

“The Core Roles of Transparency and Accountability in the Governance of Global Health PPPs”

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Keynote Address

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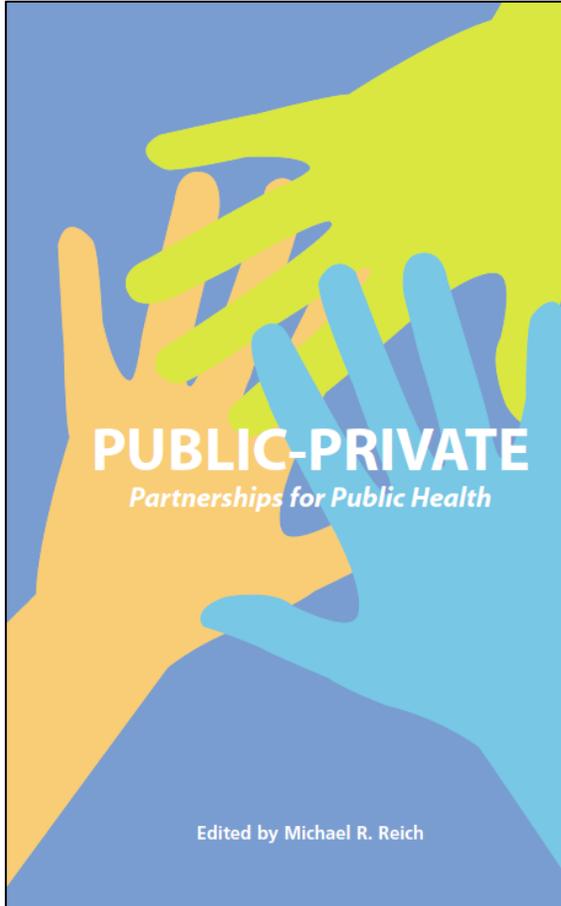
Objectives

- What the NASEM staff asked me to do: “a 15-20 minute presentation on the evolution and trends in the governance of global health PPPs, and reflections on significant issues and current challenges with these governance structures, processes, and practices.”

Today's Talk:

- First, introduction about me and the topic
- Second, key findings and a proposed model
- Conclude, applications and implications

My earlier work on PPPs (a sample)



Edited by Michael R. Reich

2002

5
A Partnership for Ivermectin: Social Worlds and Boundary Objects
Laura Frost, Michael R. Reich, and Tomoko Fujisaki

THE DIRECT PARTICIPATION OF PRIVATE PHARMACEUTICAL COMPANIES in international public health disease control efforts has been a growing trend since the late 1980s. How do these private companies construct partnerships with health development organizations? When are these partnerships successful, and in what terms? This chapter examines these questions through the story of Merck & Co., Inc.'s donation of ivermectin for the treatment of onchocerciasis. It explores how two organizations, Merck and the Task Force for Child Survival and Development, with different organizational missions and productive pursuits were able to create common understandings and an effective partnership.

To explore the construction of partnerships, we use social worlds and boundary work theories. These theories guide our analysis of the contrasting missions, mandates and worldviews of organizations, and how "boundary objects" can bring together divergent organizations in cooperative pursuits. After presenting this approach, we analyze the divergent and intersecting worlds of the key participants that cooperated in the donation of ivermectin. We then examine the structure of the participants' relationships and the boundary objects that allowed diversity in organizational missions and activities, as well as cooperation in the donation of ivermectin. In the chapter's conclusion, we discuss whether this cooperative effort has been successful in terms of the partnership and in terms of the public health impact and the reduction of human suffering.

This study relies on information from published and unpublished documents, and key informant interviews carried out in 1996-97 with individuals involved in the conception, development, and implementation of the Mectizan Donation Program. We believe this analysis is timely because after more than a decade of Merck's experience with the Mectizan Donation Program, other pharmaceutical companies have begun to set up drug donation programs, often modeled on this program. These other partnerships include Glaxo Wellcome (now Glaxo

2002

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Building effective public-private partnerships: Experiences and lessons from the African Comprehensive HIV/AIDS Partnerships (ACHAP)
 Ilavenil Ramiah, Michael R. Reich*

Center for Population and Development Studies, Harvard University, 9 Bow Street, Cambridge, MA 02138, USA
 Available online 17 February 2006

Abstract

This paper examines the processes for building highly collaborative public-private partnerships for public health, with a focus on the efforts to manage the complex relationships that underlie these partnerships. These processes are analyzed for the African Comprehensive HIV/AIDS Partnerships (ACHAP), a 5-year partnership (2001-2005) between the government of Botswana, Merck & Co., Inc. (and its company foundation), and the Bill & Melinda Gates Foundation. ACHAP is a highly collaborative initiative. The ACHAP office in Botswana engages intensively (on a daily basis) with the government of Botswana (an ACHAP partner and ACHAP's main grantee) to support HIV/AIDS control in that country, which had an adult prevalence of 38.5% HIV infection in 2000 when ACHAP was being established. The paper discusses the development of ACHAP in four stages: the creation of ACHAP, the first year, the second and third years, and the fourth year. Based on ACHAP's experiences over these four years, the paper identifies five lessons for managing relationships in highly collaborative public-private partnerships for public health.
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Keywords: Public-private partnerships; HIV/AIDS; Botswana; ACHAP; Organizational relationships

Introduction

While there is growing recognition about the role of public-private partnerships (PPPs) in addressing global health issues, researchers have emphasized that public and private organizations have significantly different goals, values and processes (Austin, 2000; Reich, 2002; Sagawa & Segal, 2000; Widdus, 2001). Partnerships are therefore advised to invest in extensive planning and learning, and then start a process of incremental engagement, beginning with arms-length philanthropic involvement and moving carefully towards highly collaborative models, which involve intensive and regular communication between partners, the exchange of multiple resources, and engagement at various levels of partner organizations (Austin, 2000; Barrett, Austin, & McCarthy, 2002; Sagawa & Segal, 2000).

But increasing numbers of corporations and foundations, seeking to increase the effectiveness of their philanthropy, are inclined to skip the step of cautious philanthropy and plunge directly into

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NGO-government partnerships for scaling up: sexuality education in Mexico
Susan Pick, Martha Givaudan, and Michael R. Reich

Governments in developing countries need effective programmes to advance public policies and improve social welfare. NGOs often have well-tested programmes and research outcomes that are relevant to such needs, yet the scaling up of pilot programmes to national level is difficult to achieve and frequently unsuccessful. This article presents a case of successful scaling up for an adolescent sexual-health and psychosocial-competencies programme in Mexico, through an NGO-government partnership involving IMIFAP, a Mexican NGO. The case illustrates how an NGO can create a successful partnership with government to scale up effective programmes, in ways that meet key needs of the target population while protecting the NGO's core values.

Key Words: Social Sector; Civil Society; Governance and Public Policy; Latin America and the Caribbean

Introduction

One of the most sobering realities affecting public administration today is the difficulty in translating innovative policy ideas into effective public action. Achieving broad national coverage in social development remains beyond the capabilities and interests of governments acting alone. Particularly in low-income countries, where administrative capacity is often weak, many factors limit the ability of governments to address socio-economic problems. These factors include poor resource environments, budgetary cutbacks, and politically driven changes in state activity and services.

A gap thus frequently arises between the goals of a government and the implementation of programme activities based on public policies. Governments have the potential to make sustained impacts on development issues such as poverty and illiteracy through innovative public policies, but often policies remain at the 'what to do' level without addressing the 'how to do it' questions. One way for governments to bridge the gap is to use programmes that have proved effective in small-scale settings, preferably with evidence from randomised controlled trials. When such programmes are developed and tested by NGOs, and sufficient political commitment exists among all parties, it is possible to build an effective public-private

2008

ongoing



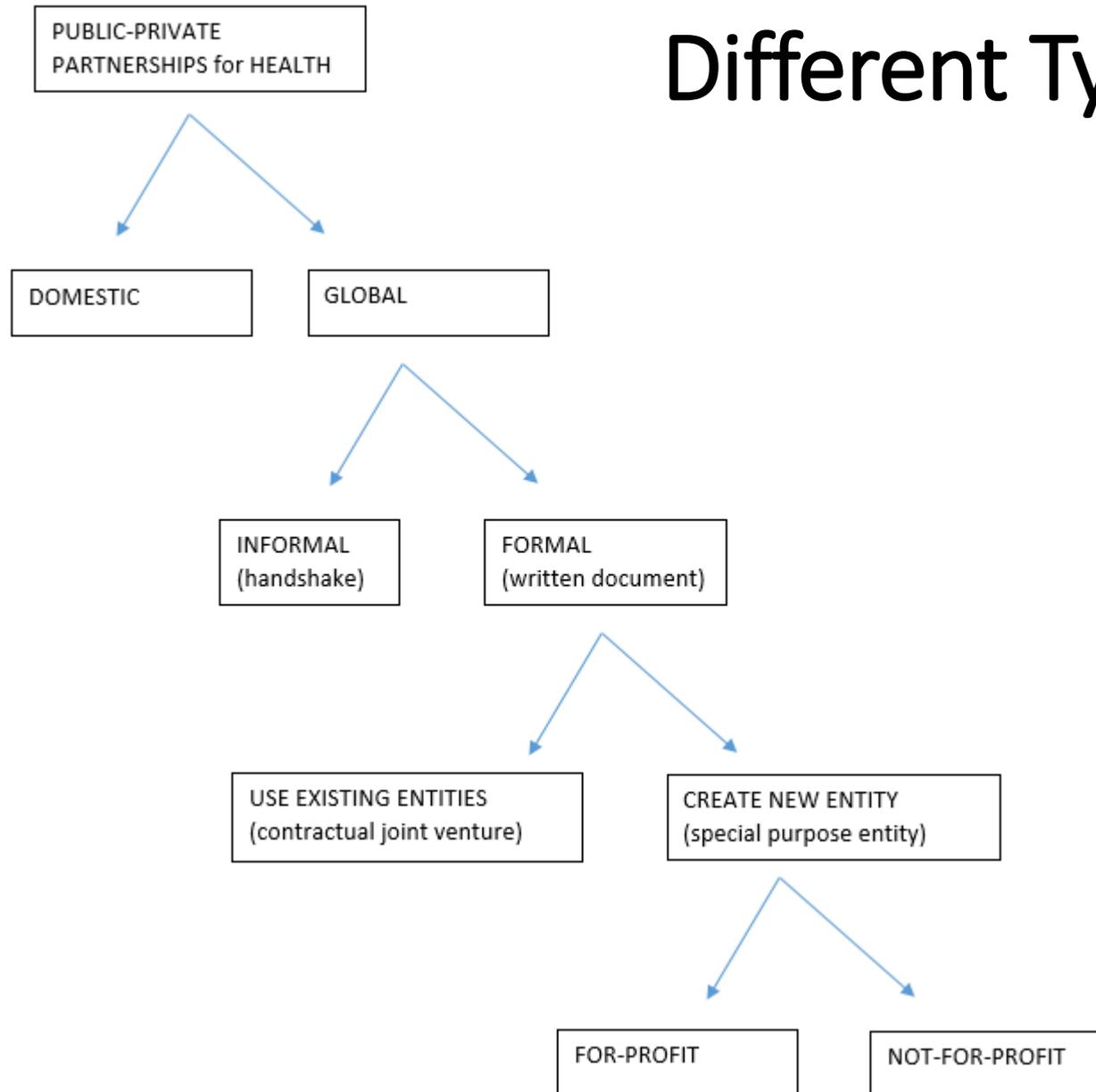
What is a PPP for global health?

- This NASEM Forum has a definition:

“PPPs are formal collaborative arrangements through which public and private parties share risks, responsibilities, and decision-making processes with the goal of collectively addressing a shared objective” within the global health field.

- To include both government and a private sector actor, but also possibly including a broad range of other stakeholders...

Different Types of PPPs



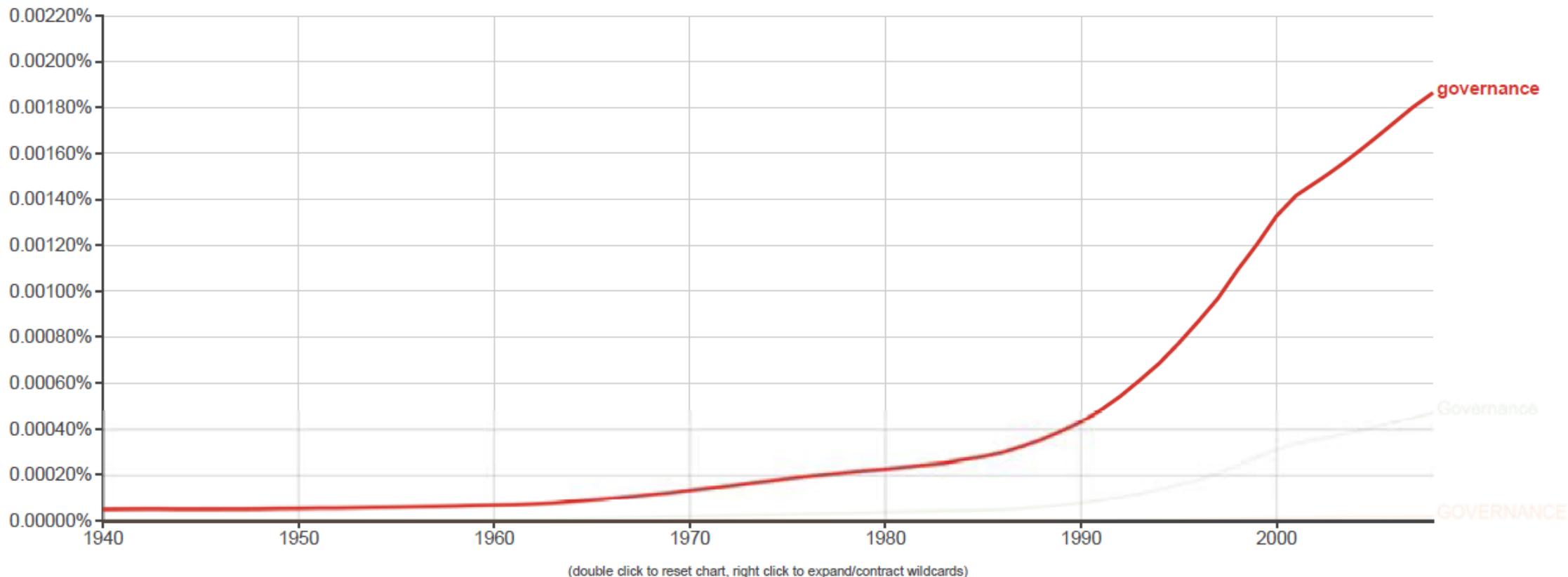
Frequency of usage of the term "Governance"

Graph these comma-separated phrases: case-insensitive

between and from the corpus

with smoothing of

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[governance](#)

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Definitions of governance

- Simple definition from NASEM: “the art of steering societies and organizations,” from the Institute on Governance in Canada
- This is a nautical metaphor:



“STEERING”



“ROWING”

Definitions of governance

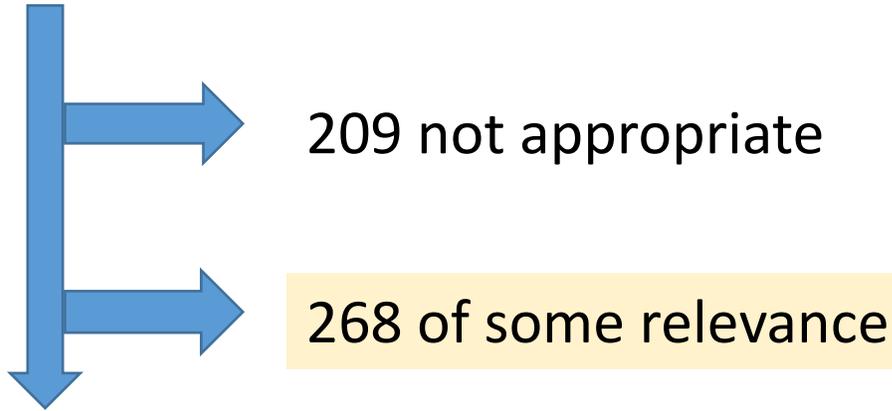
- Limitations of this steering metaphor for governance:

“Steering suggests that governance is a straightforward process, akin to a steersman in a boat. These critics assert that governance is neither simple nor neat—by nature it may be messy, tentative, unpredictable and fluid. Governance is complicated by the fact that it involves multiple actors, not a single helmsman.”

- Ambiguity increases when applied to PPPs, especially when they involve multiple partners, with different resources, different values, different cultures, different roles, different languages
- What would be a better metaphor? Herding cats?

Literature review of PPP governance conducted by NASEM

519 titles and abstracts



42 directly relevant

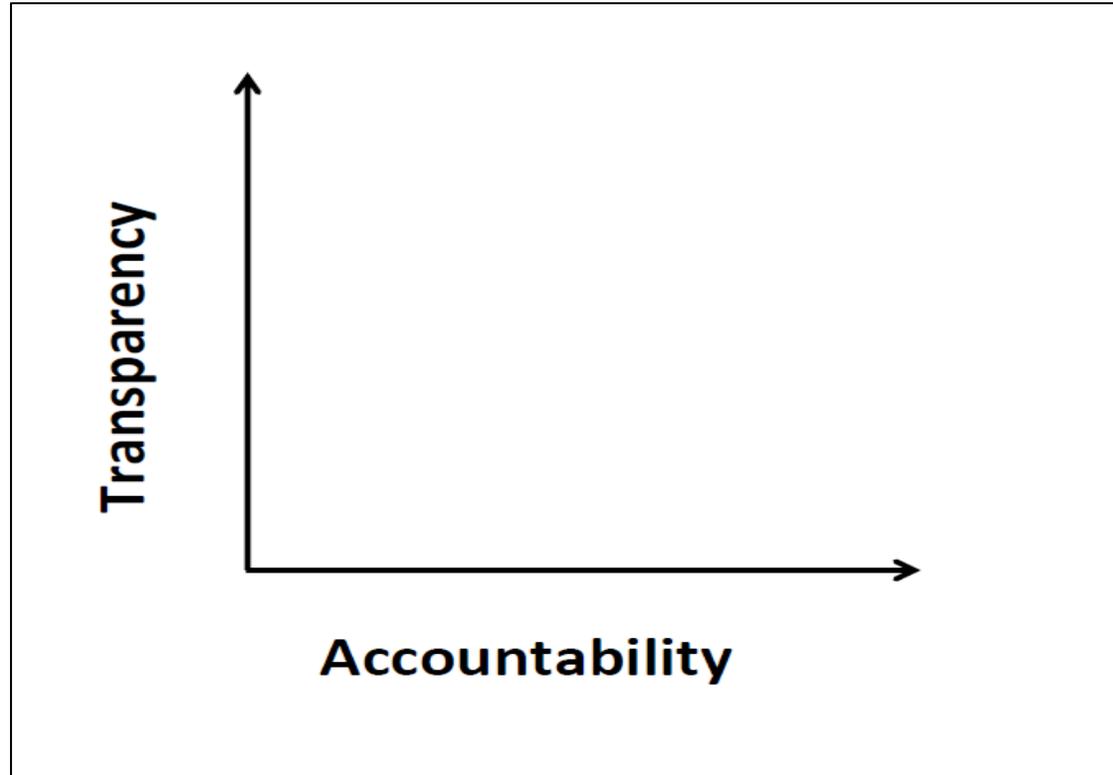
Impressions of the literature:

- Large volume of publications
- Lots of recommendations
- Ambiguity of actions

Could I imagine a simplified framework for PPP governance that might actually be used and useful in practice?

Focus on two key dimensions of governance: Transparency and Accountability

Consider them as orthogonal and separate



Four combinations of Transparency and Accountability

	Low accountability	High accountability
High transparency	 Transparency  Accountability	 Transparency  Accountability
Low transparency	 Transparency  Accountability	 Transparency  Accountability

Two caveats and two assertions

- 1. Two dimensions represent only two of several aspects of governance for PPPs.*
- 2. Simplified model does not tell us how much transparency or accountability is good or desirable.*

BUT the simplified model

- does help improve conceptual clarity about PPP governance
- can help identify concrete options for action to plan, assess, and change PPP governance

Transparency

- **Information to whom?**

- To core founding partners , non-founding and non-core partners, stakeholders who are not partners (such as beneficiaries), government agencies (including contracting agencies and regulatory agencies), relevant actors in the public health field, donor agencies, academics, and the general public

- **Information on what?**

- On inputs, processes, outputs, and outcomes

- **How informed?**

- Public dissemination, by request (FOIA), through meetings, informal means (including whistleblowers)

Why we care about Transparency

- Allows Learning
- Contributes to Democracy
- Contributes to Accountability
- Shapes Organizational Performance
- Contributes to Public Perception of the PPP

Accountability

- Two core elements: “answerability” and “sanctions”
- Edward Rubin’s definition:
 - “[t]he ability of one actor to demand an explanation or justification of another actor for its actions and to punish the second actor on the basis of its performance or of its explanation.”
- Electoral accountability is not sufficient (just look at Washington today)
- Holding a PPP accountable poses complex technical, political and ethical challenges

Accountability

- **Accountable to whom?**

- Multiple stakeholders: core founding partners, non-founding and non-core partners, stakeholders who are not partners (such as beneficiaries), government agencies (including contracting agencies and regulatory agencies), relevant actors in the public health field, donor agencies, academics, and the general public

- **Accountable for what?**

- Metrics for inputs, processes, outputs, and outcomes

- **How held accountable?**

- Board of directors performance assessments, financial decisions by funders and partners, contracts, regulatory reports, public campaigns by civil society, open and closed meetings, media reports, litigation

Why we care about Accountability

- Assures PPP is Achieving its Public Interest Objectives
- Changes and Improves Organizational Performance
- Contributes to Democracy
- Contributes to Public Perception of the PPP

Implications for Analysis & Action

- My goal was to go beyond a literature review and suggest core concepts of PPP governance in a manner that would have practical implications
- Governance Matrix for PPPs
 - *Analytical tool* to assess the characteristics and levels of transparency and accountability for a particular organization
 - *Planning tool* to design transparency and accountability relationships and mechanisms for a new public-private partnership

Governance Matrix for PPPs: Assessing Transparency & Accountability for a Hypothetical PPP Example

	Relationship: Party B	Contents	Mechanisms	Level (High/Low)
	Information to whom?	Information on what?	How informed?	
Transparency: Party A (PPP)	General public	Limited number of outputs	Annual Report available on PPP Webpage	Low
	Beneficiaries	Information on a few outputs	Written report and public meeting	Low
	Board of Directors	Detailed reports on key inputs, processes, outputs	Board meetings, financial & operating reports	High
	Accountable to whom?	Accountable for what?	How held accountable?	
Accountability: Party A (PPP)	General public	Limited number of metrics	PPP Webpage, public hearings	Low
	Beneficiaries	A few metrics on outputs	Ombudsman and complaints, using public pressure and reputation	Low
	Core partners	Detailed metrics on inputs, processes, outputs	Annual reviews of key staff, with firing or bonus, and of key partners	High

How much Transparency & Accountability?

- Different Levels of T&A: minimal standards, versus bronze, silver and gold levels of PPP governance
- Who decides how much Transparency & Accountability?
 - National regulatory agency, by country, by national law
 - Industry associations
 - International or multilateral agency
 - Private voluntary agency (ISO 9000)
 - PPP association code of “good partnership practices”
- Each PPP decides on its own

Some questions about T&A for PPPs

- What happens when partners disagree about the kinds of T&A that a PPP should meet?*
- Different stakeholders or partners may demand different kinds of transparency & accountability: how to align the interests?
- “Upward” accountability to funders and governments (who have power) *versus* “downward” accountability to beneficiaries (who have little voice)
- Can produce “multiple accountabilities disorder” in organizations
- How can hybrid organizations avoid “mission drift” through governance?
- Should different kinds of PPPs be held to different standards of T&A?

*Ebrahim et al, “The governance of social enterprises,” Res in Org Behav 2014; 34:81-100.

Potential applications today

- Reactions from panel members
 - from diverse perspectives: Global Fund, Gates Foundation, corporate, international nonprofit, national government, academic
- Implications for legal and regulatory aspects of T&A for PPPs
 - Discussion by the next panel
- Relevance for considering industry-led access to medicines programs
 - panel later today
- Use in designing partnership governance for a non-health PPP
 - exercise at the end of today

Thank you

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