations and sectors, will emerge.

ACTION POINTS

- ✓ Identification of additional organizations committed to NGO-private sector partnerships
- ✓ More documentation and assessment of partnerships

- **There should be increased levels of understanding, confidence and communication among stakeholders.** Within NGO-private sector partnerships, communication channels should be kept open to ensure that all parties fully understand expectations, roles, potential constraints and accountabilities. Guidance on managing partnerships should be made available to interested parties.

ACTION POINTS

- ✓ Consolidation of workshop recommendations for smooth communications within partnerships
- ✓ Dissemination of results through various communication mechanisms

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- **Resources to encourage NGO sustainability should be generated.** Many NGOs will need to revise their fund-raising models and diversify their funding sources.

ACTION POINTS

- ✓ Development of income-generating activities
- ✓ Enhancement of fund raising, donor relations and partnership formation
- ✓ Increased use of trust-fund concepts

- **Viable community-based corporations should be formed.** Business model adopted by NGOs and private businesses can be used by businesses in local communities. Private partners can share technical expertise about the viability NGOs business proposals.

ACTION POINTS

- ✓ Building capacity of community-based organizations for business, financial, organizational and legal management
- ✓ Use of market feasibility studies to design a program to test the viability of business ventures at the local level

- **The private sector should be encouraged to make a greater commitment to corporate social responsibility.** NGOs can play a big role in achieving this by creating alliances with corporations. NGOs play a key role in initiating and “selling” the idea of multi-sector partnerships.

ACTION POINTS

- ✓ Initiation of corporate-NGO exchange programs
- ✓ Encouraging the private sector to participate more often and more actively in partnerships
- ✓ Encouraging the government to offer incentives for corporations to enter into partnerships

How can you get involved?

ANNEX 1

CASE STUDIES ON BUILDING NGO-PRIVATE SECTOR PARTNERSHIPS AGAINST POVERTY⁸

⁸The case studies included in these proceedings have been edited from their original form for the purposes of consistency and clarity.

Potential Areas of Practical Interventions


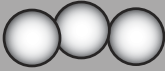


By DR. RAVI JAYAKARAN, QPI, Cambodia

INTRODUCTION

Success in working with the poor depends on the ability to recognize their particular “type”, within the context of their community. All community members in a poverty-stricken area are not at the same level. Nor are their response patterns to programs homogenous. There are several distinct “types” of people within each given context, and they are subject to a very definite and complex system of pressures that compel them to behave in a specific pattern and to carve out a specific survival strategy to emerge from where they are. This is referred to as their “Household Food Security Status” (H-FSS) and it is determined by an exercise called the RFSA- Rapid (Household) Food Security (Status) Assessment.

The RFSA can be carried out in any community (rural or urban) using a focus group. The focus group is able not only to determine what the parameters and descriptions of each level (or H-FSS type) are, but also to enlist the people who fall into each group.

Sample H-FSS from a village in Cambodia

TST estimate of ratio	H-FSS	Remarks:
	Above Prosperity line	Those who have enough and can lend
	Poverty line (just above)	Those who face food shortage for one to two months a year
	Poverty line (just below)	Those who face food shortage for 3 to 5 months a year
	Charity line	Those who face food shortage throughout the year

Ravi Jayakaran/CQI

In the sample H-FSS assessment within a village in Cambodia (see Figure X) there are four typical levels, determined by the community based on the amount of time it took to meet their household food-security needs. The criteria used by other communities may be different, but will nevertheless be based on issues they are familiar with. In the example cited, each group operates within specific restrictions and freedoms, and these determine the specific type of survival strategy they are able to adopt.

Their ability to utilize poverty-reduction development programs is also different. Each group has a specific type of need, and only appropriate responses can cater to that need. In Figure X, the types of changes that are taking place in each of these groups are shown. The specific types of organizations that can work with them most effectively can also be inferred from here.


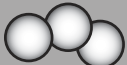
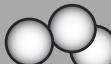

The first group listed, comprising of those above the ‘prosperity line’, is the one group that is often overlooked development work. Perhaps we do not recognize them or perhaps we deliberately choose not to work with them. This group, however, is a part of the village and is intricately linked with everything that happens in it. The future sustainability of the development process depends a lot on the involvement of this group with that of the poor and marginalized, especially after the external development intervention ceases. The people who fall into the group of those above the prosperity line, are constantly in search of ways to invest their time and money to make more profit. They are often investors, who have access to capital and are willing and able to take risks. The private sector can enable them to understand new ways and ideas and also show them how to undertake village-based (or community-based) interventions, to ‘add value’ to the products of the village to generate additional income. Potential investments in this are: rice mills, vegetable oil extractors, cream and butter separation units, agriculture input shops, grocery shops, and others. NGOs working in that particular area can help create opportunities for linking with banks and the private sector and also help in training new managers who need specialized skills in managing the new business.

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The second group - the one just above the poverty line - shows potential for upward mobility. Individuals in this group are in the process of breaking free of growth restraints and are seeking ways to increase production. Anything that will enable them to increase production in agriculture or animal husbandry will usually catch the interest of this group. This group can often become a major customer of the first group if they set up any form of agro-industry in the village. This is also the group that is most interested in getting loans for buying farm equipment, livestock or agriculture inputs. The needs of this group can be met by the private sector, the NGOs, and the banks by enabling them to progress with agriculture enterprises which are village-based.

The third group - the one just below the Poverty Line - is beginning to “go under” because of several factors. Their agriculture and animal husbandry production, though adequate for some months, is unable to sustain them throughout the year. This results in a dependency on other sources of income to supplement their main income source during times of difficulty, including in the form of micro enterprises. As this occurs, these individuals begin the process of becoming service providers. They usually start this transition as farm laborers, working close to the village. In subsequent years they evolve into construction workers, and if possible, workers in factories. With the passage of

Areas for NGO-Private Sector Partnerships

Number of Seeds	Vulnerability status	Transition issues occurring	Potential for Development Roles by:
	Above Prosperity line	Moving from Big Producer to Investor	<ul style="list-style-type: none"> Private Sector (business) Banks NGOs
	Poverty line (just above)	Moving from Small Producer to Big Producer	<ul style="list-style-type: none"> Banks Private Sector Technical Inputs (NGOs)
	Poverty line (just below)	Small Producer + Service Provider	<ul style="list-style-type: none"> Private Sector (skilled worker employment) NGOs (skills training)
	Charity line	Moving slowly into only becoming a Service Provider	<ul style="list-style-type: none"> Private Sector (unskilled worker job opportunities) Safety net interventions (GO/NGOs)

Ravi Jayakaran/CQI

time, some members of this group are able to improve and move up to the next level, above the poverty line. Others, however, are unable to cope, and soon end up in a cycle of debt that takes away all of their productive assets (land, animals etc.), thus making them similar to those in the fourth group.

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This transition usually takes a few years, and timely interventions are necessary to help them find a viable alternative. This is essentially done through skills acquisition to help them find jobs in factories as skilled or semi-skilled workers. This support can be provided by NGOs working in that area, by making contact with factories in the private sector to find out the type of staff they need, and by providing the necessary training to those in Group 3 ready to make the move. This “Facilitated Migration” approach can be beneficial to all parties in the community, including the private sector, and can help avoid exploitation at the hands of unscrupulous people who will try to take advantage of the new migrants.

The fourth group - the ones below the “charity line” - is one of the most complex groups. By the time a household has reached this stage, it has been assaulted by countless restrictive circumstances that have shattered almost ***all their social scaffoldings***.

As a consequence, their entrepreneurial capacity, risk-taking ability and resilience are eroded. The only thing they can now do is be service providers. Those who can migrate from the village and relocate where there is work (usually in the urban and peri-urban areas) do so. Those who cannot leave, find themselves weighed by further crippling circumstances, and end up as broken (or abandoned) families, subject to further risks and vulnerabilities such as disease, trafficking, and others. The remaining, who are unable to leave, end up losing all their social safety nets and becoming dependent on hand-me-downs and charity. This is costly, intense, and hard to provide.

Partnership Against Poverty Through Health Care: Experience from Bangladesh

by KHONDKER REBAKA SUN-YAT, Project Manager, UPHCP, BWHC

The Bangladesh Women's Health Coalition (BWHC) is a national non-governmental health development organization committed to the improvement of reproductive and sexual health, especially for vulnerable women and children. BWHC is implementing many projects in health across the country. One of these is the Urban Primary Health Care Project (UPHCP), an endeavor in which the BWHC collaborates with the Government of Bangladesh. This private-multi-sector partnership came about through the initiative and support of the ADB.

Previously, there was no public health infrastructure or service system for the urban population, especially for the poor. The ill health and high maternal mortality among the urban poor is seen to be one of the major causes of their poverty. With the creation of UPHCP, ADB had hoped to address this concern by developing partnerships with a number of NGOs to provide the medical services.

The objective of UPHCP is “to improve the health of the urban poor and reduce preventable mortality and morbidity especially among women and children in the project area.” To achieve this objective, several Primary Health Care Centers (PHCC) and Comprehensive Reproductive Health Care Centers (CRHCC) were established in every partnership area. Each PHCC is supposed to serve a population of 50,000 and each partnership area should have one CRHCC to provide reproductive and Emergency Obstetric Care (EOC) services. Under this project, all primary health care components, including an Essential Services Package (ESP) have been incorporated.

To strengthen further the effectiveness of the UPHCP, BWHC developed additional partnerships with local private groups such as diagnosis centers and legal agencies. It is hoped that through these partnerships, gaps in the implementation of the original project plan will be filled and that the services would be more affordable and accessible to the clients. One example of a successful NGO-private sector partnership was between BWHC and Medicom Diagnostic Center.

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In Short:

WHY FORGE A PARTNERSHIP?

The poor could not complete their treatment because it was too costly and they could not afford to go to private service providers. To help make the necessary services accessible to the poor, the project worked to:

- Offer a quality full service package, avoiding big investments;
- Encourage accountability by the private sector towards the health development of the poor community
- Establish effective local referral linkages between the private sector and the public center and NGOs and, in doing so, develop effective partnerships arrangements.

WHO WAS INVOLVED?

- Poor people - as beneficiaries
- Private sector entities, such as diagnosis centers
- Local people's representatives
- Partner NGOs

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WHAT WAS THE APPROACH?

- Identify the problem / gaps in health services for the poor people.
- Develop a plan to fill the gaps.
- Execute the Plan

HOW WAS SUCCESS ENSURED?

- Program planning activities were analyzed
- Private partners were carefully selected
- Simple guidelines for the local NGO-private sector partnership was prepared / a bilateral agreement / MOU was developed, including a supervision and monitoring strategy
- A participatory planning approach, involving local peoples representatives, private sector representatives, and NGO partner management, was adopted.
- Feedback mechanisms were in place to secure input from:
 - Clients / beneficiaries
 - Medical providers
 - Advisory committee members (that is, peoples representatives)
 - Private sector representatives (Diagnostic Centers), including through individual and group discussions.

WHAT WERE THE RESULTS?

Through this effort, a full, quality package was available at an affordable cost to the poor community.

Poor clients received 4,251 services from the private partner last year (Jan-December 2003). The total market price of these services was equivalent to roughly \$16,000, out of which the clients paid only \$6,400 (or 40% of the total). The remaining 60% represented the contribution of the private sector partner. Other results included:

- Increased client flow at the project health centers, as a result of reduced travel time and cost to the poor
- Increased client satisfaction
- Increased client management capacity, especially for EOC & other emergency management responses of the NGO partner

FACTORS THAT LED TO SUCCESSFUL NGO-PRIVATE SECTOR PARTNERING

- Skill and acceptability of the partner NGO in the community
- Identification of problems/gaps and quick response for remedy.
- Finding out a suitable strategy without hampering interest/philosophy of all partners involved
- Acceptability build-up within the NGO-Private Sector Partnership to the donors

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OBSTACLES & CHALLENGES TO THE PARTNERSHIP

- Initial doubts of private agencies about a partnership
- Service providers' personal benefit (as referral Commission)
- Motivating the private sector to get into a common unified platform to ensure the benefit of the poor

KEY LESSONS LEARNED

- It is possible to involve private sector in social development.
- Social development is accelerated if local private sector resources are involved.

“Energizing” Partnerships: Experiences from India

by PREETI MALHOTRA⁹, British High Commission, New Delhi

OVERVIEW

What follows are three specific project cases that showcase the factors that led to success in rural electrification, from the perspective of the partnership between the NGO and the private sector (entrepreneur/company). At the conclusion, these factors have been summed up to suggest the way forward. Some challenges/problems have also been presented.

LESSONS LEARNED FROM THE INDIA CASE STUDIES

FACTORS FOR A SUCCESSFUL NGO-PRIVATE SECTOR PARTNERSHIP

1. Flexible NGO mandate, willingness to acknowledge that development may not always be subsidised but has to be sustainable.
2. Micro credit and local markets (especially in context of rural areas) have to be strengthened.
3. Commercial chains can be strengthened through NGO private sector partnerships if the government too gets factored in: in the field of renewable energy the Government of India (in particular the Ministry of Non conventional Energy Sources, MNES) has made attempts towards developing rural markets, especially for solar products. One step in this direction has been the elimination of central government subsidy on products such as solar lanterns.

CHALLENGES/BOTTLE NECKS

1. Finding synergies between the welfare objective of the NGO and profit motive of the private company: profit-making mode does not deter development/harms the interests of the poor
2. Ability to acknowledge process based achievements (quality of life benefits) rather than seeking to achieve only quantum gains (sales, profits)

⁹ Preeti Malhotra wishes to acknowledge SELCO Solar Light Private Limited, Bangalore and The Energy and Resources Institute (TERI), New Delhi for providing gainful insights into project experiences dealing with successful partnerships between the private sector and NGOs in the field of promoting renewable energy technologies in India.

CASE 1: A “BRIGHT” APPLICATION OF A REVOLVING FUND

The Bangalore Salesian Society (NGO), Bangalore; SELCO (private company); and Winrock International (funding agency) formed a basket fund. Winrock provided the financing to establish a revolving fund, to be used to light up 60 households of scheduled caste and tribal families living on the border of the states of Kerela and Karnataka, South India. These families earn a meagre living as farm labourers and by doing small labor jobs. They augment their income by weaving baskets with reeds that the womenfolk collect from nearby forests while returning from the farms. The families are able to weave only one basket per day, since they only find time in the evenings and could not work at night since their homes have no power supply. The key challenge, therefore, was to extend their working hours.

Access to conventional grid was not feasible, due to the remoteness of the area and the unavailability of a power supply. Another option, to provide solar power, was too costly for the tribe. From here emerged the idea of establishing a revolving fund.

The mechanics of the revolving fund worked as follows. The households were given one solar home system (SHS), on the condition that the money they earned from every third basket would be used as payment, which were returned to the revolving fund.

The initiative started with 60 households in 1996, expanding to 120 households by 2003. Hence, while for the beneficiary it has been a loan program (no interest, 3-5 years repayment period which is linked to productivity), the NGO received the money as a grant for establishing the revolving fund. The grant was conditioned to a ‘growth’ in the fund by 50% through repayment collections by the NGO. The role of the primary stakeholders, therefore, can be summed up as:

- The NGO: sold the concept; convinced the people of its merits; managed the fund; and collected the repayments.
- The funding agency: provided the seed capital to establish the revolving fund.
- The private company (SELCO): system supplier and service provider.
- The beneficiaries (tribal families): repayments, monetary benefits

SUCCESS FACTORS

1. Mutual trust and understanding existed between the stakeholders, in part a result of a past rapport
2. There was a ‘buy-in’ component for the NGO (required to add on to 50% of revolving fund)
3. Program responded to a local need and fit well with the overall objective of the NGO

CASE 2: SHARING THE RISKS

Through this private sector-NGO partnership, solar lights were provided to street vendors in a small coastal town in the state of Karnataka, South India. These vendors had been unable to obtain electricity from the utility, since they are listed as nomadic and the utility was uncertain it can recover its dues. The vendors were therefore left with no choice but to use the polluting petromax lamps.

The partnership was initiated by a local, who later become the solar light entrepreneur. The individual approached SELCO, a private technology provider, and together designed a suitable solar lighting system for vendors. The entrepreneur then approached a not-for profit company (NGO) that provided a financial guarantee to enable the entrepreneur to apply for a loan to buy a solar powered charging station. The NGO wanted to support an energy project and agreed to stand as a guarantor because of the mediating role played by the reputed technology supplier.

However, the NGO did not want to give a 100% guarantee. The private company, therefore, indicated that if the entrepreneur were to default, it would buy back the repossessed systems (which the bank would have repossessed from the entrepreneur), which amounted to 60% of financial guarantee. The remaining forty percent would be covered by the NGO. The scheme was so designed to reflect the increasing creditworthiness of the entrepreneur. Specifically, the private company's repurchase commitment of 60% of cost would be reduced to 50% in year 1, to 40% in year 2, and, thereafter, there would be no buy-back by the private company. By this time, the bank would be assured of the credibility of the entrepreneur and the business.

In the second project, the bank is now assuming 15% of the risk of the loan amount. The quantum of risk taken by the bank would increase in subsequent projects as the bank gains confidence in the entrepreneur.

SUCCESS FACTORS

1. Interest of the NGO in the field of work (RET promotion)
2. Private players sharing the 'risks'
3. Mechanisms for gradually reducing risks and transferring of risks

CASE 3: FORMALIZING PARTNERSHIPS LOCALLY

The India Canada Environment Facility (ICEF) funded initiative, implemented by TERI (New Delhi), operationalizes the energy service network (ESN) concept for provisioning Renewable Energy Technologies (RET) in rural areas - that is, providing an integrated set of offerings in one package. The project is an illustration of how the combination of capacity building, technology transfer, and local participation can be a successful recipe for rural electrification efforts.

To ensure sustainability through local buy-in, the ESNs consist of a collective of NGO, dealers, retailers, and community groups that make a commercial collaborative to retail, assemble, service, and market RET in rural areas. As a final outcome of the project, it was envisioned that the ESN will be formalized into an Energy Service Company (ESCO), as a final outcome of the project.

The roles of the various players include:

1. TERI: Project implementing agency - to catalyze the formation of the ESN.
2. ICEF: Project-funding agency
3. Project office (private entrepreneur): As an outreach arm of TERI, the project office has created a niche for itself, distinct from the role of TERI. In this regard, it has an entrepreneurial role and acts as a cost/profit center. It is also active in brand building, technology infusion, market research, local assembling, and logistics for the ESN.
4. NGO: Assisting the project office in all its functions. Some of the NGOs in the ESN also play an entrepreneurial role.
5. Dealers/sub dealers: the sales and service arm of the ESN

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SUCCESS FACTORS

1. Responded to need of the community (in tune with development objective of the NGOs).
2. Fitting into the work plan/mandate of the NGOs: some NGOs in the ESN had prior experience in retailing RETs under the government program and had a distribution channel in place.
3. Incentives provided to the NGO by the project office: the commission for the dealer/NGO is higher than that earned through selling government-subsidized equipment
4. No market risk for the NGO (primarily those NGOs who were not acting as dealers i.e. selling solar products, for these ESN partners the risk is entirely being covered by the project office/entrepreneur). However, there is a risk to reputation of the NGO in case of failure.

Improving Health Together in Indonesia

by ARDI PRASTOWO, Coalition of Healthy Indonesia (KuSI), Indonesia

THE IDEA

The Bogasari Company of Indonesia is the world's largest flour mill, employing over 40,000 staff. Under the leadership of its CEO, Bogasari is involved in a range of social activities from supporting established charities to playing a leading role in the Indonesian CEO Forum - a private sector entity made up of corporate decision makers who share a concern for health and environment issues.

While committed to social investments, the management of Bogasari felt that their social development activities lacked a strategic approach. Most activities were concentrated in the severely polluted area nearby the main company factory. The company noted a steady increase in the demand for traditional donations to the community. While willing to extent support, it hope to become more strategic in nature.

“Helping communities to help themselves” became a theme in their outreach work, and in particular, in the area of preventive health. When Bogasari management learned of the possibility to collaborate with an NGO focused on preventive health, it was quick to explore linkages. From this, a program was born.

THE BEGINNING

The Coalition for Healthy Indonesia 2010, (Indonesian acronym KuSI) is a national NGO with a program that includes a community-oriented, participatory, and preventive health program for the grassroots, or hamlet level. The Healthy Family Program (or in Bahasa Indonesia, the Program Keluarga Sehat, or PKS) is based on the concept that **households, not health providers or systems**, are the main producers of health. Functioning at the hamlet level, PKS is managed by a local volunteer group, consisting of community members who promote household health, advocate for quality health services, and raise awareness on health prevention.

In implementing the program, a training methodology called Appreciative Community Participation was provided to selected members of the community. Its aim was to enable the community to:

- identify its health problems;
- prioritize them; and
- develop concrete action plans to solve them.

THE ACHIEVEMENT

The primary goal of this intervention was to affect individual and community behavioral change leading to improved health status. The results have not yet been measured or documented. However, what was clearly achieved was a noticeable change in the attitudes of the community toward health consciousness. The community has also reported to Bogasari management their satisfaction with the empowerment approach that had been adopted. Learning that they could play a major role in managing their own health was a powerful discovery.

Based on the positive response of the community, the company, Bogasari, decided to expand the coverage of the PKS program to its 40,000+ employee base. Already, twenty additional hamlets have been selected in six locations, including two cities outside of Jakarta. Moreover, the company has agreed to conduct a mid-term review and evaluation of the economic impact of the investment in health prevention, at the request of KulS. Although the company was not looking to reduce its health care expenses through the collaboration, KulS requested the company's support in demonstrating to other large employers, the positive benefits, and return on investment generated from health prevention measures.

THE LESSONS LEARNED

- **Clearly articulate roles, responsibilities and expectations of all parties:** In the first phase of the program, the two parties felt both promise with the program and disappointment with the performance of the other party. For example, the company encouraged KulS staff to make assurances to the community on its behalf that, in the end, the company did not live up to. As a result, the KulS staff felt a loss of credibility in the community. Similarly, there had been times when the company had expectations about KulS responsiveness that were not met. As a small non-profit, its ability to deliver was limited.
- **Cultivate a spirit of a partnership between parties:** Cultivating a spirit of partnership between the partners is a key ingredient of success: both parties need to hold an equal position in the collaboration, despite their difference in size. This type of collaboration would not work in a client-supplier relationship.
- **Learn about the “culture” of the other partner:** The Company's limited experience in dealing with NGOs led to small misinterpretations. Both parties need to understand the other's culture and to have an underlying respect for each other.
- **Be clear about the benefits to both parties:** Finally, understanding, from the outset, the benefits of collaboration to both parties is a key to success in NGO-Private Sector partnerships. The NGO must understand and welcome the marketing benefit for the company. In this sense, the parties should agree to a framework for promotion. The company also needs to understand and embrace the social benefits.

From Degraded Forests to Timber Export: Saving Sumba's Ecosystem and Revitalizing Sustainable Livelihoods (Indonesia)

by STEFAN WODICKA, World Neighbors Southeast Asia

SUMBA'S FORESTS: HOW MANY YEARS MORE? (WHY)

In 1927, forest cover in Sumba was estimated at 50% to 60%. Satellite images from 1993 placed this figure at 12%. Forest cover then declined further to 11% in 1997 and 10% in 2002.

Although figures on rates of degradation vary widely, these data all point to a bleak future for saving Sumba's forests. Based on data available, forest cover in Sumba is expected to be decimated by as late as the year **2052** and as early as **2015**, with primary forests gone by **2010**. The data also show that all current and past efforts at rehabilitating and protecting Sumba's landscape by various means (conservation, agro-forestry, and reforestation) have not been sufficient to balance out the rate at which forest degradation takes place. Hence, we may predict that without far-reaching interventions, Sumba's forests will likely disappear within the next 10 to 50 years.

It is difficult to predict what will happen to Sumba and its people after its forests vanish. However, experience shows that a number of negative impacts should be anticipated:

Water supply will decline.

Frequency and types of disasters are likely to increase.

Food security will decline.

Biodiversity and tourism potential will be threatened.

Community resilience will decline, while dependence on local government increases.

CREATING A LEGAL TIMBER MARKET: SAVING SUMBA'S FORESTS & COMMUNITIES

Problem

Two main causes account for forest degradation in Sumba: range fires, that gnaw at forest margins, and illegal logging. Of these two, illegal logging is believed to be the main cause of forest degradation at this time. This dilemma is closely linked with the agglomeration of administrative units. The ban on timber imports also means that wood supplies are limited. In order to meet the demand for construction wood, suppliers have had to revert to local sources. The highest quality and cheapest wood can be found in Sumba's primary and secondary forests. This timber is low-cost because it is extracted from public lands where law enforcement is weakest. As long as there is little risk involved, illegal logging will persist until no forest is left.

Aside from the negative impacts that are likely to result from the disappearance of forests, another hidden impact of illegal logging is that it preempts the creation of a legal timber market and the potential development of a strong local economy. The creation of a legal timber market could prove to be the key to saving Sumba's forests and revitalizing local livelihoods.

Opportunity

The potential for creating a legal timber market in Sumba is tremendous. There is a high demand for construction wood and there is a ready supply of timber outside public forests - that is, in family forests. Family forests were established in East Sumba in as early as 1989. In West Sumba, farmers started planting timber on their farms long before. For the last 15 years at least, thousands of farmers have planted hundreds of thousands of trees. However, few have realized this opportunity.

Few have realized this potential because comprehensive data on the number, species, and ages of trees planted in each village is lacking. Such information is of course of little value as long as timber found on family forests has no market value. Farmers have been actively planting timber species to meet their own needs and those of their children and grandchildren, but the number of trees planted clearly surpasses their own needs. It should be noted that of all efforts to date to rehabilitate Sumba's poor calcareous soils, family forests and agro-forestry have proven to be most effective.

With a high demand for timber, and a potential supply of legal wood, mechanisms need to be put in place to create a legal and fair market for timber, for the benefit of local farmers, buyers, and the local government. Creating a legal timber market in Sumba is likely to have multiple benefits, including by providing incentives to:

- Farmers to plant more timber species;
- Local governments to increase local revenues;
- The business sector in the form of sustained wood supplies;
- Enforce the law and protect natural forests in order to maintain legal timber prices and local revenues; and
- Invest in local development.

EFFORTS NEEDED TO CREATE A LEGAL TIMBER MARKET (WHAT)

Efforts to create a legal timber market in Sumba cannot be separated from other on-going efforts to conserve Sumba's forests and alleviate poverty. Indeed, creating a legal timber market can only be one of many strategies to save Sumba's forests and its communities. Concrete proposals for moving forward include:

- Undertake research on Sumba's forest degradation rates and patterns.
- Study illegal logging networks.
- Prepare an inventory of family forests.
- Form partnerships between farmers and buyers.
- Draft supportive policies including simple permitting processes and minimal taxes/fees on

wood harvested, stricter procedures and higher fees for harvesting wood from natural forests (especially the very much favored local species), price regulation, decentralization of village forest management to the village government, inter-governmental moratorium on illegal logging, and certification of family forests.

Strengthen farmer organizations and producer associations.

Build community-based natural resource management agreements (CBNRM).

Advocate natural resource conservation.

KEY PLAYERS IN SUMBA (WHO)

More than 5,000 farmers have established family forests.

Forest conservation groups have been formed in more than 20 forest-margin communities.

Inter-village networks are organized around the two national parks (NPs).

The local government is mindful of Sumba's ecosystem.

Tananua and other local NGOs work with farmers on agro-forestry, capacity-building, and CBNRM.

KOPPESDA is an NGO that specializes in participatory action research and conflict mediation.

BirdLife Indonesia specializes in biodiversity research, conservation education, and the development of village conservation agreements.

All of the above stakeholders collaborate through multi-stakeholder communication forums for the two NPs. Other stakeholders that need to be involved include the private sector and the members of parliament.

FROM DEGRADED FORESTS TO TIMBER EXPORT (HOW & SO WHAT)

From Degraded Forests to Family Forests

Sumbanese farmers have a proven track record in transforming poor calcareous soils into productive agro-forests and family forests. Nevertheless, this model needs to be scaled-up and improved from a technical standpoint. The creation of a legal timber market will, in itself, encourage farmers to initiate or expand family forests, but these efforts must be complemented with technical know-how to improve the productivity of family forests, as well as information about market demand, preferred species, and quality of wood. These management aspects must be supported in order to ensure that the development of timber potential in Sumba can one day become an additional backbone of the local economy.

From Family Forests to Small Industries

It is conceivable that, once a legal timber market is established, timber producers will be able to scale-up to small industries that process timber for value-added (i.e. saw mills, furniture making, etc.). Small timber producers will need to learn the trade, be equipped with appropriate technology, and learn to manage economic enterprises (be they community corporations, producers associations, cooperatives, etc.).

From Small Industries to Timber Export

Can Sumba one day become a net exporter of timber? Why not? Saving Sumba's forests through a legal and fair timber market may encourage enough farmers to develop their family forests so that in one generation from now, Sumba could produce a surplus of timber. By scaling-up family forests while managing for high quality and diversity of timber species, Sumba may just become an exporter of high quality timber. What better way to protect Sumba's ecosystem than to revitalize sustainable livelihoods.

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Preventing the Spread of HIV/AIDS: Experience from Laos

by DR. SOULANY CHANSY, Lao Red Cross

WHY DID A PARTNERSHIP EMERGE?

Lane Xang Minerals operates a gold and copper mine in Southern Laos. Its social contract with the Lao government includes mitigating the possible impact of HIV/AIDS as a result of increased labor migration and local infrastructure - roads and hospitals, to be precise. The Lao Red Cross has worked on HIV/AIDS prevention and care for the past ten years with a particular focus on rural youth who have been at risk through labor migration. The opening of the Sepone Mine by Lane Xang Minerals made the communities living near the mine and along the nearby roads vulnerable. Consequently, they serve as the target of the Lao Red Cross project.

The mutual interest in HIV/AIDS prevention led to the collaboration between the two partners to educate local and expatriate staff working in the mine and in the nearby community members.

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WHO WAS INVOLVED?

- **Lao Red Cross:** The Lao Red Cross has been working on HIV/AIDS Prevention and Care since 1992. It provided Youth Peer Education in remote, vulnerable communities, reaching an estimated 40,000 young people each year.
- **Lane Xang Minerals:** Lane Xang Minerals is an Australian mining company working in Savannakhet, in partnership with the Lao government, to extract copper and gold for domestic and overseas markets. The company employs a large number of local and foreign staff.

WHAT TRANSPIRED?

The Lao Red Cross has been invited into the mine on a regular basis (at least annually) for the past eight years to train staff and management in HIV/AIDS and STDs through a series of talks and short workshops. Following this, the Lao Red Cross team visits villages surrounding the mine to provide information and updates on HIV/AIDS and STDs.

TO WHAT END?

One visit to the mine allows the Lao Red Cross team to train approximately 20 expatriate staff and up to 80 miners living in the camps. Villages, with increased access to roads or trade with the camps, are also reached, with the Lao Red Cross team training between 40 and 50 people per village (with two or three villages visited each year).

While the individual trips reach small numbers, the regularity of the visits, alongside the regular work conducted by the Lao Red Cross in the province, enhances local capacity and Lao Red Cross reach at the local level. Similar arrangements exist with other institutions, such as the Vientiane College, embassies and their staff, road and bridge construction workers, roadside vendors, and beer shops in Sayabouly Province, in partnership with Save the Children (Australia) and the Lao Beer Company Staff. These small arrangements with the private sector help extend the scope of work already being conducted by the Red Cross.

Partnership Mechanisms: Experience from Nepal

by SUJEEV SHAKYA, Soaltee Group

INTRODUCTION

Soaltee Group, one of the largest private sector business groups in Nepal, has a successful history of private-public partnerships and is keen on participating to further evolve the concept of partnership. The Group firmly believes there is a need for an innovative intervention in Nepal's development paradigm, with a focus on better utilization of existing resources and coalition with all interest groups.

This optimism in partnership emanates from the acquiescence that the private sector, alone, cannot undertake grassroots projects and that the public sector is, on the other hand, already overburdened and can no longer manage its responsibilities in isolation. Similarly, development agencies, alone, cannot provide the required sustainability for development since the 'business angle' is at times missing. The Group feels that development agencies should play the role of a catalyst in providing the right impetus and environment for private sector development.

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THE KAVRE EXPLORATORY ACTIVITIES

The Kavre District was chosen for a pilot to undertake exploratory activities due to the strong interest of the District government as well as the presence of successful partnerships like that of Kathmandu University, Dhulikhel Drinking Water Supply, and Dhulikhel Hospital. The thrust of the initiative was to explore mechanisms by which partnerships are used as an effective tool in service delivery.

In particular, the objective was "to bring in professionalism, enhance management and capital capability, and provide transparency to move towards quality service. It would lay emphasis on monitoring and measuring the performance level in coordination with the support of local people so as to achieve a development model that would be sustainable."

The **key groups/people** engaged included elected representatives at the VDC level, community groups, NGOs and private sector enterprises and entrepreneurs.

The **activities** involve building up business plans using a bottoms-up approach, with full participation of all stakeholders.

The **approaches** used ranged from focused discussions at the 'user group' and 'stakeholders' level in the villages, to advocacy aimed at policy formulation bodies and ministries, as well as donor community at the central level.

The efforts resulted in business plans that were ready to implement, with full buy in of all concerned. However, the political vacuum created by the absence of elected local government officials, the plans stalled.

Successful NGO-private sector partnerships require trust between the two sectors. In this regard, the private sector is generally perceived to be comprised of profit-seeking entities. NGOs need to understand that there is a difference between profit-seeking and profiteering. Similarly, NGOs should be perceived by the private sector as good business policy implementation vehicles. Distinct role identification for each party, as well as open coordinated efforts, make partnerships successful. In Nepal, many NGOs working with women have been conducting successful partnerships with private sector handicraft enterprises that may or may not be operated by women.

Challenges and obstacles to partnership arise because of different objectives - financial profit versus social profit. Drawing from our experiences in both the sectors, the message that each sector sends out to its employees is different. For the private sector, financial performance and productivity are the key, while NGOs would tend to sacrifice financial performance for larger issues like social equity and justice. This keeps the tug-of-war going.

The key learning from our partnership experience can be divided into four critical issues:

- **Separating ownership, control and regulation.** The major problem with government initiatives is that there is no separation of ownership, management, and regulation. Taking cues from the private sector, this needs to be addressed to provide the necessary checks and balances in the system. The partnership models should separate the three, with communities and NGOs enjoying the ownership function and the private sector taking the management and regulation role.
- **Thinking like an enterprise.** These parties should think like enterprises - revenues should meet expenses and surpluses should be reinvested. The value of risk-taking and a sustainable form of enterprise management should be brought into these partnerships.
- **Bridging the demand-supply gap.** There is demand for services that government cannot meet. Partnerships can help fill this gap.
- **Culmination of best practices.** Partnerships can be the best combinations of best practices.

The Solid Waste Management Program of the Makati Central Business District

by **MARIO A. DERIQUITO**, Ayala Foundation, Philippines

INTRODUCTION

In the year 2001, the garbage problem in Metro Manila reached near-crisis proportions. With the closure of its major dumpsite, following the collapse of a mountain of garbage which killed and injured hundreds of people, the metropolis was faced with the challenge of where to dump the more than 6,000 metric tons of garbage its residents generated daily. During that time, the city of Makati was responsible for 6 to 7 per cent of the garbage in the metropolis. The Solid Waste Management SWM)(Program of the Makati Central Business District (MCBD) was organized as a response to this situation.

THE PROGRAM

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The SWM program covers the whole of MCBD, which is home to 365 office and residential buildings and more than 1,000 establishments in the Ayala Commercial Center. The program calls on these buildings and establishments to reduce their residual solid wastes, or the wastes that go to the dumpsites, by recovering materials that can be reused, recycled, or processed into compost. The program partners believe that through proper waste segregation, the MCBD's residual wastes can be reduced to 20 per cent in 3 years.

The basic requirement of the program is segregation of waste materials from the source all the way to disposal. To ensure effective segregation-at-source, there must be an information and education campaign on the WHY and HOW of proper segregation, and separate receptacles for the different types of waste materials. Segregated materials are then transferred to a common storage area called the Materials Recovery Facility or MRF where further segregation is done, if necessary. From the MRF, the materials are picked up by the recyclers, piggery operators, compost processors, and garbage collectors. Through this system, it is hoped that the materials that go to the dumpsites are minimized and limited only to the really unwanted wastes.

THE PARTNERS

- The core partners provide oversight and overall management of the program. They consist of Ayala Land, through its property manager, Ayala Property Management Corporation (APMC); the Ayala Center Association (ACA); the association of tenants and establishments in the Ayala Commercial Center; the Makati Commercial Estate Association (MACEA), the association of office and residential buildings in the MCBDO; and the Ayala Foundation.
- The implementing partners consist of the building owners and CEOs, the building administrators and janitorial staff, and the collectors of the segregated materials.
- The resource partners are environmental NGOs and government agencies that provide the necessary training and technical assistance to the program implementers.
- The advocacy partners are environmental NGOs who organize activities such as the Annual Earth Day, aimed at pushing the agenda of proper solid waste management even further.

WHAT MAKES THE PARTNERSHIP WORK?

There are three principles that have made this partnership work. First, solid waste management is mandated by law. All the members of ACA and MACEA are bound by this legal requirement. The environmental groups, while not bound by law, are making use of this legal requirement to advocate for proper waste segregation and disposal. Second, solid waste management is a responsibility to society. The environmental groups' participation in the program is based largely, if not solely, on this principle. There are a significant number of buildings and establishments that take seriously proper waste management as their responsibility. Third, solid waste management makes good business sense. Buildings and establishments believe that ideally, solid waste management (SWM) should eventually generate revenues through the sale of recyclables and reduction in waste handling costs. For the collectors of waste materials, this program is a business opportunity where they can get waste materials in larger quantities and in relatively lower prices, if not for free. From the perspective of environmental advocates, SWM makes good business sense for a company whether or not it makes money out of it or recovers its costs. For them, SWM becomes a responsibility that goes hand-in-hand with doing business.

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WHAT CHALLENGES DOES THE PARTNERSHIP FACE?

The biggest hurdle is getting buildings and establishments to participate. From a strictly business point of view, it is still simpler, cheaper, and more efficient for a building to lump all of its garbage together and allow its garbage contractor to do all the sorting, transporting, and dumping. Proper waste segregation requires manpower, space, and segregation paraphernalia, the costs of which cannot yet be offset by revenues generated from the sale of recyclables nor by the reduction in

waste handling and disposal costs. Because the business case is still generally weak, there is a need to push the legal, social and moral arguments more aggressively by appealing directly to the owners and CEOs of the buildings and establishments. To contribute to making solid waste management more viable, MACEA has also come up with an incentive scheme that offers rebates on waste collection fees to buildings if certain waste reduction targets are met.

There are some buildings that cannot fully participate in the program because of limitations in their physical set-up. For this reason, the United Architects of the Philippines (UAP), Manila Corinthian Chapter, has been called upon to work on an architect's manual that integrates solid waste management facilities into building designs. With inputs from the Ayala Group, the UAP is also devising ways to retrofit existing buildings for "SWM-readiness."

Another problem is keeping up with the requirements of the collectors on the quantity and quality of the materials. It is not always possible to ensure a "profitable" volume of materials for the collectors, because building personnel themselves sometimes divert recyclables to other buyers. The quality or cleanliness and recyclability of materials are also often compromised by improper segregation at the source. On the other hand, some buildings and establishments complain that certain collectors do not collect regularly, leaving the depository areas full on some days. These issues have put the partnership in occasional danger. Thus, constant monitoring and regular dialogues are necessary.

Another problem that has surfaced is the decreasing efficiency of the dump trucks that collect the residual wastes for hauling to the dumpsites. Before waste segregation was practiced, the garbage collectors used to make extra income from recyclable materials that they were recovering from the trash. Today, however, they get nothing but hauling fees. These collectors also say that the people who control the dumpsites do not give them priority for entry because they do not bring recyclables with them. Segregation-at-source has apparently begun affecting the livelihood of the scavengers.

WHAT RESULTS HAS THE PARTNERSHIP ACHIEVED?

Despite the difficulties, there have been significant results and the partnership continues to grow. Two hundred and eight or 57% of the buildings are now participating, while 90% of establishments in the Ayala Center are taking part in the program. Residual wastes at the Ayala Center are now down to 36.25% and down to 45.5% among the participating buildings. The partners have also completed the production of an SWM Manual and other related documents that they have begun to share with other business districts and commercial centers.

Strategic Private Sector Partnership for Urban Poverty Reduction in the Philippines

by EDEN GARDE, Philippine Business for Social Progress

I. THE PHILIPPINE BUSINESS FOR SOCIAL PROGRESS (PBSP)

Philippine Business for Social Progress (PBSP) is the largest corporate-led foundation in the Philippines dedicated to promoting business sector commitment to social development. It was organized in December 1970 by 50 of the country's prominent business leaders, and has since grown to become the leader in advocating Corporate Social Responsibility. For the past 33 years, PBSP has been the business sector's vehicle in delivering organized, professional, and sustainable assistance to the Filipino poor, particularly the landless farmers, fisherfolk, rural workers, urban poor, and indigenous cultural communities. An aggressive membership and corporate involvement program continuously invites corporations from all over the country to join the PBSP. As member companies, corporations commit to allocate 20 percent of one percent of net income before taxes to fund the Foundation's operations and programs. To date, it has grown to more than 184 members; worked with some 2,900 partner organizations; provided over US \$ 89M in financial assistance, in support of over 5,000 projects; and benefited close to 2.8 million poor Filipinos. These were achieved through various approaches to poverty reduction, varying from single project interventions (i.e., water system, education, etc.) to integrated area development approaches, which PBSP refers to as the Area Resource Management Program (ARM). The ARM strategy is a systematic approach to addressing social, economic, ecological, and governance issues in a defined area through multi-stakeholder partnerships. This approach is applied in the lowland, upland and coastal areas, in a way that ensures that interventions in one ecosystem (i.e., upland) will not be detrimental to the lowlands and the coastal communities.

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II. THE STEP-UP PROGRAM

Program Description

Urban poverty in the Philippines, especially in Metro Manila, has increased over the past 3 years from 17.9% to 20.4%. The continued rise of poverty incidence and the low economic growth in the countryside leads to migration to urban areas. This has resulted in a proliferation of slum settlements, pollution problems, unemployment, and deficient basic services. The magnitude of urban poverty has reached a proportion where the combined effort of government, NGOs, and communities is only a drop in the bucket. Therefore, there is a need to have broader private sector involvement with the aim to ensure: stakeholders realize their respective roles as resource providers; and businesses learn that participation in social development makes good business sense.

In September 2001, the PBSP Board of Trustees decided to expand its National Capital Region-Area Resource Management (NCR-ARM), as a concrete response to worsening poverty in the urban areas particularly in the National Capital Region (NCR). To achieve wider reach in addressing urban poverty, it partnered with the Asian Development Bank, using the Japan Fund for Poverty Reduction (JFPR) facility.

In November 8, 2002, PBSP and ADB-JFPR launched the **Strategic Private Sector Partnerships for Urban Poverty Reduction (STEP-UP)** in Metro Manila. This project aims to harness the strategic role of the business community to help reduce poverty in 23 communities in 9 cities/ municipalities in Metro Manila over a period of three (3) years. This would mean increased household incomes, improved access to basic services, and expanded opportunities for livelihood and income generation. As a partnership, ADB-JFPR and PBSP combined their resources to achieve this goal through innovative and strategic involvement of all stakeholders led by the PBSP member companies and other corporate partners. In support of the shelter program of the government, the STEP-UP serves as a model of how to strategically tap private sector involvement in urban poverty reduction. The Housing and Urban Development Coordinating Council (HUDCC) serves as the Executing Agency while PBSP is the Implementing Agency.

Strategies for Private Sector Involvement

To achieve the above goal, the STEP-UP has 4 major components:

- Partnership Building;
- A revolving fund for livelihood and housing;
- Grant funds for community infrastructure and basic services; and
- Risk reduction and management.

Under partnership building, a Business Consensus Group (BCG) composed of CEOs or officers of companies acts as convenor to develop innovative approaches through which the larger business community can participate. The PBSP Board sub-committee on corporate citizenship, composed of the CEOs of Nestle Philippines, Pilipinas Shell, Petron Corporation, Central Azucarera Don Pedro, and Monark Equipment, acts as the national-level BCG. BCGs at the city level were also created to encourage the participation of businesses, especially local small and medium enterprises (SMEs). Company champions were identified in each city to take the lead in inviting and showing their colleagues in the business community how they can get involved. Another structure created by the program is the city level multi-sectoral coalitions/groups (MSGs) composed of various local stakeholders (i.e., LGUs, NGO, PO, government line agencies, academe and business sector) that will jointly discuss, prioritize and act on development issues. Other areas for involvement include: community infrastructure (i.e., donation of landfill materials; discount on construction materials cost); funding or technical designs for housing; support to link local livelihood projects with markets; and technical assistance for risk reduction. Participation was generated through program presentations where a menu of options was presented, proposals were submitted, and exposure trips to the communities were organized. The latter is proving to be the best strategy for generating interest among the companies, as it gives them a first hand account of the real situation in the area.

Results

After one year, the programme has:

- Received US\$145,000 from the business sector as their counterpart to fund livelihood, infrastructure, skills training and education projects;
- Actively involved 24 companies in various forms and levels;
- Disbursed US\$450,000 for various infrastructure projects in 14 communities;
- Trained 162 individuals on livelihood technologies or with manpower skills, 139 of whom are engaged in business through the US \$45,875 livelihood loan from the STEP-UP;
- Assisted 157 entrepreneurs to earn monthly income ranging from US \$27-\$178 from trading and manufacturing operations;
- Established and operationalized 4 MSGs in 4 cities; and
- Established and operationalized 1 BCG involving medium to large-sized companies.

Key Success Factors and Challenges

- PBSP, being the NGO/social development arm of a collective of 184 companies, has the advantage having and access to its member companies and corporate partners for support for development projects and programs.
- The 33-year track record of good project management and prudent use of resources is an attraction to companies and multi-lateral donors. Membership contributions of member companies are used to leverage bigger funds from donor institutions to expand program reach.
- Most companies want to help but lack the knowledge to identify and implement project which can make a difference. Thus, the 2-page proposals submitted to companies and the exposure visits to the communities give them concrete ideas on how to get involved best.
- Most companies that are new to corporate social responsibility find it easier and more logical to support development initiatives that are directly related to their core business. Example, banks give priority to education, and sometimes, specific to scholarships in financial management.
- The economic crisis being faced by some Philippine companies constrain them to do and give more. Thus, non-monetary involvement like employee volunteering still enables companies to participate in development activities.
- Key lessons learned include the realization that helping companies get involve strategically (from being mere donors to becoming stakeholders in the area) means creating and providing a venue to do so. Thus, the challenge for development catalysts and interventionists such as PBSP is to continually come up with innovative ways and approaches that allow the meaningful and strategic engagement of the companies.

The Philippine Semiconductor Industry Association and Habitat for Humanity

by RICK HATHAWAY, Habitat for Humanity International Inc.

GOALS OF THE INITIATIVE

- Development of a partnership that would engage the member companies of the Semiconductor and Electronics Industry of the Philippines in building homes for families in need.
- Provide opportunities for active employee involvement in community development - through the construction of homes.
- Raise support for the building of 250 homes across the Philippines - to be invested in a revolving fund run by Habitat for Humanity Philippines, to ensure program sustainability into the future.

KEY GROUPS INVOLVED

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The Semiconductor Industry of the Philippines (SEIPHI)

Member companies of SEIPHI

Suppliers of SEIPHI's member companies

Habitat for Humanity Philippines

Habitat for Humanity Local Affiliates

ACTIVITIES

The Semiconductor and Electronics Industry is the largest exporter in the Philippines - it realized tremendous growth in the 1990's. The SEIPHI organization and some of its members had been involved in Habitat in 1998 and 1999. As a result, interest was developed for a major industry-wide partnership with Habitat for Humanity in the year 2000. The SEIPHI organization held various fund raising activities, the most significant of which is the benefit golf tournament for its members and suppliers.

Employees of member companies - some more active than others - provided volunteer support for the initiative, with some involving their family members in the activity. The homes were all built and dedicated during a two-year period. Families' house payments are now being used to build more houses.

METHODOLOGY

The methodology for implementing the housing program follows the methodology of Habitat for Humanity:

- Self-help and mutual help construction was fostered;
- Families pay for the cost of construction adjusted for inflation; and
- House designs are simple and decent, tailored to local conditions and customs

The Habitat for Humanity national and local affiliates provided the structures/systems to deliver the housing program, including: family selection; construction supervision; material acquisition; and financial reporting. The funding was provided by SEIPHI and its members through charitable donations. Some companies utilized an employee-giving program and matched their contributions.

RESULTS

The 250 homes were all completed as of March 2002. Some of the member companies continued their work with Habitat for Humanity following the completion of the SEIPHI initiative. The partnership with SEIPHI was not renewed, in part due to the economic down-turn in the industry in 2002.

SUMMARY OF RESULTS

- 250 homes have been completed in various locations in the Philippines.
- Significant investment has been made into the Habitat Philippines revolving fund.
- Employees have successfully been involved.
- The experience with some companies and their employee-giving program led to the development of this product by HFH Philippines - for further marketing to other corporations.
- Some corporate volunteers have gone on to further support Habitat for Humanity with their time - with a number of them serving on local Habitat boards and subcommittees.
- Awareness has been raised for Habitat for Humanity.

American Corporations for Thailand Program: Combined Corporate Action for Human Resource Development

by JARUSRI JIRAVISITKUL, Kenan Institute Asia

The Kenan Institute Asia's (KIASia) American Corporations for Thailand (ACT) program makes a marked difference in the lives of its beneficiaries throughout Thailand. ACT mobilizes contributions from participating American corporations (\$1.8 million to date) to mount a coordinated grant program envisioned to strengthen Thailand's human resources. ACT is a proven, combined-corporate giving program that allows donor companies to demonstrate their commitment to Thailand's development, connect with communities, enhance workers' skill base, develop future leaders and in the process, achieve their corporate social responsibility (CSR) goals.

BACKGROUND

65 Mr. Anand Panyarachun, former Prime Minister of Thailand and KIASia's current chairman, and Dr. Henry Kissinger, former U.S. Secretary of State, launched ACT in 1998 to demonstrate USA's commitment to Thailand at the height of the economic crisis. The crisis caused a number of acute challenges, including increased unemployment and reduced training budgets, and underscored the need to overhaul the financial sector. American companies responded quickly and effectively, working with KIASia to design and fund a new program - the ACT Program - in support of human resource development in Thailand. Ten donor companies and organizations contributed US \$1.1 million for ACT's first three years: **Unocal, American International Group (AIG), Motorola, Raytheon, Chase Manhattan Bank, General Electric, and Union Carbide**. The American Chamber of Commerce in Thailand, American Express and Continental Grain provided additional donations.

ACT exceeded the expectations of the donors. Consequently, in 2001, KIASia re-launched the program for an additional three years, with over \$700,000 in support from **Unocal Thailand, The Unocal Foundation, AIG and The Starr Foundation** (Gold Sponsors), and **Dow Chemical, American Express Foundation and JPMorgan Chase Foundation** (Corporate Sponsors.) The donors and KIASia agreed to expand the giving areas beyond workforce training to include other critical aspects of human resource development in Thailand, and namely, secondary and environmental education. Moreover, KIASia sought to increase the participation of donors' employees in ACT through advisory committees, site visits to grantees, and volunteering in projects such as the ACT Student Leadership Project.

RESULTS

Six years later, the ACT donors have every reason to be proud. ACT clearly makes a difference to grantee organizations, allowing them to implement much needed training programs. The local Thai communities in the Northeast (the suburbs of Bangkok) also benefit when grantees provide workers, students, and citizens with new skills, professional opportunities, scholarships, and training centers. ACT awarded forty-nine grants (to date) on a competitive basis to leading Thai universities, non-profit and government training organizations throughout the country. Specifically, the ACT program:

- **Created Jobs:** On average, 90% of the graduates from ACT-sponsored training courses designed for the unemployed and under-skilled found employment within three to six months because of the sought after skills they acquired.
- **Upgraded Human Resources:** Over 24,000 trainees were equipped with new skills in various areas like operation management, IT, environmental management, plant tissue culture, and entrepreneurial skills.
- **Made Training Available to Thai Workers:** An estimated 2 million hours of training have been delivered thanks to ACT.
- **Built Organizational Capacity in Leading Thai Training Institutions:** Nearly 700 trainers were trained in various areas. As a result, over 2,800 follow-on training courses, not directly funded by ACT, have been conducted.
- **Distributed Training Materials:** Approximately 300,000 sets of training materials or donated books from just three ACT projects (Books for Thailand, Maxi MBA, and Small Business Entrepreneurship) have been distributed.
- **Established Training Laboratories Throughout Thailand:** An Information Technology lab at Yonok College in Lampang province; five plant tissue culture laboratories in upcountry provinces; five food processing laboratories in upcountry provinces; and one multi-purpose training center in Buriram province were established. More than 40 training courses have been conducted at just these sites.

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WHY COMBINED CORPORATE ACTION MAKES SENSE

ACT is a unique show of commitment by American companies with a stake in Thailand. It made more sense for American companies to join ACT, rather than go it alone through individual social development programs. And, it still makes sense for companies to join forces to maximize their impact on human resource and local community development. There are a number of reasons:

- Combined corporate action means more can be accomplished all over the country in a shorter period of time than any single company can hope to achieve. No donor company's giving program could have achieved what ACT did - yet each company could claim credit for the program's successes, thereby expanding both the company's public relations benefits and its connections to communities all over Thailand.
- As the immediate impact of the economic crisis faded, ACT evolved from a crisis response program to a more sophisticated way for companies to advance their CSR goals in Thailand (promoting education, community development, financial literacy, etc.), and with a minimal investment in staff time and money. In doing so in partnership with other leading American investors in Thailand, they are moreover able to leverage each other's CSR funding. Combined corporate action means more *"bang for the buck."*

In short ACT augments donor companies' public relations and their connections with, and impact on, communities (which is good for business, and requires less investment on the part of each donor.

Hindalco Corporation and Habitat for Humanity

by RICK HATHAWAY, Habitat for Humanity International Inc.

LOCATION

Uttar Pradesh, India

PERIOD

September 2004 - ongoing

GOALS OF THE INITIATIVE

- Demonstrate effective collaboration towards an ongoing partnership to build homes across the 200 communities in which Hindalco supports development activities.
- Phase One: construct 24 homes for families in need in Renekut, Uttar Pradesh
- Phase Two (under negotiation): construct 300 homes across three northern states, with further expansion following this phase.

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KEY GROUPS INVOLVED

- Hindalco Corporation (Aditya Birla Group)
- Hindalco Development Foundation
- Habitat for Humanity India
- Habitat for Humanity International

ACTIVITIES

The Hindalco Company and its parent Company - The Aditya Birla Group - has numerous community development activities in the area in which their facilities are located. These development activities cover health, education, micro-enterprise, agriculture development, and water. As many of the families they work with lack adequate shelter, this partnership also involves constructing low cost houses in the communities. To date the first phase of the project is in progress, with an initial six homes completed. The other 18 families have been chosen and plans are to complete these homes in the next two months. The second phase is under discussion and is expected to include 300 homes over a two-year period.

METHODOLOGY

The methodology for implementing the housing program follows the methodology of Habitat for Humanity:

- Self help and mutual help construction
- Families pay for the cost of construction adjusted for inflation
- House designs are simple and decent, tailored to local conditions and customs
- Families provide their own savings to the program - 1/3 of total cost

The Hindalco Development Foundation provided the community development experience, including identifying communities and families in greatest housing need.

Both Hindalco and Habitat provide funding for the project - a 50/50 match - as well as staff support. An oversight task force comprised of staff from both organizations, provide regular direction and monitoring of the pilot phase. An advisory group of senior leaders of Hindalco and Habitat for Humanity provide overall leadership to further develop the partnership into phase two and beyond. The advisory group focuses on insuring the developing partnership fits within the overall objectives and long term directions of both organizations.

RESULTS

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The partnership is ongoing at this stage. Most of the results to date are evident in the partnership itself. Hindalco and Habitat both entered this pilot phase of 24 houses with the intent to develop an ongoing partnership that will eventually serve all 200 communities. Results to date include:

- 6 homes completed; 18 additional homes in progress. All 24 families have completed their savings component.
- Self/mutual help concepts with family savings in place.
- Simple decent affordable design developed.
- Development of staff support structures.
- Dedication of the first six homes on March 14th, with both HFH International and the parent company of Hindalco - The Aditya Birla Group - endorsing the plans to move to an expanded phase two. An evaluation is in progress that will provide input into phase two planning.

The Beauty of Silence Project: Noise Pollution in Thailand

by SOMRUDEE NICRO, Thailand Cultural Environment Fund¹⁰

INTRODUCTION

The Thailand Cultural Environment Fund (Thailand CEF) and its partners are currently engaged in a six-month campaign and research project to address noise pollution in Thailand. Among the project's other objectives, the project team hopes it will provide a model for collaboration between the private sector, the government, and civil society. The campaign and research targets the general public and government agencies at all levels.

PURPOSE AND GOALS OF THE PROJECT

The Beauty of Silence campaign seeks to achieve the following objectives:

- To increase public awareness about the consequences of harmful noise and to motivate individuals to take action against noise pollution;
- To study and survey the current noise pollution situation and the public's attitude towards noise. Particular emphasis will be given to the areas that are most relevant to daily life (e.g., the environments in office buildings, schools, parks, theaters, department stores); and
- To encourage the public to rediscover and appreciate the beauty of silence and a peaceful culture.

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KEY PARTICIPANTS

The Thailand CEF is the lead organization. Thailand CEF is joined in the campaign by the following current and potential partners:

- The Thailand Business Council for Sustainable Development (TBCSD). This is a nonprofit association of private business representatives.
- The Pollution Control Department of the Thai Ministry for Natural Resources and the Environment
- The Bangkok Metropolitan Administration (BMA)
- The Society of Environmental Journalists
- The Thailand Cycling Club
- Selected enterprises (e.g., shopping centers and hospitals).

¹⁰ The Thailand CEF is under the Thailand Environment Foundation.

ACTIVITIES

This project involves research and a public campaign to reduce noise pollution in Thailand. The research component of the project will seek to draw a picture of the current level of noise pollution and also to survey the public in order to learn more about general attitudes toward noise. The campaign component of the project will work to increase public awareness about the problem of noise pollution and to encourage leaders in communities to address the issue. These components will be carried out through a campaign launch event, mass media, and meetings to plan and assess the results with the project partners.

METHODS, MEANS AND APPROACHES USED

The heart of this project is the collaboration between the private sector, the government, and civil society. The TBCSD is an innovative approach to making the private sector a part of environmental problem-solving. Business representatives who are members of the TBCSD have created a non-profit organization and located its secretariat within another nonprofit, the Thailand Environment Institute. The Thailand CEF and the TBCSD then approached the Thai government to gain its support for the project and campaign. Thus, the project represents a focused effort that combines the strengths of all three sectors of society. Additionally, the presence of private sector representatives on the project team helps to encourage other private enterprises to support campaign activities.

ANTICIPATED RESULTS AND OUTCOMES

The project anticipates the following outcomes:

- Increased public awareness of the importance of noise control.
- Increased respect among current noise polluters for the rights of others to a noise-free environment
- Increased enforcement of noise laws and regulations to create a better quality of life for citizens.
- A foundation for additional noise awareness-raising campaigns to be held in the future.

The Cornerstone Program-Community Foundation: Getting Business Involved in Social Development at the Community Level

by KIASia

KIASia has intensified its efforts to engage the private sector in social development by launching the Cornerstone Pilot Project in 2002, with funding from the Unocal Foundation. This program promotes strong partnerships between local government, business, and civil society institutions as a key to local development and success. One of the expected outcomes of the Cornerstone Pilot Project is the establishment of community foundations for sustainable development. The strategy for achieving this objective is as follows:

- Identify potential community leaders including business people and provide them with training that enhances their skills in working collaboratively between business, local government and civil society;
- Establish a national level community foundation incubator that will provide capacity building for local community foundations;
- Establish mechanisms, such as community foundations, as a way of gathering local funds and energies for the betterment of the community; and
- Encourage stakeholders to work cooperatively on practical projects that use community foundation funds on behalf of the community.

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KIASia conducted three community leadership training courses for local businessmen and staff from CSOs and local government officials, in Bangkok, Rayong and Songkla, to teach them how to identify worthwhile projects in their community and to go about implementing them. Approximately ten pilot projects emanating from the training are to be launched in April to May 2004. After one year of this process, KIASia is now moving towards the next phase in the development of this program. The first year saw the key concepts of the program and its corresponding values demonstrated in three provinces. **Corporate officers, CSO staff, and governmental officials have become familiar with the Cornerstone initiative and collaboration among its partners has so far proven feasible.** However, three sectors have not yet identified best practices for joint development of programs to improve well being of their local society. Turning this new initiative into sustained action will take time to stimulate the formation of a community foundation.

In an effort to support this process, KIASia determined that a change agent was needed to help coordinate and transform understanding of the Cornerstone Program into action. KIASia therefore approached Unocal Thailand to use the Friendship to Community Foundation (FCF), established by Unocal Thailand employees to facilitate greater success in promoting community foundations at the national level. The FCF, in partnership with KIASia, the Federation of Thai Industries, and volunteers from companies and CSOs including Rak Thai Foundation, the Local Development Institute, and

the Community Development Institute, created a new mandate to act as a national change agent responsible for promoting the development of community foundations and introducing the new concept of community foundation philanthropy throughout Thailand. The foundation aims to solicit support for the operation from the Thai Health Promotion Foundation for the next three years. It is expected that FCF will become an agent of change to promote and establish community foundations in Thailand, with an emphasis on strong tri-sector partnerships. Its goal for the next three years is to establish approximately 30-50 community foundations throughout Thailand.

The challenges facing the FCF are to:

- Adapt the concepts of community foundations to fit with the local context;
- Identify local communities, businesses, and government leaders to be trained as trainers and to become change agents within their community;
- Build capacity in identifying relevant social and community issues and in designing community development programs and fundraising strategies;
- Build capacity to effectively manage and raise funds from community foundations; and
- Identify a sustainable approach to financing the activities.

FCF, in partnership with KIAAsia, is also developing also a community foundation incubator center as one was to ensure the viability and sustainability of each newly established community foundation. The FCF's end goal in promoting community foundations is to develop a sustainable and suitable platform to bring together key stakeholders to improve the quality of life and alleviate poverty in Thai communities.

International Foundation for Election Systems' Partnership with STATOIL

by JUSTINE O'CONNOR, International Foundation for Election Systems, US

WHY? (PURPOSE AND GOALS OF THE INITIATIVE)

To support the development of a Unified Election Code (UEC) in the Republic of Azerbaijan.

WHO WERE THE KEY PEOPLE/GROUPS ENGAGED?

STATOIL, an oil development and exploration company, provided funding to the International Foundation for Election Systems (IFES) to support the Government of Azerbaijan in the drafting of a Unified Election Code. IFES presented the draft Code to the domestic and international community to facilitate a meaningful debate prior to the final adoption by Parliament. The new law was then distributed to political parties and domestic NGOs, translated, and provided to the international community.

WHAT ACTIVITIES TOOK PLACE?

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- IFES was contacted by the Director of the Department of Legislation and Legal Expertise of the Presidential Apparatus (PA), and was asked to translate the initial draft of the UEC and to give an expert commentary on the document.
- In addition to translation and commentary, IFES gave technical advice on how to improve the draft Code before presentation to the parliament and publication to the international community.
- An IFES Election Consultant undertook the detailed analysis of the draft and the IFES commentary was presented to the PA. Following initial examination the PA indicated that “80-90%” of the IFES comments would be included in the revised draft.

HOW WERE THINGS ACCOMPLISHED? (BY WHAT METHODS/MEANS/APPROACHES)

Round tables were organized by the PA in conjunction with the Organization for Security and Co-operation in Europe's Office for Democratic Institutions and Human Rights (OSCE/ODIHR). IFES' Election Advisor joined the IFES team represented at these deliberations to add weight and further expertise to the panel.

WHAT WERE THE RESULTS AND OUTCOMES OF THE EFFORT?

- The end product was the Election Code of the Azerbaijan Republic. The code was intended to improve consistency of the administrative and the legislative framework of elections and, in turn, contribute to the overall improvement of the electoral process.
- Unfortunately, the Election Code was poorly implemented on Election Day leading to numerous violations of the law that affected the outcome of the results.

WHAT FACTORS LEAD TO SUCCESSFUL NGO-PRIVATE SECTOR PARTNERSHIPS?

- IFES was a trusted player in the field of technical assistance to the government and had developed a positive reputation in the domestic and international community in Azerbaijan.
- Relationship building: IFES kept stakeholders in Azerbaijan, such as STATOIL, abreast of the legal and legislative framework and acted as an information source.
- IFES was knowledgeable about stakeholders in the region and aware that Azerbaijan represents one of STATOIL's most important international assets.

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WHAT ARE THE GREATEST CHALLENGES AND OBSTACLES TO PARTNERSHIPS?

- There were no challenges to working with STATOIL.
- Although not a major challenge, IFES had to diligently work with the international community in order to provide uniform recommendations to the parliament.

WHAT KEY LESSONS HAVE WE LEARNED THAT WILL SHAPE OUR WORK IN THE FUTURE?

- Building relationships is essential to forming successful partnerships.
- Keeping stakeholders informed of your projects will allow you to develop credibility and trust.

Small-Scale Private Sector Development and Marketing for Sanitation in Rural Areas in Vietnam

by JAIME FRIAS, International Development Enterprises

WHY?

In January 2003, International Development Enterprises (IDE) Vietnam was given an opportunity to develop a replicable approach to improving sanitation and increasing latrine coverage over a two-year period in the central coast area of Vietnam. The project has since targeted 30 communes in 6 rural districts in the central coast of Vietnam and aims to improve livelihoods of approximately 54,000 families by increasing access among these targeted households to affordable sanitation facilities and improved sanitation practices. Most of these households live below the poverty line and in areas where rural sanitation is a significant challenge. Improvements in sanitation are expected to be accomplished through small-scale private sector development and mass and social marketing in rural areas. The main goals of the project are to:

- Increase the number of hygienic latrines in relation to the existing rural households; and
- Encourage behavioral change for improved sanitation amongst the rural population. The approach to improving sanitation is market driven and inherently participatory with families investing their own money to fund 100% of the cost of the sanitation systems.

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“LIFEBUOYING HANDS TO IMPROVE CHILDREN’S HEALTH IN RURAL AREAS IN VIETNAM”

IDE and UNILEVER signed a Memorandum of Understanding to undertake jointly communication efforts aimed at reducing prevalence of diarrhea and intestinal worms in Vietnam. Through a social marketing campaign, partners will address rural sanitation by encouraging hand washing with soap by one of most vulnerable segments to unhygienic practices: children. The central idea behind the joint initiative is to raise awareness amongst the target audience about the importance of using soap for prevention of diarrhea and intestinal worms.

The main reasons why IDE decided to develop a joint intervention with private sector soap manufacturers were to: ensure sustainability of the programme in the local community after the intervention has been phased out; and share the equity of the intervention with private sector stakeholders. IDE derived clear benefits through this partnership including an ability to: mobilize additional resources to enhance the intervention’s overall impact; to draw marketing experience from the private sector in the course of developing the communications strategy; and tie IDE’s sanitation programme to a strong franchise in the antibacterial soap market (Lifebuoy)

Identified benefits for UNILEVER, on the other hand, are: increased demand for its antibacterial soap product, as a result of both an increase in the number of households using soap and the amount used by each household. At the same time, UNILEVER has the opportunity to participate in community development activities, thereby raising public awareness of its corporate social responsibility. Finally UNILEVER will have improved access to additional partnerships with relevant governmental authorities and other bilateral development organizations.

WHAT NEXT?

School programme in rural areas - Pilot

Moving forward with the private partnership for Water Sanitation in Vietnam, IDE proposes the following pilot aimed at developing a “new” innovative health promotion and marketing campaign to reach primary school children and their mothers. The following implementation steps will take place:

Qualitative Research: to obtain relevant insights from the target audience regarding material and concept designs for the promotion and marketing campaign (approximately two months).

A focus group interview with primary school teachers, students, and other essential school personnel: focusing on identifying the most appealing approach for communicating the importance of hand-washing with soap to children and their mothers. Among items that will be discussed are songs, games, logos, slogans, illustrations, photos, print materials, and key messages.

A focus group interview with mothers of children in primary school: aside from gathering information about hygiene practices and effective communications strategies, the interview will also test the acceptability of various soap placement designs in a rural household setting, an issue that might have an effect on hygiene practices.

Campaign Development: Based on the inputs of the qualitative research, an IDE marketing team will assemble a comprehensive marketing campaign. The campaign will incorporate UNILEVER’s campaign for developing the habit of soap use and the marketing materials will include the Lifebuoy logo as a sponsor of the material (campaign design and assembling of the marketing package will take approximately 2 months). Some ideas for the marketing campaign include:

Health messages in school activities (activities that can be carried over to after-school), such as through music (similar to IDE Trachoma Song), games (such as the ladder & labyrinth from the Trachoma project), and improvements to lessons to make them more fun.

Message to be brought home to their families, and particularly the mothers: At the heart of the initiative, the “Hand-washing Kit” will ensure the kids bring home the concept and involve parents with the effort (and some lifebuoys soap samples too).

Quantitative Research: A baseline survey will be designed concurrently with the marketing campaign to assess perceptions and hand-washing practices of the target audience. A 30-item

questionnaire will address: knowledge of health and hygiene; current attitudes and perceptions of hand-washing with soap; and structured observation of hand-washing. The sample size will be approximately 400 children selected from different school sites. Data collection will be carried out prior to summer time, when children are present on the school premises. Baseline results and reporting will document perceptions and hand-washing practices of primary school children and the results will be compared with at the end of the pilot study to assess the change in hand-washing behavior.

Implementation: The implementation of the pilot study will take place in a selected number of schools (tentatively six) in Thanh Hoa and Quang Nam provinces, during the school-year, and with the collaboration of provincial health authorities, school personnel, and local health workers.

Communication strategy: For the kids, the messaging will be entertaining and fun: “Life-buoying your hands can be fun”. For mothers, the communications strategy will resemble an emotional appeal (such as “Lifebuoy working for the bright future for your kids”). Moreover, it will draw a link between health, nutrition, and children’s development (physical and intellectual). The basis of this logic is the high prevalence of worms and diarrhea in children in rural areas (i.e. 88% of kids have worms in households in rural areas with no access to latrines; households having access to latrines are estimated at approximately 70%).

Expected results: The programme presents an overall investment of almost \$2 per household (average 2 kids at school) and the implementation can generate between 65% and 75% child coverage from the plan in the project areas.

Trachoma Eradication Through Improved Behavioral Practices in Rural Areas in Vietnam

by JAIME FRIAS, International Development Enterprises

WHY?

In two years (2000 and 2001), IDE was able to design and implement a social marketing campaign to encourage behavioral change for trachoma eradication. The project was designed as a pilot effort in specific districts with the support of the Ministry of Health in Vietnam.

WHO?

- Target of the initiative: Children attending primary school in areas where the prevalence of trachoma is a significant issue.
- Implementing agency: International Development Enterprises; National Technical Authorities (National institute of Ophthalmology and Vietnam Trachoma Institute); Local Authorities (People's committee of Vietnam at a provincial and district level); Vietnam Mass organizations (Women's Union; Primary Schools of Vietnam in the project areas); and the International Trachoma Institute (Zithromax)

WHAT?

The project focused on the development of one sub-component, as part a series of measures to eradicate trachoma in the project areas. This behavioral driven sub-component was carried out along with other initiatives in the project areas, such as provision of clinical examinations (for the eyes), distribution of Zithromax, and infrastructure-type sanitation interventions (latrines, water supply). In particular, IDE provided the design and implemented the program for the behavioral change driven marketing campaign to prevent the target groups from sustaining the type of behavior that contributes to the propagation of trachoma.

In two years IDE was able to design and implement a social marketing campaign to encourage the adoption of improved health habits by children, thereby reducing the transmission of trachoma in the project areas. This was accomplished through:

- An effective marketing strategy, developed though a systematic process of qualitative and quantitative research in the target areas.

- Efficient message delivery to the target audience, though the proper identification of communication channels. The principal channels through which community activities were delivered included the women's union, school activities, and the mass media. Community activities included: training of community promoters; sponsoring village meetings; and house-to-house activities. Mass media activities included: provincial and district television, district radio, commune loudspeaker, posters and leaflets.

HOW?

The marketing campaign was conceived with IDE 's marketing framework, which is based on a systematic approach for developing effective communications and for conveying the message efficiently. IDE develops marketing campaigns and uses strategies that are developed and planned with the same level of accountability as strategies employed for the sale of commercial products. The difference is not just to tell people how important the preventive behavior is, but to package it into messages that fit the aspirations of each of the target groups.

First, research activities were conducted at the local level, thus making sure that the communication appealed to the local beliefs of the target audience. Second, the marketing message explicitly reinforced behavioral change, yet in a creative and engaging fashion. Third, the message was conveyed through several strategic channels and materials, leaflets, posters, and videos were utilized during village meetings. Mass communication, such as radio and the likewise, were aired in the project areas. Infomercials and video encouraged the target audience to take action on trachoma prevention.

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Promotional components, such as hygienic materials (i.e. towels with the logo of the campaign), and the school programme coupled with the communication efforts. The school program consisted of trachoma lessons and games aimed at different age groups, with an emphasis on encouraging community action. Take-home initiatives that required input and discussion with the family were also included, thus bringing the coverage of the school effort into every household using the children as the promoters. Finally, the campaign was designed and implemented during the first year of Zithromax distribution.

SO WHAT?

Eradication of trachoma in the project area was achieved. The marketing efforts that resulted in the reduction of the transmission of trachoma in the project areas brought down the prevalence of the disease below the threshold level (-4%) for effective propagation.

WORKSHOP BACKGROUND AND PROGRAM

WORKSHOP ON BUILDING NGO-PRIVATE SECTOR PARTNERSHIPS AGAINST POVERTY PATTAYA, THAILAND 28-31 MARCH 2004

I. OVERALL GOAL

To support poverty reduction and sustainable development in Asia by strengthening partnerships between NGOs and the private sector.

II. OBJECTIVES

The objectives of the workshop are to:

Based on lessons learned, identify ways to strengthen partnerships between NGOs and the private sector in poverty reduction in Asia and the Pacific,

Explore options for developing a network of NGOs and private sector representatives that can provide a platform for follow-up activities,

Explore the role of international organizations in facilitating such partnerships.

III. EXPECTED OUTPUTS/OUTCOMES

Plan of action on how to move forward in strengthening NGO-private sector partnerships in Asia and the Pacific,

Strengthened structure for future NGO-private sector collaboration,

Case studies and lessons learned to support future work.

PROGRAM OF ACTIVITIES

DAY 1. SATURDAY 27 MARCH ARRIVAL

Participants arrive in Bangkok
Check in at Hotel Amari Watergate

DAY 2. SUNDAY 28 MARCH TRAVEL TO PATTAYA, REGISTRATION, INTRODUCTIONS

09:00
Depart to Pattaya from Hotel Amari Watergate

11:00
Arrive Cabbages & Condoms Resort, Pattaya

12:00 - 14:00
Registration and Lunch at Cabbages & Condoms Resort

14:00 - 14:30
Opening Message
Deborah E. Myers, Director External & Government Affairs and Public Partnerships, GlaxoSmithKline Biologicals

Introduction of Keynote Speaker
Robert J. Dobias, Director, Agriculture, Natural Resources and Social Sectors Division (RSAN) and Head, NGO Center (NGOC), Asian Development Bank

14:30- 15:30
Keynote Address and Presentation on: NGO and the Private Sector: Towards Alleviating Poverty and Improving Quality of Life Together
Senator Mechai Viravaidya, Founder and Chairman of Population and Community Development Association (PDA)

15:30 - 16:30
Introductions/Expectations
Pete Malvicini, Facilitator

16:30 - 17:15
Building NGO-Private Sector Partnerships Against Poverty: Potential Areas of Practical Interventions
Ravi Jayakaran, World Vision Cambodia

17:15 - 18:00
NGOs/Private Sector—Discovering Common Ground

19:00
Welcome Reception and Dinner

DAY 3. MONDAY 29 MARCH

08:00 - 08:45
Finalize case study posters

08:45 - 09:30
Poster walkabout and interviews: Successes, Challenges, and Lessons Learned

09:30 - 10:15
Small group sharing and consolidation of key factors

10:15 - 12:00
Describing Best Partnership Practices

12:00 - 13:30
Lunch

13:30 - 14:30
Desirable Future Outcomes for Partnership (group discussions)

16:00 - 17:00
Organizing Action Points for Partnership

DAY 4. TUESDAY 30 MARCH

08:00 - 09:15
Strategies to Address Constraints

09:10 - 10:45
Develop Action Plans

10:45 - 12:00
Discuss Next Steps for Organizing and Implementation

12:00
Lunch and departure for Sub Tai for Field Project Visit

18:00 - 21:00
On arrival at Sub Tai, dinner

DAY 5. WEDNESDAY 31 MARCH VISIT PROJECT SITES, RETURN TO BANGKOK

DAY 6. THURSDAY 1 APRIL DEPARTURE FROM THAILAND

ANNEX 3

WORKSHOP PARTICIPANTS

BANGLADESH

Khondker Rebaka Sunyat

Project Manager

The Urban Primary Health Care Project

Bangladesh Women Health Coalition (BWHC)

3rd Floor, Dholpur Matrishodon

Golapbagh, Dhaka 1203

Tel: (880-2) 751-8892

Email: dhk1bwhc@agni.com

CAMBODIA

Ravi Jayakaran

Consultant

Strategy Development Programming

QPI

191, Norodom Blvd.

Phnom Penh

Tel: (855-23) 220851

Email: Ravi_Jayakaran@online.com.kh

INDIA

Preeti Malhotra

Project Management Officer

British High Commission

Climate Change & Energy

Global Opportunities Fund (GOF)

Shantipath, Chankyapuri

New Delhi 110 021

Tel: (91-11) 2419-2016

Fax: (91-11) 2687-3418

Email: Preeti.Malhotra@fco.gov.uk

INDONESIA

Ardi Prastowo

Coalition of Healthy Indonesia (KUIS)

Gedung TIFA Lt. 5

Jl. Kuningan Barat 26

Jakarta 12710

Tel: (6221) 526-2412

Fax: (6221) 526-2410

Email: ardi.prastowo@jhuccp.or.id

Stefan Wodicka

Area Representative

World Neighbors Southeast Asia

P.O. Box 71, Ubud

Bali 80571

Tel: (62-361) 975-707

Fax: (62-361) 976-487

Email: wnsea@dps.centrin.net.id

Ismid Hadad

Executive Director

KEHATI - Indonesian Diversity Foundation

Patra Jasa Bldg., 2nd Floor, Room II G

Jalan Jend. Gatot Subroto Kav. 32-34

Jakarta 12950

Fax: (6221) 522-8033

Email: ihadad@kehati.or.id

LAO PDR

John Ferchak

Country Director

Quaker Service Laos

P.O. Box 1118

Vientiane

Tel: (856-21) 312510

Email: qsl@loxinfo.co.th

Soulany Chansy

HIV/AIDS Prevention & Care

Project Manager

Lao Red Cross

Box 2948

Vientiane 01000

Tel: (856-21) 241632 / 215763

Fax: (856-21) 251585

Email: lrcaids@laopdr.com

NEPAL

Sujeev Sakya

Vice President - Corporate Affairs & Business
Development

Soaltee Group

Soaltee Hotel Complex

P.O. Box 3800, Tahachal

Kathmandu

Tel: (977-1) 427-3330

Fax: (977-1) 428-7702

Email: sujeev@soalteegroup.com.np

PHILIPPINES

Mario Deriquito

Director for Social Development
Ayala Foundation
32nd Floor, Tower 1 Bldg.
Ayala Triangle, Makati City
Tel: (632) 848-5785
Fax: (632) 848-5764
Email: deriquito.ma@ayala.com.ph

Eden Garde

Director for Operations
Philippine Business for Social Progress
PSDC Bldg.
Magallanes cor. Real Streets
Intramuros, Manila
Tel: (632) 527-3743
Email: egarde@pbsp.org.ph

Scott Killough

Director for Regional Studies
International Institute for
Rural Reconstruction (IIRR)
Y.C. James Yen Center Silang, Cavite
Tel: (63 46) 414-2417
Fax: (63-46) 414-2420
Email: Scott.Killough@iirr.org

Celine Santillan

Regional Programme Officer
Resource Alliance
Asia Pacific Regional Office
Cache Business Center
2nd Floor, MFJ Bldg.
75 Doña Soledad Avenue
Better Living, Parañaque City 1711
Tel/Fax: (632) 824-0638 / 824-1831
Email: celine@resource-alliance.org

THAILAND

Pareena Prayukvong

Development Specialist
Kenan Institute Asia
Zone D, Room 201/2
Queen Sirikit Naitonal Convention Center
60 N. Rachadapisek Road
Klong Toey, Bangkok 10110
Tel: (662) 229-3131 ext. 258
Fax: (662) 229-3130
Email: pareenap@kiasia.org

Jarusri Jiravisitkul

Deputy Manager
Kenan Institute Asia
Corporate Outreach Program
Zone D, Room 201/2
Queen Sirikit Naitonal Convention Center
60 N. Rachadapisek Road



Klong Toey, Bangkok 10110
Tel: (662) 229-3131 ext. 214
Fax: (662) 229-3130
Email: jarusrij@kiasia.org

Robert Kay
Executive Vice President
GMS Power Public Company Ltd.
7th Floor, Nai Lert Tower
2/4 Wireless Road, Pathumwan
Bangkok 10330
Tel: (662) 252-2119
Email: rkay@gmsspower.com
gmsspower@ksc.co.th

Rick Hathaway
Director - Regional Programs
Habitat for Humanity International, Inc.
East/SE Asia Regional Office
38, Q. House, 8th Floor
Convent Road, Silom
Bangrak, Bangkok 10500
Fax: (662) 632-0445
Email: rickh@hfhap.org
rhath2002@yahoo.com

Duangduen Eagan
Executive Secretary
WWF International Thailand Programme
104 Outreach Building
Asian Institute of Technology
Paholyothin Road, Pathumthani 12120
Tel: (662) 524-6745 to 47 ext. 111
Fax: (662) 524-6134
Email: duangduen@wwfthai.org

Viraya Khunprom
Assistant Manager
Marketing & Fund-raising Unit
WWF International Thailand Programme
104 Outreach Building
Asian Institute of Technology
Paholyothin Road, Pathumthani 12120
Tel: (662) 425-6168 to 69 ext. 104
Fax: (662) 524-6134
Email: viraya@wwfthai.org

USA

Justine C. O'Connor
Program Assistant
International Foundation for Election Systems
Asia Division
1101 15th Street, N.W. 3rd Floor
Washington, D.C. 20005
Tel: 1 (202) 828-8507 ext. 3732
Fax: 1 (202) 452-0804
Email: jcoconnor@ifes.org

VIETNAM

Jaime Frias
Country Director for IDE Vietnam
International Development Enterprises
House No. 102 Linh Lang St.
Cong Vi, Ba dinh
Hanoi
Tel: (63-2) 766-4249 / 766-4245
Fax: (84-4) 766-4240
Email: Jaime@idevn.org

ASIAN DEVELOPMENT BANK

Robert Dobias
Director, Agriculture, Natural Resources
and Social Sectors Division (RSAN)
and Head, NGO Center (NGOC)
Tel: (63-2) 632 6783
Fax: (63-2) 632 2220
Email: rjdobias@adb.org

Hemanta Mishra
Sr. NGO Specialist
NGOC
Tel: (63-2) 632 6787
Fax: (63-2) 632 2220
Email: hmishra@adb.org

Asavin Chintakananda
Senior Advisor
Regional and Sustainable Development Department
Tel: (63-2) 632 6647
Fax: (63-2) 632 2220
Email: achintakananda@adb.org

Suzanne Nazal
Civil Society Cooperation Officer
NGOC
Tel: (63-2) 632 6732
Fax: (63-2) 632 2220
Email: snazal@adb.org

Sophea Mar

Sr. Sector/Poverty Officer

Tel: (63-2) 632 6787

Fax: (63-2) 632 2220

Email: smar@adb.org

Peter Malvicini

External Consultant

NGOC

Tel: (63-2) 632 6732

Fax: (63-2) 632 2220

Email: pgm1@cornell.edu

Sofia Mae Clarin

External Consultant

NGOC

Tel: (63-2) 632 6732

Fax: (63-2) 632 2220

Email: piaclarin@yahoo.com

GSK BIOLOGICALS**Deborah E. Myers**

Director, External & Government Affairs and Public
Partnerships

GlaxoSmithKline

Email: Deborah.Myers@gskbio.com

Christine Purka

Development Finance International, Inc. (DFI)

Tel: (632) 818-1818 ext 8506 / 8507 / 8505

Fax: (632) 818-1161

Email: cpurka@dfiasia.com

ANNEX 4

STEERING COMMITTEE

ASIAN DEVELOPMENT BANK

Robert Dobias

Director, Agriculture, Natural Resources
and Social Sectors Division (RSAN)
and (former) Officer-in-Charge,
NGO Center (NGOC)

Tel: (63-2) 632 6783

Fax: (63-2) 632 2220

Email: rjdobias@adb.org

Bart Edes

Head, NGO Center (replacing Mr. Dobias)

Tel: (63-2) 632 6783

Fax: (63-2) 632 2220

Email: bedes@adb.org

Hemanta Mishra

Sr. NGO Specialist

NGOC

Tel: (63-2) 632 6787

Fax: (63-2) 632 2220

Email: hmishra@adb.org

Suzanne Nazal

Civil Society Cooperation Officer

NGOC

Tel: (63-2) 632 6732

Fax: (63-2) 632 2220

Email: snazal@adb.org

Peter Malvicini

External Consultant and Workshop Facilitator

NGOC

Tel: (63-2) 632 6732

Fax: (63-2) 632 2220

Email: pgm1@cornell.edu

GSK BIOLOGICALS

Deborah E. Myers

Director, External & Government Affairs
and Public Partnerships

GlaxoSmithKline

Email: Deborah.Myers@gskbio.com

Christine Purka

Development Finance International, Inc. (DFI)

Tel: (632) 818-1818 ext 8506 / 8507 / 8505

Fax: (632) 818-1161

Email: cpurka@dfiasia.com

Ann Ewasechko

Development Finance International, Inc. (DFI)

Tel: (632) 818-1818 ext 8506 / 8507 / 8505

Fax: (632) 818-1161

Email: aewasechko@dfiasia.com

BASED ON DISCUSSIONS AT THE WORKSHOP **BUILDING
NGO-PRIVATE SECTOR PARTNERSHIPS AGAINST
POVERTY**, HELD IN PATTAYA, THAILAND, MARCH 2004,
THESE DOCUMENTS PRESENT:

CASE STUDIES ON NGO-PRIVATE SECTOR PARTNERSHIPS

A TEMPLATE FOR FUTURE WORKSHOPS

A TEMPLATE FOR CREATING SUCCESSFUL NGO-PRIVATE
SECTOR PARTNERSHIPS

A REGIONAL ACTION PLAN TO BUILD MOMENTUM
AROUND SUCH PARTNERSHIPS

