Curriculum Vitae – Kenneth (Ken) CAPLAN

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| **NATIONALITY:** | **USA (with Right to Reside in UK since 1998)** |

Overview

Ken brings over 20 years of progressive experience working in the water and sanitation sectors. Ken is the founder and director of Partnerships in Practice Ltd (PiP), a UK-based company set up in April 2014. PiP’s mission is to maximise multi-stakeholder engagement for effective partnership approaches for the sustainable delivery of water and sanitation services and fair and equitable uses of water more generally. PiP provides advisory and review as well as research and facilitation services to a wide range of public, private civil society, and donor/funder organisations.

PiP builds on the groundbreaking work of its predecessor, Building Partnerships for Development in Water and Sanitation (BPD), which Ken led from 1999 to 2014. Housed in WaterAid’s offices, BPD was one of the earliest multi-stakeholder initiatives in the water sector. BPD was funded primarily through grants from the World Bank, DFID, DGIS, SDC and contributions from private water companies. Ken reported to a multi-stakeholder international Board of Directors. Living up to its own teachings on partnerships, BPD was purposefully put out of business in 2014.

Throughout his career, Ken has worked with complex partnerships at the global, national and local levels. Ken’s exposure to the WASH sector is comprehensive, having supported programmes across a wide range of contexts and sub-thematic areas in urban, peri-urban and rural contexts. With a Masters Degree in International Development, Ken brings a public policy/social development background to his work with an emphasis on institutional coherence, change management and partnership approaches.

Through his work on partnerships (see related publications below), Ken brings extensive experience in stakeholder mapping, context analysis, stakeholder dialogue and partnership and programme review and evaluation. Ken has supported organisational and strategic programme reviews for a wide range of organisations in the water sector. Among more major recent assignments (2015 onwards), Ken serves/has served in the following capacity:

* **Organisational and Portfolio Review and Evaluation:**
  + Team member on global learning assessment for 2030 Water Resources Groups (2020-21) (conducted remotely);
  + Core team member on the mid-term review (2016) and then impact evaluation of the USAID-DGIS-Sida Securing Water for Food (SWFF) Grand Challenge Fund (2018-2020);
  + One of 3-person 2016 Mid-Term Review team for DGIS Sustainable Water Fund (€80m disbursed to date across 24 programmes) focusing specifically on Kenya and Ghana.
  + Team member on the IRC global organisational review for DGIS (2014-15) with a follow-up assignment as team-lead for IRC Ghana in 2016 reviewing their SMARTerWASH programme and then again in 2018 on the Hilton Foundation funded IRC-led Strengthening Local Government Capacity to Deliver WASH program in Ghana;
  + Team lead on the 2014 global programme review for Sanitation and Water for All (SWA) for UNICEF (the Secretariat host for the global partnership) with a follow-on assignment in 2017 reviewing SWA governance specifically.
* **Project Evaluation** [on behalf of Tetra Tech through the Water, Sanitation and Hygiene Partnerships and Learning for Sustainability project (WASHPaLS) for which Ken is also the Strategic Partnerships Lead]:
  + Team Lead on Performance Evaluation of the USAID-funded 6-year, $27m Ethiopia Transform WASH Market-Based Sanitation Activity (2022)
  + Team lead on Performance Evaluation of the USAID/SDC-funded Kenya RAPID integrated WASH and livelihoods activity in the Arid and Semi-Arid Lands region of northern Kenya (conducted remotely – considered to be the first completely remote evaluation of a USAID program) (2020);
  + Team lead on the mid-term performance evaluation of the USAID-funded $18m 5-year Global Communities WASH for Health (W4H) Project in Ghana (2019);
  + Team lead on the mid-term performance evaluation of the $51m 5-year Kenya Integrated Water, Sanitation and Hygiene Project (KIWASH) (2018).
* **Programme Design and Support:**
  + Key programme and governance design support to the Glasgow Declaration on Fair Water Footprints (28 signatories to date from across public, private, civil society, and donor/funder constituencies) (2021-ongoing)
  + Team lead on 2030 WRG design of multi-stakeholder partnership support package for the Rwanda Water Board, which included range of stakeholder consultation exercises (both global and Rwanda assignments conducted remotely) (2020-21);
  + Learning and Knowledge Development advisor to the Dutch WASH consortium led by SIMAVI and including SNV, Plan International and the members of the Dutch WASH Alliance (2019-to present).
  + Strategic and operational advisor to the GIZ International Water Stewardship Program (IWaSP) and then core team member on the DFID-funded IWaSP Mid-Term Review covering Kenya and South Africa in particular (completed 2017);
  + Backstop/advisor to the Swiss Development Cooperation (SDC)’s Global Programme Water seeking synergies across a number of water stewardship initiatives (2019-22);
  + Strategic advisor/support to a core set of partners including the World Bank, the Bill and Melinda Gates Foundation, Leeds University, Emory University and WaterAid in the development of a global initiative on Citywide Inclusive Sanitation (2017-2018).
* **Knowledge Development:**
  + Core member of development team for the Water Integrity Network Water Integrity Global Outlook flagship report (landscaping in 2022 for publication end 2023);
  + Team lead of (42 project) portfolio analysis of the public-private partnership approaches in the Dutch Ministry of Foreign Affairs Sustainable Water Fund portfolio (2021-22);
  + Key contributor to development of the Guide to Managing Integrity in Water Stewardship – a key influence in the water stewardship space –released in August 2015 in partnership with the CEO Water Mandate, GiZ, Pegasys, the Water Integrity Network, and Water Witness International.

Prior to 2014, Ken led on the global partnership and project review of the USAID-The Coca-Cola Company Water and Development Alliance (WADA) (a US$30+ million programme in 27 countries supporting WASH and WRM-related projects) with a follow-up partnership review in 2017; partnered with AguaConsult to deliver a similar assignment for USAID-Rotary Foundation’s H2O Partnership in three countries; and was a member of a 2-person team reviewing a major PPP project for DGIS in Indonesia.

Ken is often asked to facilitate major multi-stakeholder events in the water sector, including at Stockholm World Water Week; other examples include a rural sanitation learning event for USAID in 2021; the 2017 event in Atlanta on Achieving Universal Access to Urban Sanitation Services held by the World Bank, Bill and Melinda Gates Foundation, and Emory and Leeds Universities; a multi-stakeholder process supported by GiZ’s IWaSP programme in Awassa, Ethiopia seeking to advance approaches to water stewardship in the industrial parks (2018); a multi-organisation workshop in Tanzania on Social Accountability in 2018 for Oxfam, WaterAid, Water Witness International; amongst others.

As a Senior Associate of the University of Cambridge Institute for Sustainability Leadership (CISL), Ken has served as faculty on bespoke courses for senior officials from the World Bank, Asian Development Bank and other organisations. He continues to serve as a CISL faculty member on the Post-Graduate Certificate and Diploma Programmes in Sustainable Business and is a regular speaker for CISL courses.

Key Skills AND CONTRIBUTIONS

* Strong analytical skills particularly around water and sanitation service delivery in poor communities, water stewardship partnerships and related sustainable development issues with significant experience across English-speaking Africa
* Wide network of connections having worked in the water and sanitation sectors for 20+ years and with significant contacts and exposure across all stakeholder groups at multiple levels
* Solid facilitation skills (in person and virtual)
* Long-range strategic planning and programme development
* Course and training design and delivery
* Highly effective in both cross-sectoral and cross-cultural teams
* Partnership broker, including design, management and evaluation
* Management of not-for-profit multi-stakeholder global organisations
* Programme assessment and evaluation
* Significant professional field experience living in Southeast Asia (Thailand, Vietnam)

Employment record

From–To: April 2014–present

Employer: Partnerships in Practice Ltd (PiP)

Position Held: Director

Responsibilities: PiP provides services to policymakers and practitioners to strengthen partnership approaches for sustainable development primarily across the water and sanitation sectors. The organisation aims to build on the pioneering work of BPD (see below) through the delivery of advisory, research, review and facilitation services.

From-To: Oct 2019–present

Contracting Agency: Tetra Tech / USAID- Global - Water, Sanitation and Hygiene Partnerships and Learning for Sustainability (WASHPaLS) and WASHPaLS 2 (since November 2021)

Position Held: Strategic Partnerships Lead

Responsibilities: To ensure proper and timely positioning of WASHPaLS learning within the global WASH sector to maximize exposure and opportunity for uptake of research findings in target countries and globally. Support research partners in uptake activities that effectively engage stakeholders in research findings. Produce or direct the production of technical and analytical content for communication and outreach materials tailored for national and global policymakers and practitioners. Support specific requests from USAID on evaluation or other strategic assignments.

From-To: April 2018-October 2020

Contracting Agency: Dexis Consulting: Final Evaluation of Securing Water for Food (SWFF) Grand   
 Challenge Fund (Dexis contracted by USAID on behalf of SWFF Global Partners)

Position Held: Team Member

Responsibilities: SWFF provided support to technological innovations aimed at enhancing crop-per-drop agriculture using strict measurement of water savings, crop production and business development indicators. Five-person team conducted long-term performance evaluation (including travel to grantee countries) to assess SWFF impact against stated goals. Involved significant engagement with SWFF innovators to understand business models, enabling environment, performance against milestones plus wider challenge fund governance.

From-To: 2017-2018

Contracting Agency: World Bank Global Water Practice

Positions Held: Consultant / Facilitator

Responsibilities: Support to the design of a global multi-stakeholder partnership on Citywide Inclusive Sanitation (CWIS), including facilitating stakeholder workshops and information sessions at Stockholm World Water Week; supporting a feasibility study of the partnership and the creation of CWIS principles and working and governance practices and municipal funding mechanisms; developing case study material for wide range of audiences; plus other responsibilities as determined by the core partners (World Bank, Bill and Melinda Gates Foundation, WaterAid, and Leeds and Emory Universities).

From–To: 2008–present

Employer: University of Cambridge Institute for Sustainability Leadership

Positions Held: Core Faculty and Senior Associate

Responsibilities: Core faculty on Post-Graduate Certificate and Diploma Course in Sustainable Business. Faculty on five-day course delivered on 10 occasions over 30 months, the *World Bank Leadership in Sustainable Development Programme*, a bespoke programme targeted at 500 senior staff of the World Bank’s Sustainable Development Network and other departments, plus similarly-styled courses for the Asian Development Bank in October 2011, and Arup Associates (2011-12).

From–To: Nov 2013–Dec 2014

Contracting Agency: UNICEF

Position Held: Consultant

Responsibilities: Sanitation and Water for All (SWA) Partnership Progress Review. Co-designed and delivered a comprehensive assessment of SWA’s progress in achieving its objectives since inception in 2010. Included the review of existing activities, operational management and governance structures as well as an analysis and recommendations for improving the direction of the partnership to achieve its intended outcomes. Follow-on activities included support to the SWA Steering Committee and Secretariat to consider improvements to the governance and membership structures for SWA.

From–To: Mar 2003–Apr 2014

Employer: BPD Water and Sanitation – London, UK

Position Held: Director

Responsibilities: Building Partnerships for Development (BPD) facilitated and promoted responsible multi-stakeholder institutional arrangements to provide water and sanitation services in poor communities in the developing world. BPD’s primary activities included action research, training and project support. As director of BPD, Ken reported to an international multi-stakeholder board of directors for overall management of the organisation. Organisational responsibilities were wide-ranging, chief among them strategic oversight; programme development, management and implementation; impact assessment; fundraising; budgeting and staff management. Programmatic responsibilities were also diverse and included developing and conducting action research programmes; supporting organisations in developing coherent partnering strategies and through partnership assessment and evaluation, designing and facilitating discussions between partners in often challenging contexts. Clients and subcontracting arrangements included organisations with varying characteristics, such as DGIS, USAID, DFID, GIZ, WaterAid, Borda, Rotary International, IADB, The Coca-Cola Company, WSUP, Aqua for All and others.

From–To: Jun 2012–Dec 2013

Contracting Agency: Royal Government of Cambodia Ministry of Interior / World Bank

Position Held: Consultant

Responsibilities: As part of the World Bank-supported Demand for Good Governance programme, Ken conducted research on state-non-state actor partnerships at the local level with the aim of strengthening such arrangements and building greater accountability in support of decentralisation reform processes. Analysis of the enabling environment for partnerships explores the policies, signals, skillsets and other factors that would foster enhanced and/or smoother relationships between state and non-state actors in the Cambodian context. A training course for partnership practitioners and guidance notes formed part of the validation process for the research.

From–To: 2002–2005

Contracting Agency: University of Cambridge Programme for Industry

Position Held: Tutor, Cross-Sector Partnerships Course

Responsibilities: Four-time tutor and lecturer for year-long post-graduate certificate course on cross-sector partnerships organised jointly by the University of Cambridge Programme for Industry and the International Business Leaders Forum. Delivered in two one-week residentials and then online and via email, primary responsibilities included participant group facilitation, assessment of assignments and contributions to the design, content and delivery of the course.

From–To: 1999–2003

Employer: Business Partners for Development (BPD) Water and Sanitation (Employee of WaterAid)

Position Held: Cluster Co-ordinator

Responsibilities: Managed research, practitioner-to-practitioner learning activities, wider dissemination and communications, as well as administrative and budgetary functions of the Cluster, feeding into a wider BPD network with similar work in other sector areas. After the initial four-year initiative of Business Partners for Development ended in 2002, the Water and Sanitation Cluster registered as a charity in the UK under the name of Building Partnerships for Development.

From–To: 1998–1999

Contracting Agency: Business Partnership Unit of the British Department for International Development (DFID), Pentland Group, Ltd. and Prince of Wales Business Leaders Forum, UK and Vietnam

Position Held: Consultant

Responsibilities: Through liaison with different stakeholder groups, designed initial tri-sector Health and Safety Standards project in the footwear industry in Vietnam.

From–To: 1997–1998

Employer: ActionAid Vietnam (AAV), Hanoi, Vietnam

Position Held: Manager, Development and Training Cell

Responsibilities: A British International NGO, supporting poverty-focused programmes in rural Vietnam. Responsibilities included staff training, fundraising, programme monitoring and evaluation as well as various publication and communications tasks.

From–To: 1996–1997

Employer: Vietnam Assistance for the Handicapped (VNAH) and Health and Education Volunteers (HEV), Ho Chi Minh City, Vietnam.

Position Held: Field Representative

From–To: 1993–1995

Employer: United States Agency for International Development (USAID) Regional Support Mission / East Asia, Bangkok, Thailand

Position Held: Environment Officer/Training Officer

From–To: 1991–1993

Employer: US Peace Corps, Ubon Ratchatani, Thailand

Position Held: English Language Teacher

Affiliations

2020 - SOIL Haiti, Board Member. Sustainable Organic Integrated Livelihoods. SOIL provides container-based sanitation solutions to poor households in Cap-Haitien. SOIL is a key member of the Container Based Sanitation Alliance (CBSA).

2019 - Advisory Board Member, WATER-WISER Doctoral Training Programme (Collaboration among University of Leeds, Water and Engineering for Developing Countries [WEDC] of Loughborough University, and Cranfield University)

2020 - Advisory Board Member, Dutch Ministry of Foreign Affairs (DGIS) Valuing Water Initiative.

2016 - Board Member and Chair (since January 2019) of Partnership Brokers Association – a global network of partnership practitioners and brokers registered in the UK but run as a dispersed organisation. ([www.partnershipbrokers.org](http://www.partnershipbrokers.org))

2016 - Membership of and Standard Certified Trainee in the Alliance for Water Stewardship Accreditation Programme

Community Activities

2017 - Board of Governors – Carlton Hill Community Primary School. Brighton, UK.

2018-2021 Board of Governors – Priory Community Secondary School, Lewes, East Sussex, UK.

2011-2016 Board of Governors – Western Road Community Primary School, Lewes, East Sussex. Chair of Board from September 2012 to January 2016.

2014-2020 Trustee of Common Cause – a Lewes, England-based, not-for-profit social enterprise that supports sustainable farming, facilitates wider access to local foods and direct access to involvement in growing food, and works with vulnerable members of the community through environment and wellbeing programmes.

Education

1990 American University, Washington, DC - MA in International Development with focus on urban management and socio-political aspects of change.

1987 Georgetown University, Washington, DC - BS in Foreign Service. International Relations and Comparative-Regional Studies focusing on politics of development.

Languages

|  | **Speaking** | **Reading** | **Writing** |
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| English  Thai | Native (Fluent)  Good | Native (Fluent)  Basic | Native (Fluent) |

publications

**The state of partnering in the water sector: Prospects and pitfalls.** GPEDC – Promoting Effective Partnering Initiative. (March 2016) (Available on www.effectivepartnering.org)

**Private sector engagement in sanitation and hygiene: Exploring roles across the sanitation chain.** WSSCC / SuSanA Online Discussion Synopsis. (Jan 2016) **(**[**link**](https://sanitationupdates.files.wordpress.com/2016/01/wsscc-susana-private-sector-thematic-discussion-summary.pdf)**)**

**Guide for Managing Integrity in Water Stewardship Initiatives: A Framework for Improving Effectiveness and Transparency.** CEO Water Mandate. (2015) **(**[**link**](https://www.pacinst.org/wp-content/uploads/2015/08/WSI_Integrity_final_web.pdf)**)**

**The Enabling Environment for Local Level State-Non-State Partnerships.** Ministry of Interior: Cambodia (unpublished – extracts published as practitioner notes)

**Sanitation and Water for All (SWA): Preparing for the future** - SWA Progress Review (Oct 2014)

**Small Town Water and Sanitation Service Delivery: Taking a Wider View**, with Erik Harvey of WaterAid, 2011 (available at [www.bpdws.org](http://www.bpdws.org))

**Global Economic and Sector Work on the Political Economy of Sanitation in Four Countries: Brazil Country Case Study,**with Alex Shankland of Institute for Development Studies: Univ of Sussex & through OPM (unpublished)

**Defining Our Terms and Clarifying Our Language,**with L. Stott in Svennsson, L. and B. Nilsson (eds.) *Partnership as a Strategy for Social Innovation & Sustainable Change*, pps. 23-36, Santerus Academic Press: Sweden, 2008

**The Current Partnership Context in Water and Sanitation**(adapted from BPDWS Business Plan), BPDWS: London, Jul 2007

**Assessing Partnership Performance: Understanding the Drivers for Success,**with J. Gomme, J. Mugabi and L. Stott, *BPD Research Series*, 30 pps., BPD: London, Oct 2007

**Creating Space for Innovation: Understanding Enablers for Multi-Sector Partnerships in Water and Sanitation,**with Newborne, P., *BPD Research Series*, 30 pps., BPD: London, Jun 2006

**Partnership Accountability: Unpacking the Concept***. BPD Practitioner Note Series*, 4 pps., BPD: London, Aug 2005

**The Partnership Paperchase: Structuring Agreements in Water and Sanitation in Low-Income Communities,** *with Evans, B. and McMahon, J. BPD Research Series*, 30 pps., BPD: London, Nov 2004

**Plotting Partnerships: Ensuring Accountability and Fostering Innovation.** *Accountability Quarterly*. AccountAbility: London, Apr 2003

**Flexibility by Design: Lessons from Multi-Sector Partnerships in Water and Sanitation Projects.** *BPD Research Series,* 36 pps., BPD: London, Jun 2001 (Lead Author)

Contact Details

*Email:* [*ken@partnershipsinpractice.co.uk*](mailto:ken@partnershipsinpractice.co.uk)*;* [*kenc.13.lewes@gmail.com*](mailto:kenc.13.lewes@gmail.com)

*Skype*: ken.caplan

*Address*: Partnerships in Practice  
1 Castle Terrace  
67 New Road  
Lewes, East Sussex BN7 1YZ  
United Kingdom