

TPSD Facility – How-to tools

Monitoring and Evaluation methods for Public-Private Dialogue

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About the TPSD Facility

The TPSD/E Facility is an advisory service of the European Commission (EC) managed by DAI for the unit E2 in charge of Microeconomic Analysis, Investment Climate, Private Sector, Trade and Employment within the General Directorate for International Partnerships (INTPA).

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1 INTRODUCTION

Consistent with the Communication "A Stronger Role of the Private Sector in Achieving Inclusive and Sustainable Growth in Developing Countries"[1] and the Africa-Europe Alliance Communication[2], and in line with the implementation of the EU External Investment Plan (EIP), the **EC supports sustainable and inclusive growth** as well as the creation of decent jobs notably by enabling the investment climate in partner countries. In this context, the Sustainable Business for Africa (SB4A) platform was established to promote structured dialogue with the private sector, to identify key constraints to private investment, and prioritize actions in the investment climate reform agenda.

The **SB4A Platform** corresponds to the second building block of EIP Pilar 3 aiming at **engaging in public-private dialogue (PPD)**. The overarching objective of SB4A is to catalyze more private investment in partner countries to create more decent jobs and sustainable growth, and achieve poverty reduction, with a focus on women and youth. SB4A's general objective is therefore aligned with the United Nations' 2030 Agenda for Sustainable Development and the Sustainable Development Goals (SDGs), the Addis Ababa Action Agenda on Financing for Development, and the new European Consensus on Development. SB4A's specific objective is to facilitate structured dialogue with the private sector in the framework of the EIP.

SB4A provides EU Delegations and the European Commission with a reference framework, guidelines and technical assistance support, for the establishment or reinforcement of a structured dialogue with the local and European private sector –as well as with other relevant stakeholders at country level- in African partner countries, to identify the constraints weighing on the development of the private sector and investments, and to seek to improve the investment climate. Investment climate improvements should be observed with a long-term view and eventual contribution to decent jobs creation, and sustainable and inclusive growth. As a consequence, SB4A is an important lever for the implementation of the EIP and constitutes the cornerstone of its third pillar (improvement of the investment climate).

With the adoption of the new Multiannual Financial Framework (MFF) 2021-2027 and the subsequent revamping of its financial architecture and instruments, merging several external financial instruments into a broad Neighbourhood, Development and International Cooperation Instrument (NDICI), the EFSD+ will extend the scope and geographical coverage of the existing European External Investment Plan (EIP) to two regions (Asia and Pacific, as well as Americas and the Caribbean)[3]. **In order to support investment in these two regions, efforts to improve the investment climate and business environment will also be carried out, which implies to promote further structured dialogue with the private sector through PPD in these two new regions as well.**

This practical tool aims to equip INTPA and EU Delegation staff with tools and methods to monitor and evaluate the effectiveness of PPD and enable them to set up effective monitoring and evaluation mechanisms for PPDs. Firstly, it briefly offers a background on aid effectiveness and details key concepts of result measurement. It further provides insights on various ways to define inputs, outputs, outcomes and impacts through various indicators in the most effective way.

[1] EC, A Stronger Role of the Private Sector in Achieving Inclusive and Sustainable Growth in Developing Countries, May 2014, p3

[2] European Commission, Communication from the Commission to the European Parliament, the European Council and the Council, Communication on a new Africa-Europe Alliance for Sustainable Investment and Jobs: Taking our partnership for investment and jobs to the next level, September 2018, p8

[3] ECDPM, Leveraging the next EU budget for sustainable development finance: the European Fund for Sustainable Development plus (EFSD+), Discussion paper n°243, February 2019, pp1-5

2 KEY CONCEPTS

The importance of **measuring impact of development aid** (aid effectiveness) to achieve economic or human development was first stressed in 2002 at the International Conference on Financing for Development in Monterrey, after which the Monterrey Consensus was established to ensure that aid would be used as effectively as possible. In 2005, the Paris Declaration was adopted at the 2nd High Level Forum on Aid Effectiveness with the objective of promoting a result-based management approach composed of five pillars: Ownership, Alignment, Harmonisation, Managing for Results and Mutual Accountability.

The Third High Level Forum on Aid Effectiveness (2008) resulted in the endorsement of the Accra Agenda for Action (AAA), reaffirming the Paris Declaration and enlarging the commitment to more donors towards coordination on aid effectiveness. Finally, the Global Partnership for Effective Development Cooperation (GPEDC) was adopted at the Fourth High-Level Forum on Aid Effectiveness in Busan in 2011. The GPEDC acts as a multi-stakeholder platform providing support, guidance and disseminating knowledge to boost development impact.

Monitoring and Evaluation (M&E) aims to enhance project performance at two levels: on the one hand, M&E mechanisms provide evidence on the achievement of the objectives of a project, and on the other hand, it incentivizes project management to keep track of performance indicators. The OECD defines the terms monitoring and evaluation in the *Glossary of Key Terms in Evaluation and Results Based Management*[4]:

- **Monitoring**: A continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds
- **Evaluation**: The systematic and objective assessment of an on-going or completed project or programme, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability

Under this approach, evaluations thus aim at assessing six OECD/DAC criteria[5]:

1- **Relevance**: Is the intervention doing the right thing?
2- **Coherence**: How well does the intervention fit?
3- **Effectiveness**: Is the intervention achieving its objectives?
4- **Efficiency**: How well are resources being used?
5- **Impact**: What difference does the intervention make?
6- **Sustainability**: Will the benefits last?

Through the integration of systematic feedback loops within a project cycle, M&E is considered to improve the quality of project supervision and implementation, and ultimately its impact[6]. The most common M&E approach used by development partners are Result Based Management and the **Logical Framework Approach** (LFA)[7]. LFA is an analytical and management tool which is now used by most multilateral and bilateral aid agencies, international NGOs and by many partner governments for the management of development projects. More precisely, it is an analytical process and set of tools used to support objectives-oriented project planning and management. It provides a set of interlocking concepts which are used as part of an iterative process to aid structured and systematic analysis of a project or programme idea. LFA is not only instrumental to analyze an existing situation, but also used in project design to establish causal links between inputs, activities, results, and specific/general objectives. During project implementation, LFA serves as a M&E to track project performance and communicate among stakeholders.

[4] OECD, Glossary of Key Terms in Evaluation and Results Based Management, 2002, p21 and 27
[5] OECD/DAC Network on Development Evaluation, Better Criteria for Better Evaluation, Revised Evaluation Criteria Definitions and Principles for Use, December 2019
[6] World Bank Group, What Difference Does Good Monitoring & Evaluation Make to World Bank Project Performance?, 2016, p2
[7] OECD, Monitoring and Evaluation: Learning from Development Co-operations, 2011, p7

LFA typically consists of a matrix (called Logical Framework Matrix) with four columns and four rows which summarize the key elements of a project design. The table below presents its components:

Table 1 – Logical Framework Matrix[8]

Project Description		Indicators (baseline/target /current value)	Source of verification	Assumptions
Overall objective	Overall impact that a project will supposedly have	Key indicators related to the overall objective	Sources of information for these indicators	Not applicable
Specific objectives (outcomes)	Immediate development outcome	Key indicators related to the specific objectives	Sources of information for these indicators	Factors outside project management's control that may influence on the impact-outcome(s).
Expected results (outputs)	Specific deliverable results achieved	Key indicators related to the expected results	Sources of information for these indicators	Factors outside project management's control that may influence on the other outcome(s)/output linkage
Activities	**Means:** Political, technical, financial, human and material resources required to implement these activities, (i.e. staff, equipment, supplies, operational facilities, etc.) **Costs:** Costs incurred by the actions?			Factors outside project management's control that may impact on the activities-outputs linkage.

PPD is one instrument to support **Business Environment Reform** (BER), which is defined by the Donor Committee for Enterprise Development (DCED) as the "*complex of policy, legal, institutional, and regulatory conditions that govern business activities. It is a subset of the investment climate and includes the administration and enforcement mechanisms established to implement government policy, as well as the institutional arrangements that influence the way key actors operate (e.g. government agencies, regulatory authorities and business membership organisations, civil society organisations, trade unions, etc.)*[9]". The process of BER aims at promoting changes to regulations in order to reduce the costs and risks of business activity by improving poor government policies, laws and regulations, and to stimulate competition through new market entrants.

In developing countries, donors implement interventions to support BER to increase investment and boost quality job creation. Typically, BER interventions are implemented by donors at national, subnational, sectoral and regional levels and address the following aspects[10]:

- **Reducing business costs**: to increase profits (possibly leading to increased investment) or increasing market share (and thereby output and employment);
- **Reducing risks and improving predictability**: poor or frequently changing government policies, laws and regulations pose a risk for businesses, thus reducing the value of capital and the number of attractive investments in that market;
- **Promoting new business entry and increasing competition**: laws and regulations to support capacities and means of entrepreneurs (training, financial); to enable access to production factors and infrastructure (such as human capital, energy or transport);
- **Promote positive social and environmental externalities** contributing to long-term sustainable growth and to Sustainable Development Goals (SDGs)

[8] Extracted from EC, Logical framework and Activity matrix, July 2019

[9] DCED, Promoting Economic Transformation through Business Environment Reform, 2019, p6

[10] European Commission, Business Environment Reform Guidelines, 2019, pp17-18

3 BENEFITS OF M&E FOR PPD

Integrating a M&E mechanism into a PPD will allow to achieve three objectives: provide a factual framework for evaluating performance a dialogue platform; improve project management; and facilitate benchmarking and exchange of experience between PPD practitioners using harmonized M&E tools. Useful performance indicators for PPD M&E include outputs such as number of new laws/regulations/amendments drafted and outcomes like number of reforms put forward for enactment by PPD that were enacted.

According to the PPD Charter[11], **M&E is an effective tool to manage the public-private dialogue process and to demonstrate its purpose and performance**. The advantages of monitoring and evaluation are numerous: M&E techniques improve overall planning of PPDs, facilitate advocacy, and increase incentives to promote more effective implementation. In Kenya, for instance, Results Based Management tools such as Rapid Results Approach and Performance Contracts to support and monitor implementation of reform recommendations have been implemented by Kenya Private Sector Alliance (KEPSA), the private sector organization coordinating the PPD[12]. Gender disaggregated data are also used to monitor inclusion of women entrepreneurs in PPDs.

From the practitioners' experience, it appears that **M&E mechanisms should remain simple and flexible in order to serve as a tool to promote transparency and accountability**. A participatory approach is considered as a best practice to implement M&E of PPDs, and all stakeholders should be involved. M&E should not only cover enactment of reforms, but also scrutinize their implementation after adoption. Finally, targeted inputs, outputs, outcomes and impacts should be defined with specific indicators and reviewed periodically by PPD stakeholders. The objective is to identify a methodology based on international practice and adapt it to the needs of SB4A.

4 METHODOLOGIES FOR M&E OF PPD

Various approaches and methodologies exist to track performance of PPD. In order to illustrate these, this section will synthetically present three examples of methodologies of M&E approaches to PPD: the DEVCO Sector Indicators Guidance, the PPD Handbook M&E methodology, and the Global Partnership monitoring approach.

4.1 DEVCO Sector Indicators Guidance

The EU Commission supports sustainable and inclusive growth and creation of decent jobs for all. In partner countries, EU support aims to improve investment climate that includes the use of structured dialogue with the private sector and encourage increased trade and investments. Therefore, the desired impact of the EC actions is increased sustainable inclusive economic growth with improved livelihoods and decent employments (more and better jobs). These are linked directly to the Sustainable Development Goals on 8, 9, 12, 17 and 1 (Decent work and Economic Growth; Industry, Innovation and Infrastructure; Responsible Consumption and Production, Partnerships and No poverty) as well contribution to all 17 SDGs.

As PPD is a tool for BER, it is appropriate to start designing projects related to PPD by following the Sector Indicators Guidance (SIG) developed by DEVCO. The SIG provides the EU staff involved in the design of development actions with guidelines to develop solid logical framework matrices and defines clear and measurable results statements aligned with both DEVCO policy priorities and the UN Sustainable Development Goals (SDGs)[13]. A dedicated guidance for action design in the field of BER[14] has also been developed by DEVCO and offers an exhaustive review of the specific results chain for Business Environment Reform.

For the output "Improved market intelligence and identification of barriers to investments and trade from structured dialogue with relevant stakeholders: private, public sector and public-private (SB4A)", short-term outcomes include

[11] Public-Private Dialogue, Charter of Good Practice in using PPD for Private Sector Development and Inclusive Growth, Organisation? March 2015, p5
[12] KEPSA, Kenya PPD Case Study, 2015
[13] European Commission, Business Environment Reform Guidelines, 2019, pp127-129
[14] DEVCO, Results and Indicators for Business Environment Reform, p13

increased private sector engagement and leverage as well as reduced transaction time and costs associated with compliance with business procedures, medium-term outcomes comprise improved competitiveness and sustainability of the local private sector and increased private inclusive & sustainable investment (domestic and foreign) and overall objective relates to increased sustainable inclusive economic growth with improved livelihoods and decent employments (more and better jobs)[15].

More specifically, the six following indicators are proposed by the SIG for the output "Improved market intelligence and identification of barriers to investments and trade from structured dialogue with relevant stakeholders: private, public sector and public-private":

1) Number of platforms/mechanisms established with the representation from all relevant stakeholders, with agreed common objectives and have a progress tracking mechanism that meet at least x-times a year (Number of platforms/mechanisms)
   Data source: At least two surveys- ex ante and ex post - as part of intervention M&E system
2) Number of users of intervention established platforms/mechanisms by sector of users (Number of users) data source At least two surveys- ex ante and ex post - as part of intervention M&E system
3) Percentage of structure dialogue work plan completed on time (Percentage)
   Data source: Intervention M&E
4) Percentage of new/supported government policies/regulations/legislations that involve consultations with [*CSO/private sector] (Percentage)
   Data source: Government official documents, and analyses as part of project M&E
5) Percentage of intervention supported events on [topic X] where all relevant stakeholders were represented (Percentage)
   Data source: Intervention M&E system
6) Number of coordinated and relevant formal responses/reports produced on [topic X] by programme supported multi-stakeholder mechanisms (Number)
   Data source: At least two surveys - ex ante and ex post - as part of intervention M&E system

Box 1 – CSO Roadmap Indicators

In 2014, an effort was initiated to develop the EU Country Roadmaps for Engagement with Civil Society. (CS) Conceived as a joint initiative between the European Union and Member States, Roadmaps were designed to strengthen the EU's engagement with Civil Society and to develop a comprehensive and strategic approach to supporting Civil Society Organisations (CSOs), in line with the 2012 communication "The Roots of Democracy".

In 2017, the Roadmap Facility, in charge of providing technical support to the EU headquarters and EU Delegations on the EU engagement with CS, including the revision, implementation, M&E, of their "EU and Member States Country Roadmap for engagement with CSOs", produced a "hands-on" guidance note to assist EU Delegations in the monitoring of their engagement with CSO[16]. The note offers a summary of the lessons learnt so far in the follow up of the Roadmaps, and more generally the engagement with CS worldwide, and includes a set of possible indicators.

The approach suggested in the note provides interesting elements of comparison with M&E of PPD since it relates to structured dialogue with CSOs, and therefore it could be applied, to a certain extent, to the structured dialogue with private sector organisations (PSOs). This approach consists in articulating indicators around 3 dimensions: enabling environment of civil society; civil society participation; and capacity strengthening of civil society. Below, we provide a series of examples of indicators that can be used of each dimension:

1) Enabling environment of civil society

[15] See result chain diagram, https://europa.eu/capacity4dev/results-and-indicators/99824/diagram
[16] Roadmap Facility, Note to support EUDs in the definition of indicators about their engagement with CSOs, April 2017

LEGAL FRAMEWORK REGULATING CSOs	Number of initiatives supported by the EUD and MS with a view to reviewing the legal and institutional framework regulating CSOs
	Number and type of CSOs which have participated in the design of the civil society legal framework (or number of meetings organised with CS actors with a view to analyse and discuss the legal framework related to Civil Society)
FUNDAMENTAL RIGHTS AND FREEDOMS	Level of fulfilment by the State of international standards in relation to fundamental rights
	Number of workshops/information sessions/consultations around human rights organized in the capital and the districts
INSTITUTIONAL FRAMEWORK REGULATING CSOs	Existence of a clear interlocutor for Civil Society at the level of the different line ministries and/or at regional and local level.
	Existence of an updated and unified NGO database, including project reports and good practices, at the disposal of the public authorities

2) Civil society participation

PARTICIPATION OF CSOS IN PUBLIC POLICIES (NATIONAL, SECTORAL, LOCAL)	ABOUT POLICY DIALOGUE AROUND NATIONAL PLANS/STRATEGIES	Level and quality of the invited spaces of dialogue established around National/sectoral development plan/ strategy policy discussions
		umber and diversity of the CSOs invited to attend the National/sectoral development plan/strategy policy discussions
	ABOUT CONSULTATION AROUND NEW LAWS	Level of provision of adequate information to CSOs on the content of the draft laws and details of the consultation with sufficient time to respond
		Level of consultation of new laws/sub-decrees are thoroughly and degree to which CS comments are accepted and reflected in the final provisions of the laws/sub-decrees
	ABOUT CS INVOLVEMENT IN THE FORMULATION AND IMPLEMENTATION OF PUBLIC POLICIES	Number of EU (EUD/MS) funded projects which promote the inclusion of CSOs in public policy formulation and/or the establishment of a more permanent dialogue (note: it can also be applied to specific sectors)
		Number of fora/consultation mechanisms established to integrate the voice of CSOs into policy discussions around public goods
TRANSPARENCY AND ACCOUNTABILITY ROLES PERFORMED BY CSOs	ABOUT THE PROVISION OF CAPACITY DEVELOPMENT TO STRENGTHEN DIALOGUE	Number of CSOs (specially networks, etc.) whose institutional capacities on policy dialogue are supported by the EU (EUD and MS)
		Number of EU-funded initiatives aiming at reinforcing CS and/or public authorities' capacities and skills for dialogue on issues related to national and local public policy
	ABOUT CONSULTATION ON BUDGETS	Number and extent of initiatives adopted by the government to ensure access to information around national, sectoral/ local budgets
		Number and inclusiveness of invited consultation mechanisms (e.g. budget committees, etc) to discuss national/sectoral budgets
CS PARTICIPATION IN THE EU (EUD AND MS) AND O THER DONORS' DEVELOPMENT AND EXTERNAL RELA TIONS POLICIES	CONSULTATION BETWEEN EU AND CSOs	Number and extent of EU consultation and dialogue mechanisms with CSOs to discuss political issues and/or the different phases of programming, follow up and evaluation of EU cooperation, including National indicative Programmes (NIPs) and Association Agreements
		Level and degree of involvement of CSOs in the follow up (e.g. through the steering committees), monitoring and/or evaluation of EU programmes and projects

3) Capacity strengthening of civil society

CS CAPACITES AND CAPACITY DEVELOPMENT	ABOUT MANAGEMENT AND TECHNICAL CAPACITIES	Level of professionalization of CSOs and of proficiency of management systems and procedures
		Number of capacity development initiatives (funded by the EU, EUD and MS) aimed at improving management /technical skills within CSOs
	ABOUT RESEARCH AND AD VOCACY CAPACITIES	Number of CSOs (including networks and think tanks) engaged in evidence-based research and advocacy
		Number of capacity development initiatives funded by the EU (EUD and MS) aimed at supporting CS research and advocacy
CS INTERNAL GOVERNANCE, LEGITIMACY AND CREDIBILITY	Number of CSOs having annual reports (narrative and financial) and publishing them	
	Number/percentage of CSOs benefitting from support to strengthen their internal governance systems	

Finally, **a set of key recommendations** when selecting indicators were put forward by the CSO Roadmap Facility, based on its experience:

- Use **SMART** indicators: specific, measurable, achievable, relevant and time-bound
- Limit the number of indicators to a maximum of 8/10 indicators
- Ensure there is a clear linkage between each indicator and the priority it aims to measure
- Try to formulate outcome indicators rather than output indicators
- Make sure that indicators are formulated consistently
- Consider the resources that will be required to measure progress

4.2 PPD Handbook methodology for M&E of PPD

The second approach that we present in this paper is the methodology proposed by the PPD Handbook[17] to design and implement M&E for PPD. It is articulated around three components:

1- Organizational effectiveness
2- Impact on the reform process
3- Evaluation of the regulatory and economic impact

4.2.1 Organizational effectiveness

The first component of M&E for PPD, according to the methodology proposed by the PPD Handbook, seeks to assess the organization effectiveness of PPD in light of the good practice principles provided by the PPD Charter of Good Practice.

The PPD Charter of Good Practice in Using Public-Private Dialogue for Private Sector Development was drafted in 2006 at the International Workshop on Public-Private Dialogue, organized by a cross-sectoral team from DFID, the World Bank, the IFC and OECD Development Centre, held at the World Bank Paris Conference Centre, and attended by over a hundred participants from thirty countries. Box 2 below lists the good practice principles enshrined in this charter.

Box 2 – Charter of Good Practice in Using Public-Private Dialogue for Private Sector Development

According to the Charter of Good Practice in Using Public-Private Dialogue for Private Sector Development[18], there are twelve best practice principles to conduct PPDs:

[17] DFID/World Bank/IFC/OECD, The PPD Handbook, A toolkit for Business Environment Reformers, 2006, p11
[18] DFID, the World Bank, the IFC and OECD Development Centre, Charter of Good Practice in Using Public-Private Dialogue for Private Sector Development, 2006, pp2-7

1. *Mandate and institutional alignment*: it is important that a PPD mechanism has an official mandate, and is aligned with existing institutions
2. *Structure and participation*: participants to PPDs should be selected in a careful, transparent and inclusive manner. The PPD structure should rely on a simple and flexible organizational structure – a secretariat
3. *Champions*: Public sector champions should have strong leadership and buy-in; Champions from the private sector should be independent and considered representative by the business community. These champions take ownership of the dialogue process and drive it forward. They must be credible and considered to pursue the broad interests of the country
4. *Facilitator*: a PPD should be moderated by a dynamic (with an innovative and entrepreneurial mindset) and trained facilitator who has both negotiation/consensus building skills, and understanding of technical issues
5. *Outputs*: the PPD outputs should be analysis of business constraints or reform proposals addressing policy, regulatory or legal issues
6. *Outreach and communication*: Communication is crucial to communicate about reforms, as well as to ensure transparency of the PPD process and ownership/participation of the local community
7. *Monitoring and Evaluation*: a strong M&E system is necessary to manage a PPD mechanism and monitor its performance
8. *Sub-national*: local-level and decentralized dialogues between public and private sectors are recommended to increase grassroot stakeholders' participation in decision-making
9. *Sector-specific*: it is important that PPDs address a combination of cross-cutting and sectoral issues in order to adopt a more targeted and focused approach on specific bottlenecks allowing for concrete improvements of the business climate
10. *International role*: inclusive PPDs can promote national and regional interests of public and private sectors in international negotiations and consultation processes
11. *PPDs in fragile and post-conflict states (FCAS)*: PPDs can greatly contribute to consolidate peace and rebuild the economy in FCAS. They should be encouraged in these countries.
12. *Development partners*: Donors can play an important role to support PPDs by enabling and facilitating dialogue in a neutral manner, building capacity of stakeholders and supporting the creation of partnerships

Based on these good practice principles, a PPD evaluation tool has ben developed and is available online[19]. It allows to examine aspects related to PPD organizational structure according to 12 elements from the Charter: Mandate and Institutional alignment; Structure and Participation; Champions and Leadership; Facilitation and Management; Outputs; Communication and Outreach; Monitoring and Evaluation; Sub-national; Sector Specific; Relevance to FDI; Post-conflict/disaster and crisis mitigation/management; and Development Partners. To illustrate this, the table below provides the operational process indicators and indicator measurement for two elements: Mandate and Institutional alignment; Structure and Participation.

Table 1 - Example of Indicators and measurement from the PPD Evaluation tool

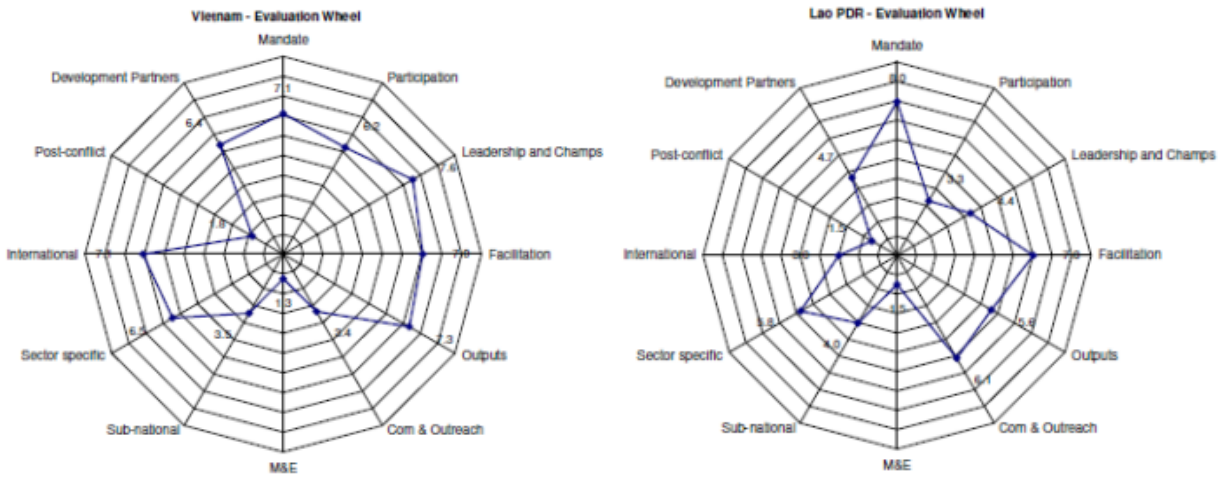
Operational process indicators	Indice measurement
Mandate and Institutional alignment	
Existence of mission statement and capacity of participants to explain this mission statement. *Desk study Interviews (minimum of 5 interviews with stakeholders)*	Non-existence=0; existence (in coherent written document) =10.
	Percentage respondents who are able to recite the substance of the mission statement (none=0, all=10).
Degree of anchorage of the partnership into existing public institutions as per its mandate. *Desk study Interviews*	Percent of participants with decision making power in their home institutions (none=0; all=10).
	Mandate formally accepted and signed by relevant public institutions (none=0, all=10).
Institutional readiness to implement PPD recommendations	Existence of a dedicated public institution in charge of following up on the implementation of the PPD's recommendations (none=0, yes =10)

[19] See www.publicprivatedialogue.org/tools/ANNEXES/evaluation_tool/PPD%20Evaluation%20Tool_2010.xlsx

Structure and Participation	
Existence of rules and regulations in the partnership, including formal mechanisms in place to balance power. *Desk study Interviews*	Non-existence of documents with rules and regulations=0, Complete set of rules and regulations=10.
	Equal participation of each stakeholder group (in number and level representatives): unequal or stakeholder groups missing=0; exactly equal=10).
Degree of participatory decision making. *Desk study Interviews*	Percent of decisions reached by consensus or vote during partnership meetings (none=0, all=10).
	Active contribution of all different stakeholder groups in developing proposals (none=0, all=10).

Out of this PPD evaluation tool, and applying a weighting, a **PPD evaluation wheel** has ben developed and allows to obtain a visual representation of PPD organizational structure, making comparisons more immediate. The figure below illustrates two evaluation wheels realized in the context of the impact assessment of PPD in Vietnam, Lao PDR and Cambodia.

Figure 1 – Evaluation wheels of Vietnam and Lao PDR PPDs[20]



An important observation should be made at this point: Assessing processes-related aspects of PPD with traditional logical framework tools is uneasy since these processes are perceived subjectively by the various stakeholders involved in PPD. To be useful and representative, this method needs to measure inter-subjective and crosschecked indicators. **To obtain more objective information to assess organizational effectiveness and process development of PPD, we use participatory instruments, crosschecking opinions from respondents, and securing confidentiality to allow people to express openly.**

4.2.2 Impact on the reform process

This second component of M&E assesses the impact that a PPD has on the process of reform in a specific context. **How can a PPD allow the private sector to make reform happen?** More precisely, it aims to assess the influence of PPD on the ability of the private sector to identify business impediments, prioritize them and advocate to the public sector for the adoption of legal and regulatory changes. It then tracks the effectiveness of legislative and executive processes, and the reform implementation.

A specific M&E tool has been developed for this component: the **PPD Reform Process table**. This analytical tool assesses if the Private sector and the Government meet the pre-conditions along 5 steps of the reform process: 1)

[20] Public-Private Dialogue, Impact Assessment of the Public-Private Dialogue Initiatives in Cambodia, Lao PDR, Vietnam, 2007, p68

Diagnostic; 2) Solution Design; 3) Advocacy and Handover to Public Sector; 4) Legislative and/or Executive Process; and 5) Implementation, M&E, Follow-up. More importantly, it allows to determine to what extent the PPD has had an impact on each step (scale from 0-no impact of PPD at this step to 3- PPD was only cause of progress), and for each reform[21]. After analysing each reform individually, an overall impact score of PPD on the reform process can be aggregated. In the table below, we present an example of a Reform Process table for 3 reforms (custom clearance, VAT and business registration).

Table 2 - Example of a PPD Reform Process table

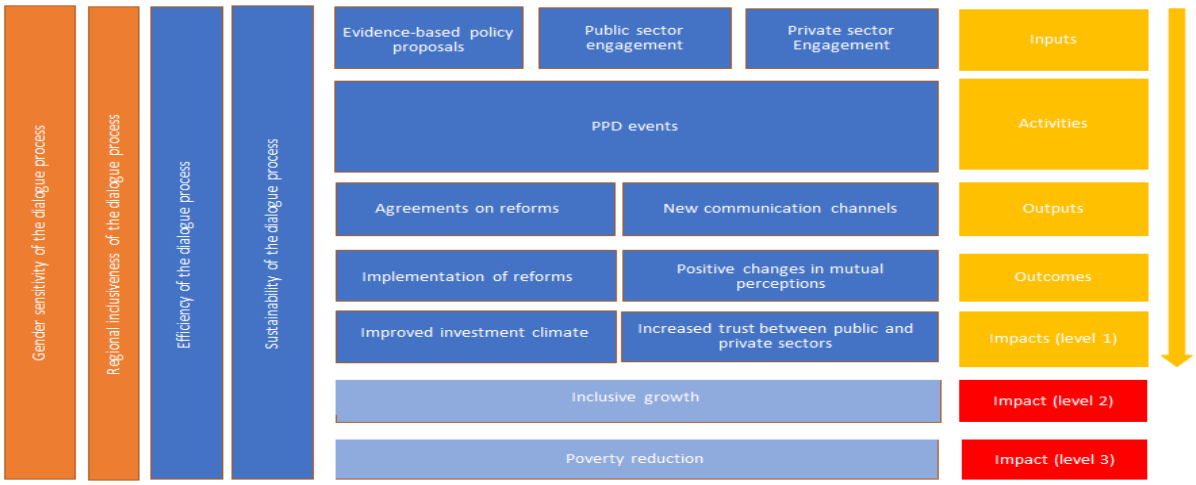
Reforms	Steps					Average Effectiveness of PPD on reform score
	Diagnostic	Solution Design	Advocacy and Handover to Public Sector	Legislative and/or Executive Process	Implementation, M&E, Follow-up	
Custom clearance	1	1	3	2	1	**1,6**
VAT	1	0	2	1	2	**1,2**
Business registration	0	3	3	2	1	**1,8**

4.2.3 Evaluation of regulatory and economic impact

This component of PPD M&E is based on the logical framework approach. Typically for PPD, a logical framework identifies five basic levels in the evaluation exercise: Activities, Inputs, Outputs, Outcomes, and Impacts, and are representative of a variety of indicators such as Resources, Products, Behavioural Change, Increased employment, and more[22]. The logical framework focuses on objectively verifiable outputs, outcomes, and impacts of PPD processes. Indicators can either be standardized (for instance, based on some Doing Business indicators), or customized and identify target groups for measurement[23]. For instance, if a PPD includes a working group on SMEs competitiveness would target the specific SME group (companies whose turnover is comprised between a minimal and a maximal turnover, as opposed to all companies), and the selected indicator would be turnover increase percentage. As we will offer examples of specific indicators in the next section, we will not enter now into details but rather offer a preliminary overview. Table 3 below illustrates a typical logframe for PPD.

Figure 2. Example of typical logical framework for PPD[24]

[21] DFID/World Bank/IFC/OECD, The PPD Handbook, A toolkit for Business Environment Reformers, 2006, p156
[22] Public-Private Dialogue, Private Sector for Good Governance Program Governance Global Practice, p10
[23] DFID/World Bank/IFC/OECD, The PPD Handbook, A toolkit for Business Environment Reformers, 2006, p166
[24] CIPE, Evaluation of the Ethiopia Public Private Consultative Forum (2010-2017), revised version June 2018, p22



Evaluating the regulatory impact of PPD consists in quantifying the cumulative number of PPD-sponsored of new or amended policies, regulations, laws implemented as a direct consequence of the dialogue process. By way of example, The Vietnam Business Forum has contributed to the enactment of approximately 150 reforms addressing in more than 20 areas including taxation, labour, banking and capital markets, technology transfer, import-export procedures and infrastructure[25].

Based on the previous evaluation, evaluating the economic impact of PPD consists in quantifying the objective economic impact of specific reforms tackled by the a PPD on economic indicators such as Gross Domestic Product (GDP), Foreign Direct Investment (FDI), exports, jobs, income, private sector savings, operating costs, cost of business compliance, business registration, productivity and competitiveness.

For instance, three reforms implemented as a consequence of a PPD in Nepal (Nepal Business Forum) – in the tax, export credit and electricity sectors - have generated 8 million USD in private sector savings. In Liberia, the Liberia Better Business Forum (LBBF) has resulted in 4.7 million USD in private sector savings, the creation of 20,400 new jobs; an increase in business registrations by 20 percent; and attracted 13 million USD of FDI[26]. In Table 3 below, we provide an example of economic impact evaluation on private sector savings for the reform of the personal income tax in Vietnam.

Table 3 - Example of economic impact evaluation – Vietnam Business Forum / personal income tax[27]

Reform	Annual impact	Comments	Date	Impact period
Personal income tax	60 million USD	Since 2001, the minimum threshold for personal income tax payment was VND3M/ month. In 2004 an amendment raised the threshold to VND5 M39. With a first tax rate band of 10% and over 400,000 PIT40 workers the total savings to the PS is equal to US$5 M per month (US$60M per year)	2004, ongoing (until 2007, when the evaluation was carried out)	180 million USD over the period

[25] Benjamin Herzberg and Malcom Toland, Review of the World Bank Group Support to Structured Public-Private Dialogue for Private and Financial Sector Development, 2009, p15

[26] Steve Utterwulghe, Fostering Private Sector Development in Fragile States: Why Public-Private Dialogue is Part of the Recipe, in GREAT insights Magazine, Volume 4, Issue 1. December 2014/January 2015

[27] Public-Private Dialogue, Impact Assessment of the Public-Private Dialogue Initiatives in Cambodia, Lao PDR, Vietnam, 2007, p151

4.3 Global Partnership monitoring approach of PPD

In the aftermath of the Busan Fourth High Level Forum on Aid Effectiveness, and in line with the objectives of the GPEDC (see section 2), a consultative multi-stakeholder process led to the approval of the **Global Partnership monitoring framework** in June 2012. The Global Partnership's monitoring framework aims to capture progress, at country-level, of the four principles mutually agreed in Busan: country ownership, a focus on results, inclusive partnerships and transparency and mutual accountability. Reporting to the framework is carried out on a voluntary basis and involves a broad range of stakeholders: development partners, the private sector, and civil society organisations[28].

In 2017-2018, the monitoring framework was refined to reflect the better challenges of the 2030 Agenda, and consists of a set of indicators aiming to build developing countries' institutions, increasing the transparency and predictability of development co-operation, enhancing gender equality, and supporting greater involvement of civil society, parliaments and the private sector in development efforts. In Table 4, these indicators are listed.

Table 4 – List of Global Partnership monitoring framework indicators[29]

Principle	Indicators
Focus on Results	1. Countries strengthen their national results frameworks 2. Development partners use country-led results frameworks
Country ownership	3. Development co-operation is predictable (annual and medium term) 4. Quality of Countries' Public Financial Management (PFM) Systems 5. Development partners use country systems 6. Aid is untied
Inclusive partnerships	7. CSOs operate within an environment that maximises their engagement in and contribution to development **8. Quality of Public-Private Dialogue**
Transparency and mutual accountability	9. Transparent information on development co-operation is publicly available 10. Development co-operation is included in budgets subject to parliamentary oversight 11. Mutual accountability among development actors is strengthened through inclusive reviews 12. Countries have transparent systems to track public allocations for gender equality and women's empowerment

Within the Global Partnership monitoring framework, the **quality of public-private dialogue indicator (called indicator 3)** seeks to measure the quality of PPD in all participating countries and track convergence towards the Busan and Nairobi commitments concerning creating greater inclusion and engagement of the private sector in national development. To evaluate this on a country basis (analysis resulting in country profiles), a questionnaire has been developed together with a methodology: Focal points (national co-ordinators) are recommended to answer the questionnaire in an inclusive manner, by conducting a multistakeholder dialogue to answer the survey involving the government and accountable and representative focal points from private sector associations and trade unions[30]. More precisely, this indicator is articulated around two modules addressing aspects that are key for effective public-private dialogue and collaboration[31]:

A. The first module aims to identify recent public-private dialogue experiences and the issues that have been addressed as part of public-private dialogue initiatives that have taken place in the country over the last 3 years. The questionnaire thus asks: "*From the following list of potential topics, which ones have been addressed in public-private dialogue initiatives taking place in the country in recent years (i.e. over the last 3 years)?*". Multiple choices are proposed, based on the most frequent entry points for PPD related to the SDGs:

[28] Global Partnership Monitoring Framework, Why, what and how?, see https://effectivecooperation.org/wp-content/uploads/2016/03/QandA.pdf

[29] GPEDC, The Monitoring Framework of The Global Partnership, see https://effectivecooperation.org/wp-content/uploads/2015/05/GPEDC-Monitoring-Framework-10-Indicators.pdf

[30] GPEDC, 2018 Monitoring Guide for National Coordinators, 2018, p69

[31] GPEDC, Indicator 3 Questionnaire, Characteristics of Practice

national economic growth, productivity, economic diversification, access to finance, trade promotion, infrastructure development, regulations for doing business, etc.

B. The second module assesses the quality PPD. To this end, the questionnaire is composed of three components – building blocks (enabling context, meaningful dialogue and effective engagement – all three being interconnected) and six sub-components – quality elements:

1) Enablers of public-private dialogue: **Mutual trust and willingness to engage** (*To what extent is there mutual trust and willingness from the public and private sectors to engage with one another?)* and **readiness for public-private dialogue** (*To what extent are public and private actors able and ready to engage with one another?*)
2) Relevance of issues addressed and participation: **Broad-based and inclusive dialogue** (*Who typically participates in recent public-private dialogues?*) and **relevant public-private dialogue** (*To what extent does the existing dialogue address development issues of concern to both sides?*)
3) Results and action yielded: **Producing results from the dialogue** (*To what extent existing public-private dialogue arrangements are organised towards achieving results?)* and **leading to joint public-private action** (*To what extent existing public-private dialogue initiatives are actually increasing joint collaboration?*)

Figure 3. Building blocks and quality elements of PPD as per GPEDC module 2[32]

Building block	Quality element	Description
Enabling context	Mutual trust	**The level of trust and willingness from the public and private sector to engage with one another:** When high, eagerness to engage is backed by high-level support and buy-in.
	Readiness	**The extent to which public and private actors are able and ready to engage with one another:** When high, both sides have the capacity to engage and are internally co-ordinated, including by having so-called champions or established engagement mechanisms.
Meaningful dialogue	Relevance	**The extent to which existing dialogue addresses issues of concern to both sides:** When high, the dialogue agenda is mutually agreed.
	Inclusiveness	**The level of inclusiveness of participation in public-private dialogue:** When high, dialogue engages all relevant actors from both sectors, including the full diversity of private sector stakeholders.
Effective engagement	Organisational effectiveness	**The extent to which existing public-private dialogue arrangements are organised to achieve results:** When high, dialogue is structured, regular and geared towards achieving concrete results.
	Joint action	**The extent to which existing public-private dialogue initiatives increase collaboration:** When high, joint action between public and private stakeholders increases.

Based on this methodology, and with the answers from 47 countries, Progress Report produced by the OECD and the UNDP called *Making Development Co-operation More Effective*[33], provides the following takeaways:

- Private sector stakeholders' views concerning the quality of PPD are less positive overall than those of partner country governments, suggesting more work is needed to exploit the potential of dialogue to maximise the private sector's contribution
- Partner country governments and the private sector demonstrate promising mutual trust and a willingness to engage with each other

[32] OECD and UNDP, Making Development Co-operation More Effective: 2019 Progress Report, pp70-75
[33] OECD and UNDP, Making Development Co-operation More Effective: 2019 Progress Report, pp70-75

- Financial and technical resources are needed to address capacity constraints that limit participation in PPD
- Ensuring that PPD focuses on issues relevant to all stakeholders remains a challenge
- The views of government and private sector stakeholders regarding PPD relevance diverge most sharply in the LDCs and extremely fragile contexts
- Governments and development partners need to make a concerted effort for PPD to include the full range of private sector actors
- Despite challenges, public and private stakeholders are optimistic that PPD can lead to increased collaboration, joint action and concrete results

Albeit the GPEDC methodology for M&E of PPD remains quite general since it does not focus on regulatory and economic impact (and therefore is not as precise as the PPD Handbook methodology), it nonetheless provides a useful approach to have a grasp on organizational aspects related to the conduct of PPD at the country level. As a consequence, it provides a complementary tool for development partners in quest of aid effectiveness and stronger coordination. It should be noted that GPEDC intends to reform the monitoring exercise it proposes. A new monitoring proposal will be submitted for endorsement at the GPEDC High-Level Meeting in 2022 and informed by Action Dialogues[34] – multistakeholder meetings to be held in 2021, led by partner countries.

We can finally mention that GPEDC has published in October 2020 a *Self-Reflection Guide on the Quality of public-private-dialogue and private sector engagement in a COVID-19 world* supporting that PPD "will remain an important catalyst for sustainable and effective development co-operation at the country level throughout and after the crisis"[35]. It provides examples of how PPD has been a key part of the response to the COVID-19 crisis and illustrates the role effective PPD can play as part of the toolbox of development actors to engage the private sector for sustainable development. This was also mentioned in the PSE in COVID-19 times Thematic Brief, produced by the TPSD Facility in April 2020. Further on this, the SB4A State of Play 2020 has revealed that 80% of African governments have consulted the private sector to design economic mitigation and recovery plans during the crisis.

5 INDICATORS FOR M&E OF PPD

In this section, we provide examples of indicators for PPD interventions at various levels: at macro/policy level, at meso level and at micro level. For each level, we will provide examples of interventions and indicators. At this stage, it should be noted that, **for each level considered, cross-cutting indicators related to gender and youth should be included**. For instance, at the meso level, a project seeking to empower private sector organisations (PSOs) or Civil Society Organisations (CSOs) to contribute to PPD would include the following indicators:

- *Gender*: indicators measuring the increase of partner organisations with gender strategies, % of women membership in PSOs/CSOs, % of women representation in decision-making bodies of PSOs/CSOs
- *Youth*: Increase (%) in number of partner organisations with approved policies/strategies on youth employment, mobilisation and representation; Increase (%) in number of partner organisations with formal youth committees.

5.1 Indicators for interventions at macro/policy level

PPD interventions at macro or policy level, traditionally seek to establish, facilitate or support existing PPD platforms. At this level, interventions implemented by development partners can pursue various objectives:

- Broker public-private consultations in a neutral manner, support the management of a PPD secretariat, manage the secretariat, or manage the full PPD process

[34] Action Dialogues aim to stimulate in-country reflection and dialogue on key effectiveness challenges and facilitate concrete action on monitoring evidence and encourage behaviour change.

[35] GPEDC

- Equip Ministries, Departments and Agencies (MDAs) with the required technical to engage with the private sector on substance of proposals
- Enhance the capacity of MDAs to analyse reforms and assess their impact through Regulatory Impact Assessment (RIA)
- Support MDAs to better integrate PPD issues on their agenda
- TA and capacity building for reform implementation and follow-up

Establishing a PPD secretariat (or strengthening its capacities) is the most common and direct intervention carried out by development agencies to support dialogue at the macro level and promote policy reforms. A PPD secretariat (or coordination unit) plays a key role in a PPD, can be formal or informal, and hosted in a ministry or a business association or performed by part-time staff. Usually, a PPD secretariat is operated by a small team (2–3 persons). It serves as an engine for PPD since it acts as an "honest broker" to provide support and to keep discussions focused, evidence-driven and moving forward by performing the functions of coordinator, administrator, facilitator, information manager, analyst and advocate. Its tasks include: organizing meetings, coordinating research, setting agendas, inviting members, managing communication and outreach, supporting working groups to implement reforms, and Monitor progress[36]**.** The table below displays the expected outputs and outcomes indicators of interventions aiming at establishing or supporting PPD mechanisms.

Table 5 – Logical framework for interventions aiming to establish / support PPD mechanism[37]

	Performance Indicators		
Expected Project Components/Activities	**Expected Output**	**Expected Reform/Outcome**	**Expected Impacts**
Creation/setup/ re-engineering/ improvement of a PPD process	▪ # of entities receiving advisory services ▪ # of new laws/regulations/amendments drafted or contributed to the drafting ▪ # of procedures, policies, practices recommended for improvement or elimination ▪ # of workshops, training events, seminars, conferences, etc. ▪ # of participants in workshops, training events, seminars, conferences ▪ # of women participants in workshops, training events, seminars, conferences ▪ # of participants providing feedback on satisfaction ▪ # of participants reporting satisfied or very satisfied with workshops, training, seminars, conferences ▪ # of reports (assessments, surveys, manuals) completed ▪ # of media appearances	**Creation or renewed mandate of a PPD institutional mechanism** ➢ # of recommended procedures/policies/practices that were improved/eliminated ➢ # of recommended laws/regulations/amendments/codes enacted ➢ # of entities that implemented recommended changes **Improvement in the application of the PPD Charter of Good Practice by PPD institutional mechanism** ➢ Change in the score obtained in the PPD Process Evaluation Wheel **Improved enactment rate of reforms proposed by PPD** ➢ # of reforms put forward for enactment by PPD ➢ # of reforms put forward for enactment by PPD that were enacted **Improved impact of PPD on the reform process** ➢ Change in the Reform Process Table Score	Value of aggregated private sector savings from recommended changes
Promotion of policy reforms through PPD mechanism	• # of PPD-sponsored investment climate reforms proposed for enactment which are directly supported by the PPD project team	Number of PPD-sponsored Investment Climate reforms enacted which were directly supported by the PPD project team	Value of aggregated private sector savings from

[36] The World Bank Group, Role of the Coordination Unit in a Public-Private Dialogue, Practical Note on Design, Implementation, and Management, 2016, pp6-10

[37] Extracted from World Bank, Standard Matrix for Project Design, Monitoring & Evaluation, Product: Public-Private Dialogue (PPD), used for the Liberia Better Business Forum (LBBF) – PPD funded by SIDA and implemented by IFC in Liberia

	• # of PPD-sponsored investment climate reforms proposed for enactment which are directly supported by WBG Investment Climate Advisory Services (other than the PPD project team) • # of PPD-sponsored investment climate reforms proposed for enactment which are directly supported by the WBG (other than Investment Climate Advisory Services) • # of PPD-sponsored investment climate reforms proposed for enactment which are not directly supported by WBG • # of PPD-sponsored non-investment climate reforms	(Non-binary – specify the actual number) • # of PPD-sponsored Investment Climate reforms enacted which were directly supported by WBG Investment Climate Advisory Services (other than the PPD project team) • # of PPD-sponsored Investment Climate reforms enacted which were directly supported by the WBG (other than Investment Climate Advisory Services) • # of PPD-sponsored Investment Climate reforms enacted which were not directly supported by the WBG • # of PPD-sponsored non-investment climate reforms	recommended changes

To track progress achieved by MDAs in engaging with the private sector and adopting business-friendly legal and regulatory frameworks, the following indicators have been used by the DFID-funded ENABLE project in Nigeria:

Table 6 – Indicators for MDAs' progress in engaging with the private sector and adopting business-friendly legal and regulatory frameworks [38]

Expected Project Components/ Activities	Expected Output	Expected Reform/Outcome	Expected Impacts
Promotion of policy reforms through PPD mechanism	**MDAs at federal level and in lead states engage in consultation and consider evidence in policy making:** ▪ Cumulative number of MDAs introducing new or improving current consultation practices ▪ Cumulative number of MDAs sustaining the new or improved consultation practices ▪ MDA Consultation Performance Index of project-supported MDAs	**The policymaking system in lead states and at Federal level is responsive to business needs, inclusive and makes use of evidence:** ▪ Cumulative number of additional 'dialogues' held ▪ Cumulative number of new 'dialogue platforms' introduced ▪ Cumulative number of new 'dialogue platforms' sustained ▪ Public Private Dialogue (PPD) Utility Index on Business Environment Issues	Improved investment climate

5.2 Indicators for interventions at meso level

At the meso level, development partners can implement a variety of interventions contributing to enhance the effectiveness and inclusiveness of PPD: enhance private sector intermediary organisations' (PSOs) capacities; support business advocacy and establishing funds for research and advocacy; strengthen business journalism as a driver and supporter of BER; and reinforce the role of research institutions, academia and think thanks to supply both the public and the private sector with evidence-based analysis and reforms proposals.

5.2.1 Enhance PSOs' capacities

Private Sector Organisations (PSOs) or Business Membership Org. (BMOs) play an important role to support private sector development and improve the investment climate because they deliver a range of services for enterprise development and advocate their members' interests to the government. According to SEQUA (Sequa GmbH is a globally operating non-profit development organisation whose activities concentrate on private sector

[38] DFID, Enhancing Nigerian Advocacy for a Better Business Environment (ENABLE2), Project Closure Report, October 2017, p7

development), **7 criteria allow practitioners to proceed to an organizational analysis of PSOs**[39]: Status and governance; Membership and outreach; Leadership; Resources; Communication and mobilization; Advocacy and Services. In the below figure, we illustrate a typical intervention aiming at enhancing PSOs with the results chain framework of the new phase of the PSD Hub project funded by SIDA in Ethiopia and implemented by CIPE[40].

Figure 2. Results chain framework for the new phase of the PSD Hub[41]

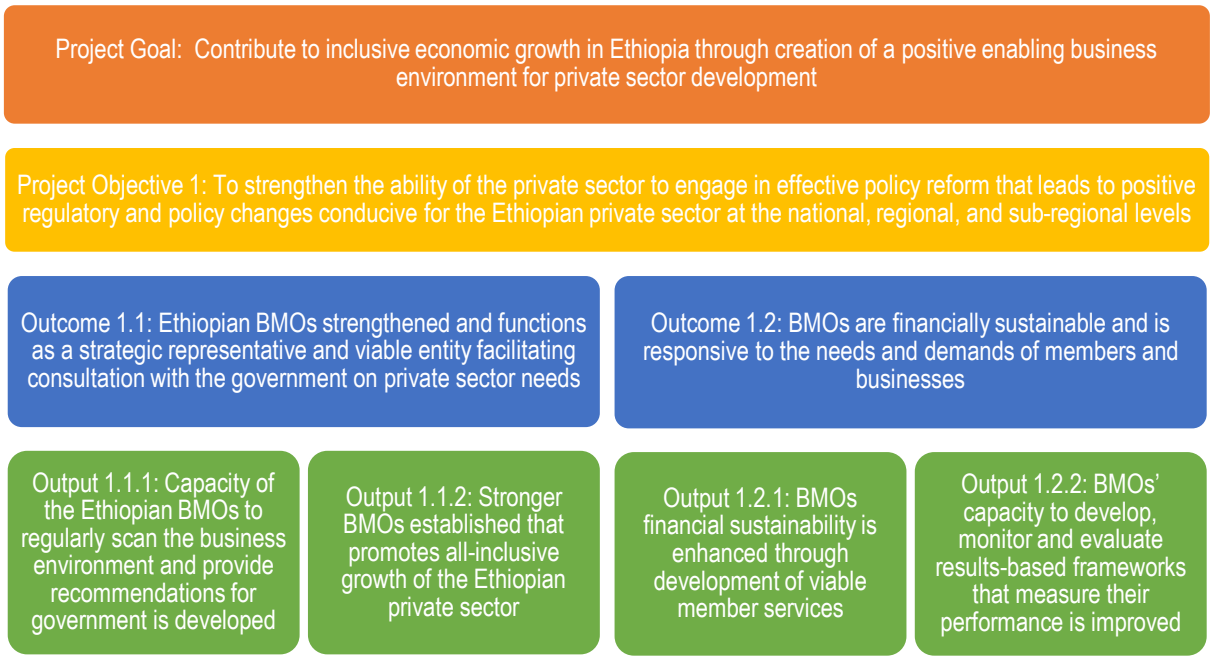


Table 7 – Performance indicators of the new phase of the PSD Hub

In table 7, we present the indicators used to track performance of this projects' objectives, outcomes and outputs.

Objective 1: To strengthen the ability of the private sector to engage in effective policy reform that leads to positive regulatory and policy changes conducive for the Ethiopian private sector at the national, regional, and sub-regional levels	- # of improvements in unintended government policy and regulations that have negative consequences to businesses - # of private sector inputs that leads to regulatory and policy formulations or changes through public private dialogues - Percent point increment in distance to the frontier (DTF)
Outcome 1.1: Ethiopian BMOs are strengthened and functions as a strategic representative and viable entity facilitating consultation with the government on private sector needs	- # of PPDs that have resulted in effective recommendations for business growth - # of evidence- based studies by PSD Hub consulted/taken on board by GoE - # of functioning PS networks established in consultation with stakeholders - # of submitted recommendation enacted by government to improve BEE
Output 1.1.1: Capacity of the Ethiopian BMOs to regularly scan the BEE and provide recommendations for government that improve the operating environment for business growth is developed	- # of ideas generated from business environment scans - # of ideas taken up for research and submission to PPCF - # of recommendations submitted to government to improve BEE

[39] Sequa, BMO Toolbox, Tools and Materials for Enhancing BMOs, February 2008, pp9-10

[40] The PSD Hub was conceived and funded by SIDA as a programme focusing on business advocacy, evidence-based policy dialogue and provision of technical and financial support to the Ethiopian PSOs. The new phase of the PSD Hub project (called Empowering Private Sector to Engage in Policy Reform from the Bottom Up) will have 2 main components: 1) to empower marginalized groups and communities to participate effectively in and benefit from economic development and trade, and 2) to strengthen the ability of the private sector to engage in effective policy reform that leads to positive regulatory and policy changes conducive for the Ethiopian private sector at the national, regional, and sub-regional levels. **For the sake of clarity, we have opted to present in Figure 2 only the second component of the programme which relates to PSO capacity building.**

[41] Result Chain of the Project "Empowering Private Sector to Engage in Policy Reform from the Bottom Up" (2019 - 2022), pp1-3

Output 1.1.2: Stronger BMOs established that promotes all-inclusive growth of the Ethiopian private sector	- # of BMOs receiving capacity building trainings - Proportion of program participants that demonstrate enhanced knowledge - # of inclusive networks established that ensure real needs of wide range of business community
Outcome 1.2: BMOs are financially sustainable and is responsive to the needs and demands of members and businesses	- Rate of increase in overall income generation of BMOs from service fees - Increase in number of paying members of BMOs - Percentage increase in members satisfaction with services of BMO
Output 1.2.1: BMOs financial sustainability is enhanced through development of viable member services	- # of Innovative Grant Fund beneficiary BMOs - # of viable member services introduced - Percentage growth in user satisfaction with BMOs new services
Output 1.2.2: BMOs' capacity to develop, monitor and evaluate results-based frameworks that measure their performance is improved	- Availability of functioning M&E system at BMOs

5.2.2 Support business advocacy and establishing funds for research and advocacy

In previous section, we've seen that business advocacy is a critical function performed by PSOs. **Supporting PSOs in developing countries to influence public policy is increasingly seen by development partners as a key intervention** to improving the investment climate and consequently sustain job creation and economic growth. Through such interventions, PSOs are supported to build their capacity and engage in dialogue and advocacy.

Most PPDs in developing countries suffer **underuse of evidence and impact assessment** while a key element allowing PSOs to influence public policy is to have the necessary advocacy skills to scope, analyze, prioritize and present business constraints to Government. The five-step approach to business advocacy presents what should ideally be the sequencing of a well-structured advocacy campaign[42]:

- *Identify issues* – which may come from business, government or other stakeholders
- *Understand issues* – requiring research, systematic collection of points of view, consensus-building and analytical work
- *Formulate coherent reform proposals* – using evidence-based and well-informed proposals that demonstrate cost and benefit of legal or regulatory change (business position paper, cost-benefit analysis, etc.) – this may also encompass benchmarking of international / regional best practice
- *Influence policy makers* –engaging dialogue with key decision-makers in Government to influence them and secure their commitment to proceed to the desired regulatory or legal change
- *Follow-up* – monitoring progress at all stages of the advocacy campaign and ensuring that, when the public sector agrees on reforms, they are implemented

Figure 3. The five-step approach to business advocacy



[42] David Irwin, Building the capacity of business associations in developing countries to influence public policy, 2015, p7

DANIDA for instance has implemented several projects targeting enhanced business advocacy: in Ghana (Business Sector Advocacy Challenge Fund - **BUSAC**), in Tanzania (Business Environment Strengthening in Tanzania, Dialogue Advocacy Component – **BEST-AC**), in Kenya (Business Advocacy Fund - **BAF**), and in Mozambique (Fund for the Business Environment – **FAN**). In these projects, supporting PSOs to carry out business advocacy takes three forms: training course for staff and board; financial support to commission research, prepare position papers, lobby policy makers; and mentoring support.

For instance, BUSAC III[43] operates as a **challenge fund providing support and research/advocacy grants to PSOs**, both at national and local level, in order to 1) empower them to pursue issues affecting the business activities of their members through advocacy action, 2) strengthen their capacity to engage in evidence-based advocacy activities and 3) enhance their ability to interact with and service their members. BUSAC III activities are expected to lead to the following outcome: 'Improved business environment through enhanced advocacy capacity of private sector organisations and creation of platforms for private public dialogue'. Six outputs are pursued by BUSAC III:

i. District and community level business constraints addressed through advocacy action
ii. Capacity of PSOs to undertake advocacy activities at national level significantly increased
iii. Public-Private Dialogue Platforms created and in operation
iv. Increased attention to post-advocacy undertakings
v. Increased capacity of PSOs to identify BDS needs of members and facilitate ways to address these
vi. Capacity of research institutions, think-tanks, and host institution to provide evidence on private sector advocacy issue increased

Two outputs directly target business advocacy: district and community level business constraints addressed through advocacy action (i), and capacity of PSOs to undertake advocacy activities at national level significantly increased (ii). Table 8 below lists the associated performance indicators.

Table 8 – Performance indicators of BUSAC III for business advocacy outputs[44]

Outputs	Indicators	Specifications and means of verification
Capacity of PSOs to address issues of district and community level importance to the business community through advocacy actions increased	(a) # Advocacy campaigns addressing district and community level business constraints completed in line with campaign (b) # of rapid response (faster procedure) advocacy actions (c) % of women participants	These indicators provide evidence of PSOs ability to undertake advocacy at local level, including those that require urgent attention. (a) BUSAC will collect data through the reports from the grantees to assess how far the objectives of advocacy campaigns of the grantees have reached their objectives. The categories for this assessment are: Fully achieved; partially achieved; and not achieved. When calculating the percentage fully achieved is given the value = 1; partially achieved is given the value = 0.5; and not achieved is given the value = 0. The sum of the values is divided by the number of observations/cases.
Capacity of PSOs to address issues of national importance to the business community through advocacy actions increased	(a) % Advocacy campaigns addressing national level business constraints assessed to have been completed in line with campaign objectives; (b) advocacy actions addressing green growth issues to have been completed in line with campaign objectives; (c) % of women participants	These indicators provide evidence of PSOs ability to undertake and complete advocacy at national level, including green growth advocacy issues. (a) BUSAC will collect (reports from grantees) and measure data through the same method as output indicator 1.a. (b) Data will be measured through same means as 2.a., however merely with a focus on green growth. (c) For the PSOs that have completed advocacy campaigns with support from BUSAC where the objective is regarded as fully or

[43] DANIDA, Development Engagement Document, Support to Private Sector Development Phase III, (SPSD III), 2016 – 2020, Engagement A: Business Advocacy Challenge Fund (BUSAC III), February 2016, p29
[44] DANIDA, Development Engagement Document, Support to Private Sector Development Phase III, (SPSD III), 2016 – 2020, Engagement A: Business Advocacy Challenge Fund (BUSAC III), February 2016, pp40-41

	(d) number of enterprises directly affected by the result of the advocacy	partially achieved the number of members of PSOs (enterprises) is recorded. Cumulative over the programme period.

Interestingly, BUSAC III project design took into consideration various innovative aspects: adopting a bottom-up perspective to address **district and community level business constraints**, put emphasis on environment-related issues (green growth), and monitor post-advocacy stage (which was generally absent in most business advocacy programmes). More specifically, output 4 of BUSAC III relates to increased attention to post-advocacy undertakings. For this output, the indicator selected is the number of post advocacy actions completed with support from the project, reflecting the ability of BUSAC supported PSOs to successfully follow up on advocacy actions.

5.2.3 Building coalitions between PSOs

In developing countries, and more importantly in fragile contexts, **fragmentation of the private sector** is as well a major challenge, and this leads to a lack of coordination among the private sector and PSOs. This issue originates from the lack of trust among private sector actors and has impacts negatively the consistency of the reforms or improvements proposed by the private sector. Practically, poor resource allocation for critical issues as well as inconsistencies between the various sectorial policies, which should complement each other are often observed[45].

In Tanzania, for instance, DANIDA noticed that Tanzanian private sector organisations were scattered, and often grounded on sector-specific interests. Therefore, the intervention logic of the BEST-AC[46] included setting up alliances among private sector organisations (including civil society organisations and academia). The rationale was that if the private sector engaged the public authorities as one and with more capacity, it would be in a better position to incentivise the public sector to promote a dialogue and maximise the results, especially for advocacy campaigns addressing crosscutting matters such as taxation, immigration, skills development and land. As a consequence, BEST-AC's expected output included the promotion of alliances and coalitions through seminars, workshops, digital platforms, joint research. These were aimed at promoting harmonisation of positions, exchange of information and promote consensus among PSOs and CSOs towards Government authorities.

Table 9 – Performance indicators of BEST-AC for coalition building outputs[47]

Outputs	Indicators	Specifications and means of verification	Assumptions
Coalitions are set-up between private stakeholders and provided	▪ # of technical workshops, events, and seminars under this programme ▪ Quality of the outcomes (minutes, action plan, follow-up meetings) from organised events under this programme	-Programme beneficiary quarterly reporting data, analysed and presented in annual overviews by the implementer -Establishment decision/MoU among	-Willingness of business associations and other civil society organisations to cooperate despite potential conflicting interests - Capacity building partners have developed thorough

[45] Business Environment Reform Facility, Document Reference / Library on Public-Private Dialogue and Approaches, 2016, p10

[46] BEST was a crosscutting multi-donor financed programme geared towards providing a more enabling environment for the private sector in Tanzania. During the three consecutive 5-year phases (2004-2019), the project provided grants and access to capacity development services for Tanzanian PSOs. The grants helped these organisations to carry out research to identify factors that can make doing business in Tanzania easier. Several donor agencies supported the BEST programme through a basket fund arrangement: Danida, the Netherlands, Swedish International Development Agency (SIDA), United Kingdom's Department for International Development (DFID), and the World Bank. The EU also financed this project under the Investing in Business Enabling Environment (iBEE) programme with a total contribution of 3 million EUR (under EU's National Indicative Programme 2014-2020), through a combination of indirect management agreement with DANIDA and direct management (procurement), out of a total budget of 15 million EUR.

[47] EC, Action Document for Investing in Business Enabling Environment (iBEE), 2016, p17

with dialogue mechanisms	▪ # of private stakeholders involved in the discussions under this programme ▪ Status of thematic platforms in tax admin / business licensing regulation, standards / skills development	participants; minutes of meetings and outputs in the form of reviews and recommendations	understanding of advocacy and dialogue and can deal with these on a continuing basis

5.2.4 Supporting social dialogue

In many developing countries, **social dialogue between trade unions and employer and business organizations is not yet established**. The absence of social dialogue increases the risk that labour conflicts resulting in social turbulence, low productivity and job insecurity. This situation is not serving the interests of workers, businesses nor society. On the contrary, strong and equal labour market organizations allow for a constructive social dialogue on matters such as salaries, social security, work environment, as well as technical and vocational education and training. Strong and representative labour market organizations contribute positively to the development of democratic societies, contribute to public debate and influence legislation within policy areas like trade, social security, gender equality, health and education.

The main components of social dialogue are collective agreements, strong labour market organisations, and bi- and tripartite cooperation. Wages and working conditions are fixed by agreements between labour market organisations, not by governments or legislation. **Social dialogue is when trade unions and employers' organisations come together around the negotiating table to create common solutions.** It can also take place at the factory floor when management and union representatives together solve problems relating to the workplace and the working conditions.

In 2017, the United Federation of Workers in Denmark (3F), the Danish Trade Union Development Agency (DTDA), and the Confederation of Danish Industry partnered in a consortium to replicate the experiences from the Danish labour market model to support improvements of labour market conditions in developing countries. Their goal is to support Decent Work and Economic Growth (SDG8) in partnerships with sister organizations. Under this project implemented in 39 countries, activities seek to improve social dialogue, enable business environment, promote decent work conditions, and sustain framework conditions for responsible companies and sustainable growth[48]. Below, we present a summary of the results framework:

Table 10 – Summary of the results framework : Labour Market and private sector framework conditions[49]

Labour Market and private sector framework conditions	
Programme objective	Well-functioning labour markets and a conducive business environment contribute to inclusive growth with due respect of human rights
Thematic objective 1	**Labour market organisations contribute to securing labour rights and decent jobs**
Thematic Indicator	Reduction (%) in number of internationally registered violations of core labour rights
Outcome 1	Strengthened and more representative labour market organisations
Outcome indicators	▪ Increase (%) in number of members in partner trade unions ▪ Increase (%) in paying members in partners employers' organisations
Outcome 2	Increased organisations and formalisation of the informal economy
Outcome indicators	▪ Increase (%) in number of partner countries with national fora on formalisation of informal economy ▪ Increase (%) in number of BMO's with outreach activities towards enterprises in the informal economy in partner countries
Thematic objective 2	**Well-functioning bi- and tri-partite social dialogue**

[48] https://www.sdg8.dk/en

[49] Summary of results framework, received from Danish Industry

Thematic Indicator	Increase (%) in numbers of bi- and tri-partite industrial charters and/or national codes of good conduct
Outcome 3	Improved tri-partite mechanisms
Outcome indicators	▪ Increase (%) in number of national tri-partite fora meetings in partner countries. ▪ Increase (%) in number of bi-partite position papers presented to government.
Outcome 4	Improved bi-partite cooperation
Outcome indicators	▪ Increase (%) in partner countries with increased number of collective bargaining agreements[50] and other bi- partite agreements at national level. ▪ Increase (%) in number of partner countries that established bi-partite dispute resolution systems
Thematic objective 3	**Framework conditions support private sector development and inclusive growth**
Thematic indicator	Increase (%) in number of countries with policy reforms addressing employment creation and improved business environment.
Outcome 5	Improved business environment
Outcome indicators	▪ Increase (%) in number of policy positions and proposals developed and utilised by business organisations to promote policies conducive for the business environment (e.g. access to finance, industrial policy, trade policy) ▪ Increase (%) in number of PPD platforms initiated to improve business environment.
Outcome 6	Improved labour market regulation and social policies
Outcome indicators	▪ Increase (%) in number of policy positions and proposals developed and utilised by trade unions to promote policies conducive for decent work (such as minimum wages, social protection, TVET, OHS). ▪ Increase (%) in number of ratified ILO conventions in partner countries.
Thematic objective 4	**Competitive companies operate sustainably and responsibly**
Thematic indicator	Increase (%) in number of companies participating in programme activities that have developed strategies for sustainability/responsible behaviour.
Outcome 7	Responsible behaviour and sustainable production in private enterprises
Outcome indicators	▪ Increase (%) in number of trade unions involved in monitoring of responsible behaviour in private enterprises. ▪ Increased (%) number of business member organisations that actively support and encourage responsible business and production through trainings and information about CSR and/or sustainability strategies in line with the UN Guiding Principles and the SDGs.
Outcome 8	Increased productivity and efficient value chains
Outcome indicators	▪ Increase (%) in number of national strategies adopted for improvement of value chains. ▪ Increase (%) in number of companies that undertake initiatives to promote greater environmental and social responsibility, i.e. green production and decent (green) jobs.

5.2.5 Enhancing research institutions and universities

In developing countries, the contribution of **research institutions and academia to PPD might be affected by their weak capacity to collect and analyse empirical data** that would be instrumental to support the private sector to formulate evidence-based reform proposals. The low axiological neutrality of public research institutions and academia can be detrimental to feed a constructive dialogue between public and private sector. Finally, developing countries can lack independent think thanks able to contribute to policy design by developing analytical research and international benchmarking.

Therefore, development agencies have implemented various interventions seeking to enhance research institutions and universities to contribute to PPD. For instance, in Zimbabwe, the Business Enabling Environment Programme (BEEP) was funded by DFID and DANIDA and implemented over three years (2013- 2017). Based on the principles of the Making Markets Work for the Poor approach, Zimbisa acted as a facilitator in the system, by capacitating

[50] A collective bargaining agreement (CBA) is a written legal contract between an employer and a union representing the employees. The CBA is the result of an extensive negotiation process between the parties regarding topics such as wages, hours, and terms and conditions of employment. See www.shrm.org

local actors to conceive and implement their own reform agenda in an autonomous manner[51]. The programme had two components: a World Bank Externally Funded Output (EFO) supporting improvements to the investment climate, financial sector dialogue and SMEs; and a component managed by the **Zimbisa Trust** focusing on enhancing business advocacy in Zimbabwe through PPD. Zimbisa had four outputs:

1) Government Ministries, Departments and Agencies (MDAs) engage BMOs and CSOs in inclusive policy dialogue for an improved business environment
2) BMOs sustainably provide inclusive evidence-based inputs to pro-growth policies for an improved business environment
3) Media produce and disseminate inclusive business products for an improved business environment that are issue and audience-based
4) **Research Institutions deliver research that supports inclusive pro-growth consultation and policy-making for an improved business environment**

To achieve the fourth output, Zimbisa carried out interventions to improve research capability of local research organisations which established sector reform needs through systematic research and investigation of PSO members' business problems. To assess progress of achieving this output, the below indicators were proposed[52]:

1) Cumulative number of research institutions with new or improved business environment research products
2) Cumulative number of research institutions with new or improved business environment research products **featuring women, youth and the poorest**
3) Cumulative number of BMOs, MDAs and media companies obtaining business environment research products from research institutions supported by Zimbisa

5.2.6 Supporting the role of media to contribute to PPD

In order to improve the business environment, media have a role to play especially in facilitating dialogue around business issues. In a mature and transparent media market, journalists search for interesting and valuable information (including opinions, research, and statistics), while potential sources of information, such as business associations and think-tanks, package information in an engaging and newsworthy manner. This information exchange is a win-win situation where journalists are able to develop interesting coverage at lower cost, while providers of information can get their messages conveyed by the media.

As this kind of information exchanges were commercialised in Zimbabwe and private sector players would pay to play in the media arena, Zimbisa (see previous section – 5.2.4) integrated the following output: media produce and disseminate inclusive business products for an improved business environment that are issue and audience-based. This project supported media houses in Zimbabwe to design, launch and market media products that would be issue-based.

Zimbisa focused on producing issue-based, business environment content targeting the mass of micro and small entrepreneurs by providing training as well as mentorship to business journalists. It worked with various media (written press and radio). Two universities were also recipient of technical assistance to develop new curricula on business journalism. Zimbisa furthermore built a pool of local media relations consultants to help PSOs, research institutions and MDAs produce newsworthy content. The aim was to allow media partners to lower production costs and enable PSOs, research institutions and MDAs to improve the effectiveness of their advocacy and research initiatives. Finally, Zimbisa produced a media relations manual[53], aiming at supporting an improved coverage of business issues in the media.

[51] See https://adamsmithinternational.com/projects/improving-advocacy-and-dialogue-on-business-environment-issues-in-zimbabwe/

[52] Business Environment Reform Facility, Future Options for Zimbisa, Report do DFID Zimbabwe, April 2016, p12

[53] Zimbisa, Media Relations Manual, p7. This manual seeks to equip key players in the PPD such as PSOs, Research Institutions, and MDAs with the skills to engage the media. The manual provides 10 steps for media

Performance indicators included[54]:

1) Cumulative number of new or improved inclusive media business products introduced by Zimbisa partners or copycats
2) Cumulative number of media business products featuring women, youth and the poorest
3) % of audience reporting improvement in coverage of business issues by media (Zimbisa partners or copycats) compared on a one-year period

5.3 Indicators for interventions at micro level

Qureshi and Te Velde[55] tested empirically the assumption that PPDs promote economic performance of firms in Sub-Saharan Africa and affirmed that effective **PPDs are important determinant of economic growth** since they impact various levels: a) at the macroeconomic level, they support more efficient allocation of resources and justify state intervention, b) at the microeconomic level, PPDs promote efficient policies and institutions, improve quality and relevance of government expenditure, and reduce policy uncertainty, and c) at the labour productivity level, such consultation processes could enhance the productivity of workers – defined as output per worker.

Furthermore, this empirical study states that effective PPDs enhance firm performance in the form of total productivity improvement by 25 to 35 percent independently of the firm size. The findings of the study also affirm that among the various services provided by Private Sector Organizations (PSOs) to their members, the provision of information on government regulations and lobbying government are the most useful for businesses in Sub-Saharan Africa.

The effect of PPD interventions at the micro (enterprise) level, has been evaluated for instance by ENABLE [56] (also discussed in section 5.1). Also adopting a market systems approach, ENABLE sought to strengthen the process of reform within existing Nigerian institutions and organizations; supported them to better research and advocate on issues related to business environment. Instead of directly performing a function in the system (such as hosting and funding a public-private dialogue platform), ENABLE's objective was to promote a systemic change of the BER system through a bottom-up approach: enhancing business advocacy capacities of grassroot business associations to support **pro-poor business environment reform.**

Through rigorous partners selection[57], the business environment constraints addressed by ENABLE partner PSOs were highly relevant to micro-enterprises and women-owned businesses. For example, the Fertilizer Suppliers Association of Nigeria (FEPSAN) advocated for the Federal Fertiliser Policy, which concerns primarily the smallholder farmers' access to agricultural inputs. Another advocacy campaign addressed the issue of food standards, which regulatory framework directly impacts the economic activities of a very large number of micro businesses like street vendors (mostly female-owned)[58].

At the end of phase 2 (2014-2017), the evaluation revealed that ENABLE's interventions allowed 608,200 micro enterprises (out of which 19% are women-owned) to benefit from an improved business environment and that, after two years, more than 1.7 million micro-enterprises would benefit once policies and regulations are implemented. It

engagement, such as developing and maintaining relationships with journalists, communicating effectively to the media through the development of key messages, tools for media engagement and interview techniques for broadcast (television and radio) and print interviews.

[54] Business Environment Reform Facility, Future Options for Zimbisa, Report do DFID Zimbabwe, April 2016, p12

[55] Mahvashi Qureshi and Dirk Te Velde, State-Business Relations, Investment Climate Reform and Firm Productivity in Sub-Sarahan Africa, 2007, pp4-6

[56] ENABLE was a DFID-funded business advocacy programme designed to promote improved PPD and business environment in Nigeria. In was implemented in two phases (2008-2014 and 2014-2017)

[57] Partners selection criteria included: Popularity or influence; connection with priority issues; willingness and capacity to engage with challenges specific to, or having a disproportionate effect on the women; close ties to businesses operating at the grassroots level; and potential for scale, see ENABLE, Project Closure Report, October 2017, p39

[58] ENABLE, Case Study, Making Business Membership Organisations work for the Poor, p14

also looked at the net income increase of micro-enterprises resulting from the adoption of reforms catalysed by its interventions. Table 9 outlines the 3 indicators used, and results achieved by ENABLE 2 at micro-level.

Table 11 – Impact indicators of ENABLE 2 at enterprise level[59]

Impact	Indicators	Target October 2017	Achieved September 2017	Projected impact for 2019
Improved business enabling environment at federal level and in lead states	Cumulative number of additional policy / regulatory / legislative / administrative improvements	11	17	17
	Cumulative number of micro-enterprises and workers benefiting from policy / regulatory / legislative / administrative improvements	1,650,000 (50% women-owned)	608,200 (19% women-owned)	1,797,000 (46% women-owned)
	Cumulative number of micro-enterprises and workers with a net income increase of 15% or more resulting from policy / regulatory / legislative / improvements	412,500 (50% women-owned)	26,700 (59% women-owned)	1,329,600 (59% women-owned))

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