KWAME NKRUMAH UNIVERSITY OF SCIENCE AND TECHNOLOGY, KUMASI, GHANA

A Study into the Implementation of the Public Private Partnership (PPP) Policy in Ghana- Case Study Obuasi Municipal Assembly, Ashanti Region.

By

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fulfilment of the requirements for the degree of

MASTER OF SCIENCE

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DECLARATION

I hereby declare that this submission is my own work towards the MSc Procurement Management and that, to the best of my knowledge, it contains no material previously published by another person, nor material which has been accepted for the award of any other degree of the University, except where due acknowledgement has been made in the text.

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ABSTRACT

The adoption and implementation of Public Private Partnership (PPP) policy in Ghana is an important shift by the government in addressing the gap for the provision of infrastructure development in the country. In doing this, there is an effort from the government in partnering the private sector in the implementation of this policy. Ministries, Agencies, MMDA‟s have all followed same using this policy to elevate the growth in infrastructure development within their domains. The study investigated into the implementation of the Public Private Partnership (PPP) Policy in Ghana using Obuasi Municipal Assembly (OMA) as a case study zone. This addresses the objective of the study such as identifying the current state of implementation of Public Private Partnership (PPP), investigating the reasons for implementing Public Private Partnership (PPP) and to identify the potential Public Private Partnership (PPP) opportunities for the Obuasi Municipality. The study made use of an interview guide as a means of gathering information for the whole study. A total number of thirty (30) questionnaires were distributed and all were received and used for the analysis. An expert interview was also conducted amongst professionals with experience and knowledge in the implementation of the PPP policy. All received information were analysed with the use of the Statistical Package for Social Science (SPSS) Version 22. The findings revealed that the most popular form of PPP used in the municipality was the Build Operate Transfer (BOT). Opportunities exist for financiers in the form of investment; the community in the form of employment and the enjoyment of various social amenities like hospitals, commercial stores,

KVIP‟s, market and among others. In conclusion, the research recommends a routine public education on the PPP policy, proper documentations of all arrangements and a universal reform for its implementation to help in the country‟s growth.

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LIST OF ACRONYMS

PPP	Public Private Partnership
DB	Design Build
BOOT	Build Own operate Transfer
BOL	Build Own Lease Transfer
DOT	Develop Operate Transfer
DBOM	Design Build Operate Maintain
BDO	Buy Develop Operate
OMA	Obuasi Municipal Assembly
RII	Relative Important Index
SPSS	Scientific Package for Social Science
MMDA	Metropolitan, Municipal, District Assemblies

KVIP	Kumasi Ventilated Improved Pit
GSS	Ghana Statistical Service

CHAPTER ONE

INTRODUCTION

1.0 BACKGROUND TO STUDY

Public-Private Partnership in infrastructure is a fairly new practice in the majority of developing countries but however, lack of capacity in the public sector ruins as one of the foremost problems in implementing Public-Private Partnership (PPP) projects (Quium, 2011).

Fiscal development depends on infrastructure facility growth and improvement. Public facilities known as infrastructure are fundamentally important to a nation‟s production and distribution of economic productivity as well as to its citizens‟ overall quality of being (Algani, Arditi & Polat, 2007).

This implies that enough financial support is needed for infrastructure works and subsequent upkeep. Government in its quest of mediating has been looking for the grounds of breaking this problem and this means that alternative sources of financial delivery processes should be adopted for financing quality service delivery. The Ghana Government as a measure of its extensive policy initiatives has strong-willed to use Public-Private Partnership move towards the procuring of services and infrastructure and also inspiring private investments in the public sector. Conventionally, the funding has always been from the government financial plan (budget).

Public Private Partnership (PPP) participation could be defined as a long-term contract between a private party and a government entity, for providing a public asset or service, in risk and management responsibility, and remuneration linked to performance (World Bank Group,2014).

The growing of this system is not only useful in developed countries but also in some developing countries all over the world.

Public Policy mostly explains what governments choose to perform or not to perform (Dye, 2002). According to Werner (2013) the practice through which policies has a public contact and embraces non-state actors, in particular business firms and summarizes how it can and should be incorporated into the structure process of the public policy development process. Since the year 2000, in Ghana, successive governments have at least openly acknowledged the role of Public-Private Partnership in their efforts in bringing developments to the people. His Excellency John Agyekum Kufour in his tenure of office established a whole ministry to oversee the private sector growth which synchronised the government for a total national development.

In the year 2004, the Public Private Partnership (PPP) policy guiding principles attempted to legitimately incorporate the two sectors in the development process where the private sector was cited as the country‟s engine growth to indicate its significance. In the year 2011 the month of June, the then Minister of Finance and Economic Planning, Dr. Kwabena Duffour under His Excellency Prof. John Evans Atta-Mills administration launch a new policy document on the PPP since the full competence of its operation had not been realised. According to Duffour (2011), the key objective in there was to put in place undoubtedly the procedure for all instances of PPP projects development and implementation from project identification, appraisal, selection, procurement, operation and maintenance and performance monitoring and assessment or evaluation.

Ever since the last two decades, PPP have become a more and more admired system to let the private sector offer public infrastructure-based services in an assortment of sectors such as education, transportation, health care etc.(Hart, 2003).

The magnitude in the demand of infrastructure and services in the public sector as well as the required level of innovation demands the call for a good relationship connecting the public and private sector stakeholders in a form of a Public-Private Partnership (PPP) model.

1.1 STATEMENT OF THE PROBLEM

In recent years, Public Private Partnership Policy has progressively been adopted by government over the world and Ghana is no exemption (Osei – Kyei et al., 2014). According to the Ghana Statistical Service (2005) report on Population Data Analysis, the entire population distribution pertains to urban development which has a main focus on the provision of access to health, education, electricity, water supply, housing, post telecommunications and other infrastructure works such as road. In Ghana, the financing of infrastructure projects have traditionally been through the national budget and the implementing agencies (Duffour, 2011). Hence, majority of the experts in infrastructure financing including those of the development partners tend to be located in Accra and Kumasi. However, across the globe, the uptake of innovative financing of infrastructure started at the local level, and consolidated at higher levels of government (Ploeg, 2006).

A Public Private Partnership is a relationship between the Government of Ghana (GoG) and the private sector in delivery of infrastructure and other services work. Mehta (2012) explains that, the difference in operational styles amongst two separate organisations or institutions may grip back their collaboration. At present, addressing

the country‟s infrastructure shortfall could need a well persistent spending of at least US$1.5 billion annually in excess of the next ten years or decade (Duffour, 2011). It has long been recognized that the interference of the implementation of PPP for the supply of infrastructure would adversely affect the objective of PPP for productivity and growth.

This study therefore sought to explain the reasons that could have led to the disruption of the implementation of the PPP procurement system. Findings to be gathered out of the study will inform with strategies to be used to realign Government possibilities in bridging the deficit in infrastructure within the municipalities and the country as a whole.

1.2 AIMS AND OBJECTIVES

1.2.1 Aim of the Study

The research aim is to investigate the implementation of the Public Private Partnership (PPP) Policy in Ghana using the Obuasi Municipal Assembly in the Ashanti Region as a case study.

1.2.2 Objectives of the Study

The specific objectives to the study are:

1. To identify the current state of implementation of Public Private Partnerships (PPP) s in Obuasi Municipal Assembly.
2. To investigate the reasons for implementing Public Private Partnerships (PPP) s by the Obuasi Municipal Assembly.
3. To identify the potential Public Private Partnership (PPP) opportunities for the Obuasi Municipality.

1.3 RESEARCH QUESTIONS

The key research questions guiding the study are:

1. What are the most popular types of Public Private Partnership (PPP) used by the Obuasi Municipal Assembly?
2. Why does the Obuasi Municipal Assembly implement PPPs?
3. What benefits have the Obuasi Municipal Assembly derived from implementing PPPs?

1.4 SIGNIFICANCE OF THE STUDY

The results of the study will add to lessons in Public Private Partnership practice in the municipality where the municipality could take clue from recommendations from the study in procuring projects.

It will also add knowledge to the best practices as in planning of the whole process.

1.5 RESEARCH METHODOLOGY

The applied method of the study is the use of the qualitative research methodology. This method sort to conduct interviews and thoroughly observes a case study uniquely (Creswell, 2009; Neuman, 1997).

Boyce and Neale (2006) argue that qualitative research techniques involve conducting thorough one-on-one interviews with a small section of respondents to get the real understanding of their views and thoughts on the subject under study. In achieving the main objective of this study, there was consistent and realistic investigations from the stance of public officials involved during the practice of Public Private Partnership procurement system at the Obuasi Municipal Assembly in the Ashanti Region of Republic of Ghana.

In getting my objectives right information for my research was collated from technical and professional magazines, journals and books. Creswell (2009) uniquely examines that it is a distinctive approach to merge written text and facts image, unusual steps in a data analysis and notably draws from diverse strategies in making an inquiry.

Concerning the questionnaires, it was issued to officials in Obuasi Municipal Assembly involves in procurement.

All received questionnaires were collated and analysed. This analysis incorporated ranking the diverse factors connecting Public Private Partnership procuring systems and project success according to the relatively important indices and the source of funding.

Also to make out the type of Public-Private Partnership initiative mostly used, the challenges faced and the associated financial and social benefits with the implementation were sought for.

The primary data collected was analysed using statistical methods whiles tables and descriptions were used to analyse and present the views of the respondents.

1.6 SCOPE OF THE RESEARCH

The study was carried out in Ghana at the Obuasi Municipal Assembly. It identified the most popular Public Private Partnership procurement systems used in procuring infrastructure projects. It also identified the opportunities and challenges observed during the implementation of this policy by the municipality.

1.7 LIMITATION

1. The study only focused on the implementation of PPP Policy in the Obuasi Municipal Assembly- Ashanti Region.

2. Respondents were limited to professionals who had knowledge in the procurement systems.

3. Analysis, findings, conclusions and recommendations for this study were only generated from interviews and distributed questionnaires received from respondents.

In spite of any limitations to be borne, this research produced added informed information and interactive results.

1.8 ORGANIZATION OF THE RESEARCH

This entire research work was presented into five (5) main independent organized chapters. Chapter one (1) provided the outline information on the broad introduction and background in the direction of the research focusing on the assignment of study. This section also included the statement of the problem; the aim of the research was also presented in this chapter. The research objectives, the scope and limitations were also included.

Chapter two (2) contained the literature review which considered in detail theories relating to the various processes involved in Public Private Partnership in executing projects and other research work already conducted on this study.

The third (3rd) chapter had the methodology used in the study. This was comprehensively thought through.

The fourth (4th) chapter of the study had the breakdown of every information received and the deliberations of the outcomes attained from the study were elaborated.

Finally, chapter five (5) discussed the conclusions gathered from the findings, analysis and the recommendations as based on the conclusions.

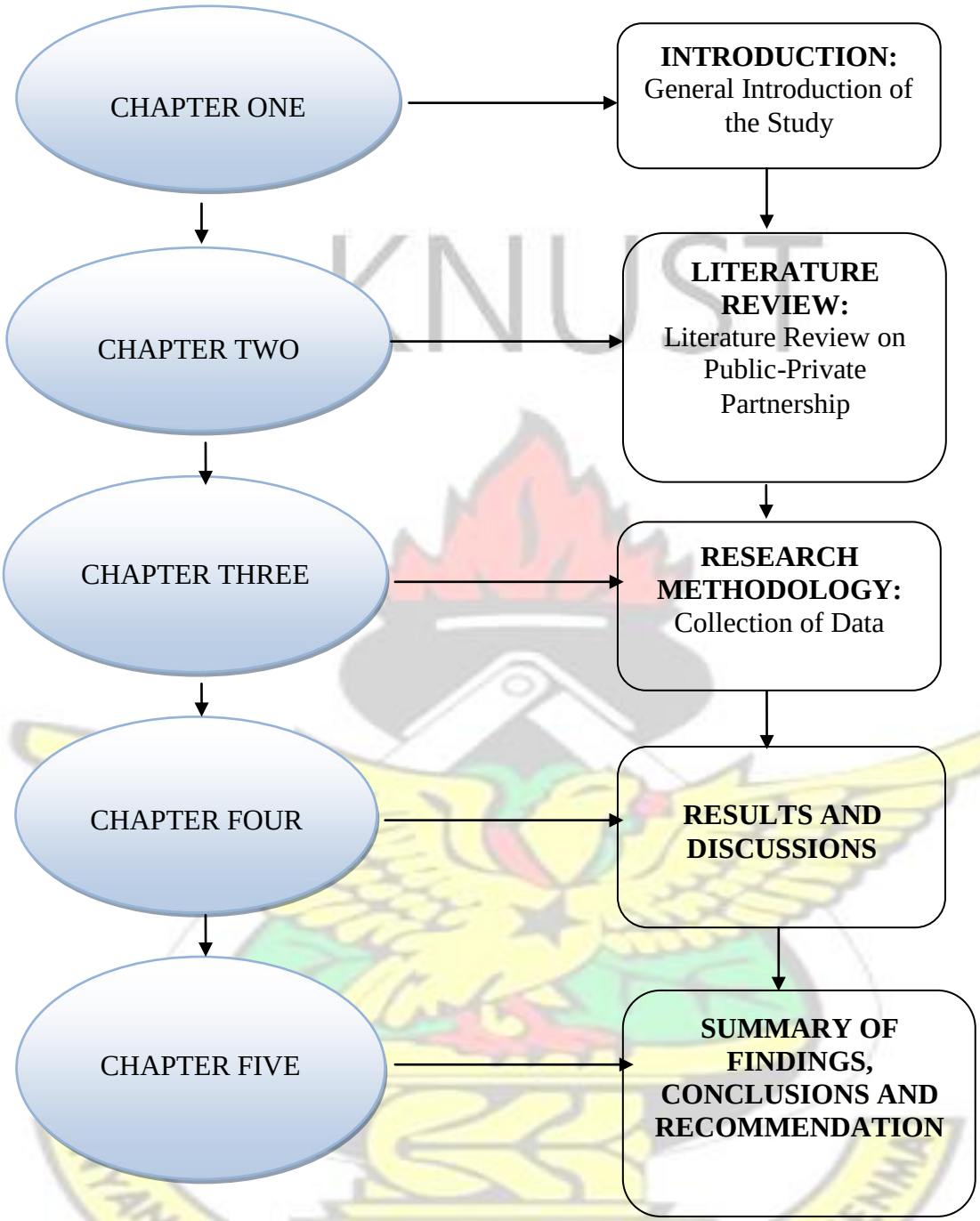

Figure 1.1 Framework for entire study process

Source: Author, 2016

CHAPTER TWO

LITERATURE REVIEW

2.0 INTRODUCTION

Implementation of Public Private Partnership policy is becoming a new concern for project financing and infrastructure delivery. The literature in this section is divided into three main categories. It would consider the academic groundwork relating to Public Private Partnership, the word infrastructure as well as the private zone participation in respect of the provision of infrastructure.

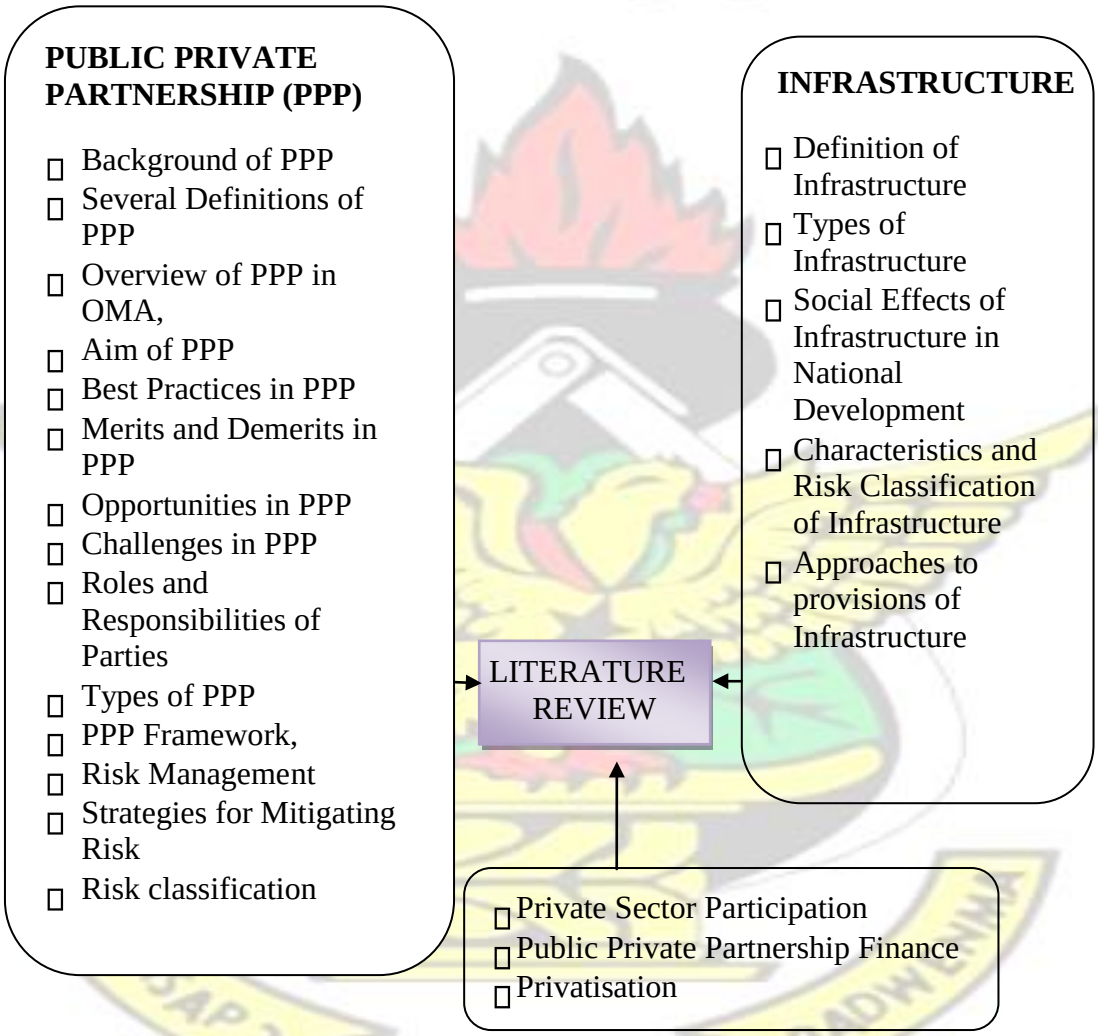

Figure 2.1The Organisation of the Literature Review

Source: Author, 2016

2.1 PUBLIC PRIVATE PARTNERSHIPS

2.1.1 Background of Public Private Partnerships (PPP)s

PPP happens to be the relationship involving the public and private units designed at the implementation of projects or provision of the services conventionally provided by the public sector. Since 1970, partnership in the United Kingdom and United States of America has gained several prominences (Sobuza, 2010). Public Private Partnership has been a popular means to achieve long-term public investments. The growing use of Public Private Partnership in recent times has inspired many governments across the global environment to adopt it as an arrangement to ease the burden on government (Deloitte, 2006). In 2010, the total market value of all Public Private Partnership projects in Europe reaching financial close was EUR 18.3 billion, a major increase after the worse performance of 2009 (EPEC, 2011). According to a research conducted by Deloitte (2006) to date Public Private Partnership has been used to increase and carry ten (10) percent (%) to thirteen (13) percent (%) of all United Kingdom investments in public infrastructure and about hundred (100) tasks are executed once a year.

A well-managed Public Private Partnership can make available and add up profits to the public sector in the instance of:

1. Relieving the financial load on the public sector in respect of the rising infrastructure in development costs,
2. Letting the transfer of risks from the public section to the private segment and
3. Growing the increase in "value for money" on infrastructure development by offering more efficient, lower cost, and unfailing services.

On the other hand, the practice among the public sector and Public Private Partnership has not always been the best.

As acknowledged by Chism (2009), several Public Private Partnership infrastructure projects may either be held up or abrogated due to gaps connecting the public and private sector. In broader prospects this could occur owing to:

1. The deficiency in clear Government objectives and commitment,
2. The making of very complex decision; poorly distinct sector policies,
3. Not enough legal/regulatory frameworks,
4. Poor risk management,
5. Low credibility of Government policies,
6. Inadequate domestic capital markets,
7. Lack of mechanisms to attract long-term finance from private sources at affordable rates, 8. Poor transparency and
9. Lack of competition.

In spite of these unhelpful experiences, many Governments (e.g., Australia, the United Kingdom etc.) uphold PPP as one key to the answers for delivering public services and infrastructure development.

2.1.2 Several Definitions of Public Private Partnership

Generally there are different definitions to Public Private Partnership as viewed in this literature. Scholars, International Organizations, Government Agencies universally

agree to these definitions. Public-Private Partnership is an agreement involving a public sector institution and a private party.

The private party assumes extensive technical, operational risk and financial during the design stage, construction, financing and operating the project (Farlam, 2005).

The Canadian Council for Public Private Partnership explains Public Private Partnership as "a two-way project between the public and the private sectors built on the skill of each associate that meets an obvious defined public need through the right allotment of risks, rewards and resources" (CCPP, 2008). Levy (2011) defines Public Private Partnership as way of awarding long-term concessions often utilising project companies set up by a consortium of private firms to design, finance, build and operate individual infrastructure assets earlier operated and financed and by government.

Ibem (2010) also defines Public Private Partnership like the pooling of resources from the public and private sources to achieve a commonly agreed objective.

A solely public approach is likely to root difficulties such as sluggish and unsuccessful decision-making, disorganized organizational and institutional frameworks, need of competition and efficiency which together may be identified as disappointment by the Government. On another breadth, same approach by the private section may surface issues in relation to disparity in the allocation of infrastructure. An example of what is popularly known as „market failure". In other to bridge the gap of failure from both parts, a Public Private Partnership approach would be useful of which the power of both the public and private sections could be incorporated together.

Public Private Partnership has been a vital policy used in facilitating public facilities and services in numerous countries. For the purpose of this thesis, Public Private

Partnership as explained by Rostiyanti and Tamin (2010) would be considered, as it is related to where a municipality will have an oversight on project activities.

Rostiyanti and Tamin (2010) defines Public Private Partnership as a collaborative effort between public and private sector organizations in public service delivery in which there are rules, institutional obligations, roles and responsibilities notwithstanding accountability to all involved parties.

2.1.3 Overview of Public Private Partnership in Obuasi Municipal Assembly In recent times, the use of Public Private Partnership is becoming one of the solution tools deployed by the Government of Ghana in the quest of bridging the gap created in infrastructure development. The adoption of this as a whole has energize the various Metropolitan, Municipal and District Assemblies to also venture into that as a procurement strategy in developing their various communities, towns and villages within their metropolis, municipality and district.

The Ministry of Finance and Economic Planning of Ghana (2011) explains that, Public Private Partnership is a contractual understanding between the public partner on one side and the private agency or partner with a harmony resting on common objectives for the delivering of either services or infrastructure usually provided by the public partner.

This concept has been well adopted by the Obuasi Municipal Assembly and it is increasing the development rate in infrastructure and other services within the municipality.

2.1.4 Aim of Public Private Partnership

The overall aim is to have a well planned terms of a whole wide range of quality and timely public infrastructure and timing services which could be achieved through the utmost leveraging of public funds, faster project execution, proper responsibility and a swing of whole-life cycle cost and infrastructure supervision by the private sector (Duffour, 2011).

2.1.5 Best Practices in Public Private Partnership

Public Private Partnership should adopt and be guided by the following governing principles:

1. Public Private Partnership processes must be competitive to create the achievement of value for money.
2. In the event of entering into any Public Private Partnership arrangements, authorities involve must make sure that there is adequate support, understanding and consultation with all stakeholders so that a comprehensive awareness is created among all parties.
3. As a way of good governance all projects to be executed under Public Private Partnership must ensure accountability.
4. There should be the achievement of value for money. Public Private Partnership projects must be designed to contribute more to this principle comparative to the public sector way of procurement.
5. The structure of Public Private Partnership projects must be designed to support the greatest satisfaction in the use of local content and the transfer of

more technology. This in effect must help boost the local industry and performance of the private sector in Ghana.

The consideration of Public Private Partnership is dependable on the above principles as stated by (Duffour, 2011).

2.1.6 Merits and De-Merits in Public Private Partnership

According to Grimsey and Lewis (2004) Public Private Partnership has emerged the most famous policy used in closing infrastructure, efficiency, accountability and other gaps for both government and organizations.

Worldwide practice has revealed that Public Private Partnership if correctly practiced can offer a range of benefits to the Government. A number of these merits as revealed by Quium (2011) are:

1. The use of Public Private Partnership helps to reduce public sector administration and capital cost.
2. Public Private Partnership helps to improve sustainability, accountability and the achievement of value for money on infrastructure and other services.
3. Public Private Partnership facilitates modernization in infrastructure growth.
4. There is the transfer of risk and its management at the best suitable lowest cost.
5. The use of Public Private Partnership can help in reducing the life-cycle cost of a project and also expedite in time of delivery of a project.
6. Public Private Partnership helps promote employment opportunities in the economy.
7. Public Private Partnership can improve efficiency and quality delivery in infrastructure works.

In spite of the stated merits in infrastructure development, Levy (2011) also elaborates that the use of Public Private Partnership has its other side of demerits. These include:

1. If care is not taking Public Private Partnership could lead to high legal issues and costs.
2. There is a limit of competition due to high tendering cost.
3. Public Private Partnership could more costly in implementation as borrowing from the private sector is quite expensive as compared to the public sector.
4. There could be the tendency of encouraging monopoly in awarding projects in the system.
5. The Public and private sections may lack suitable knowledge, ideas and skills in implementing lasting projects under Public Private Partnership.

2.1.7 Opportunities for Using Public Private Partnership

The implementation of Public Private Partnership regulates investment opportunities in construction, maintenance or operation of public infrastructure facilities and gives way to other activities in the interest of the public. Maitin (2003) put it that, Public Private Partnership arrangements can bring together Non-Governmental Organisations, Government Agencies, Private Partners and the Society in an intersectional relationship. This model of collaboration involving the public and private has been useful in other European Union member states such as Greece, France, Great Britain and Spain. The following are some of the opportunities to be produced for the use of Private Public Partnership:

1. The use of Public Private Partnership will offer the public sector an opportunity to access private funding for growing of services, healthier planning and new ideas. This can be a prospective area where the Government has a poor credit score in raising much or enough capital for infrastructure

development. It will create an access to additional capital for the government (UN-Habitat, 2011).

2. The use of Public Private Partnership fetches out private sector knowledge and innovation to bear in infrastructure development within the society. This can deliver better value for money comparative to the long-established method of procurement (Foster 2008).
3. Public Private Partnership allows the Government to focus on its leading services rather than managing capital works and maintenance. With a competent plan Government could concentrate and deliver its priorities (Maitin, 2003).
4. Public Private Partnership practice more often involves a better rank of quality assurance more than the regular public procurement processes as the Public Authority put in order its projects and connects to the market. According to Farlam (2005) the Public Authority will visage inquiry by parties outside government such as investors whose investment may be in waiting over a long term upon performance.
5. Utilizing Public Private Partnership as a way of development creates an opportunity to transfer appropriate risk to the private partner over the whole life cycle period for the project. Risk is a true project cost. This initiates from the design stage, construction, operation and maintenance. Without doubt, any risk transfer to the private partner is likely to reduce that borne by the public sector. This promotes a shared risk among partners allied with the partnership project and the cost associated with risk management is reduced (UN-Habitat, 2011).

2.1.8 Challenges in Public Private Partnership

Harris (1996) mentioned that, it is either worth noting that both interested parties involve in Public Private Partnership arrangement; that is the potential investor or the government must have an early consideration in developing a project to avoid influx of several challenges that may conflict the process.

Public Private Partnership is deemed to have a long- term relationship amongst interested parties. At times, there are several disappointments and flexibility in this anticipated long-standing relationship. Mehta (2012) argues that, the disparity in working styles of two separate organisations may hold back their corporation. From a practical perspective, such holdbacks could create lock-ins or delays on project burying the intended good initiatives. Some of the encountered challenges could be:

1. Public Private Partnership arrangements hinged on public grounds

There are several procedures designed to incept and complete any Public Private Partnership objective. At times, these procedures are well drafted to protect public partner from private sector interventions. Whiles this right plays an important role the public sector is set to ensure that all defined procedures are appropriately followed.

It is important for all interested parties to understand the scope of such arrangements to avert from any litigation that could arise to disrupt the entire Public Private Partnership arrangements (Rostiyanti and Tamin, 2010).

2. Mistrust of Private Sector Involvement

The conviction that the private sector concentrates on profit instead of performance becomes of a factor of mistrust in Public Private Partnership arrangements. Mehta (2012) comments that, this idea may also conform to the fact that the public agency

may always be seen losing out in negotiations since the private sector is seen to provide many resources to every negotiation.

3. Planning and Environmental issues

When planning byelaws are not followed or adhered to there is a possibility of one party or the planning authority challenging as to how the project was awarded. This may have to stop the execution of works for the observation of proper planning procedures before the continuation of the project.

In the event that any environmental impact is observed, it is also going to be a determinant factor to hinder progress (Harris, 1996).

4. Improper Procurement Procedures

Where it is established that the laid down procurement processes were breached then there could be opportunity for an interested party to challenge the award process (Rostiyanti and Tamin, 2010).

5. Political Interferences

Interest from higher political powers there be and consistent interferences creates a major challenge gap. Such interferences could despair the sanity of the process and establish a strong support to private agencies of their choice (Mehta, 2012).

2.1.9 Roles and Responsibilities of Parties According to Duffour (2011):

1. The Public Private Partnership allows both partners to focus on activities and actions that best suit their skills. On behalf of the public section this it does not only means scheduling and classifying infrastructure and public service needs and concentrating on developing national and local sector precise policies, but

also administrating these and implementing the Public Private Partnership agenda.

2. With the private sector, the main input is to execute successfully the infrastructure and facilities needed by the public sector and the consumers at the project stage. More often than not, in Public Private Partnership agreement, the private sector party affords the design, construction, operation, supervision or management, scheduled maintenance and financing for the partnership project and is paid according to performance. Identified risks are located with the party best able to bear and control them at the most lowest cost.

2.1.10 Types of Public Private Partnerships

There are different types of Public Private Partnerships and the use of any depends on the obligations, risk and other factors within the partnership arrangement. In the model, provisions of obligations in one breadth is fully executed by the private partner and sometimes too by the public sector. As Public Private Partnership progress from public to the private, the scale of private involvement increases as per responsibilities. Besides, the emergent financial need of infrastructure development requires extra inputs than what is achieve by the public purse, for this reason a need for an option like Public Private Partnership to help in development (UN-Habitat, 2011).

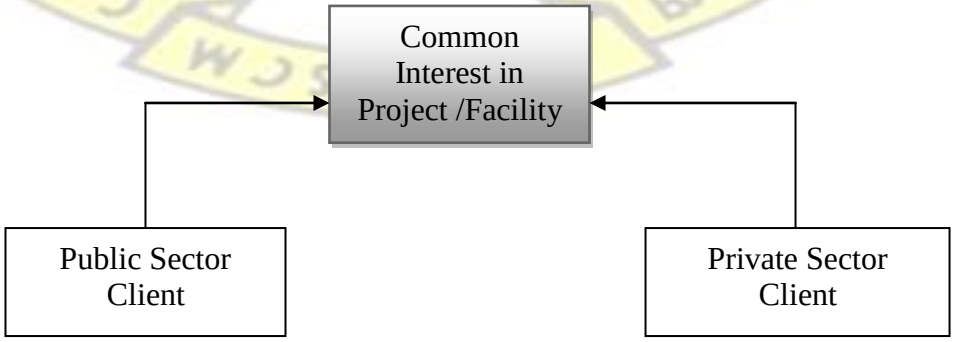

Figure 2.2 Public and Private Sector Interest

Source: Author, 2016

1. Design-Build (DB): - Quium (2011) mentioned that, a private partner is engaged by the public agency to provide the required design and as well execute the construction of the project. The public entity takes over the responsibility after completion including operating and maintaining the facility
2. Build-Own-Operate-Transfer (BOOT):- Franchise is granted to the private partner by the public entity to design, finance the building of the infrastructure and operate within an agreed period. At the expiration of this period, ownership of the property is transferred to the public entity (Levy, 2011).
3. Built-Operate-Transfer (BOT):- In this model, the private partner builds and operates the public facility for a considerable period. It is done so to enable the private partner recover its investment. When the validity period is due, the ownership right is giving back to the government (Algarni et al., 2007).
4. Build-Own-Lease-Transfer (BOLT):- The public agency gives the right to finance and build the project to the private partner. The project after completion is again leased to the public agency for an arranged tenure and fee.

   According to Levy (2011) the whole facility is managed by the public agency and at the expiration of the occupancy period; the project is giving back to the public agency for outright ownership.

5. Develop-Operate-Transfer (DOT):- DOT is an arrangement by which favorable contractual conditions for the acquisition of an infrastructure is extended to a private developer. In doing that the public entity integrates the private developer into an arrangement by giving it some right to enable it, develop adjoining properties and enjoying some benefits to be created through the investments such as rent etc (Quium, 2011).
6. Design-Build-Operate–Maintain (DBOM):- The design and build works of the facility is executed by the private partner. Sabuza (2011) explains that, this partner also takes over the operating and maintenance roles of the facility for an agreed reasonable tenure and then transferred to the government
7. Buy-Develop-Operate (BDO):- In this model, the facility is bought by the private partner, renovates or refurbishes with its own resources (funds, materials and labour) and operates after works completed (Levy, 2011).

2.1.11 Public Private Partnership Frame Work

Over the past periods, Public Private Partnership has become the key scheme for helping out in the delivering of public services in both developing and developed countries (Hankinson, 2007). Public Private Partnership is used in the procuring and development of schools, KVIP‟s, hospitals, and public housing etc.

1. Conceptual Framework

Infrastructure development has been a widespread theme in current decades within the rising countries. It is known that numerous governments are short of technological skills, financial resources, and efficient management ideas in their infrastructure development (Akintonye and Hardcastle, 2000).

They look for organisations in good standing to assist in financing their projects and also achieve the transfer of technology.

According to Akintonye and Hardcastle (2000), developed countries‟ governments for the purposes of achieving quality and been cost effective in public services are encouraging the private section infrastructure through Public Private Partnership.

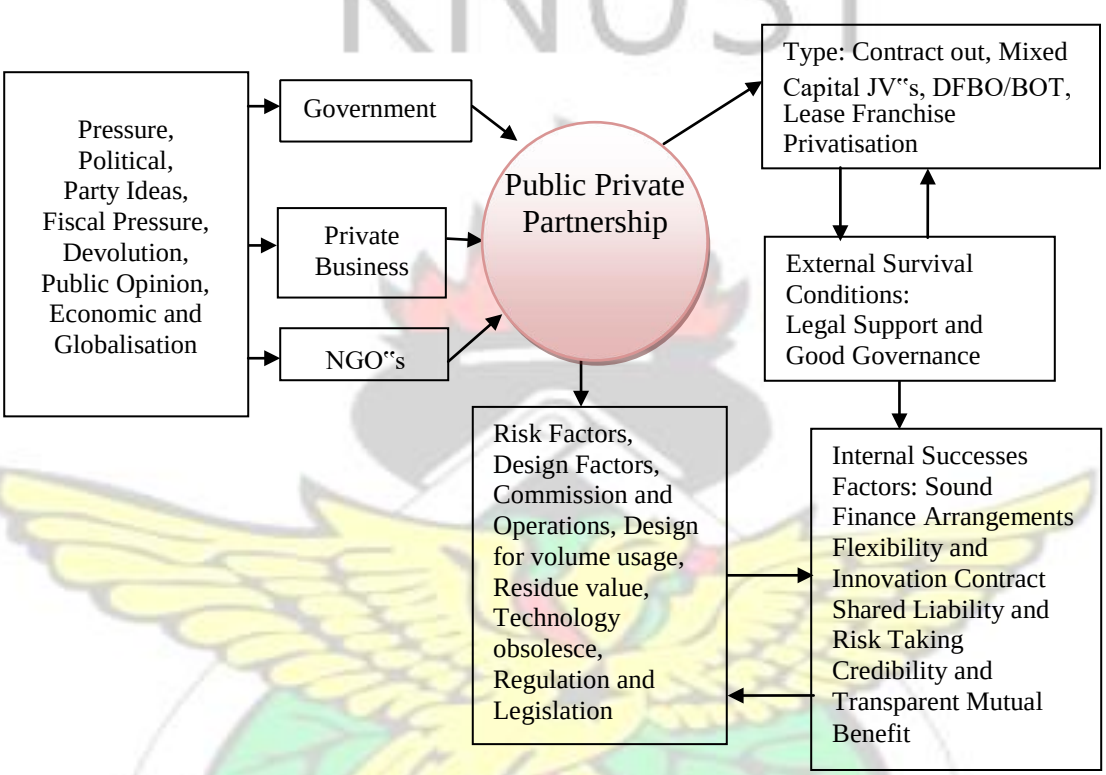

Figure 2.3 Conceptual framework for Public Private Partnership

Source: Akintonye and Hardcastle (2000)

2. Implementation Framework

Government recognises the call for sound policy foundation and to have a well-built authorized and investment framework as financiers also wants assurances that government have the means of managing Public Private Partnership process well (Rostiyanti and Tamin, 2010). Strategically policy advisors and parties implementing the gap between Public Private Partnership and usual forms of procurement for the

level of unique skills, resources, the output-based nature of contracts recognises the implementation framework in Public Private Partnership.

Hankinson (2007) proposes that, if government decides to craft Public Private Partnership entities, then it would be important to give these entities an apparent and precise authorization and award them the decision power rather than the consultative role. The Public Procurement Board sometimes fails to appreciate and have a realistic understanding to the complexity in Public Private Partnership.

3. Legal Framework

Considerably, there have been adverse improvements in many countries of operations in the policy and legislative framework of Public Private Partnership and concessions. As said by Osborne (2000) this boost in the region includes a drift towards new expediency in law reform with the performing of Public Private Partnership legislation and adding up to concession legislation. The commencement of a Private Finance Initiative model inherited from the United Kingdom; the conception of Public Private Partnership units such as in Western Europe and some new initiatives concerning institutional Public Private Partnership has come a long way helping sustain the legal framework.

Several advancing countries in operation have had key set-backs in their concession and Public Private Partnership legal institutional frameworks and this frequently acts as a difficulty to investment and do not promotes development.

2.1.12 Risk Management in Public Private Partnership

According to the Oxford dictionary, the word „risk" is defined as „the likelihood of danger, opportunity or loss, injury etc. Other literatures also have several explanations to it. Some present it as "high possibility of failure" or "the chance of something

happening that will have a shock on objectives. Al-Bahar and Crandall (1990) define risk in Private Partnership contest as “the exposure to the chance of occurrences of events adversely or favourably affecting project objectives as a consequence of uncertainty”.

In Public Private Partnership, the partnership structure between parties defines the best procurement arrangements to be used (Li et al., 2005). The difficulty of the engagements leads to an increased risk exposure for all parties involve. It would be better if Public and Private Partners deals with many risk issues right from the developmental stage of the project. In an ideal situation, the entire arrangement goes through three phases. These are:

1. The Developmental phase 2.

   The Construction phase and

3. The Operation phase.

The developmental phase risk is quite expensive, time consuming and complex. The whole arrangement in negotiations and agreement is all-embracing and the prospect cost is very high (Satyanarayana and Ananthanarayanan, 2003). The construction phase has its own associated risks. This phase could produce risk such as cost overruns affecting the financial viability on revenue generation on the project, time delay factors, etc. However, there is low risk observed during the operating phase. Nonetheless, irrespective of each phase risk a whole-life-cycle risk assessment needs to be prepared and risks on any infrastructure project itself as well as other risks should be identified.

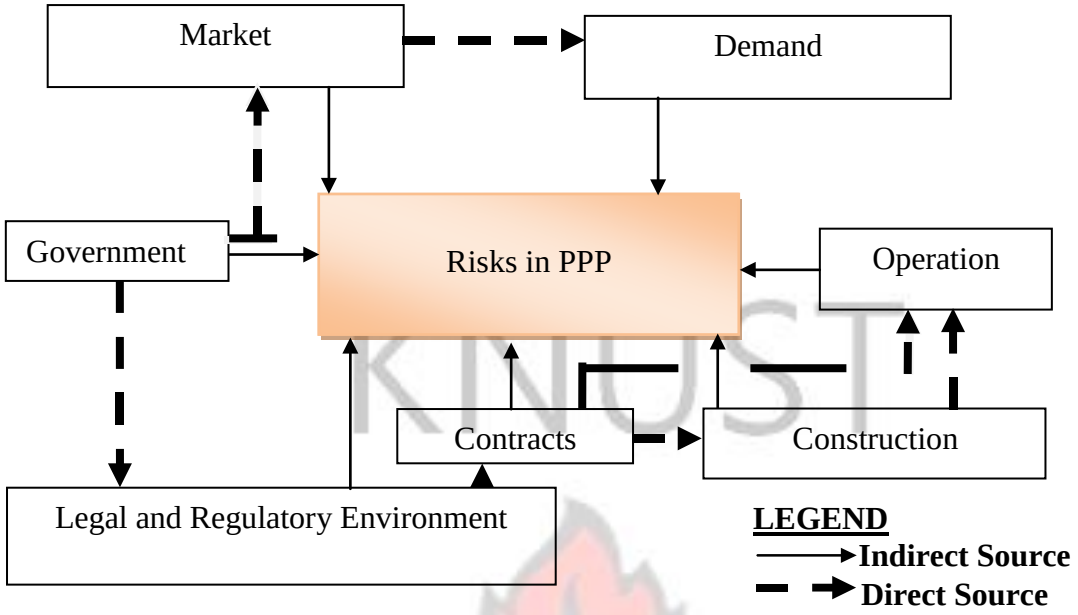

Figure 2.4 Risks sources in Public Private Partnership

Source: Thomas, Satyanarayana and Ananthanarayanan (2003)

2.1.12.1 Strategies for Mitigating Risk in Public Private Partnership

According to Satyanarayana and Ananthanarayanan (2003) it is very appropriate in providing strategies to mitigate the occurrences of risk which could bring the promoting of a good infrastructure development to a closure. If Public Private Partnership Projects are not managed well it may suffer some financeable risk factors which will bring higher cost on projects. Often the public and private sectors do expect higher rewards for assuming higher risk.

As explained by Li, Akintoye, Edwards and Hardcastle (2005) efficiently risk can be managed to an acceptable level, using the following measures:

1. Risk Identification: The actions or inactions unfavorable to cause any effect on the viability on the development process must be identified. These could affect performance, cost, quality and duration of the project.

2. Severity of Risk: The extent to which a particular risk could cause a mess on performance, cost and delay must be ascertained.

3. Risk Allocation: The right managers to the risk must be allowed to manage it as and when it occurs. This conforms to the golden rule in risk management of contracts.

4. Risk Mitigation: What must be done to moderate the likelihood of risk must be determined and steps taking to take them off.

5. Value the Risk: The cost implication to be borne on the risk must be determined.

2.1.12.2 Risk Classifications

Public Private Partnership projects might be affected by a number of reasons such as the category of project, the country of which the project is to be found and again the kind of Public Private Partnership to be used. Although there is no defined risk list applicable to Public Private Partnership, Li et al. (2005) projected a three-level categorization approach for Public Private Partnership project. The approach categorises Public Private Partnership risks as: micro, meso, and macro levels. Micro is partner-related risks as the meso-level risks are mostly project-related risks. For the macro-level risks, they are risks which are seen to be influence by external factors to the project.

There could be a generally used format to classify risks. This is in relation to the project areas such as construction, maintenance, political, operation and, financial risks market, and legal.

2.2 DEFINITION OF INFRASTRUCTURE

The term infrastructure is defined as the basic physical and organisational structures or fundamental facilities needed for a nation or government to work efficiently. There

are several definitions to explain this term by different scholars or academicians such as Cleveland (2008), Chism (2009), Sheffrin (2003) and Woochong (2009).

According to Chism (2009), infrastructure is defined as the physical structures that grant or allow provision of social services like health and education, water supply, transportation, energy generation and transmission etc. In effect, Chism‟s explanation means that infrastructure underpins the excellence in quality life.

Current effort by Sheffrin (2003) explain infrastructure as the facilities and services essential for an economy to function. Woochong (2009) also argues that, the term infrastructure helps mostly to express well-built constructions involving steel as well as concrete that is to say, water supply systems, power plants, roads, increasingly information and communications systems. Woochong (2009) also claims that these are parts of the built environment strengthens a country‟s economic potential growth and in this modern days it is difficult for a country to succeed without a firm infrastructure support.

2.2.1 Types of Infrastructure

In developing an economy, one of the basic needed facilities is infrastructure development. Openly it does not produce goods and services but helps in the achievement of primary, secondary and tertiary performance created by economies. The idea in policy terms has been fluid, as it appears to be including social facilities such as schools, hospitals, prisons etc, industrial capacity and others (Moteff et al., 2003). Developed countries in this context have made a lot of advancement due to great growth of economic and social infrastructure.

There has been groundbreaking progress in communication and transportation in these countries. Infrastructure could be broadly put under two umbrellas. These are:

1. Soft Infrastructure
2. Hard Infrastructure

1. Soft Infrastructure

This framework requires and maintains a variety of institutions. It includes both physical and non-physical assets. According to Chism (2009) the soft infrastructure involves the system of delivery of service to the society. An example is education which does not directly influence economic activities like distribution and production but ultimately helps in the economic development of a country by producing intellectuals in various fields for the society.

2. Hard Infrastructure

This is in relation to physical network that keeps an industrialised nation to function smoothly. Components such as buildings, drainage systems, roads, subways, airports, dams, bus terminals warehouses and among others are examples of hard infrastructure.

Cleaveland (2008) explains that the scope of infrastructure and the central importance of infrastructure to society makes infrastructure a necessarily factor in achieving its sustainable goals.

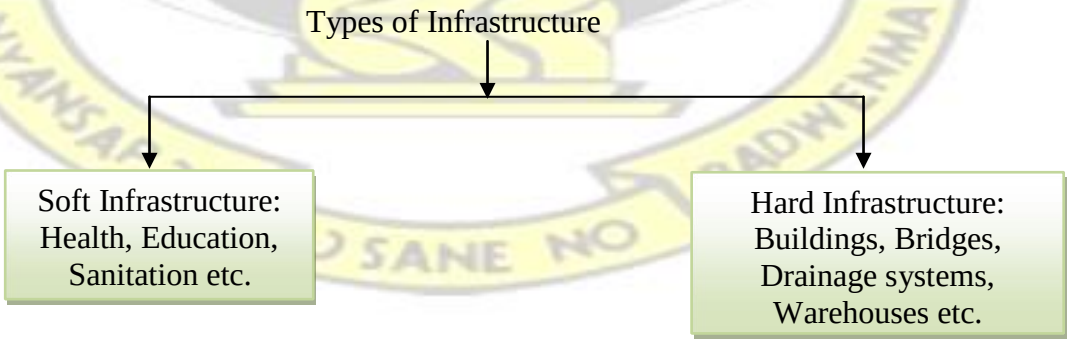

Figure 2.5 Types of Infrastructure and examples

Source: Author 2016

2.2.2 Social Effect of Infrastructure in National Development

The absolute need for infrastructure in national development is one of the immense worldwide challenges of our time. Not only do the latest big economies like India, China, Dubai etc want more and improved infrastructure but globally even ageing infrastructure in Europe and elsewhere needs replacing. Now many governments are creating the right conditions for investment, even where the investment would be led by the private sector.

Dirie (2005), Kumar, et al. (2006) have argued that infrastructure plays several significant roles in the world to the extreme point that the lack of infrastructural facilities is carefully considered to be the most important structural weakness which holds back the economic growth and development in a country. According Chang (1999) some studies conducted by the World Bank show that public investment in fundamental infrastructure does not only increase output but also alleviates private investment in the medium to long-term.

Foster (2008), also notes that infrastructure has played a vital role in the spin of Africa‟s current economical growth and the focus on development will be greatly achieved if the continent develops keen interest in it. Estache (2004) also claimed that infrastructure helps to broaden growth benefits which make the development process within a country more comprehensive. Again, according to Estache (2004) the accessibility of good and excellent physical infrastructure enhances the ambience for direct foreign investment. This helps mitigate the cost of total investment incurred by foreign partners or financiers and thus increases their rate on return. For this reason it is claimed that Government expenditure on infrastructure should continue during

periods of fiscal adjustment because such ventures will improve public investment, harmonize private investment and signify economic development in the long-term.

The management of infrastructure development by the public sectors in most countries has not been the best in that there is no proper asset register to record and maintain them as and when due. Once this is not done properly, it is also not managed properly. Many infrastructure decays at a very cold pace in that no one is aware of things before they start falling apart. Creating a National Infrastructure Plan will be a good initiative to address several concerns on management and maintenance.

2.2.3 Characteristics and Risk Classification of Infrastructure

Ploeg and Casey (2006) explain that the main characteristics for infrastructure are essential in influencing the applicability of a particular innovative financing tool. Also from the viewpoint expressed by the researchers such as Cleaveland (2008), Mor and Sehrawat (2006) infrastructure can be classified based on its key characteristics such as: construction time, payback period, size, up-front costs, asset life, future commitments, complexity, marketability, priority, new construction or refurbishment, coverage, integrated or single project, hard or soft asset, user profile, risk level, location specific and rates of return.

According to Cardone and Fonseca (2006), accepting these characteristics have implications on the choice of infrastructure finance tools including: loans, user fees, domestic taxes, grants, direct private investment, mixed credits and export funds, voluntary finance scheme, micro-finance or micro-credit, environmental charges, equity, dedicated or special purpose fund, debt swaps and bond markets.

In infrastructure development, risk could be distinguished by their source of funding. This could be grouped under three main categories.

1. **Technical Risk:** All risk linked with the complexity of development project, skills in operating, construction and technological know-how.

2. **Regulatory and Political Risk:** These could pop up through the actions and inactions of government regulations and policies. It is quiet difficult to measure the cost and value on the impact from political devices since the political risk can be extremely biased.

3. **Macro-economic and business risk:** Fluctuations, inflations and higher inters rates are variables that generate macro-economic and business risk. These could normally be attributed to variations, change orders among others.

2.2.4 Approaches to Provision of Infrastructure

Cohen (2002) puts it that, in financing infrastructure project it will be suitable to examine the ways to the provision of infrastructure which includes the funding delivery and financing of the infrastructure. Ploeg and Casey (2006) argue that, two vital methods are concerned in each part of the three approaches to provision of infrastructure (financing, funding and delivery), and that this triple-two rule is a useful frame for any discussion of innovative financing of infrastructure.

On the other hand Cardone and Fonseca (2006) also states that infrastructure financing should not be narrowed to payment from debt financing and accumulated resources but must embrace equity financing which sometimes used in situations where infrastructure is offered through public-private partnership arrangements.

2.3 PRIVATE SECTOR PARTICIPATION

There is a vast need for infrastructure development worldwide. Government upon governments has put in efforts to financially support this course but have not been successful. Harris (1996) argues that the participation of the private section or sector amounts to the contribution of the private sector in projects development by the government.

The provision of good policies, negotiations with clear risk responsibilities and roles, well developed structures and expertise would draw the private sector in engaging in Public Private Partnership projects. According to the World Bank Group Report during the first half of 2014, private sector participation in infrastructure in developing countries raised to US$1.2 Billion, representing a 23 percent increase from same period in year 2013.

2.3.1 Public Private Partnership Finance

Generally, Public Private Partnership projects are financed with the use of the available financial arrangements at hand. Investors rely on the cash flow generated from the project to repay their debts on the project and earn their profit on investment in return. A reliable financial plan is vital to the accomplishment of every Public Private Partnership development (Malcolm and Barimah, 2004). This idea is considered as a greater influence allocated to the financial criterion in assessing Public Private Partnership proposals. An instance is the Hong Kong Government adopts three sets of criteria (engineering, financial and planning) to evaluate tender documents for their Build Operate Transfer (BOT) developmental projects. The percentage ratings

assigned to these three benchmarks are approximately 65%, 20% and 15% respectively.

2.3.2 Privatisation

Most often Public Private Partnership is used as a synonym to privatisation but Osborne (2000) argues that there is a clear dissimilarity between these two concepts. Privatisation is mostly familiar and broadly honoured in sections which are not conventionally measured as public services, such as construction, manufacturing, etc. The responsibility for service provision is transferred to the private sectors subjected to a supervisory body or market regulation.

CHAPTER THREE

RESEARCH METHODOLOGY

3.1 INTRODUCTION

This section discusses and investigates ways of discovering the most excellent technique used to accomplish the purpose and goals of the research. This section would again discuss the design of the research and method style together with the research plan and outline. The processes and skills deployed in gathering information for the study would also be looked into. The rationale behind the methodology and research design is to provide direction in the planning and implementation of the study in a way that is generally possible in realising the projected goal.

Globally, evaluated information is acquired through methodology and this tries to determine the way an aim could be assessed in discovering facts (Christou et al., 2008).Methodology embraces planning, sample setting, limiting methodologies, collecting data and analysing the techniques in a research as determined by Burns &

Grove (1998). The knowledge of the systematic techniques including the methods engaged in acquiring a well-founded fact also explains methodology (Creswell, 2009).

3.2 RESEARCH DESIGN

The study used a case study research design. A case study design is a design that uses specific subjects with common characteristics enough to represent the rest other than studying the entire population (Patton, 2001). Issues related to provision of infrastructure apply to a wider scope that could not be effectively studied in the limited time range making the case study design the best option. The design was used because it enabled the researcher to dwell on the information from Obuasi Municipal Assembly for deductions and generalisations over provision of infrastructure in Ghana wider than the studied scope.

Besides, the design facilitated the acquisition of in-depth analysis of providing infrastructure methods by the Obuasi Municipal Assembly.

At the same time, it helped to save time because Obuasi Municipal Assembly used as a case study was close and very accessible and could represent the purpose of understanding the effectiveness of public private partnerships in improving Local Government infrastructure performance.

This section of the thesis takes care of the structure prior to collecting and evaluating data. The designing of a research identifies the organization that monitors the implementation of the method for collecting and analysing information. Moreover, it relates to the result of the arrangement through which the methodological process is engaged. It allows the researcher to hook up empirical data to its findings, in a consistent cycle to the preliminary study subject of the research (Bryman 2004; Yin 2003).According to Blismas (2001), the study plan takes account of a trial survey,

research action and situational examination. This research followed a survey design which was preceded by in-depth interview guide. In this study the in-depth interview guide, was included to gain new insights, discover new ideas and or enhance knowledge in the implementation of Public Private Partnership in Ghana. A survey design was carefully chosen because of the essential need for generalisation on the strategic issues of Public Private Partnership in Ghana.

3.3 DATA SOURCES

In Ghana, the Metropolitan, Municipal and District Assemblies are responsible for the provision of local infrastructure such as local roads and school buildings (Malcolm & Braimah, 2004). At the local government level, the research was limited to the Ashanti Region, for the reason that it happens to be the region with the largest number of districts; also looking at the period for the research opting for the region made it more feasible in terms of interview guide administration.

A desk survey was first conducted giving light to issues to be considered from the field by the use of interview guide.

After identifying the list of Public Private Partnership projects executed in Obuasi by Obuasi Municipal Assembly and other private partners, using Obuasi Municipal Assembly as primary data source was essential.

3.3.1 Primary Sources

The primary data was obtained using the interview guide method. These include the distribution of interview guide and collection of data from key respondents as well as members of the construction industry and professional at Obuasi Municipal Assembly.

3.3.2 Secondary Sources

These include review of literature from policy papers, world-wide web, journals, newsletters, articles, newspapers, reports, bulletins, etc. Deeper understanding of accessibility issues concerning the Public Private Partnership would be obtained from this source. The information gathered from these sources helped guide the second phase of the fieldwork, which is distribution of interview guide and collection of data from the key respondent.

3.4 POPULATION AND SAMPLING SIZE DETERMINATION

3.4.1 The Study Population

The required population of the study comprised of Public and Private sectors including professional consultants within the built environment who have direct or indirect dealings with the PPP implementation in Ghana.

The OMA has an average population of two hundred (200) personnel. For the purpose of this study, the following professionals were targeted to represent the population in relation to the research objective: the entire professionals within the
OMA whose activities affect the implementation of PPP such as Architects, Quantity Surveyors (QS), Project Managers, Structural Engineers, Account Officers, Public Relation Officers and Procurement Officers. Individuals and cooperate clients, who through PPP, contribute to surface infrastructure provision within the OMA.

3.4.2 Sampling and Determination of Size of Sample

The selection of people with whom to conduct the research is termed as sampling. The norm for sampling originated from the problem of the study, the intent, the plan and the real implications from the study topic.

Hence using convenience and purposive sampling, the sample was obtained from a population of procurement officers, private partners, planning officers, works engineers and other professionals of Obuasi Municipal Assembly involved in the provision of infrastructure projects in the Ashanti Region. A total sample size of thirty (30) personnel was used for the study.

In convenience sampling, participants are included in the study because they happen to be at the right place at the right time. Yin (2003) comment that the form of nonprobability sampling which concerns with the sample extracted from that component of the population is categorised as convenience sampling. That is, a population sample carefully chosen for the reason that it is easily convenient and obtainable. Thus, the officials of Obuasi Municipal Assembly involved in the provision of infrastructure projects in the Ashanti Region were chosen because of convenient location. According to Bernard (2002) Purposive sampling refers to the judgmental sampling that involves the conscious selection by the researcher of certain participants to include in the study. Sample sizes, which may or may not be fixed prior to data collection, depend on the resources and time available, as well as the study‟s objectives. Thus with the study‟s objectives as a criteria only officials of the Obuasi Municipal Assembly involved in the provision of infrastructure projects were included in the sample.

3.5 INTERVIEW GUIDE DEVELOPMENT

The in-depth investigative writings on the subject served as a manual for the preparation of the interview guide as a result relevant questions in the framework of the study objectives were requested. In designing the interview guide there was guidance via deliberations of request to respondents, with no difficulty in

understanding as well as providing the necessary information seeing that the study participants‟ period was not worn out all through the data collection. The interview guide was considered to contain scaled-response, closed-ended and opened-ended questions.

3.5.1 Content of the Interview Guide

In all, the interview guide was grouped under two sections. The first part of questions was intended to gather information about the participants. The second part sought information regarding the capacities in which the respondents work in their various institutions and their experiences in the implementation of Public Private Partnership for the provision of infrastructure projects in Ghana. The intention here was to assist in finding out the authenticity and the consistency with the information supplied by the participants. After identifying the challenges and opportunities in the public private partnership, respondents in the local government views were sought to accept or reject what literature portrays as to what pertains on grounds.

3.6 DATA ANALYSIS

The interview guide were circulated, guided and taking back in person in order to ensure that the intended recipients completed the interview guide, and to assist in improving the response rate. The interview guide was personally administered by means of one-on-one.

The selection of the methodical device is bound by a careful assessment of existing statistical and analytical tools. In making a decision on which an assessment is suitable to draw on, it is significant to think of the category of variables that is at hand (i.e. either your variables are definite, numerical or time bound) or in the event that they

are on the whole distributes the kinds of data derived from the survey were mostly nominal and ordinal data.

For the reason or intention of this research, explanatory data in other words frequencies, charts, tables and percentages were used to recap data from respondents on nominal scale. The Relative Important Index (RII) for the determination of significance of factors was adopted because Danso (2010) asserted to its suitability for information on numerical scale (e.g. Likert scale 1 – 5).

The relevance of Relative Importance Index was highly appropriate in this regard for the determination of significance of identified opportunities therein the implementation of Public Private Partnership for the provision of infrastructure projects in Ghana as agreed by Danso (2010) to analyse information on ordinal dimension (e.g. Likert scale 1 – 4).

The Relevant Important Index was computed as:

$$RII = \frac{\sum W}{AXN}, \ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots (1),$$

Where: RII = Relative importance index;

W = the weight given to each factor by the respondents and ranges from 1 to 4;

A = the highest weight = 4;

N = the total number of respondents (Enshassi, Mohamed & Abushaban, 2009).

It is worthwhile to note that the nearer the value of importance index of the identified factor is unity (1) or 100%, the more significant it is, hence, a greater impact it has on the rest of the variables.

The open-ended segment of the questionnaire were analysed by means of conceptual content analysis which explains the appearance of an idea or the number of times a particular concept appears in a text. Qualitative researches seeks interest in understanding the import in what people have constructed, that is, how people make sense of their world and the know-how they have in their environment (Merriam, 2009, p.13).

Content analysis is a very helpful technique to use in understanding the behavior in assuming a purely descriptive approach. Content analysis approach was adopted to analyse responses to the open-ended questions in order to “minimize redundancy” (Rubin et al., 1998).

3.7 CHAPTER SUMMARY

This section examined the study techniques giving the rationale for the selected preference to accomplish the study objectives and aims. It again describes the designing of the research and the method, together with the investigative strategies and study plan chosen for this research. The methodology and systems which were deployed in the collecting and analysing the data were also submitted. This chapter concluded with the study process and includes concerns such as range of interview guide survey, sources for data, sampling and determination of sample size, development of interview guide, the interview guide content, interview guide delivery and the tools for data analysis.

CHAPTER FOUR

RESULTS AND DISCUSSIONS

Discussions of findings and analysis of data are contained in this section. This chapter deals with the personal information of the respondents and the analysis of data related to the research questions.

4.1PERSONAL DATA OF RESPONDENTS

The responses related to the demographic characteristics of the respondents are presented in figures 4.1-4.3

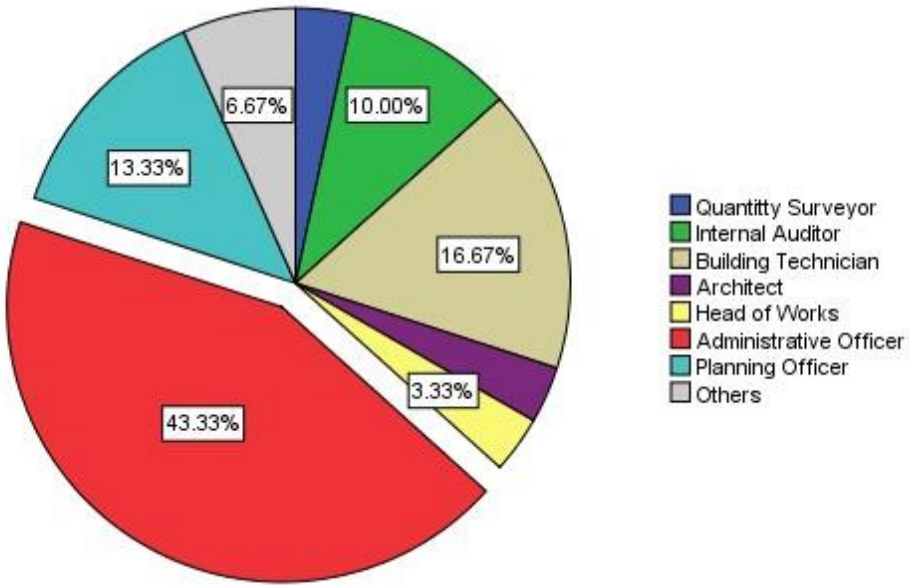

Figure 4.1 Designations of Respondents

(Source: Field Work, 2016)

From figure 4.1, it can be observed that majority of the respondents were Administrative Officers (43.33%), followed by Building Technicians, Planning officers (13.33%) and Internal Auditors(10%). Some of the respondents were without a specified designation (6.67%) and the rest were Head of Works (3.33%) and Architects (3.33%).

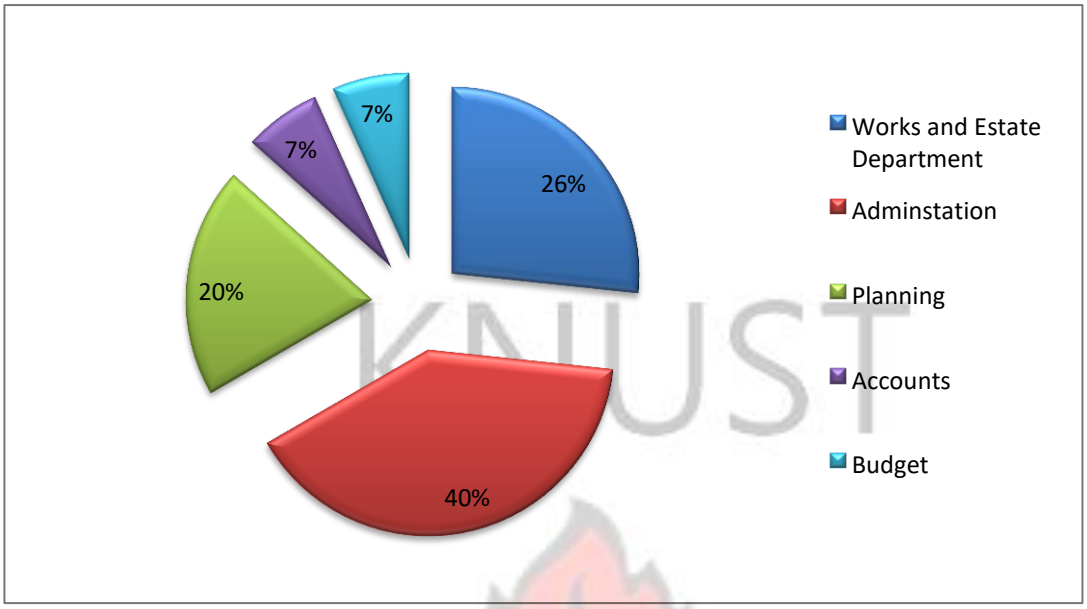

Figure 4.2 Respondents' Departments

(Source: Field Work, 2016)

From figure 4.2, it can also be seen that majority of the respondents were from the Administration Department (40.0%), followed by the Works and Estate Department (26.67%) and the Planning Department (20.0%). The rest of the respondents were from the Budget Unit (6.67%) and the Accounts (6.67%).

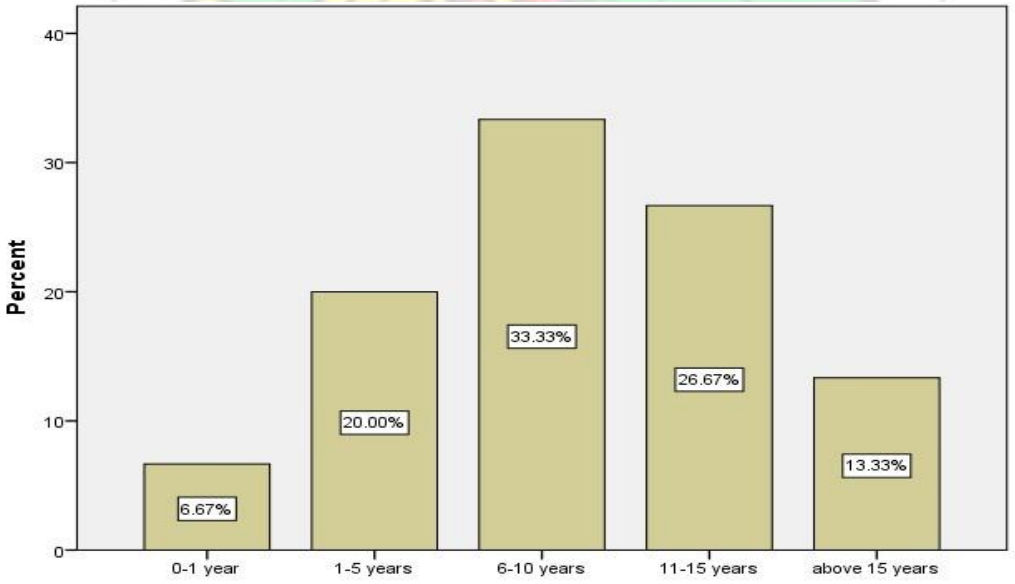

Figure 4.3 Years of Working in This Profession

(Source: Field Work, 2016)

From figure 4.3, it can be seen that majority of the respondents (33.33%) had worked in their various professions for 6-10 years whilst a small group (6.67%) had less than one year working experience. The findings shows that majority of the study participants had a minimum of 6years working experience and could be in better position to contribute objectively to the issues raised in the questionnaire.

4.2ANALYSIS OF MAIN DATA

Table 4.1 Public Private Partnerships (PPP)

Item	Frequency	Percentage
Aware of PPP policy		
Yes	26	86.7
No	4	13.3
Involved in the Procurement of any Public Infrastructure through the PPP		
Yes	16	53.3
No	14	46.7
Number of Projects executed with Private Sector involvement since 2010 to date		
1 – 5	22	73.4
above 15	4	13.3
None	4	13.3
Total	**30**	
Domain In PPP system		
Public	25	83.3
Private	5	16.7
Any PPP ongoing project		
Yes	30	100
No	0	0
Level of involvement with the use of PPP for infrastructure provision		
Design	2	6.7
Finance	2	6.7
Construction	6	20.0
Operation	4	13.3
Maintenance	4	13.3
All the above None	12	40.0
Total	**30**	**100**

(Source: Researchers Field Work, 2016)

Table 4.2 shows that 86.7% of the respondents confirmed that they were aware of PPP policy whilst 13.3% of the respondents indicated otherwise. This shows that majority of

the stakeholders of Obuasi Municipal Assembly are well informed on the PPP policy of the country, Ghana. The number of study participants who were aware of the PPP policy indicates the increasing popularity among development professionals, confirming the findings by Grimseys and Lewis (2004)that "Public Private Partnership has emerged the most famous policy used in closing infrastructure, efficiency, accountability and other gaps for both government and organizations".

The table also indicates that 53.3% of the respondents were involved the procurement of public infrastructure through the PPP process and the rest, 46.7 % indicated otherwise. The table further shows that 73.4 % of the respondents had executed 1-5 PPP projects, 13.3 % has executed over 15 PPP projects whilst another 13.3% had not executed any PPP project since 2001 to date. From table 4.1, it can also be observed that majority of the respondents 83.3% were from the public domain and the rest, 16.7 % were from the private domain of the PPP framework.

The low representation of private e sector participants fails to fit into Rostiyanti and Tamin (2010) definition of Public Private Partnership as "a collaborative effort between public and private sector organizations in public service delivery in which there are rules, institutional obligations, roles and responsibilities notwithstanding accountability to all involved parties". However, the large number of participants in the study could be attributed to the sampling technique used.

On the question of whether there were any ongoing PPP projects, all the respondents (100%) indicated yes and the respondents were probed to find out the number of

ongoing PPP projects they know of. On average, the respondents indicated that there are four (4) ongoing PPP projects in the Obuasi Municipal Assembly. The findings show that PPP is implemented continuously according to the changing needs of the assembly.

The last item in Table 4.1 shows the level of involvement of participants in PPP projects. As can be observed, 40% of the respondents were involved in the design, finance, construction, operation and maintenance of PPP projects, 20% were involved only in construction, and 13.3% only in operation, another 13.3% only in maintenance and 6.7% were involved only in the design stage of PPP projects. This shows that PPP involves various professionals for successful implementation commencing from the design phase to the completion phase.

Table 4.2 Physical projects that OMA has executed most using PPP as an Opportunity Medium for Procurement

Project	Frequency	Percentage
Roads	30	60.0
Filling Stations	30	86.7
Commercial Stores& Offices	30	86.7
Car Park	30	60.0
Hospitals	30	66.7
Markets	30	86.7
Schools	30	66.7
Chip Compounds	30	60.0
Any Other(KVIP Seater Project)	30	66.7
Total	30	100

(Source: Researchers Field Work, 2016)

From table 4.2, the highest ranked PPP projects were commercial stores and offices (86.7%), markets (86.7%) and filling stations (86.7%). Hospitals, KVIP seater toilets, and schools were each rated 66.7% whereas others like Chip compounds, roads, and

car parks projects were each ranked 60.0% by the respondents. It can be concluded that the most executed physical projects at the Obuasi Municipal using PPP were roads, hospitals and chip compounds.

The number of infrastructure projects under the PPP framework also indicates the infrastructural needs in various assemblies. This confirms the observation by Moteff et al (2003) that one of the basic needed facilities is infrastructure development including social facilities, industrial capacity such as markets, stores, filling stations, enterprises and among others.

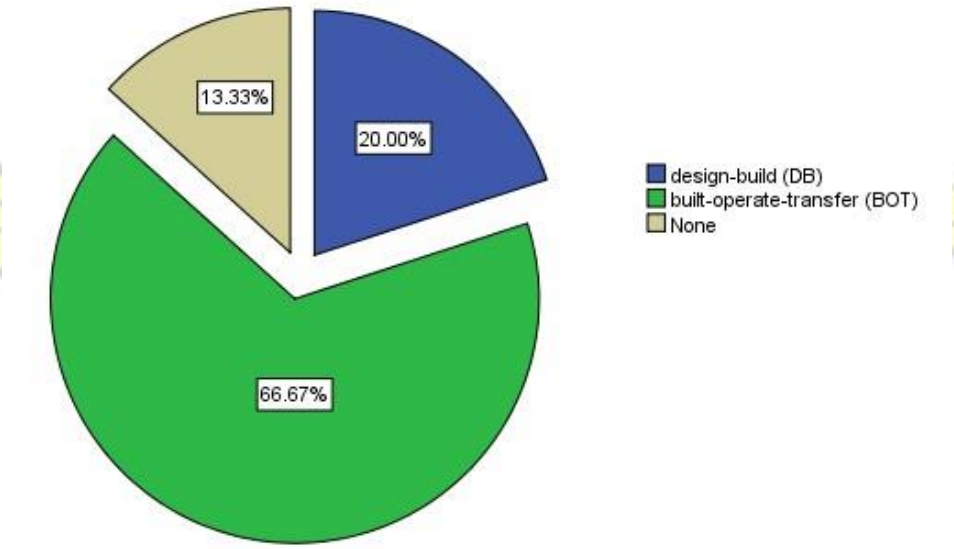

Figure 4.4 Forms of PPP practiced Mostly in the Obuasi Municipal Assembly

(Source: Field Work, 2016)

It can be observed in figure 4.4 that the mostly practiced form of PPP by the Obuasi Municipal was the Build-Operate-Transfer (66.67%) followed by the Design-Build model (20.0%). Other PPP projects that could not be categorized were13.3%. The findings shows that PPP framework at the Obuasi Municipal Assembly falls short of the various PPP models proposed under the National Policy on Public Private Partnership (NPPPP) of Ghana.

Table 4.3 Opportunities of PPP Implementation

Item	Frequency	Percentage	Mean	Standard dev.
Reduction in Administrative and Capital cost in the public sector				
Strongly disagree	2	6.7	3.1	0.83
Disagree	2	6.7		
Agree	16	53.3		
Strongly agree	10	33.3		
Achievement of Value for Money				
Strongly disagree	2	6.7	3.0	0.76
Disagree	2	6.7		
Agree	20	66.6		
Strongly agree	6	20.0		
Modernization of Infrastructure Growth				
Strongly disagree	2	6.7	3.0	0.88
Disagree	6	20.0		
Agree	14	46.6		
Strongly agree	8	26.7		
The Transfer of Risk				
Strongly disagree	4	13.3	2.5	0.92
Disagree	10	33.3		
Agree	12	40.0		
Strongly agree	4	13.3		
Creating Employment Opportunities				
Disagree	4	13.3	3.4	0.74
Agree	10	33.3		
Strongly agree	16	53.3		
Efficiency and Quality Delivery of Work				
Disagree	8	26.7	3.2	0.87
Agree	8	26.7		
Strongly agree	14	46.6		
Total	30	100		

(Source: Researcher"s Fieldwork, 2016)

Table 4.3 shows the Opportunities of PPP implementation in the Obuasi Municipal Assembly, 53.3% of the respondents agreed and 33.3% strongly agreed that PPP led to a reduction in administrative and capital cost in the public sector as compared to

6.7% who disagreed and another 6.7 % who strongly disagreed. This shows that PPP is viewed by stakeholders of the Obuasi Municipal Assembly as a way of reducing administrative and capital expenditure in the public sector.

The table also indicates 66.6% of the study participants agreed and 20 % strongly agreed that PPP led to achievement of value for money for the Obuasi Municipal Assembly whilst 6.7% disagreed and another 6.7 % who strongly disagreed to this assertion. It can be concluded that majority of the study participants view PPP favourably in terms of its ability to deliver returns for invested funds.

It is also observed from table 4.3 that 46.7% and 26.7% of the respondents agreed and strongly agreed receptively, that PPP brings about modernization of infrastructure growth whilst 20% disagreed and 6.7% strongly disagree to the statement. It can therefore be concluded that PPP has positive impact on modernization of infrastructure growth, in the views of the study respondents.

The study findings in Table 4.3 further reveals that 40% and 13.3% of the study participants agreed and strongly agreed respectively, that PPP lead to transfer of risk but 33.3 % disagreed and another 13.3. % strongly disagreed. The results indicate that the impact of PPP on risk transfer is not clearly shared by the study respondents.

As to whether PPP lead to creating of job opportunities, 53.3% of the respondents agreed and 33.3% strongly agreed with only 13.3% indicating otherwise. It can be said that one of the most important opportunities in PPP is job creation.

Lastly, table 4.3 shows that 46.6% and 26.7% of the respondents agreed and strongly agreed respectively, that PPP implementation led to eefficiency and quality delivery

of work. Only 26.6% disagreed to the statement showing that PPP indeed can lead to quality and timely delivery of public works.

A comparison of the mean analysis of the various opportunities offered by PPP is ranked in order of decreasing importance, as follows: Creating Employment Opportunities (3.4±0.74), Efficiency and Quality Delivery of Work (3.2 ±0.87), Reduction in Administrative and Capital Cost in the Public Sector (3.1± 0.83), Achievement of Value for Money (3.0±0.76), Modernization of Infrastructure Growth (3.0± 0.88) and The Transfer of Risk (2.5± 0.92)

These findings confirm with some of the best stated objectives in the National PPP policy of Ghana which demands that "Public Private Partnership processes must be competitive to create the achievement of value for money" and design of PPP to support the maximum utilisation of local content and the transfer of technology. This in effect must help boost the local industry and performance of the private sector in Ghana.

The respondents were further asked if they would recommend PPP as infrastructure development for MMDAs. Their responses are presented in figure 4.5

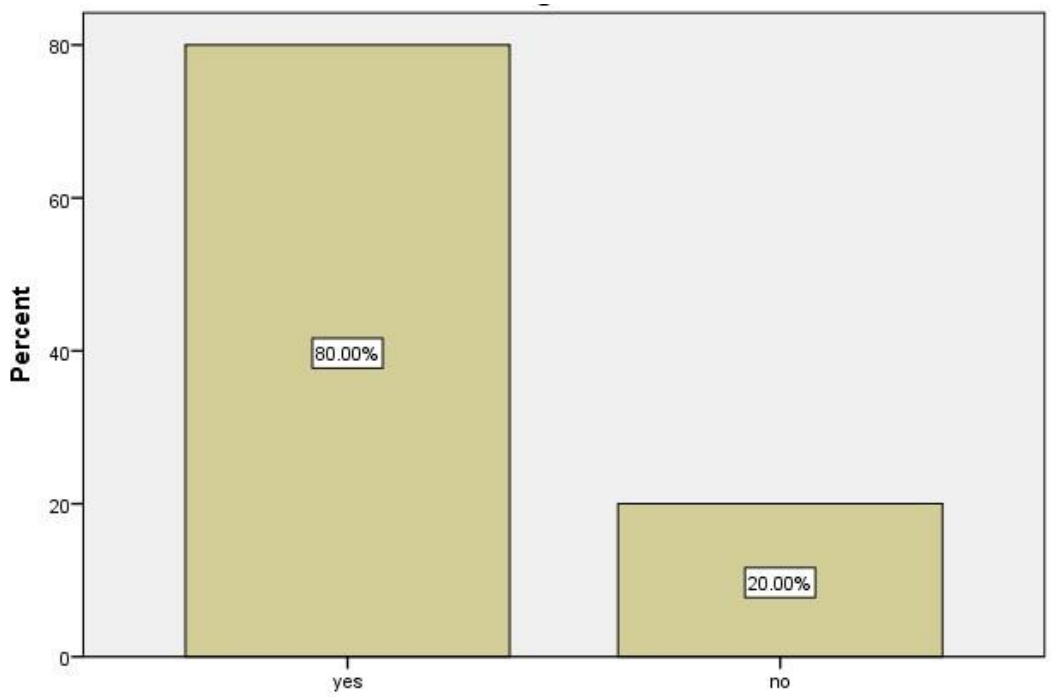

Figure 4.5 Recommending PPP as Medium of Infrastructure for MMDAs

(Source: Field Work, 2016)

From figure 4.5, it can be seen that majority of the respondents (80.0%) recommend PPP as a medium for infrastructure development for MMDAs whilst 20% indicated otherwise.

Table 4.4 Challenges confronting the implementation of PPP

Items	Frequency	Percentage	Mean	Standard dev.
Planning and Environmental Issue				
Not frequently	8	26.7	2.2	1.0
Averagely	12	40.0		
Frequently	6	20.0		
Most frequently	4	13.3		
Mistrust of Private Sector Involvement				
Not frequently	6	20.0	2.6	1.2
Average	8	26.6		
Frequently	4	13.3		
Most frequently	12	40.0		
Improper Procurement Procedures				
Not frequently	4	13.3	2.6	1.1
Average	8	26.7		
Frequently	8	26.7		
Most frequently	10	33.3		

Political Interferences				
Average	2	6.7	3.5	0.64
Frequently	10	33.3		
Most frequently	18	60.0		
PPP dependency on Public grounds (fairness)				
Not frequently	4	13.3	2.0	0.80
Average	16	53.3		
Frequently	8	26.7		
Most frequently	2	6.7		
Total	30	100		

(Source: Researcher‟s Fieldwork, 2016)

According to Table 4.4,the challenges confronting implementation of PPP were rated as follows: Planning and Environmental Issue was rated averagely by the majority (40%),Mistrust of Private Sector Involvement was rated frequently by the majority (40%), Improper Procurement Procedures was rated most frequently by the majority (33.3%), Political Interference was rated most frequently by the majority (60%) and PPP dependency on Public grounds (fairness) was rated averagely by the majority (53%). It can be seen that political interference constituted the most frequent challenge in PPP implementation whiles Planning and Environmental Issues were the least rated hindrance to PPP implementation.

4.3 RESPONSES FROM EXPERT INTERVIEW

Obuasi Municipal Assembly is a corporate sector which represents government on the public segment in PPP arrangement. It is under the Ministry of Local Government. The Assembly normally handle PPP arrangements with private investors or contractors registered with the assembly. The nature of infrastructure determines the type of PPP to be used. Mostly the arrangement is into construction of Markets, Commercial Stores, KVIP‟s, Filling Stations etc.

In handling PPP projects in the Assembly, it sometimes commences with advertisement for project partnership in the daily‟s or private investors seeing opportunities in certain areas and seeking the response from the assembly in venturing into it.

The assembly inspects and scrutinise the private investors profile in respect to the infrastructure opportunity at hand. The term for the partnership arrangement mostly is determined by both parties; that is either BOT, BOOT, DBO etc. Mostly the Assembly is into BOT. With some of the arrangements the assembly only provides the land or site for the project but some too the assembly provides a partial support with both land and funds.

The main objective for PPP is good but adversely subjected to some hitches, mostly political. At times, there are loop holes in the documentation leaving the future generation to suffer because mostly these arrangements takes longer years before transferred back to the Assembly. In terms of delivery, one can trust of the speed since the private investor mostly per the agreement is financing the works. Using PPP mode of procurement has created opportunities in the municipality since more infrastructure developmental works has been provided. This has also improved the GDP rate for the municipality and Ghana at large.

The general objective for government initiating the PPP Policy is excellent but political interferences are trying to make things cumbersome. The capital invested into the project is solely the responsibility of the private investor. In the event that the assembly must partly support with funds as partial support to the project it mostly do not exceed 30% of the project cost. During the operating stage the assembly per arrangement will receive some payment from the private investor on monthly, quarterly or annually as

per the conditions in the contract as a support to the assembly. Mostly, the amount of capital invested by the private investor determines the years in operating before transferring to the assembly. It could take several years such as 15years, 20years, 25years, 30years etc.

CHAPTER FIVE

CONCLUSIONS AND RECOMMENDATIONS

5.0 Introduction

This chapter presents the summary of findings, conclusions and recommendations for PPP Policy implementation and further research into the topic.

5.1 Summary of Findings

The main aim of the study was to investigate the implementation of the Public Private Partnership (PPP) Policy in Ghana- case study Obuasi Municipal Assembly, Ashanti Region. In achieving the major objective of this study, views of some selected public officials concerned in the practice of Public Private Partnership (PPP) procurement system at the Obuasi Municipal Assembly in the Ashanti Region of Republic of Ghana were solicited. This was done through administering questionnaire to officials in Obuasi Municipal Assembly and face-to-face interviews with key stakeholders involved in PPP implementation. All received questionnaires were collated and analysed using frequency tables and graphs to present the views of the respondents.

The following findings were made from the data analysis:

Majority of the respondents were Administrative Officers (43.33%), followed by Building Technicians (16.67%), Planning officers (13.33%) and Internal Auditors (10%). Some of the respondents were without a specified designation (6.67%) and the

rest were Head of Works (3.33%) and Architects (3.33%). Also majority of the respondents were from the administration Department (40.0%), followed by the Works and Estate Department (26.67%) and Planning department (20.0%). The rest of the respondents were from the Budget Unit (6.67%) and the Accounts (6.67%).

Respondents (33.33%) had worked in their various professionals for 6-10 years whilst a small group (6.67%) had less than one year working experience.

The study participants were well informed on the PPP policy of Ghana. 83.3% were from the public domain and the rest, 16.7 % were from the private domain of the PPP framework.

All the respondents (100%) indicated yes and respondents were probed to find out the number of ingoing PPP projects they know of. On average, the respondents indicated that there are four (4) ongoing PPP projects in the Obuasi Municipal Assembly indicating that PPP is implemented continuously according to the changing needs of the assembly.

The mostly practiced form of PPP at Obuasi Municipal was the Build-OperateTransfer (66.67%) followed by Design-Build model (20.0%).

PPP was viewed by stakeholders of the Obuasi Municipal Assembly as a way of reducing administrative and capital expenditure in the public sector. Also the study participants view PPP favourably in terms of its ability to deliver returns for invested funds.

About 46.7% and 26.7% of the respondents agreed and strongly agreed receptively, that PPP brings about modernization of infrastructure, 40% and 13.3% of the study

participants agreed and strongly agreed respectively, that PPP lead to transfer of risk but 33.3% disagreed and another 13.3% strongly disagreed.

As to whether PPP lead to creating of job opportunities, 53.3% of agreed and 33.3% strongly agreed with only 13.3% of the respondents indicating otherwise. Also 46.6% and 26.7% of the respondents agreed or strongly agreed respectively, that PPP implementation led to efficiency and quality delivery of work. Only 26.6% disagreed to the statement showing that PPP indeed can lead to quality and timely delivery of public works.

A comparison of the mean analysis of the various reasons offered by PPP is ranked, in order of decreasing importance, as follows: Creating Employment Opportunities (3.4±0.74), Efficiency and Quality Delivery of Work (3.2 ±0.87), Reduction in Administrative and Capital cost in the public sector (3.1± 0.83), Achievement of Value for Money (3.0±0.76), Modernization of Infrastructure Growth (3.0± 0.88) and the Transfer of Risk (2.5± 0.92).

Some of the most executed physical projects at the Obuasi Municipal as opportunity from PPP implementation include commercial stores and offices (86.7%), markets (86.7%) and filling stations (86.7%). Hospitals, KVIP seater toilets, and schools are also minor opportunities as rated by respondents 66.7% in terms of infrastructure provisions.

The challenges confronting implementation of PPP were rated as follows: Planning and Environmental Issue was rated averagely by the majority (40%) Mistrust of Private Sector Involvement was rated frequently by the majority (40%), Improper Procurement Procedures was rated most frequently by the majority (33.3%), Political Interference was rated most frequently by the majority (60%) and PPP dependency on

Public grounds (fairness) was rated averagely by the majority (53%). It emerged that political interference constituted the most frequent challenge in PPP implementation whiles Planning and Environmental Issues were the least rated hindrance to PPP implementation.

5.2 Conclusions

With reference to the analysis, the following conclusions are summarised based on the objectives of the research.

- With the Government of Ghana unable to meet the increasing infrastructural deficits in the country, implementation of Public-Private Partnership comes as a strategic tool to meet the provision of basic developmental need especially at the local government level. It was revealed that the current state of PPP in respect of the most common form of PPP currently used at OMA is the Build Operate Transfer (BOT) followed by Design and Build (DB). This method would allow the Public sector own business and social facilities few decades to come, hence improving the gross domestic product of the municipal assembly and the country at large.
- The core advantage for PPP implementation at the Metropolitan, Municipal and District Assemblies (MMDAs) is to enable MMDAs provide improved and adequate infrastructure through the use of private funds and human capital, thus freeing public funds for other equally important investments.

  A comparison of the mean analysis of the various reasons for PPP implementation showed a very strong mean values as ranked by respondents in order of decreasing importance, as follows: Creating Employment Opportunities (3.4±0.74), Efficiency and Quality Delivery of Work (3.2

±0.87), Reduction in Administrative and Capital cost in the public sector (3.1± 0.83), Achievement of Value for Money (3.0±0.76), Modernization of Infrastructure Growth (3.0± 0.88) and the Transfer of Risk (2.5± 0.92).

- The research further discovered that PPP implementation has brought a major opportunity of infrastructure development at the OMA, but not limited to this only.

Some of the most executed physical projects at the Obuasi Municipal as opportunity from PPP implementation include commercial stores and offices (86.7%), markets (86.7%) and filling stations (86.7%). Hospitals, KVIP seater toilets, and schools are also minor opportunities as rated by respondents 66.7% in terms of infrastructure provisions.

To fully tap the potential for PPP for infrastructural development at the MMDAs, the identified challenges need to be resolved and all barriers, especially political interference should be minimized.

A clear PPP contract well spelt out with risk and reward conditions associated with various infrastructural projects, when well advertised and promoted to the private sector holds the prospective compete for private funds that are always in search of stable, profitable investment opportunities. It is concluded that Public-private partnership, despites it many risks and challenges, is a viable opportunity for bridging the infrastructural deficits at the local government level.

5.3 Recommendations

The study makes the following recommendations in relation to the above conclusions extracted from the findings. The subsequent recommendations are made:

The Public Procurement Authority must routinely organise PPP education and sectional trainings for government staff who matter in the initiation, implementation, through to the evaluation of PPP at all levels within the MMDAs on the need to ensure successful implementation of PPP with zero personal, political influence and interferences.

Also there should be proper documentation by the appropriate offices that matter in the entire process must be ensured to help eradicate fraudulence in the process hence reducing complexity and bad records for future information in order to eradicate all possible hitches likely to detract its successful implementation.

Again, there should be a universal government procedural requirements of domestic and international legal reform processes to be adopt in the implementation of PPP in Ghana.

5.4 Suggested Areas for Further Research

From the study, the following suggestions are made for further study:

It is suggested that further research should be undertaken to develop processes for the selection of private sector partners by Public Sector for successful PPP implementation.

Also further investigation on the appropriate, yet simple methods for troubleshooting for early identification of problems and risks in PPP implementation.

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APPENDIX

TOPIC: A STUDY INTO THE IMPLEMENTATION OF THE PUBLIC PRIVATE PARTNERSHIP (PPP) POLICY IN GHANA- CASE STUDY OBUASI MUNICIPAL ASSEMBLY, ASHANTI REGION

BY

TAWIAH, DAVID AMPROFI

INDEX NO.:- PG3583015

A Thesis submitted to the College of Art and Built Environment, Department of Building Technology of Kwame Nkrumah University of Science and Technology in Partial Fulfilment of the Requirement for the award of the

MASTER OF SCIENCE IN PROCUREMENT MANAGEMENT

INTERVIEW GUIDE

Please tick (√)and write where necessary, the appropriate response to each of the question. Thank you.

PART I: PERSONAL DATA

1. What is your designation?
   Please specify.……..…….....
2. In what department do you work?
   Please specify ……..…….....
3. How long have you been working in this profession/career?
   a. 0 - 1 year [ ]
   b. 1 – 5 years [ ]
   c. 6 – 10 years [ ]
   d. 11 – 15 years [ ]
   e. above 15 years [ ]

PART II: PUBLIC PRIVATE PARTNERSHIP (PPP)

4. Are you aware of PPP policy?
a. Yes [ ] b. No [ ]
5. Have you been involved in the procurement of any public infrastructure through the Public Private Partnership Systems?
   a. Yes [ ] b. No [ ]
6. How many projects have you executed with private sector involvement (finance, construction and operation/ design, construction and operation) since 2010 to date?
   a. 1 – 5 [ ]
   b. 6 – 10 [ ]
   c. 11 – 15 [ ]
   d. above 15 [ ]
7. In what domain did you fall in this PPP system, if your answer to question 5 is Yes?
a. Private [ ] b. Public [ ]
8. Do you have any PPP ongoing project? If your answer to this question is Yes, Please state the number?
a. No [ ] b. Yes [ ], Please state the number of such projects.....

9. Please indicate your level of involvement (role) with the use of PPP for infrastructure provision?

   a. Design [ ]
   b. Finance [ ]
   c. Construction [ ]
   d. Operation [ ]
   e. Maintenance [ ]
   f. If any other, please specify.....

10. Which of the following forms of PPP listed below does your municipal practice mostly, if your answer to Q4 is yes.
    a. Design-Build(DB) [ ]
    b. Build-Own-Operate (BOO) [ ]
    c. Built-Operate-Transfer (BOT) [ ]
    d. Built-Own-Lease-Transfer (BOLT) [ ]
    e. Develop -Operate-Transfer (DOT) [ ]
    f. Design-Build-Operate-Maintain (DBOM) [ ]
    g. Buy-Develop-Operate (BDO) [ ]
    h. Please, if any other, specify .....

11. Which of the underlisted reasons would make the implementation of PPP policy a preferable choice for procurement of Infrastructure? Rank them using the scale 1 to 4,

1- Strongly disagree 2- Disagree 3- Agree 4-Strongly agree

S/NO	**Reasons for PPP Implementation**	**Ranking**			
		1	**2**	**3**	**4**
1.	Reduction in Administrative and Capital cost in the public sector				
2.	Achievement of Value for Money				
3.	Modernisation of Infrastructure Growth				
4.	The Transfer of Risk				
5.	Creating Employment Opportunities				
6.	Efficiency and Quality Delivery of Work				
7.	Other, please specify……				

12. Which of the below listed physical projects has OMA executed most using PPP as an opportunity medium for procurement. Rank them using 1 to 4 scales, *1- Not frequently 2- Average 3- Frequently 4- Most frequently*

S/No		**Ranking**			
		1	**2**	**3**	**4**
1.	Roads				
2.	Filling Stations				
3.	Commercial Stores/Offices				
4.	Car Park				
5.	Hospitals				

6.	Market				
7.	Schools				
8.	Chip Compounds				
9.	Please state, If any other …….				

13. Would you recommend PPP as a procurement medium for provision of infrastructure in the various governmental assemblies? Yes [ ] No [ ] If the answer to question 7 is **Yes**, briefly state your reason……

If the answer to question 7 is **No**, briefly state your reason ……

14. Please the under listed are some identified challenges confronting the implementation of PPP Policy. Rank them using 1 to 4 scales,

1- Not frequently 2- Average 3- Frequently 4- Most frequently

		Ranking			
S/No	**Identified Challenges**	**1**	**2**	**3**	**4**
.	Planning and Environmental Issues				
2.	Mistrust of Private Sector Involvement				
3.	Improper Procurement Procedures				
4.	Political Interferences				
5.	PPP dependency on Public grounds (fairness)				
6.	Specify if any other …….				

15. Please suggest initiatives that can help address the challenges identified in the implementation of PPP Policy?

a. .....

b. .....

c. .....

d. .....