European Commission



Thematic review:

Public-private dialogue in developing countries

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Directorate-General for International Partnerships

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Acronyms and abbreviations

BDS	Business Development Services
BER	Business Environment Reform
BUSAC	Business Sector Advocacy Challenge
CIPE	Centre for International Private Enterprise
CSO	Civil Society Organisation
Danida	Danish International Development Agency
DFID	UK Department for International Development
EC	European Commission
EFSD	European Fund for Sustainable Development
EU	European Union
FCAS	Fragile and Conflict-Affected State
INTPA	Directorate-General for International Partnerships
MSME	Micro, Small and Medium-Sized Enterprise
OECD	Organisation for Economic Co-operation and Development
PPD	Public-Private Dialogue
PSO	Private Sector Organisation
SB4A	Sustainable Business for Africa
SME	Small or Medium-Sized Enterprise
TPSD	Trade, Private Sector Development and Engagement

Table of contents

ACRONYMS AND ABBREVIATIONS iv

EXECUTIVE SUMMARY vii

1 WHAT DOES THIS REVIEW COVER? 1

1.1 Definition and key concepts 1
1.2 Policy background 2
1.3 Rationale for interventions in developing countries 4
1.4 Legal and regulatory framework 4
1.5 Key issues 5
1.6 Key actors 5

2 WHAT CAN BE DONE? 7

2.1 Problem identification and diagnostic tools 7
2.2 Political economy analysis 7
2.3 Stakeholder mapping and analysis 8
2.4 Broad areas of interventions 8

3 HOW CAN IT BE DONE? 13

3.1 Key success factors 13
Champions 13
Capacities 13
Inclusivity 16
Sustainability 17
3.2 Methods and levels of interventions specifically relevant to PPD 17
Sectoral approach to PPD 19
PPD at sub-national level 19
PPD for trade facilitation at national, regional and international levels 20
Social dialogue 22
Expected results and measurement 24

3.3 Cross-cutting issues 26
Gender 26
MSMEs and the informal sector 27
PPD in Fragile and Conflict-Affected States 29
Information and communications technology tools for PPD 31

ANNEX: INTPA'S PRIVATE SECTOR AND TRADE ADVISORY AND TECHNICAL SUPPORT FACILITIES 32

REFERENCES 33

Executive summary

Public-private dialogue (PPD) supports business environment reform, and European Union Delegations have a key role to play to facilitate efficient and inclusive PPD processes. To do this, the main areas of interventions cover dialogue facilitation; capacity building; and provision of grants and technical assistance at macro, meso and micro levels. PPD stakeholders include not only ministries, departments and agencies from the public sector and private sector organisations, but also civil society organisations, trade unions, media, and academic and research institutions. Successful PPDs rely on four factors: champions, capacity, inclusivity and sustainability. Particular attention should be paid to adopt a locally led and cautious approach to PPD.

At the macro level:

- help establish, facilitate or support a PPD platform;
- improve the capacity of ministries, departments and agencies to be more responsive to business environment reform through PPD and support reform implementation.

At the meso level:

- increase private sector organisations' business advocacy capacity;
- strengthen business journalism as a driver and supporter of business environment reform;
- reinforce the role of research institutions, academia and think tanks to supply both the public and private sectors with evidence-based analysis and reforms proposals.

At the micro level:

- deepen the involvement of and facilitate input from private sector firms in the PPD process;
- enhance private sector organisations' supply of services to their member companies.

The Charter of Good Practice in Using Public-Private Dialogue for Private Sector Development details key considerations for organising PPD. In addition, important factors ensuring the success of PPDs must be looked at: i.e. identifying and working with champions, relying on strong capacities, pursuing inclusivity and improving sustainability.

Particular attention should be paid to reinforcing the advocacy capacities of private sector organisations, trade unions and civil society organisations. This can be done using a five-step approach to business advocacy: identify issues, understand issues, formulate coherent and evidence-based reform proposals, influence policymakers and monitor the progress of advocacy campaigns.

In line with the 'locally led, locally owned' approach, assistance from the European Union should support or facilitate processes that are embedded in local institutions and enhance capacities of PPD stakeholders at the macro, meso and micro levels. This is why any intervention should be designed based on a careful political economy analysis, especially in fragile contexts.

Donors can build local capacity in policy analysis, regulatory impact assessment and other policymaking skills.

They can also improve the political economy infrastructure supporting dialogue, including open and objective information/communication systems (informed business journalism) and benchmarking of the local policy environment against international best practice.

Providing a neutral space for discussions with a third-party facilitator traditionally corresponds to the World Bank / International Finance Corporation Good Practice model. In this approach, a PPD is typically a formalised platform facilitating the implementation of an agreed investment climate reform programme. Three options are possible under this approach: support a group managing the PPD, manage the PPD secretariat or manage the entire PPD process.

A PPD secretariat plays a key role in a PPD and serves as an engine since it acts as a coordinator, administrator, facilitator, information manager, analyst and advocate. Its main tasks include organising meetings, coordinating research, setting agendas, inviting members, managing communication and outreach, and monitoring progress.

Integrating monitoring and evaluation mechanisms into a PPD makes it possible to achieve three objectives: provide a factual framework for evaluating the performance if a dialogue platform, improve project management, and facilitate benchmarking and exchange of experience between PPD practitioners. Useful performance indicators for PPD monitoring and evaluation include outputs such as number of new laws/regulations/amendments drafted and outcomes such as number of reforms put forward by PPD that were enacted.

Sectoral dialogue can be more effective in producing results than conducting cross-cutting PPD; this is especially the case in fragile contexts. Dialogue should focus on issues directly affecting businesses, and pragmatism should prevail. Hence it is worth conducting PPD in several parallel sectors and building cross-cutting PPD mechanisms from these sectoral dialogues. The best option is to combine the two approaches (sectoral and cross-cutting).

PPD can be carried out at all levels (international, central, regional and local) and produces the most immediate and practical reforms when it takes place at the lowest level at which public and private sectors interact. Decentralising PPD to sub-national levels increases the likelihood of improving the investment climate. Since organising dialogue locally makes engagement easier, coalitions are built more naturally, and governments tend to be less ideological and more pragmatic.

At the regional and international levels, PPD processes can support trade negotiations and implementation of trade agreements, secure strong ownership from civil society, and support reforms and implementation of commitments. In trade negotiations, an efficient PPD can be instrumental to ease the process, facilitate completion of talks within tight deadlines, simplify the assessment of offensive and defensive interests, and seek equitable compromises.

Social dialogue enables cooperation between the representatives for both employers, employees and governments. Through social dialogue, employers' organisations and trade unions gain access to policy formulation on all issues guiding or influencing the labour market. Strengthening these stakeholders can reinforce their ability to improve labour rights, secure working conditions, influence policy decision-making and legislation, and ensure enforcement.

In terms of advocacy, women tend to be under-represented and have limited access to networks and lobbies that can influence public decision-making. Empowering women entrepreneurs to identify the constraints they face in their business lives and supporting them to constructively participate in gender-sensitive PPD is therefore key to correcting gender inequalities.

In order to enhance PPD inclusivity, other categories such as the informal sector, and more broadly micro, small and medium-sized enterprises, should be supported to participate in PPD since they are also under-represented in public-private consultations. Their capacities should be developed to allow them to express their interests in a coherent and analytical manner.

The benefits of PPDs in fragile and conflict-affected states are mainly twofold: peacebuilding and economic reconstruction. In such settings, a conflict sensitivity analysis should be carried out by development partners. The project design of PPDs in fragile environments should pay additional attention to flexibility and risk management as well as to sustainability.

Harnessing information technology and digital tools can not only directly support PPD, but also foster communication within the private and public sectors and increase external communication with the general public. This indirectly enables PPDs to be better informed, more inclusive and more efficient.

1 What does this review cover?

1.1 Definition and key concepts

In this thematic review, we refer to the World Bank definition of public-private dialogue (PPD):

> PPDs bring together the government, private sector and relevant stakeholders in a formal or informal process to achieve shared objectives and play a transformational role for a particular set of issues (World Bank, 2016c, p. 11).

According to the World Bank (2016c, p. 12), seven criteria can be used to define the types of PPD:

- **area** (from national to local level),
- **scope** (from economy-wide to sector-specific),
- **institutionalisation** (from a permanent institution to a temporary initiative),
- **leadership** (from public-driven to private-driven),
- **ownership** (from third-party brokerage/support to locally led),
- **focus** (from many goals to specific changes),
- **participation** (from many actors to few actors).

The common objective of all forms of PPD is to promote better governance practices and collective action solutions to development problems.

PPD plays a key role in supporting **business environment reform (BER)**, which is defined by the European Commission's (EC's) Business Environment Reforms Guidelines as the

> regulatory, legal, policy and institutional reforms intended to improve the business environment – in other words reforms that improve the functioning and sustainability of markets and reduce transaction costs and risks associated with starting, investing in, operating and closing a business (EC, 2019, p. 5).

The BER process aims to reduce the costs and risks of business activity by improving poor government policies, laws and regulations; and stimulating competition through encouraging new market entrants, with the overall objective of contributing to inclusive sustainable development.

PPD is one strategy to promote **private sector engagement**, which refers to the interest of donors and others to work more strategically and systematically with business. The Organisation for Economic Co-operation and Development (OECD) has proposed a definition of private sector engagement as 'an activity that aims to engage the private sector for development results and involves the active participation of the private sector' (OECD DAC, 2016, p. 1). A typology of private sector engagement strategies comprises: (i) knowledge and information sharing, (ii) policy dialogue, (iii) technical assistance, (iv) capacity development and (v) finance (DCED, 2019). As such, PPD fits into the policy dialogue strategy since its objective is to develop policy agendas and frameworks at the international, regional and local levels, reflecting all parties' interests through multi-stakeholder networks and platforms, cross-sector roundtables, specialised hubs and institutions, and institutionalised dialogues.

1.2 Policy background

The practice of PPD has been encouraged with the Charter of Good Practice in Using Public-Private Dialogue for Private Sector Development. The charter was developed at the first International Workshop on Public-Private Dialogue in Paris in 2006 and revised and updated in 2015 at the 8th International Workshop on PPD in Copenhagen; it has been endorsed by a large number of donors. In the context of monitoring progress against commitments made at the Busan Fourth High Level Meeting on Development Effectiveness, the extent of PPD in a country has been used as global indicator to measure private sector engagement in development.

The Busan Partnership for Effective Development Co-operation specifically states the intention of development partners to:

> a) Engage with representative business associations, trade unions and others to improve the legal, regulatory and administrative environment for the development of private investment; and also to ensure a sound policy and regulatory environment for private sector development [...]
>
> b) Enable the participation of the private sector in the design and implementation of development policies and strategies to foster sustainable growth and poverty reduction.
>
> c) Further develop innovative financial mechanisms to mobilise private finance for shared development goals.
>
> d) Promote 'aid for trade' as an engine of sustainable development [...]
>
> e) Invite representatives of the public and private sectors and related organisations to play an active role in exploring how to advance both development and business outcomes so that they are mutually reinforcing.

In 2014, the EC communication 'A Stronger Role of the Private Sector in Achieving Inclusive and Sustainable Growth in Developing Countries' stated that the

> EC will look for new ways of harnessing the potential of the private sector as a financing partner, implementing agent, advisor or intermediary to achieve more effective and efficient delivery of EU support, not only in the field of local private sector development, but also in other areas of EU development cooperation such as sustainable energy, sustainable agriculture and agri-business, digital and physical infrastructure, and the green and social sectors (EC, 2014, p. 3).

This communication thus recognises the private sector as a partner to create jobs, contribute to poverty alleviation, support innovation and technology transfer, and bring financial resources to partner countries. It is important to highlight that adherence to social, environmental and fiscal standards is considered a precondition for any European Union (EU) engagement with the private sector.

Furthermore, the EC communication foresees that EU Delegations will play an active role in enabling inclusive public-private policy dialogue by supporting the functioning of existing or new dialogue mechanisms such as national employment, labour or export councils; and by targeted capacity building of private sector representatives – including chambers of commerce, social partners, and organisations representing micro, small and medium-sized enterprises (MSMEs), female entrepreneurs, and firms and workers in the informal sector, to improve their contribution to such dialogue mechanisms.

In 2017, the EU adopted the European Investment Plan (EIP) in order to remove constraints to sustainable private investment and to support priority reforms. The geographical area covered by the plan comprised Africa and the EU Neighbourhood countries. The European Investment Plan provides for a comprehensive and integrated approach, linking sustainable investment mobilisation (pillar 1) with technical assistance (pillar 2) and investment climate improvement (pillar 3) (EC, 2017).

The approach of combining investment mobilisation and investment climate reform has been extended worldwide with the boosting in the new Multiannual Financial Framework 2021–2027 of the European Fund for Sustainable Development (EFSD). The investment climate reform actions are encouraged and can be grouped under three components:

- **Investment climate analysis.** The aim is to enhance market intelligence with evidence-based data and country analysis and to identify investment opportunities in key sectors and value chains (as described on a country basis in the Jobs and Growth Compacts).
- **Structured PPD.** This includes private sector engagement and PPD to obtain the private sector's view on investment climate roadblocks and business constraints.
- **Interventions to support priority reforms, capacity building of the public and private sectors, value addition and entrepreneurship.** These interventions will in turn address investors' perceived risks (EC, 2018b).

The Sustainable Business for Africa (SB4A) platform corresponds to the second building block of pillar 3 aimed at encouraging PPD. Its specific objective is to support EU Delegations to facilitate locally led PPD processes, identify and analyse key constraints to sustainable private investment, and prioritise the investment climate reform agenda to attain the Sustainable Development Goals.

The SB4A platform provides colleagues in EU Delegations and headquarters with 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 the country level – in African partner countries. Investment climate improvements should be observed with a long-term view, contributing to decent jobs creation and sustainable and inclusive growth. As a consequence, SB4A is an important lever for investment climate reform. A structured dialogue with the private sector is also one of the actions detailed in the Africa-Europe Alliance Communication (EC, 2018a).

The recently published EC communication on a Comprehensive Strategy with Africa proposes that the EU further develop arrangements to facilitate, attract and support investment in Africa. To do so, the use of dialogue mechanisms such as the SB4A platform and the International Platform on Sustainable Finance is recommended. Moreover, EU Delegations are prompted to implement interventions aiming at promoting regulatory reforms and institutional capacity of public authorities, business organisations (including European business organisations) and entrepreneurs – along with providing capacity building pertaining to small and medium-sized enterprises' (SMEs') access to markets and finance. The EU puts a strong emphasis on conducting regulatory dialogue with public administrations to exchange good practices. A key instrument in promoting reforms will continue to be budget support dialogues (EC, 2020).

In the facilitation of PPD processes, EU Delegations have a central role to play and will use structured dialogue with private sector and other stakeholders to support investment climate improvement. In this process, close cooperation with, on the one hand, EU Member States (through joint programming and joint implementation) and, on the other hand, with international financial institutions is crucial – for instance, to identify and propose bankable and sustainable investments and propose them under the windows of the EFSD Guarantee[1]. Colleagues in EU Delegations should seek, wherever possible, to associate Member State PPD activities in a partner country under the umbrella of a single national dialogue mechanism to avoid private sector representatives being consulted on similar topics by different donors through different dialogue formats.

To facilitate structured dialogue and improve the capacity of stakeholders, EU Delegations can mobilise technical assistance resources in support of investment climate reforms through national and regional indicative programmes. Also, centralised technical assistance is available to support EU Delegations (see the annex to this thematic review). Additionally, financial institutions and the private sector can benefit from technical assistance resources through blended finance operations and guarantee instruments of the EFSD. Finally, technical assistance can be used to improve policy dialogue with national and regional authorities; national and international investors; and EU Member States and

[1] In doing so, EU Delegations play the role of broker, implementation agent, and watchdog; see EC (2018b).

the local private sector to identify, design and jointly implement blending projects.

The EC is in a unique position to maintain regular policy dialogue with partner countries, both in the context of its budget support and as part of trade negotiations. The findings from PPD are used in this policy dialogue to promote respective policy reforms. This opportunity to promote the private sector's perspective on reform priorities in its policy dialogue with partner governments creates strong incentives for the private sector to engage in such EU-facilitated PPD, and enhances its effectiveness, credibility and legitimacy.

1.3 Rationale for interventions in developing countries

According to OECD (2007), the benefits of PPDs in developing countries are twofold:

- for the public sector, it enhances legitimacy and the effectiveness of the decision-making process;
- for the private sector, it enables improvement in the investment climate.

For governments in developing countries, where the state lacks credibility with the local and foreign private sectors, PPD can be instrumental in changing the private sector's perception of the public sector, building the legitimacy of a reform process and increasing the flow of information coming from the private sector to the design of public policies.

The PPD Handbook lists a series of benefits of PPDs (DFID et al., 2006):

- facilitating investment climate reforms;
- promoting better diagnosis of investment climate problems and design of policy reforms;
- making policy reforms easier to implement;
- promoting transparency, good governance and openness in policymaking;
- building an atmosphere of mutual trust and understanding between the public and private sectors.

These benefits point to the fact that PPDs not only achieve results per se, but also catalyse or concretise processes that without stakeholder pressure would fail. PPDs therefore produce tangible results (mainly policy reforms) and intangible impacts (trust, legitimacy, good governance). Although PPD can change the private sector's perception of a weak and ineffective government, it cannot take the place of strong ownership from the government on trade provisions. Reform of public policies should be strongly backed by all government actors (line ministries and regional entities), and an efficient PPD should not give operators a false sense of legal security and reliability.

1.4 Legal and regulatory framework

PPD should be locally led, and there is no international legal or regulatory framework to refer to.

At national and sub-national levels, public authorities may provide a formal or legal mandate to a PPD which states the objectives and provides the authority to carry out the consultation mechanism in a formalised manner. Nonetheless, even if having a formal or legal mandate can contribute to institutionalising and sustaining dialogue, it is no panacea, and political will to change matters more than the legal status of the dialogue.

In the article 'Reforming the Business Enabling Environment – Mechanisms and Processes for Private-Public Dialogue', Bannock Consulting (2005) argues that PPD formality should cope with the opportunities and constraints faced by the country's political economy and evolve flexibly over time. For instance, in countries where a distrust prevails between the public and private sectors, PPD should be kept relatively informal and start with a limited number of participants. Meetings should be frequent and focus on a narrow scope of issues.

What is crucial, if a PPD has a political mandate – which is preferable if favourable conditions prevail – is that it is clearly defined and integrated into an existing institutional framework, as well as aligned with

existing institutions and policies to minimise potential conflicts. According to the Charter of Good Practice in Using Public-Private Dialogue for Private Sector Development and Inclusive Growth (International Workshop on Public-Private Dialogue, 2006):

> a mandate with legal backing is especially likely to be helpful in transition economies or countries with a strongly bureaucratic tradition. However, energy should not be diverted into establishing a legal status at the expense of losing momentum on substantive reform efforts.

1.5 Key issues

A series of risks are looming and threaten the relevance of PPD as a tool for BER:

- PPD can reinforce vested interests and encourage rent-seeking behaviours if it is conducted by an illegitimate group of stakeholders. To mitigate this, efforts should be made to ensure transparency and broad-based participation of a large spectrum of stakeholders (multi-stakeholder engagements, women entrepreneurs, informal sector, grass-roots and decentralised private sector representatives)[2].
- If planning is poor and the focus of discussions weak, unfruitful discussions might lead to fatigue and loss of credibility. In this thematic review, we stress the importance of a well-planned and -adapted PPD design to counter this risk. The role of the media is also crucial to maintain momentum and increase pressure on the public sector to follow up on the reforms and improvements put forward by the private sector.
- Lack of coordination between development partners, as well as misalignment with local public policies and institutions, can jeopardise the coherence and sustainability of PPD. Conversely, donor coordination and institutional/political alignment enable the building of complementarities and sustainability.

1.6 Key actors

Table 1.1 lists the key stakeholders involved in PPD and describes their most common weaknesses in developing countries.

[2] Regarding trade agreements which often aim at opening local markets to outside competition, PPD built on a broad-based participation of a large spectrum of stakeholders is especially important and notably should include SMEs.

Table 1.1 Key PPD stakeholders and common weaknesses in developing countries

Stakeholders	Typical weaknesses
Ministries, departments and agencies	• Unequal capacity and willingness of public sector actors to dialogue with the private sector; there can be resistance to PPD at different managerial levels in the administration; generally, higher levels of public administration tend to champion PPD • Ministries can be threats to PPD because of vested interests in business and trade licensing or links to state-owned enterprises whose interests are different from the private sector; such enterprises often have a strong voice at all levels of government and prefer one-on-one discussions with governments • Sub-optimal capacity and resources to design or examine reform proposals, formulate coherent reforms, conduct regulatory impact assessment of reforms proposed by the private sector, follow up and implement these reforms, and communicate with stakeholders about their enactment and implementation
Private sector	• Fragmentation: private sector organisations do not always speak with one voice and dialogue can be captured by individual interests; private sector organisations (especially national chambers of commerce in countries having a continental model of business association – mandatory affiliation to chamber of commerce) are often politicised institutions with limited representative capacity • Weak capacity to identify constraints faced by member companies, provide coherent policy recommendations, negotiate constructively, build consensus, analyse evidence and nurture a successful dialogue; low skills to propose evidence-based reforms and coordinate businesses' interests • Multinational companies and large companies tend to have the strongest voice in PPD, since they have greater technical and financial resources for advocacy; nonetheless, this group is not homogeneous because different companies have different agendas • Large companies can have better informal links with government officials, which sometimes leads them to avoid participating in formal PPDs • MSMEs form the majority of firms in developing countries but are not well organised, are under-represented and participate less in PPDs • Marginalised economic actors, such as grassroots organisations, women and youth entrepreneurs, as well as the informal sector, lack structuration, have weak advocacy capacity and are under-represented in PPDs • Low capacity of private sector players to act as potential sources of information for the media and provide them with engaging and newsworthy information • Low involvement of private sector actors at decentralised level due to their remoteness to the capital city and weak PPD outreach to rural areas
Research institutions, academia and independent think tanks	• Weak capacity of research institutions and academia to collect and analyse empirical data that could be instrumental to support private sector in formulating evidence-based reform proposals • Low political neutrality of public research institutions and academia • Scarcity of independent think tanks able to contribute to policy design by developing analytical research and international benchmarking
Media	• Low development and weak capacity of business journalism • Excessive focus on politics and personalisation of issues (instead of issue-based and objective journalism) which leads to polarisation and affects the capacity of the media to contribute to PPD
Civil society organisations and trade unions	• Low structuration and weak capacities • Fragmentation • Under-representation in PPDs

Source: Ministry, department, agency and private sector stakeholder analysis mostly extracted from Bannock Consulting (2005).

2 What can be done?

2.1 Problem identification and diagnostic tools

The Handbook on Improving the Investment Climate through EU Action categorises and describes the drivers that should be considered to analyse the investment climate on a country basis: macroeconomic and political stability, governance, business environment and human-centred (EC, 2018b).

- At the macro level, stability and governance drivers cover macroeconomic stability, political stability and governance / rule of law/ justice/ anti-corruption. Among others, the following diagnostic tools can provide useful elements for the initial needs assessment: the Ibrahim Index of African Governance (IIAG), the Bertelsmann Stiftung's Transformation Index (BTI), the World Justice Project Rule of Law Index, Worldwide Governance Indicators available from the World Bank and the Corruption Perceptions Index.
- **Business environment drivers** include the following functional areas: business simplification, business tax policies and administration, investment policy, trade regulation and policies, financial markets, labour law and policy, technical and vocational education and training (TVET) and training policy, land and property rights, commercial dispute resolution, infrastructure policy and regulation, and energy policy and regulation. The Business Environment Reform Guidelines (EC, 2019) provide a comprehensive overview of potential diagnostic tools. Among these which are the World Bank's Doing Business reports, World Bank Enterprise Surveys, the Tax Administration Diagnostic Assessment Tool (TADAT), World Bank country Diagnostic Trade Integration Studies, and the World Economic Forum Global Competitiveness Report.
- **Human-centred drivers** comprise human development and innovation. Among the useful diagnostic tools are the Global Innovation Index (GII) and the Human Development Index (HDI).

2.2 Political economy analysis

Stakeholder management is perceived by practitioners as a sensitive and time-consuming aspect of PPD implementation in developing countries. To have an accurate picture of the context in which a PPD takes place, it is suggested to conduct background checks of stakeholders (Google search, cross-checking information between donor agencies and other individuals and institutions), consider cultural and historical legacies, and carry out in-depth political economy analysis at the stage of PPD project design.

The aim of **political economy analysis** is to better understand what political, social and economic processes promote blockage of change. It allows detection of aspects that would not be immediately visible and which are related, for instance, to power, rules of the game, and formal and informal arrangements. For BER, a political economy analysis would identify who obtains benefits from specific reforms, and who would lose and be more likely to block the process. Political economy analysis can be conducted at three levels:

macro, sector and issue-specific analysis. At any level, the process should focus on identifying entry points and opportunities for engagement, as well as addressing challenges and barriers. At each level of political economy analysis, the gender dimension should also be considered.

- **Macro or country-level analysis.** The objective here is to understand the political aspects of development in a particular country or region. For example, it might ask: What is the underlying nature of the governance regime? Who holds power, and in whose interests is it used? Are women and men equally able to access positions of political power?
- **Sector-level and issue-specific analysis.** This reveals political dimensions at the sector level and is instrumental in identifying specific obstacles and opportunities. Traditional questions include: What are the key areas or issues within the sector that we want to focus on? Who are the key players (from both the public and private sectors)? Which groups have the capacity to influence policymaking, and how can they contribute?
- **Stakeholder analysis.** This relates to the process of systematically gathering and analysing qualitative information to determine whose interests should be taken into account when developing and/or implementing a policy or programme. For BER, stakeholders can either be 'reformers' or 'anti-reformers'. This process also includes mapping stakeholders' interests, motivation, networks and influence.

2.3 Stakeholder mapping and analysis

The World Bank (2016a) has developed a practical guide for stakeholder analysis in PPD using the Net-Map method. This guide recommends sequencing a stakeholder analysis in three steps.

1. **Identify the purpose of stakeholder mapping.** Depending on the PPD project phase, stakeholder mappings can have different objectives. For instance, at the initial phase of a PPD, a stakeholder mapping would aim to identify an entry to start consultation and select a key ministry and influential private sector actors. Stakeholder mappings realised during the implementation phase of a PPD would aim to build consensus among participants.
2. **Stakeholder mapping.** This step consists of collecting quantitative data about stakeholder connections, interest and influence, as well as qualitative information about their perspectives. Four elements compose a stakeholder mapping: (i) **political economy of change** – seeking to isolate political patronage, informal arrangements and other types of political risks; (ii) **identification of relevant stakeholders** – select the right participants who will participate in the PPD platform and consider inclusivity and communication/outreach; (iii) **stakeholder participants** – clarify the stakeholders' perceptions of a specific issue and reveal their mutual attitudes, assess their willingness to engage, detect which persons are influential and why, and point out the personalities against a specific project and explain their opposition; and (iv) **empowering opinion leaders** – select champions who will own the process and bring it forward, leveraging their energy to mobilise a wider range of PPD participants.
3. **Stakeholder analysis.** This action aims to design specific strategies to mitigate risks, create stakeholder support programmes and develop a communication plan based on the information collected from the stakeholder mapping.

2.4 Broad areas of interventions

The main areas of interventions cover capacity building, provision of grants and technical assistance. These interventions can be carried out at various levels: macro, meso and micro. Table 2.1 presents the intervention areas and key activities by intervention level; Boxes 2.1, 2.2 and 2.3 present examples from the various levels.

Table 2.1 PPD intervention areas and key activities by intervention level

Intervention level	Broad areas of interventions	Key activities
Macro level (policy)	• Help establish, facilitate or support PPD platform • Improve the capacity of ministries, departments and agencies (MDAs) to be more responsive to BER and PPD	• Broker public-private consultations in a neutral manner, support management of a PPD secretariat, manage the secretariat, or manage the full PPD process (see Box 2.1) • Equip MDAs with the required technical support to engage with the private sector on substance of proposals • Enhance MDAs' ability to analyse reforms and assess their impact through regulatory impact assessment • Support MDAs to better integrate PPD issues on their agenda • Technical assistance and capacity building for reform implementation and follow-up
Meso level (intermediary organisations)	• Increase private sector organisations' (PSOs) capacity to formulate and intervene in PPD • Strengthen business journalism as a driver and supporter of BER • Reinforce the role of research institutions, academia and think tanks to supply both the public and private sectors with evidence-based analysis and reform proposals	• Build PSO capacities: status and governance including financial management, membership and outreach (internal and external communication function), leadership, resources, and services, internal and external communication (use of information and communication technology tools to identify members' constraints and engage with the public sector) • Train and support PSOs to define the problems and identify business issues and prioritise them • Build capacity of PSOs for effective advocacy • Build private sector coalitions around national/sub-national business agendas • Provision of research and advocacy grants to PSOs to produce evidence-based reform proposals (see Box 2.2) • Provision of catalytic action grants to PSOs to generate revenues and enhance their advocacy activities • Technical assistance and capacity building to universities, research institutions and independent think thanks to improve their data collection and analytical and benchmarking capacities • Build networks between research institutions and academia, and promote linkages with PSOs
Micro level (firm level)	• Deepen the involvement of and facilitate input from private sector firms in the PPD process • Enhance PSOs' supply of services to their member companies	• Technical assistance to improve the communication and outreach of PPDs and raise awareness about the consultation process and other business-related issues (develop media content, roadshows, etc.) • Upgrade the relevance and quality of business development services supplied by PSOs to their members (see Box 2.3) • Capacity strengthening of PPD secretariat

Box 2.1 Example of intervention at macro level: Sustainable Business for Uganda (SB4U) platform

The Government of Uganda, the Private Sector Foundation Uganda (PSFU) and the EU Delegation to Uganda have partnered to promote private sector investment in order to spur sustainable economic growth and generate decent jobs, in line with the Africa-EU Alliance for Sustainable Investment and Jobs.

To this end, the project Promoting EU and Uganda Private Sector Investments initiated a PPD in December 2018, which brought together over 200 European and Ugandan businesses and public entities to discuss priority investment issues. The stakeholders prioritised skills and attitude, access to finance and governance and corruption as critical investment hurdles in Uganda and proposed specific remedial measures. The dialogue led to the launch of the EU-Uganda Roadmap to Improved Investment Climate with the aim of achieving concrete results within a two-year period.

A challenge affecting most efforts to improve the investment climate in Uganda is the insufficient synergy and coordination between the private and public sectors. Strengthened PPD and collaboration are a prerequisite to attract more investments and businesses. The SB4U platform will comprise both Ugandan and selected EU private and public stakeholders and be supported by a secretariat. The steering committee of the platform will be co-chaired by PSFU and the EU and will be composed of representatives of the Ugandan and European private sectors, Enabel, Financial Sector Deepening (FSD) Uganda and other stakeholders.

The platform will provide a joint forum to discuss and advocate issues of importance for private sector development and investments and will champion the implementation of the roadmap responses and other activities. The platform will also be made accessible electronically to allow for dialogue with a broader range of stakeholders. Its tasks will include: (i) ensure a continued EU-Uganda investment climate dialogue and explore innovative private-public collaboration initiatives; (ii) strengthen EU-Uganda trade and investment links and initiate networking events, joint business missions and partnerships; and (iii) advance, monitor and further elaborate the roadmap to an incremental improved investment climate (Ecorys, 2019).

Source: https://sb4uplatform.com/background/

Box 2.2 Example of intervention at meso level: BEST-Dialogue project in Tanzania

The Government of Tanzania established the Business Environment Strengthening for Tanzania Private Sector Advocacy and Dialogue programme (BEST-Dialogue) in November 2003 as an effort to improve Tanzania's business environment. BEST was a cross-cutting, multi-donor-financed programme geared towards providing a more enabling environment for the private sector. During three consecutive five-year phases (2004–2019), the project provided grants and access to capacity development services for Tanzanian private sector organisations. The grants helped these organisations 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, the Swedish International Development Agency (Sida), the UK 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 EUR 3 million (under EU's National Indicative Programme 2014–2020), through a combination of an indirect management agreement with Danida and direct management (procurement), out of a total budget of EUR 15 million.

Specific objectives of BEST-Dialogue were to:

- empower private sector organisations and their capacity to engage in advocacy on business environment issues through effective PPD;
- enhance the capacity of the private sector to become a more effective player in trade and investment between the EU and Tanzania.

Expected results were:

- sustained and effective dialogue between private sector / civil society organisations and government through stronger partnerships and coalitions;
- enhanced advocacy and knowledge management capacity of the private sector to carry out evidence-based research on issues affecting the business environment and investment climate;
- enhanced services and knowledge management capacity of the private sector to expand trade and investments between the EU and Tanzania.

Main activities included:

- promote and facilitate alliances/coalitions (through seminars, workshops, digital platforms, joint research) by improving the circulation of information between private sector organisations;
- increase the linkage between national and foreign business associations;
- improve the participation of the private sector in consultative groups set up by the government and reinforce the national platform of dialogue where cross-cutting issues are addressed;
- provide capacity-building initiatives for the private sector / civil society on data collection and analysis as well as related advocacy skills in cross-cutting areas such as taxation, immigration, skills development and land, innovations in the green economy;
- provide grants for research on economics and government regulations on business (regulatory impact audits, social network analysis);
- provide technical assistance supporting Tanzania in its efforts to promote trade to the EU and attract investments from the EU through capacity building, market studies, trade fairs, business-to-business workshops, trade policy support, business know-how and training, and project studies.

Sources: Danida, BEST-Dialogue Programme Description (2013–2019), https://um.dk/en/about-us/procurement/contracts/short/contract-opportunitie/newsdisplaypage/?newsid=6f2552d6-1149-4256-9a8e-c8944b10d4a2; EC (2016).

Box 2.3 Example of intervention at meso and micro levels: BUSAC Fund in Ghana

The Business Sector Advocacy Challenge (BUSAC) Fund is a programme aimed at strengthening the advocacy capacity of private sector business groups and associations in Ghana. Supported by Danida (the lead development partner), the U.S. Agency for International Development (USAID) and DFID, the first phase of the programme ran from 2004 to 2010, during which time the fund provided a total of 362 advocacy grants to various business groups and associations within the 10 regions of Ghana. The second phase of the BUSAC Fund (2010–2016) enjoyed the support of the EU as well, and the fund provided 435 advocacy grants worth over EUR 16 million to various private sector organisations. For BUSAC Fund Phase II, private sector organisations eligible for support included business associations, trade unions, media houses and farm-based organisations.

BUSAC III (2016–2020) concentrates on fewer, larger private sector organisations that have nationwide membership as well as on building their long-term sustainability to continue with structured and evidence-based business advocacy in the absence of BUSAC Fund support. BUSAC Fund III is funded by Danida as the lead development partner, the EU and Feed the Future Ghana. The expected outputs are:

- district- and community-level business constraints addressed through advocacy action;
- capacity of private sector organisations to undertake advocacy activities significantly increased;
- PPD platforms created;
- increased attention to post-advocacy follow-up;
- enhanced capacity of research institutions and think tanks to provide evidence on private sector advocacy issues;
- increased capacity of private sector organisations to identify business development service needs of members and provide these services.

Interested private sector organisations receive capacity building to identify the business development service needs of their members and, with the assistance of certified service providers, prepare training and coaching programmes for their members. It is expected that by offering quality and relevant business development services, the private sector organisations will increase their credibility and attract more dues-paying members. Examples of business development services include helping pineapple farmers to access EU markets, supporting rice farmers to produce more, advising on corporate social responsibility principles, and coaching on production and productivity and quality standards and assurance.

Source: BUSAC Fund website, https://www.busac.org/.

3 How can it be done?

The Charter of Good Practice (International Workshop on Public-Private Dialogue, 2006) comprises several important factors for organising; these key considerations are presented in Box 3.1. In addition, key factors ensuring the success of PPDs must be looked at – i.e. identifying and working with champions, relying on strong capacities, pursuing inclusivity and improving sustainability.

3.1 Key success factors

CHAMPIONS

PPD champions are individuals, from the public or private sector, who drive the dialogue forward. Important qualities they need are to be active, motivated, persuasive individuals who can keep processes on course when obstacles are encountered and maintain the involvement of PPD stakeholders. For example, the involvement of the President of Ghana (John Kufuor) in the Ghana Investment Advisory Council was considered key to driving important policy reforms (Herzberg and Wright, 2005). As poorly selected champions can destroy PPD by capturing the dialogue (Bannock Consulting, 2005), identifying and working with champions from the public and private sectors pursuing the general interest of the country (as opposed to pursuing their own interests or those of a faction) is crucial for the success of PPDs (Herzberg and Wright, 2005). These champions take ownership of the dialogue process and drive it forward.

It is preferable to involve public sector champions having strong buy-in and integrity (OECD, 2007) and high authority. On the private sector side, PPDs should select independent and representative champions capable of expressing the interest of the business community as a whole. It is nevertheless important, especially in fragile environments, to avoid over-dependence on specific individuals; if they leave, the PPD process could be derailed.

CAPACITIES

Earlier, we highlighted various typical weaknesses that might negatively affect the ability of PPD stakeholders to conduct PPD in a constructive manner.

- **Public sector:** The public sector in developing countries can be affected by low capacity and lack resources to design or examine reform proposals, formulate coherent reforms, conduct regulatory impact assessment of reforms proposed by the private sector, follow up and implement these reforms, and communicate with stakeholders about their enactment and implementation.
- **Private sector.** Private sector organisations (PSOs) play an important role in supporting private sector development and improving the business environment because they deliver a range of services for enterprise development and advocate their members' interests to the government. According to German development company sequa gGmbH,[1] seven

[1] Sequa gGmbH's objective is to create an enabling environment for the private sector in partner countries with a view to improving the livelihoods and working conditions of as many people as possible. The company's agenda also includes strengthening business organisations, establishing

Box 3.1 Key considerations for organising public-private dialogues

- **Initiation of the dialogue and public participation.** For any PPD at the country or sector level, political will on the part of public dialogue partners needs to be ensured. The dialogue should be open for input from technical staff of participating ministries or public agencies. Leadership of the dialogue should be given to an experienced and well-informed individual who will be able to command trust and respect from all participants. Finally, PPD needs to be politically neutral. Where possible, representatives across the whole spectrum of political groups (government and opposition) should be included.
- **Private sector representation and priorities.** A condition for effective PPD is that relevant private sector target groups are organised into associations or other business member organisations that can represent their interests and know their priorities and constraints. A particular challenge is often to ensure adequate representation of informal firms, smallholders and local MSMEs.
- **Civil society participation.** Integration of other non-state actors can increase the legitimacy and transparency of the dialogue process. Representation of women and/or youth groups also needs to be considered.
- **Selection mechanisms.** Clear and explicit criteria for membership in the dialogue can not only forestall resentment from those who are not selected, but also minimise the risk that the process is captured by political interests or that participating private sector representatives are conferred unfair business advantages. Moreover, it is important to clarify member expectations at the beginning of the PPD.
- **Role of donors.** The EU can provide funding, logistical support and advice, but should leave it up to the participants to arrive at common decisions, recommendations and results. In some cases, the EU Delegation may assume the role of an intermediary 'broker' that all partners engaged in dialogue are perceived to be fair, transparent and neutral.
- **Design and structure of dialogue mechanism.** PPD can come in many forms; there is no 'one size fits all' type of dialogue mechanism. It can be structured or ad hoc, formal or informal, economy-wide or sector-focused. It needs to be verified whether the dialogue can be established through harnessing existing structures, or whether new structures would duplicate or undermine the work of existing organisations. Moreover, a PPD structure should be designed to include the flexibility to reform itself if its initial set-up proves to be ineffective or its purpose changes.
- **Shared goals.** General objectives of the PPD should be clearly defined, such as building consensus on a new regulation or consulting with the private sector on ways to remove specific constraints in their business environment.
- **Outreach.** There should be a policy of open and active engagement with the media, with public announcements of aims used as a way of creating accountability and commitment of participants for achieving the objectives of the dialogue. There should also be a quick, simple and well-publicised method for stakeholders not participating in the dialogue to submit recommendations for inclusion in its agenda – for instance, through a website with functionality for submitting feedback.

Note: These considerations are drawn from the PPD Handbook (DFID et al., 2006) and reflect the principles of the Charter of Good Practice in using Public-Private Dialogue for Private Sector Development; see www.publicprivatedialogue.org.

criteria allow practitioners to proceed to an organisational analysis of PSOs (sequa, 2008):

- **Status and governance.** This includes the legal status of the PSO and its governance (democratic/accountable or captured by individuals depending on the regularity and inclusivity of elections).
- **Membership and outreach.** This considers the importance and coverage of membership (proportion of members of the PSO compared to the total number of businesses in a territory/sector).
- **Leadership.** Does the PSO have a vision, a mission statement and a strategic plan? Is it reassessed periodically?
- **Resources.** This includes resources such as staff, finance and facilities allowing PSOs to operate.
- **Communication and mobilisation.** This considers the ability of the PSO to mobilise members' resources for collective action, but also refers to internal (for transparent decision-making) and external communication capacities (increasing legitimacy, weight and importance).
- **Advocacy.** This encompasses the capacity of the PSO to affect policymaking. It includes access to and cooperation with government.
- **Services.** Members of PSOs will be attracted by services answering their needs and meeting their expectations. Services of PSOs can also include functions delegated by governments such as business licensing and certification.

In addition, most PPDs in developing countries suffer from an under-use of evidence and impact assessment. A key element allowing PSOs to influence public policy is having the necessary advocacy skills to scope, analyse, prioritise and present business constraints to government. The following five-step approach to business advocacy (see Figure 3.1) shows what should ideally be the sequencing of a well-structured advocacy campaign (Irwin, 2015):

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

In developing countries, and especially in fragile contexts, **fragmentation of the private sector** is 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 negatively affects the consistency of reforms or improvements proposed by the private sector. Poor resource allocation for critical issues as well as inconsistencies between various sectoral policies that should complement each other are often observed (Business Environment Reform Facility, 2016).

- **Trade unions.** In many developing countries, trade unions lack structuration and suffer fragmentation. This negatively affects the nature of labour relations, which tend to be unbalanced, adversarial or even confrontational. In turn, this undermines the respect of basic labour rights, and affects the quality of dialogue between social partners as trade unions lack voice and representation. Labour markets are

sustainable social standards and improving access to vocational education. Sequa gGmbH is owned by GIZ (49 per cent, largest shareholder) and leading associations in German industry: the German Association of Chambers of Industry and Commerce, the German Confederation of Skilled Crafts, the Confederation of German Employers' Associations and the Federation of German Industries.

Figure 3.1 The five-step approach to business advocacy



affected by poor regulation and enforcement of rules, laws and labour rights. This absence of adequate framework conditions for private sector development weakens its contribution to sustainable inclusive growth, job creation and decent work (Danish Industry, n.d.).

- **Civil society organisations (CSOs), non-governmental organisations and grass-roots organisations.** These are often considered by donors to be key development partners. Grass-roots organisations enable people in a given district, region or community to mobilise a political or economic movement to effect change at the local, regional, national or international level following a bottom-up approach. CSOs[2], non-governmental organisations and grassroots organisations play an important role in filling governance gaps and promoting policies that are not always met or supported by government strategies. They can help deliver services, stimulate public debate, encourage democratic processes and accountability and strengthen civil society (OECD, 2011). Their capacity greatly varies, and one way to systematically compare them is to assess their capacity in five areas: **organisational development**; **sustainability and resourcing**; **information sharing, cooperation and advocacy**; **stakeholder relations**; and **legal and regulatory environment** (UNDP, 2015).

They also are often important in PPD as representatives of interests of those parts of the private sector not represented in mainstream PSOs (cooperatives, smallholders, informal firms and workers, etc.). Their participation is hence important to make PPD inclusive of all forms of the private sector.

- **PPD secretariat.** Finally, a PPD secretariat, if established, also needs strong capacities to properly carry out its functions (see Sub-section 3.2 for these). This implies notably that the PPD secretariat staff has professional command of planning, delivery and follow-up of PPD meetings (agenda, documentation, minutes), solid analytical work capacity, consensus-building skills, and monitoring and evaluation techniques.

INCLUSIVITY

An inclusive approach that does not exclude from the consultation process any important group is critical to the success of a PPD. The private sector is diverse, and public-private consultations should reflect this granularity. Marginalised groups such as women entrepreneurs, youth entrepreneurs and the informal sector account for major parts of economic activities but are frequently unorganised and under-represented in PPDs. Dialogue platforms can be marked by inequitable representation since some businesses have a greater capacity to represent themselves within these processes than others. Traditionally, large, urban, formal sector, male-managed firms have greater financial and organisational capacity to participate than smaller, rural, informal and women-owned firms. Grassroots organisations are also often neglected in talks related to BER. Enabling them to participate in

[2] In 2014, an effort was initiated to develop the EU Country Roadmaps for Engagement with Civil Society. Conceived as a joint initiative between the EU 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 CSOs, in line with the 2012 communication 'The Roots of Democracy'.

PPD is challenging as they often have weak organisational structures, are likely to be unable to institutionalise knowledge, and their financial sustainability is low since their members are informal enterprises. It should be noted that there exists a trade-off between effectiveness of PPD and inclusivity, and it may be necessary to limit participation to make true dialogue practical (Hetherington, 2016).

SUSTAINABILITY

Local ownership and self-sustainability are critical issues for PPDs (see Box 3.2). When it comes to sustainability, a PPD process is more likely to survive and be efficient after a development partner's project ends when it gathers three key elements:

- **operational sustainability:** stakeholders have the internal capacity to operate the PPD;
- **financial sustainability:** the budget for running the PPD process covers the costs (mostly the costs of operating a PPD secretariat);
- **sustained mandate:** this means that the dialogue platform continues to have an official mandate (World Bank, 2016d).

Achieving operational sustainability is challenging for PPDs in developing countries because maintaining participation and commitment from stakeholders is difficult (due to the fact that consensus is not easy to reach, trust is low and securing long-term financial support is problematic). The capacity constraints faced by the PPD stakeholders detailed above have a critical impact as well on the sustainability of the dialogue process. Problems can become more acute during the transfer phase[3], since this change can represent a source of anxiety among participants and exacerbate tensions among stakeholders

Box 3.2 Adopting a locally led and politically smart development approach to aid interventions

Local ownership increases the sustainability of aid interventions. The Overseas Development Institute discussion paper 'Politically Smart, Locally Led Development' stresses the need to adopt aid interventions that break with traditional 'top down' development policy (ODI, 2014). The rationale is that development is a political process that is predominantly endogenous and cumulative, and development partners should play a supportive but not a leading role in facilitating progressive change. Moreover, developmental issues are complex and mostly unpredictable, which implies that aid interventions should be carried out taking into account an iterative and adaptive design.

Politically smart interventions are on the one hand politically informed (integrating historical knowledge, as well as in-depth understanding of country and sector context, including embedded structures, local informal institutions, relationships and actors), and on the other hand politically astute (integrating politics smartly). Locally led interventions focus on issues that have local salience, both for potential beneficiaries and for at least some individuals and groups with the power to support, influence or block change, and must be locally negotiated and delivered. In this approach, priority is thus given to local leadership and local capacity.

3.2 Methods and levels of interventions specifically relevant to PPD

In Section 2, we presented the broad areas of interventions that can be carried out by development partners to support PPDs. In line with the 'locally led, locally owned' approach, and in order to be sustainable, support from the EU should support or facilitate processes that are embedded in local institutions and enhance capacities of PPD stakeholders at the macro, meso and micro levels. This is why any intervention should be designed based on a careful political economy analysis, especially in fragile contexts. Bannock Consulting (2005) offers useful advice on what development partners should and should not do to support PPD:

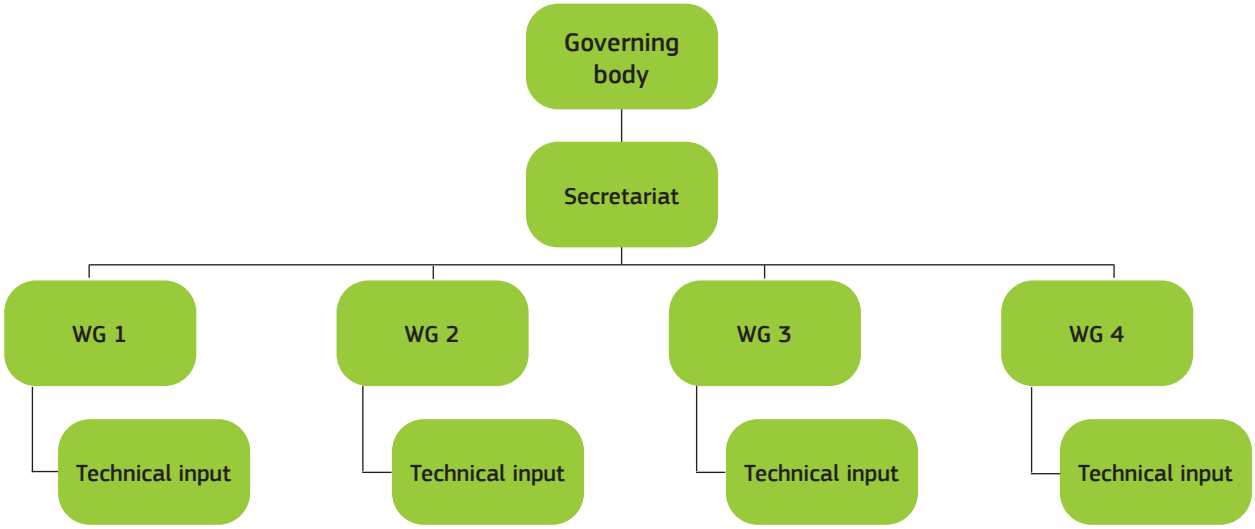
[3] The transfer of operations, management or financing of a PPD by sponsors to local institutions.

- Development partners' interventions are valuable when they invest their resources to help PPD stakeholders to **collect and analyse evidence around a particular business constraint**.
- Donors should **build local capacity in policy analysis**, regulatory impact assessment and other policymaking skills.
- They can also **improve the political economy infrastructure** supporting dialogue, including open and objective information/communication systems (informed business journalism) and benchmarking of the local policy environment against international best practice.
- Finally, their support can also **create a neutral space** for discussions in countries where public-private trust is low, bringing in trained facilitators and supporting development of facilitation skills and techniques.

Providing a third-party facilitator often corresponds to the World Bank / International Finance Corporation Good Practice model. In this approach, a PPD is generally a tool put in place to facilitate the implementation of an existing investment climate reform programme and follows the same model as in other countries where similar PPD projects have been implemented. Three options are possible under this approach: support a group managing the PPD, manage the PPD secretariat, or manage the entire PPD process (Toland, 2009).

The management of a PPD in developing partner countries can be ensured by a secretariat. A **PPD secretariat** plays a key role in a PPD and serves as an engine since it acts as a coordinator, administrator, facilitator, information manager, analyst and advocate. Its main tasks include organising meetings, coordinating research, setting agendas, inviting members, managing communication and outreach, supporting working groups to implement reforms, monitoring progress, and ensuring that private sector representatives participating in the dialogue receive feedback on the use of dialogue outcomes in the political process. Its governance structure can encompass a governing body composed of representatives of the government, the private sector (and possibly development partners), technical working groups (focusing on sectoral and/or cross-cutting issues) and the secretariat which plays an administrative and facilitation role. Traditionally, the secretariat is composed of a small team (two or three staff plus an economist and/or legal experts) acting as an honest broker. PPD secretariats are commonly hosted in ministries, chambers of commerce / PSOs or investment promotion agencies. Figure 3.2 presents the typical structure of a PPD secretariat.

Figure 3.2 Typical structure of a PPD secretariat



Nevertheless, PPD is not a 'one size fits all' solution: depending on the context, supporting ad hoc consultations can bring more results and achieve quicker wins than supporting a formalised PPD secretariat. The embeddedness in local institutions should go hand in hand with **capacity building of PPD stakeholders at the macro, meso and micro levels**, be they at the centralised or decentralised level and from the formal or informal sector. Furthermore, development partners' interventions should not impose their own agendas on PPD: local participants must own the agenda, and the host government should embrace the need to improve the investment climate. Furthermore, PPD support programmes should not overuse grants (PSOs should rely more on their members than on donor support). Finally, donors should plan PPD support for the long term, and interventions should be coordinated among agencies in order to use resources most efficiently.

Where a PPD secretariat should be hosted is an important choice that determines the effectiveness of the dialogue and varies with institutional contexts in the respective partner country. Evidence shows that PPD is actually most effective if hosted by the office of the prime minister, as it is often best positioned to involve all relevant line ministries in the dialogues.

Technical assistance to and capacity building for public and private actors are important for enhancing PPD efficiency and inclusiveness. For the private sector, interventions can aim to reduce fragmentation of PSOs, identify key business bottlenecks, formulate coherent reform proposals based on evidence (including cost-benefit analysis), and improve their advocacy and post-advocacy skills. For the public sector, equipping government ministries, departments and agencies with the necessary skills and tools to understand (including conducting regulatory impact assessment), adopt and implement reforms allows the relevance of PPD to be demonstrated to the private sector (consequently improving trust) and enable the investment climate. Special attention should be paid to independent research institutions and academia: actions targeting these stakeholders can improve the supply to both the public and private sectors of evidence-based analysis and reform proposals, as well as enabling media actors to provide a platform for debate and investigate business-related issues[4]. The ENABLE project in Nigeria (see Box 3.3) illustrates a comprehensive approach to supporting PPD.

SECTORAL APPROACH TO PPD

Sometimes, sectoral dialogue can be effective in producing results; this is especially the case in fragile contexts where low education, corruption and over-regulation make it more challenging for firms to see the wider picture. Dialogue should focus on issues directly affecting their businesses, and pragmatism should prevail (Bannock Consulting, 2005). More broadly, various experiences have demonstrated the existence of a trade-off between 'representativeness' and 'capacity for dialogue' in PSOs. Cross-sectoral business associations, such as chambers of commerce, are more likely to have a broader perspective on the business environment. However, they have less in-depth understanding of key sectoral issues, and at the national level have a limited grasp of smaller firm and decentralised concerns (Bannock Consulting, 2005). On the other hand, PPD practitioners have also noticed that involving too few sectors decreases the impact on cross-cutting issues, which in turn increases the risk of over-specialisation, leading PPD participants to adopt a tunnel vision. As a consequence, it is worth conducting PPD in several parallel sectors and building cross-cutting PPD mechanisms from these sectoral dialogues, thus combining the two approaches (sectoral and cross-cutting) (DFID et al., 2006). Box 3.4 provides an example of a project supporting sectoral dialogue.

PPD AT SUB-NATIONAL LEVEL

PPD can be carried out at all levels (international, central, regional and local), and produces the most immediate and practical reforms when it takes place at the lowest level at which public and private sectors interact. Similar to scoping the dialogue on sectoral issues,

[4] The role of the media should be carefully considered depending on the context. When well informed and objective, it can contribute to providing a platform for constructive debate around business-related issues; in other contexts (particularly in fragile and conflict-affected states), it can contribute to polarising debate and increasing tensions.

Box 3.3 ENABLE project in Nigeria

ENABLE was a DFID-funded business advocacy programme designed to promote an improved PPD and business environment in Nigeria. It was implemented in two phases:

- ENABLE1 (2008–2014; EUR 13 million) worked with partners at the federal level as well as in Lagos, Kaduna and Kano.
- ENABLE2 (2014–2017; EUR 12 million) ended work with Lagos but added new focal states in Northern Nigeria (Jigawa, Katsina and Zamfara).

Unlike a donor-led reform programme, ENABLE avoided hosting its own dialogue events or advocating directly for reforms. Instead, ENABLE sought to strengthen the process of reform within existing Nigerian institutions and organisations and supported them to better research and advocate on issues related to the business environment. Instead of directly performing a function in the system (such as hosting and funding a PPD platform), ENABLE's objective was to promote a systemic change of the BER system. More precisely, ENABLE supported all the stakeholders of the BER market to:

- strengthen private sector demand for reform by supporting PSOs to engage in effective advocacy on behalf of the private sector;
- enhance the BER reform supply (quality and quantity of reforms) by building the ability and willingness of government ministries, departments and agencies to dialogue with the private sector;
- strengthen the role of the Nigerian media as a driver and supporter of BER, a channel for information, and a platform for debate and discussion;
- support research institutions, both public and private, to improve the supply of policy research and information in order to promote informed, evidence-based dialogue.

As a result, ENABLE1 contributed to 82 new or improved PPDs, leading to 13 cases of BER benefiting 1.8 million microenterprises (30 per cent female-owned). ENABLE2 contributed to 65 new or improved PPDs and 17 cases of reform, including the first significant federal-level BER for nearly 20 years.

Sources: ENABLE (n.d.); BEAM Exchange programme profile, https://beamexchange.org/practice/programme-index/114/.

decentralising PPD to sub-national levels increases the likelihood of improving the investment climate, because organising dialogue locally makes engagement easier for all parties, coalitions are built more naturally, and governments tend to be less ideological and more pragmatic (International Workshop on Public-Private Dialogue, 2006). A precondition to this is that a government participating in sub-national PPD has the power to implement regulatory reform proposals on a local level, or that the central government is well represented in the sub-national PPD, which is most often not the case. Box 3.5 offers an illustration of how the Centre for International Private Enterprise (CIPE) supported PPD at a decentralised level in Kenya.

PPD FOR TRADE FACILITATION AT NATIONAL, REGIONAL AND INTERNATIONAL LEVELS

PPD processes can support trade negotiations and implementation of trade agreements, secure strong ownership from civil society, and support reforms and implementation of commitments in developing countries' economies. When it comes to supporting trade negotiations, an efficient PPD can be instrumental to ease the process, facilitate completion of talks within tight deadlines, simplify the assessment of offensive and defensive interests and seek equitable compromises. Once negotiations have been concluded, the structures established for the implementation of such trade agreements can be instruments for PPD and help provide the necessary accompanying measures and reforms (including business environment).

Box 3.4 Sida's work in Liberia: GROW programme support to grass-roots sectoral organisations

GROW is an agri-business and investment advisory programme financed by Sida that partners with businesses, investors, associations and government agencies to accelerate inclusive economic returns within high-growth industries in Liberia. GROW works within the cocoa, rubber and agro inputs industries. Across all sectors, GROW works to improve the business management capacity of all partners, with the overall goal of strengthening Liberian markets.

In 2019, a Liberian government agency – the Liberia Agricultural Commodities Regulatory Authority (LACRA) – introduced new regulations for the cocoa sector, making it mandatory for cocoa-exporting companies to have a minimum bank balance of EUR 2.3 million at the time of application to qualify, have the capacity to export a minimum of 3 000 tons of cocoa per season, and present a bank guarantee of EUR 230 000. Through these regulatory changes, the cost of obtaining an export licence was fixed at EUR 9 230 (instead of EUR 3 234 for Liberian businesses and EUR 4 620 for foreign businesses previously) and the royalty on cocoa and coffee increased to EUR 46.20 per metric ton (instead of EUR 9.23 per ton). Finally, it was made mandatory to use LACRA's warehouses to store cocoa for export. In effect, these new regulations would have limited export of cocoa to a small number of large companies.

GROW convened a workshop with the cocoa exporters association's members in July 2019. The objectives of this workshop were to ensure that exporters spoke with one voice on the regulations, develop a position on key points of the regulations, and provide evidence of the impact of the regulations on the cocoa sector. Following this workshop, an official position paper, including alternative options to the new regulations, was produced and presented to LACRA.

Following this advocacy campaign (also supported by Solidaridad and USAID), LACRA removed these new regulations and announced in October 2019 that the export licence fee for local firms would be reduced to EUR 4 620 and the foreign exporters' licence fee set at EUR 9 230. In addition, royalties were reduced to EUR 9.2 per ton, and exporters were allowed to process cocoa in their own warehouses provided they conformed with international standards.

This example shows how even a small business association at the grass-roots level could, with the support of development partners and using the media, increase public pressure on the government and positively influence decision-makers to improve the regulatory environment of an economic sector of strategic interest. This success story could be replicated in other economic sectors.

Sources: Exporters Association of Liberia, Exporters Association's Review of Cocoa and Coffee Regulations (2019); and https://www.growliberia.com/.

Trade agreements can sometimes provide a good political mandate for organising a formal PPD or add relevant subjects related to the negotiations to an existing PPD process. They can also help PPD to be aligned with existing institutions and policies and therefore minimise potential conflicts. PPDs aiming at trade facilitation can be conducted at international, regional and national levels. Boxes 3.6, 3.7 and 3.8 provide examples of projects implemented at each level.

To deepen regional integration, boost regional trade and exports of selected value chains and harmonise the business climate regionally, PPD can be implemented at the regional level. Formalising a PPD at the regional level can help enhance regional value chains and promote and increase regional integration processes. It also tends to favour a pragmatic approach, focusing the PPD on specific sectors to discuss market access concerns. Discussions with chambers of commerce, cross-sectoral business associations and relevant civil society stakeholders can be helpful when engaging on overarching trade priorities and concerns.

Box 3.5 CIPE's efforts in Kenya: Supporting PPD at a decentralised level

Following contested elections in 2007, Kenya endured a post-election crisis which exacerbated political and ethnic tensions and jeopardised the country's stability and governance. The post-election violence led to the deaths of more than 1 500 people, including members of Parliament, and the displacement of another 600 000 citizens. After a power-sharing agreement, the country entered a period of political transition marked by intense public debate about the future political organisation of the country, and consultations were held about constitutional reform and decentralisation.

Against this backdrop, CIPE designed a three-pronged strategy to promote social, economic and political reform in Kenya that included (i) building the organisational capacity of private sector organisations, (ii) developing and promoting tools (national business agenda and budget monitoring) and processes for policy dialogue to support the private sector's engagement with government, and (iii) promoting reform at the local level in five pilot counties. Through this project, implemented from 2010 to 2017, CIPE supported a wide range of partners, which included the apex private sector organisation, informal traders' associations, regional and county coalitions, and an economic think tank[1]. CIPE partners participated in at least 191 PPD events to improve the business environment, ranging from high-level national events to sub-national events at the regional and county levels. These PPD events were attended by at least 9 400 people participating from the private sector, civil society and government. Many of the forums carried out as project activities became institutionalised after project completion.

Two main types of tools were developed by CIPE to support PPD at a decentralised level: regional business agendas and budget monitoring tools. **Regional business agendas** are presented to governments at the sub-national level and used to facilitate dialogue with local government and **budget monitoring tools** aim at measuring government expenditures and citizen satisfaction with public services, as well as providing a framework for examining county budgets. With CIPE support, the Kenya Association of Manufacturers regional coalitions adopted regional business agendas. Through these coalitions, 56 business associations and CSOs engaged local government on policy and regulatory reforms and infrastructure development to improve the local business environment. Results included improvements in roads, sewage systems, street lighting, street cleaning and security, as well as reduced transportation fees. Today, even though CIPE support has ended, the coalitions continue to engage government through forums on a quarterly basis, demonstrating institutionalisation of the process.

Source: CIPE (2017).

[1] Project beneficiaries included the Kenya Private Sector Alliance (KEPSA), the Kenya Association of Small Vendors and Informal Traders (KENASVIT), the Kenya National Chamber of Commerce and Industry (KNCCI), the Health Rights Advocacy Forum (HERAF), and the Micro and Small Enterprise Federation (MSEF).

At the regional level, efforts to facilitate PPD are currently being supported by the EU in the Economic Community of West African States (ECOWAS) region under the West African Competitiveness Programme (WACOMP) and in the Common Market for Eastern and Southern Africa (COMESA) region as detailed in Box 3.7.

Box 3.8 provides an example of a national-level PPD in the context of a project supported by the EU in Vietnam with the aim of deepening the country's trade integration into global trading systems and boosting its trade relations with the EU.

SOCIAL DIALOGUE

Social dialogue defines the cooperation between social partners, including representatives for employers, employees and governments. The term covers the dialogue and negotiations that social partners conduct

Box 3.6 PPD at the international level: Global Alliance for Trade Facilitation

The Global Alliance for Trade Facilitation (GATF) brings together governments and businesses as equal partners to address delays and unnecessary red tape at borders and design and deploy targeted reforms that deliver commercially quantifiable results. Its work assists governments in developing and least developed countries in implementing the World Trade Organization's Trade Facilitation Agreement. The project is hosted by the Centre for International Private Enterprise (CIPE), the International Chamber of Commerce (ICC) and the World Economic Forum (WEF), in cooperation with Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) acting as implementing partner. Funding is provided by the governments of the United States, Canada, Germany, Denmark, the United Kingdom and Australia.

The approach of the GATF is three-pronged:

- Establish PPD on trade facilitation: The Alliance works with governments, businesses and other international organisations to create the right environment for trade reforms that respond directly to business needs.
- Delivering country trade facilitation projects: Examples of such country projects include risk-based pre-arrival customs process in Ghana and Kenya.
- Using data to measure and strengthen impact: The Alliance uses business metrics to develop benchmarks and track the impact of trade facilitation reforms.

The Alliance adopts a co-creation methodology: private sector engagement and PPD are mostly carried out through scoping missions and project proposal development. The co-creation (coupled with co-implementation) is characterised by the systematic inclusion of the private sector in identifying, designing and implementing trade facilitation reforms. To this end, the Alliance organises PPDs in which public and private players cooperate to identify constraints, priority areas for public-private cooperation, and the technical design of reforms. The Alliance's approach involves a wide range of actors: headquarters, regional managers and in-country branches of multinational companies (mostly large firms such as Deutsche Post DHL Group) and local subsidiaries.

Additionally, the Alliance plays the role of a neutral facilitator that aims to ensure that partners abide by their commitments and execute agreed upon tasks, all of which helps build trust. As a consequence, an independent evaluation of the Alliance indicated that public and private sector stakeholders reported increased levels of trust in the wake of the Alliance's involvement. Although multiple and sometimes opposing interests are commonplace within the private sector, the Alliance works with companies at the global and country levels to create common ground and design projects that respond to shared concerns.

Source: GATF (2020).

about agreements regulating the labour market (including topics such as wages, working hours and education). Social dialogue can be carried out at two levels: bipartite negotiation between employer and employees, and tripartite negotiation between employee, employer and government. It is important that, when analysing and designing PPD actions, social dialogue actors are involved, adapting to the context.

Employers' organisations and trade unions are traditionally legally recognised as social partners, and tripartite dialogue mechanisms can be integrated in the formal governance structure to support labour market development. Through social dialogue, employers' organisations and trade unions gain access to policy formulation on all issues guiding or influencing the labour market. Strengthening these stakeholders' organisational structures and functions can reinforce their ability to engage in bipartite social dialogue and tripartite collaboration for the sake of improving labour rights, securing working conditions, influencing policy decision-making and legislation, and contributing to ensure enforcement and compliance. Box 3.9 details support from Danida to social dialogue in Uganda.

Box 3.7 PPD at regional level: COMESA Business Council

The COMESA Business Council (CBC) is the recognised private sector organisation in this region, established as a private sector institution of COMESA. It represents the interests of business sectors at a regional level. The services provided go beyond advocacy to actively promote business participation in regional integration, investment and global trade. This is done by facilitating the growth of strong business synergies, the development of business opportunities and business alliances, and legislative and strategic advocacy. CBC provides custom-tailored services that are driven by both industry and enterprise interests.

CBC convenes a diverse number of sectoral and multi-sectoral PPDs to engage the public and private sectors on key constraints and challenges faced by businesses in the region. These also act as pivotal advocacy platforms to scale up private sector development in the regional integration agenda. CBC provides mainly two types of PPD platforms: the annual COMESA Business Forums and sectoral PPD meetings.

Through its dialogues, CBC intends to facilitate business reforms; promote better diagnosis of investment climate problems and design of policy reforms; make policy reforms easier to implement through cohesion and common understanding; promote transparency and good governance; and build an atmosphere of mutual trust and understanding between the public and private sectors.

Source: CBC website, http://comesabusinesscouncil.org/public-private-dialogue/.

EXPECTED RESULTS AND MEASUREMENT

It is important to mention here that PPD is never the ultimate objective of an intervention but only a tool to achieve a certain outcome of a programme as defined in the logframe (such as improved business registration procedures, etc.). PPD can help make such programmes more relevant by providing a private sector perspective on existing business environment constraints that the programme can then help to address.

As PPD is a tool for BER, it is logical to start designing such projects by following the Sector Indicators Guidance (SIG) developed by the EC's Directorate-General for International Partnerships (INTPA). This guidance 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 INTPA policy priorities and the Sustainable Development Goals (EC, 2019). Dedicated guidance for action design in the field of BER has also been developed by INTPA[5]. For instance, 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 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 and sustainable investment (domestic and foreign). The overall objective relates to increased sustainable inclusive economic growth with improved livelihoods and decent employment (more and better jobs)[6].

More precisely, integrating a monitoring and evaluation mechanism into a PPD will allow three objectives to be achieved:

- provide a factual framework for evaluating performance of a dialogue platform;
- improve project management;
- facilitate benchmarking and exchange of experience between PPD practitioners through the use of harmonised monitoring and evaluation tools.

[5] Available at Capacity4Dev, Business Environment Reform: https://europa.eu/capacity4dev/results-and-indicators/business-environment-reform.

[6] See the results chain diagram at Capacity4Dev, https://europa.eu/capacity4dev/results-and-indicators/99824/diagram.

Box 3.8 PPD on trade issues: EU's Trade Capacity project in Vietnam

The Trade Capacity Vietnam Project (TCV) was financed by the EU Delegation and implemented from 2014 to 2017 by sequa gGmbH. Partners included Vietnam's Association of Foreign Invested Enterprises (VAFIE) and the Association of Small and Medium Enterprises in southern Vietnam (ASMES).

TCV's overall objective was to support Vietnam's integration into international trading systems; enhance Vietnam-EU trade relations; and maximise benefits for economic development, inclusive growth and poverty reduction. The specific objective was to increase the participation of VAFIE, ASMES and its members in the policy development process for international trade and investment through institutionalised consultation mechanisms and enhance SME performance by improved trade capacity and compliance with EU market requirements through the Trade Nuclei network.

Result 1. VAFIE and ASMES have qualified staff and a sufficient number of resource persons in the areas of key trade and investment issues. This was achieved through the following activities:

- trade desks established, equipped and staffed at VAFIE and ASMES
- VAFIE and ASMES staff as well as more than 1 306 entrepreneurs in total were trained in general trade-related issues as well as in Nucleus counselling as export promotion clusters at the association level in doing business with the EU, policy advocacy and corporate social responsibility / business integrity

Result 2. Trade advocacy committees established at both VAFIE and ASMES and both increase their capacity to better participate actively in national policy consultations mechanisms and in the process of trade policy-making. To achieve this result, the project conducted the following activities:

- 2 trade advocacy committees were established/reinforced and met two to four times per year
- 20 topics of the advocacy agenda were communicated to the government and general public by conducting PPD, providing recommendations in conferences and through media publications
- 8 position papers and recommendations were presented to government and public officials
- 6 public-private conferences were carried out on trade-related topics.

Result 3. VAFIE and ASMES have introduced the Trade Nuclei approach as a successful business, communication and networking model and provide SMEs with trade-related services. The following outputs were obtained: 33 Trade Nuclei in operation, 437 members organised in Trade Nuclei, and 200 activities carried out by the Nuclei.

Under Result 2, PPD events and activities were organised:

- Strengthening of two trade advocacy committees established at VAFIE and ASMES during the first year of the project. They held their scheduled annual meetings to adopt working agendas and review results achieved. Members also met frequently to work on advocacy agenda items to improve the two organisations' overall advocacy capability.
- More than 20 topics of the advocacy agenda were communicated to the government and general public by conducting PPD, providing recommendations in conferences, and through the media.

Apparently the trade advocacy committees needed just a little facilitation and external support to flourish and push the trade agenda forward and trade advocacy is now a permanent function of both ASMES and VAFIE.

Source: Interview with and information collected from Christiane Beck, Head of International Donors, sequa gGmbH.

Box 3.9 Danish support to social dialogue in Uganda

With the support of Danida, the Confederation of Danish Industry, the United Federation of Workers in Denmark, and the Danish Trade Union Development Agency work, either together or separately, in 39 countries around the world to promote decent conditions in the labour market, social dialogue between social partners, and better framework conditions for responsible companies and sustainable growth.

The prerequisite for productive social dialogue is the existence of well-organised, representative and accountable employers' organisations and trade unions. In many developing countries, such capacities are missing, and there is no strong tradition for social dialogue between trade unions and employers' and business organisations. The situation is likely to generate social unrest, low productivity and job insecurity.

In Uganda, the Danish Trade Union Development Agency, the Confederation of Danish Industry and Danida worked to support the Federation of Uganda Employers and the National Uganda Federation of Trade Unions in taking part in social dialogue at bipartite and tripartite levels. More specifically, the support of this consortium aimed to enable the beneficiaries to develop a joint position paper on the minimum wages in Uganda. The objective of this position paper was to obtain reliable and relevant data that could be used as a basis for negotiations with the government to fix criteria on minimum wages by sector.

As a result of this advocacy campaign, the Ugandan Parliament passed the Minimum Wage Bill in February 2019. It should be noted that even though President Yoweri Museveni returned the proposed bill to Parliament in August 2019, its redrafting by Parliament is in process, demonstrating that the support from the Danish consortium could at least efficiently spark debate about this issue.

Sources: Dialogue and Negotiation in East Africa; Federation of Uganda Employers and National Organization of Trade Unions Joint Position Paper on the Minimum Wages in Uganda (2018).

Useful performance indicators for PPD monitoring and evaluation include outputs such as number of new laws/regulations/amendments drafted and outcomes such as number of reforms put forward by PPD that were enacted.

3.3 Cross-cutting issues

GENDER

Gender-sensitive BER aims to implement interventions explicitly focused on women to correct existing imbalances in society whereby they have been disadvantaged due to discrimination and social norms. Structural and sociocultural barriers, such as the gender pay gap or limited inclusion of girls in formal education systems, are undermining female access to economic opportunities. Gender-sensitive BER can be conducted at the national, sub-national and sectoral levels – and seeks, for instance, to ensure that policies, laws and regulations are enforced and managed in the same way for both women and men (DCED, 2017) (see Box 3.10).

In terms of advocacy, women are under-represented and have limited access to networks and lobbies that can influence public decision-making. Empowering women entrepreneurs to identify the constrains they face in their business life and supporting them to constructively participate in PPD is therefore key to correcting gender inequalities affecting the private sector. Integrating a gender perspective into PPDs can occur at two levels of interventions:

- at the policy and action level, a gender lens can be applied to a PPD's outputs and outcomes, whether these are about legal or regulatory reform or about undertaking a specific set of actions;
- at the PPD implementation level, applying a gender lens aims to ensure that women are equally represented in the dialogue process.

Targeted interventions to design and implement PPD with a gender-sensitive perspective cover:

- identifying and engaging PSOs with a gender lens;

Box 3.10 National Businesswomen's Agenda in Nicaragua

In 2014, CIPE started to work with the Network of Nicaraguan Businesswomen (Red de Empresarias de Nicaragua REN) in order to build the capacity of women entrepreneurs and businesswomen's organisations to advocate for an improved business environment and to raise awareness of businesswomen, government officials, private sector organisations, development partners and the public in general about the specific obstacles and challenges women entrepreneurs face.

Seeking to adopt a common agenda for women's economic empowerment, REN's highly participatory Nicaraguan Businesswomen's Agenda process included meetings with women entrepreneurs in eight Nicaraguan cities, including Chinandega, Matagalpa, Masaya, Granada, Estelí, Mosonte, León, and Managua, to discuss obstacles to women's participation in Nicaragua's business sector. These discussions resulted in four priority areas for the agenda: access to credit, role of business associations, capacity-building needs and legal framework.

After that, REN established a working group for each priority area with the participation of businesswomen, think tanks, lending institutions, universities and government officials. These working groups identified concrete measures to overcome the specific problems in each priority area. At this time, more than 200 women, 30 CSOs and private companies, and 5 universities have actively participated in the development of the National Businesswomen's Agenda.

Adopting an inclusive agenda was the first step. Now REN and its allies, the Association of Producers and Exporters of Nicaragua (APEN), Vital Voices Nicaragua, the Superior Council of Private Enterprise's (COSEP) Gender Commission, the Nicaraguan Development Institute (INDE), and the Permanent Congress of Nicaraguan Women Entrepreneurs (CPMEN) are embarking on defining specific recommendations for legal reforms, garnering more cooperation from the government and additional private sector actors, and engendering broad public support through social and traditional media. Today, REN also offers a range of trainings, tutorials and videos for women entrepreneurs – for instance, on business formalisation, negotiation and financial management.

Source: CIPE (2015).

- scrutinising existing PPD structures with a gender lens;
- increasing women's representation in PPD structures;
- building women entrepreneurs' coalitions;
- providing training and capacity building;
- linking women's advocacy to international reporting processes;
- capitalising on international resources;
- incorporating indicators that encompass gender aspects of PPD (World Bank, 2016b).

MSMES AND THE INFORMAL SECTOR

The case to support BER for MSMEs is that they contribute greatly to national economic and social development but are more vulnerable to a poor business environment than larger enterprises. Smaller firms are more vulnerable to the external threats coming from a poor business environment by virtue of the fact that they pay a proportionally higher cost for doing business than do large firms and have fewer means to address these external factors (DCED, 2018) (see Box 3.11).

The informal sector is dominant in most developing countries; and in some of them, informal business accounts for up to 80 per cent of enterprises. Unregistered and informal enterprises are also highly vulnerable and lack opportunities (such as access to finance,

Box 3.11 WIEGO's Legal Empowerment of the Working Poor Project

Informal employment is, by definition, unprotected and insecure. Informal workers are excluded, in law or in practice, from rights, benefits and protections afforded to workers under standard employment relationships in labour legislation. The challenge is particularly acute with regard to self-employed workers. Moreover, other legal areas, such as environmental laws, municipal laws and land laws, also significantly affect the conditions of self-employed workers.

Based on this analysis, Women in Informal Employment: Globalizing and Organizing (WIEGO) started to implement in 2007 a global project on law and the informal economy with a pro-poor and pro-women perspective. Called Legal Empowerment of the Working Poor, the project focused on self-employed workers at the bottom of the informal economy. This project sought to: turn the demands of informal workers for rights and protections into the adoption of specific laws,; develop technical know-how and strategies to effect legal reform and its implementation, and build the capacity of informal workers to engage effectively in processes leading to legal reforms and their legal empowerment.

Specific objectives of the project were to:

- analyse laws/regulations/policies relating to the work and working conditions of four different groups of informal workers (street vendors, waste pickers, home-based and domestic workers);
- identify useful laws, regulations and judgements (best practices), and key legal strategies and struggles of these informal workers that can be widely shared;
- create a platform of demands and model clauses, laws and agreements that are useful for informal worker organisations in their engagement with authorities or employers;
- build capacity of informal worker organisations – especially women leaders – to understand and engage with legal issues through advocacy, negotiation and implementation of legal reforms;
- transform research results into policy lessons and policy influence through (i) building the capacity of member-based organisations of informal workers to do policy analysis and advocacy; (ii) creating and leveraging policy space for the associations of informal workers to voice their perspectives among policy-makers; and (iii) using findings, lessons and demands for advocacy at the international level.

The project selected three countries, Thailand, Peru and Ghana, for implementation. For example, in Thailand, the project's partner – HomeNet, a non-governmental organisation founded in 1999 to support home-based workers across Thailand – advocated for legislation for homeworkers starting in 2002; in September 2010, Parliament acted to issue the Home Workers Protection Act. This act has been enforced since May 2011 and entitles homeworkers to minimum wage, occupational health and safety protection and other fundamental labour rights. Additionally, the law includes a provision on the establishment of homeworker committees involving tripartite and labour experts.

Source: WIEGO (2013).

public infrastructure and markets) to strive and contribute further to economic and social development. At the same time, informality inhibits economic growth since it leads to loss of fiscal revenues and unfair competition to formal enterprises. Informality is also a risk factor for employment as informal workers often lack contracts, decent working conditions and access to social security.

The informal sector is, by definition, traditionally unorganised and uninvolved in dialogue. A PPD will therefore not include specific interests of informal entrepreneurs unless special efforts are made by PPD facilitators. It is indeed crucial that small, micro and informal entrepreneurs participate in public-private consultations, and their capacities should be built to allow them to express their interests in a coherent and analytical manner. Informal worker associations do exist in some

countries and represent sectors such as petty traders and small street vendors.

According to OECD (OECD DAC, 2007), two types of interventions should be implemented to support MSMEs and the informal sector in participating in BER: (i) supporting the establishment of intermediary organisations representing micro and informal enterprises and stimulating linkages and cooperation between them; and (ii) encouraging existing PSOs to become more representative and strengthening their understanding of micro and informal enterprises' constraints.

PPD IN FRAGILE AND CONFLICT-AFFECTED STATES[7]

Practitioners have identified a series of common constraints deteriorating the investment climate in fragile and conflict-affected states (FCASs) and discouraging much-needed investment: higher informality of the private sector originating from poor regulation capacity of the governments and weak access to finance; problems with access to land; political instability, unpredictability and security issues; weak private sector technical and managerial capacity; dysfunctional judiciary system; widespread mistrust; and impaired value chains. According to Hetherington (2016), when supporting PPDs in FCASs, development partners face many challenges that are different or more acute than in other countries:

- The need to understand the political situation and cultural background is higher.
- Inclusivity is more difficult to achieve.
- Identifying champions (considered neutral) is more problematic.
- Reform progress is slower.
- Organisational and financial sustainability is harder to achieve.
- Distrust is generally higher and more problematic to overcome.

When PPDs overcome these challenges, they can contribute to restoring confidence, creating conditions for economic revival and supporting more inclusive and resilient growth and job creation. Therefore, the benefits of PPDs in FCASs are mainly twofold: peacebuilding and economic reconstruction. Dialogue platforms can contribute to dispute resolution, conflict prevention, return of internally displaced people and reconciliation by addressing issues such as corruption, rule of law and respect for human rights. Moreover, their input to economic recovery can be valuable since they aim to increase government and donor responsiveness to economic development challenges through structured dialogue and bringing quicker results than systemic BER plans (DFID et al., 2006).

To design PPD platforms in FCASs, it is recommended to conduct four types of stakeholder analysis: power and interest analysis, importance and influence analysis, roles and relationships analysis, and networks and coalition mapping. Project design of PPDs should always take into account that reform processes are slower in fragile environments, and priority should be given to issues that can be resolved relatively quickly and easily. This entails focusing, at the early stage of a PPD, on sector-specific, sub-national and process-oriented issues (e.g. making basic improvements to business registration processes instead of legislative changes) to achieve tangible and rapid results, generate trust from participants and secure their support. After this stage, it is recommended that PPDs in FCASs focus on a combination of economy-wide and sector-specific reforms for the sake of unleashing investment and supporting priority value chain development for rapid economic recovery.

In FCASs, a conflict-sensitivity analysis should be carried out by development partners. Post-conflict situations are marked by particular economic, political, social and demographic features which in turn determine the environment in which private sector development interventions are carried out. According to the Donor Committee for Enterprise Development (DCED), a conflict-sensitivity analysis usually involves:

[7] For further information on EU programming in fragile and conflict-affected states, see Operating in situations of conflict and fragility: EU staff handbook (2017) and its upcoming 2021 revisions.

- taking into account the political, security, economic and social aspects of a conflict;
- mapping out the stakeholders of this conflict and their relationships;
- identifying the changing conflict dynamics (DCED, 2008).

This includes careful analysis, design and monitoring of the possible positive or negative impacts interventions may have on existing tensions or conflicts in a given context. The aim is to reduce unintended negative impacts and to maximise positive impacts –i.e. identifying both risks and opportunities related to conflicts and tensions. These risks and opportunities exist in all societies but are higher in contexts affected by conflict, violence and fragility.

The project design of PPDs in fragile environments should pay additional attention to flexibility and risk management, as well as to sustainability. In these contexts, it is recommended to always keep close contacts with PPD stakeholders and meet with them more frequently. This also entails working with opposition leaders, and searching for the most stable institutions with which to work. To ensure sustainability and conceive a successful transition strategy at the end of project funding, practitioners stress the need to invest heavily in building the capacity of stakeholders.

Finally, it is key for PPD design to consider an extended timeline for transition and agree from the beginning with project partners on a strategy enabling ownership transfer. To achieve successful transition, most common strategies in FCASs consist of handing over a PPD platform to a PSO or governmental agency and securing sufficient financial resources to operate the secretariat (World Bank, 2014).

Since FCASs are characterised by lack of trust (mistrust within the public sector, fragmentation of the private sector, and distrust between private and public sector), development partners should invest significant effort in increasing transparency and public disclosure of the performance of PPDs. Specific strategies donors can adopt include publishing minutes of meetings; publicly tracking and reporting on reforms and project performance; allowing media and, in some cases, the public to attend consultations and meetings; being open about challenges and potential conflicts of interest; and using social media. In addition, ministries, departments and agencies, as well as PSOs, have weaker capacities in fragile contexts. Therefore, development partners should invest greater resources and dedicate more time to building the capacity of stakeholders in FCASs than in other countries (Hetherington, 2016).

Inclusivity is an important success factor for all types of PPDs, but it is even more critical in FCASs because societies in these environments are fractured by deeper divisions. In order to be inclusive, a PPD should involve independent PSOs, avoid political capture by the public sector and be well structured. When conducting a PPD, facilitators should support the participation of unorganised interests as well. This is especially the case for marginalised and under-represented groups like women entrepreneurs, youth entrepreneurs and informal businesses[8]. To increase inclusivity, it is key that PPD project managers reach groups outside of the capital city and deal with sub-national issues.

For traditional interventions, it is recommended to put a strong emphasis on the identification and empowerment of champions from the public and private sectors to invest energy in the PPD process and mobilise participants to work towards a common objective. However, this approach is not relevant to FCASs, as the use of champions is problematic in fragile environments: competent champions are rare, especially champions perceived as neutral[9]. The scarcity of available champions can be attributed to high turnover of public officials and PSO managers, as well as a narrow private sector base. To address these issues, and reduce the risk of individual capture, it is recommended to avoid relying on just one or two PPD champions: if they leave, they can threaten the future of the PPD process. On the contrary, selecting several champions will

[8] The informal sector can account for 80 to 90 per cent of all businesses in some countries, but the informal sector is by definition unorganised and uninvolved in PPD.

[9] In such contexts, professors, lawyers and accountants are frequently perceived as neutral.

Box 3.12 PPD in FCAS: a success case for GIZ in Nepal

In 1996, the Communist Party of Nepal (Maoist) rejected the composition of the government and attempted to replace the parliamentary monarchy with a new people's democratic republic, through a 10-year Maoist revolutionary conflict known as the People's War. The insurgency has stricken five districts in Nepal, affected all aspects of life, halted economic development and resulted in 16 000 deaths.

The GIZ Private Sector Promotion Program (PSPP 2003–2008) found a window of opportunity to initiate a series of dialogues beginning in mid-2005 on various issues such as the business environment, investments in a post-conflict environment, and corporate social responsibility. The dialogue platform established and facilitated by GIZ, called Business Talk/Dialogue for Change, achieved impressive results, as it gathered key decision-makers, former combatants and local businesses for the first time.

Thanks to the perception that GIZ was an honest broker, the Business Talks provided stakeholders with a safe and neutral space to discuss sensitive topics pertaining to the business community and the national economy. Furthermore, since there were no communication channels open between the Maoist rebels and the government during the conflict, the Business Talks also restored a relationship between the parties on several occasions.

GIZ integrated a conflict-sensitive approach to PPD. Initially the talks were by invitation only, and dialogue carried out under the Chatham House Rule. (Under the Chatham House Rule, meeting participants are free to use the information received, but neither the identity nor affiliation of the speaker, nor that of any other participant, may be revealed.) Only a limited number of carefully selected participants were engaged in talks on selected issues; the content of meetings was kept undisclosed; and relations with the media were cautiously managed, as they were limited to only a press release after each event. This allowed the dialogue to occur in a constructive and peaceful atmosphere.

Source: Shameer Khanal, GIZ Case Study: 'Dialogue' a transformational tool for change.

increase inclusivity and mitigate the risk of capture of the PPD agenda by one interest group. In addition, it is advised at an initial stage to address process-oriented issues before selecting champions for PPDs in FCASs. Box 3.12 presents a successful project implemented by GIZ in Nepal.

INFORMATION AND COMMUNICATIONS TECHNOLOGY TOOLS FOR PPD

In developing countries, broader access to the Internet, the swift diffusion of increasingly sophisticated mobile devices and the booming use of computers and tablets have opened new opportunities for online interactions between government, businesses, trade unions and civil society. It also allows fostering of internal communication among these stakeholders, conducting diagnostics and collecting feedback from members of PSOs, trade unions and CSOs about government services delivery and further involving them in policymaking.

Harnessing digital tools can not only directly support PPD, but also foster communication within the private and public sectors, and increase external communication with the general public – which indirectly enables PPDs to be better informed, more inclusive and more efficient.

With the COVID-19 crisis outbreak, these information and communications technology tools have proven their efficiency in allowing PPDs to continue despite social distancing and travel restrictions. The Trade, Private Sector Development and Engagement (TPSD) Facility has produced a how-to tool that presents how information and communications technology tools can be leveraged to directly or indirectly support PPD effectiveness and inclusivity.

Annex: INTPA's private sector and trade advisory and technical support facilities

The Private Sector and Trade Unit of INTPA (INTPA E2) provides thematic guidance and support to headquarters and delegation staff, governments and private sector organisations in their effort to enhance the investment climate and enable a sounder business environment. INTPA E2 is currently coordinating three advisory and technical support facilities to improve the investment climate.

Trade and Private Support Development/Engagement Facility (TPSD Facility). The TPSD Facility was launched in 2017 to increase the capacity of partner countries and EU staff in delegations and headquarters to understand and implement private sector and trade policy orientations and further improve the quality of INTPA interventions. The team of experts provides technical assistance, knowledge management and communication support to EU staff. TPSD Facility missions last up to 30 days. They are designed as scoping missions for investment climate or BER initiatives, or to support the SB4A initiative for increased PPD. Contact: Laura.Atienza@ec.europa.eu

Investment Climate Reform Facility (ICR Facility). The ICR Facility supports the members of the Organisation of African, Caribbean and Pacific States (OACPS) to improve their investment climate and business environment. It is co-funded by the EU, under the 11th EDF under the ACP-EU Partnership Agreement, together with BMZ and BC. The ICR Facility offers specific and targeted technical assistance of up to 90 days for business environment and investment climate improvement initiatives. Technical assistance is provided on the economy-wide, sectoral and value chain levels based on requests from EU Delegations, private sector organisations and government agencies. Additionally, the ICR Facility supports national or sub-regional development finance institutions with capacity building. It also compiles and shares knowledge and lessons learned. Contact: Miguel.Campo-Llopis@ec.europa.eu

Rapid Response Facility for Investment and Business Environment Reform (RR IBE). The RR IBE was launched in November 2019 to provide just-in-time policy advice and technical assistance in response to specific requests from EU Delegations based in sub-Saharan African countries. The facility was set up in the framework of the EIP, to improve the business and investment climate in sub-Saharan Africa and unlock private investments with a specific focus on job creation for youth and women. New methodologies and approaches that can be replicated in other countries will be prioritised. Assignments covered by the RR IBE Facility can be scoped across the following areas of intervention: local financial markets in-depth diagnosis; securing inward investment; implementing the G20 Compact with Africa; business registration, regulation and licensing; efficiency of supplier markets, enabling better access to finance; industry competitiveness and innovation; trade and investment policy analysis; monitoring and impact assessment; cross-cutting (i.e. women's economic empowerment); and promoting green investments and circular economy. Contact: Miguel.Campo-Llopis@ec.europa.eu

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