



Part 3

3.3

Advocacy Tool 8

How to formulate enabling environment reforms

Section 3.3: Advocacy Tools Implementing and tracking progress



Purpose

This section tries to assist EOs with some broad and general measurement techniques of its policy work.



How to use this tool

This Assessment Tool is designed for use by EOs. It is best used as a guide for employers and enterprise development specialists who will facilitate the assessment process with the EO and among other actors.

Step 1: Approaches to monitoring and evaluation

Step 2: Track progress

Step 3: Application of policy

Step 4: Evaluate Efforts

Annex: Measure impact through an Issue Tracker



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Introduction

EOs need to measure the impact of their policy work and how effective they have been in meeting their goals. In some cases this can be straightforward and easily measurable. Legislation “X” is costing enterprises “Z” dollars per year in costs and resulting in “Y” lost jobs. Changing “X” will impact directly on “Z” and “Y”. Advocacy Tool 2 “Costing Proposals” provides direct examples.

However, this is not always the case as the relationship between cause and effect can be technically difficult to measure. A policy objective may have multiple goals and be layered over a period of time. The relationship between actions and measurable impact can be impossible to gauge – particularly where other policies influence.

A whole set of interrelated activities that are broad in scope may impact on a given policy or regulation. As the EO widens its scope to deal with the issue, the harder it becomes to measure its impact because it is tougher to isolate cause and effect. It’s no longer a simple linear relationship but a complex set of them.

In this respect it is more important for EOs to have learning systems in place, for adapting to complex contexts, than it is for them to seek conclusive proof of impact which may well be impossible to definitively prove.

Step 1: Approaches to monitoring and evaluation

Monitoring and evaluation are key activities for keeping an EO's advocacy initiative on track, and for assessing the changes it has achieved based on its stated goals. Effective monitoring and evaluation requires careful planning.

Advocacy activities often need to be adjusted, revised and re-directed. Such changes, however, should only be made on the basis of good monitoring data. For example: *What new information has come to light to warrant a change in approach? Have political conditions changed? Have target audiences changed their opinions?*

Monitoring should focus on tracking outputs, activities, and inputs; monitoring tracks mainly the use of **inputs** (activities) and outputs, but to some degree also tracks (intermediate) outcomes. Evaluation takes place at specific moments and permits an assessment of a policy's progress over a longer period of time; evaluation tracks changes and focuses more on the outcome and impact level.

Output measurement shows the realization of activities. Outcome measurement shows to what degree direct objectives and anticipated results are realized. Impact assessment shows the degree to which the overall objective or goal of is realized.

For advocacy, outputs are usually changes in knowledge, awareness, and/or opinion of target audiences. For example, the Minister of Finance, who previously only moderately supported changes to the taxation system, has altered his position to strongly support new revisions in light of a new independent report commissioned by the tax authority.

Evaluation of advocacy focuses on impact and effects. Evaluations assess the extent to which the EO's policy goals have been achieved. The unique characteristics of advocacy make it necessary to think in new ways about how evaluations should be carried out. While policy-makers may approve new and favourable policies, or revise and change old ones, these changes may take a long time to yield results that can be measured, that is, to yield impact changes, and this may have consequences for the timing of evaluations. Impact may need to be measured in a post-evaluation, after a certain period of time has passed, rather than in a final evaluation of an advocacy initiative.¹

MENU OF OUTCOMES FOR ADVOCACY AND POLICY WORK

Outcome desired	Means	Indicator
Increased public Awareness of EO issue	Media campaign deployed by EO	Increased use of EO arguments in media discourse/political discourse/
Increased media pickup of EO issue	Increased media coverage (e.g., quantity, prioritization, extent of coverage, variety of media "beats," message echoing)	Increased visibility of the campaign message (e.g. engagement in debate, presence of campaign message in the media)
Agreement on the definition of a problem identified by EO	Using in public arguments with a repeated emphasis on certain themes	The EO's definition is now "common language"
Increased perceived urgency of a issue	Use of timelines, particularly related to costs in policy positions	Increased breadth of partners supporting an issue (e.g., number of "unlikely allies" supporting the EO)

¹ Jane Reisman; Anne Gienapp; Sarah Stachowiak: *A Guide to Measuring Advocacy and Policy Organizational Research Services*; Annie E. Casey Foundation.

Increased alignment of EO's goals with core societal values	Issue framed against backdrop of wider societal goal (e.g., decreasing unemployment), women's economic empowerment, labour market integration of youth	Increased public involvement in the issue; increased awareness of campaign principles and messages among selected groups (e.g., policy-makers, general public, opinion leaders)
Improved strategic abilities of the EO	Increased ability of the EO to identify policy change process (e.g. steps of policy change based on strong understanding of the issue and barriers, jurisdiction of policy change)	Clear recognition and support within membership of the EO's current priorities and action areas
Improved capacity to communicate and promote messages	Using trusted and respected messengers and champions	Increased level of actions taken by EO champions of the issue
Increased number of partners supporting an issue	Improved alignment of partnership efforts (e.g., shared priorities, shared goals, common accountability system)	Strategic alliances with important partners (e.g., stronger or more powerful relationships and alliances)

Step 2: Track progress

Whenever an actionable issue (not a specific longer-term policy goal) stays on the agenda for too long (say, for more than six months), this should be a warning sign that something has gone wrong. Typically, it is the result of mistakes made earlier during the advocacy process, whether due to insufficient information, time, or staffing. The EO should reevaluate its strategic tactics and positioning of the issue.

A complicating factor is the dynamic nature of advocacy and policy work, as contexts and key players are always changing. No matter how clearly an EO articulates a pathway to a desired long-term policy change goal, it would be virtually impossible to name, predict or explain all the variables that might be important within that change process.²

What an EO thought was a realistic expectation for change last month may now have become totally unrealistic given new circumstances. One of the key challenges in evaluation of advocacy and policy work is identification and definition of short and intermediate-term outcomes; that is, what changes might occur on the way to longer-term change.

When deciding a course of advocacy action the EO needs to know at the very beginning its direct and indirect goals and objectives. What does it want to change and how is it going to achieve these changes?³

The following matrix (composed of four elements) can help it track these goals and gauge success.⁴

The first element is "Inputs/Activities", these refer to financial, human, and other resources needed by the EO to progress the issue as well as particular actions or activities needed to advance it.

The second element is the "Output": these are the direct result from the EO's activities and/or inputs. These are results that emerge in the short term – rather than more intangible longer-term results.

The third element is the "Outcome": this is the expected effect directly caused by the EO's actions. This

² K. Guthrie, J. Louie, T. David, and C. Crystal-Foster: *The Challenge of Assessing Advocacy: Strategies for a Prospective Approach to Evaluating Policy Change and Advocacy*. Prepared for The California Endowment. Woodland Hills, California: The California Endowment, 2005.

³ IFC: *Building the Capacity of Business Membership Organizations Guiding principles for Project Managers*, 2005.

⁴ Geeta Batra; Mark Bardini; Benjamin Reno Weber: *Measuring Performance in Business Enabling Environment Projects*, SME Department, World Bank/IFC, 2005.

measures the achievement of the EO's goals and objectives.

Last is "Impact": the desired final change; this measures whether the EO has achieved its goal.

Annexed to this tool is an 'issue tracker' which can be utilized by EOs to track an issue over time.

EXAMPLE: TRACKING OUTCOMES AND IMPACT

The wood processing industry is extremely important to the economy of the fictional country of Labdliia, both in terms of employment and as a generator of foreign exchange. However, the competitiveness of the industry on the local as well as international market is jeopardized due to the combination of various factors. The EO has identified two issues for its advocacy efforts. One is the removal of an obstacle: this relates to the economic and institutional environment as the police are arbitrarily fining companies transporting raw timber by misinterpreting the existing legislation; the second is an opportunity to grow the industry in foreign markets. The EO in its research has identified the importance of eco-labels to foreign investors and feels a real opportunity now exist for the industry. The following is a matrix example of how - having set out its objectives - the EO can map progress.

Activities/Inputs	Output	Outcome	Impact
<ul style="list-style-type: none"> Organize with government a team of experts to assess current legislation Assess the possibility of certifying wood with eco-labels to expand the export markets 	<ul style="list-style-type: none"> Clear definitions of rights and responsibilities under the law for companies engaged in logging and transportation Proposal to include in the legislation references to certified wood products 	<ul style="list-style-type: none"> Instruction given to all enforcement agencies outlining exactly when, where, why and how they can hold up the operations of logging and transport companies Establishment of means of recourse for companies wrongly fined. Modifications to the law passed in Parliament and implemented allowing for certification with eco-labels 	<ul style="list-style-type: none"> Growth of wood exports and increased investment in the sector Business Environment in the Wood Sector has improved

Step 3: Application of policy

Application is the key to success. Governments need to deliver on the commitments they have undertaken.

Ultimately, success in maximizing the private sector's contribution to economic growth and job creation will depend on the willingness and capacity of local and national governments to create and implement the appropriate policy frameworks.

It is pointless for the EO to have developed and researched constraints on growth and private sector development, mobilized its members behind an issue, and developed counter-proposals for government to accept the premise of that argument and then do nothing.

Accountability tactics aim to hold government accountable for their previously stated policies or principles. Once a government has publicly committed itself to a principle, EOs can use those positions, and their command of information, to expose any distance between words and action.

MEASURING IMPLEMENTATION:⁵

Government has committed to reforming regulations covering freight transport

Using specific variables of the cost and time to ship freight from country X to country Y through country X's principal port. The indicators used to measure progress could include:

- Infrastructure improvements e.g., new port facilities
- deregulated transport options;
- improvements to customs procedures that can be measured in time;
- quicker to get certificates of origin and other essential documentation;
- new electronic data interchange systems for submitting and processing documents;
- new fast-track clearance procedures.

One of the dangers of the policy process is that, once the key decisions and instruments are adopted, there is an assumption of “Job Done.” fatigue can reduce participation in the implementation phase. Attention can shift away to new challenges.

If the EO is seeking a regulatory change it is important that included in its proposals, the arm of government it wants to change, is not charged with leading and implementing that change. In many cases these will be the exact insiders who want to preserve the status quo and be the ones with the most to lose from a change.

Compliance is frequently overlooked in the regulatory reform process. A range of compliance options should be analyzed to help identify the best option. Arguments to make:

- Compliance levels will be higher if it is easy to comply.
- Compliance costs should be less than the penalty for not complying.

Step 4: Evaluate Efforts

At the closing of an issue the EO should systematically undertake this evaluation so as to build on ‘wins’ and incorporate ‘lessons learned’ into future advocacy efforts.

Checklist: Practicability and enforcement assessment

- Which enterprises will be confronted by the effects of the proposed legislation?
- What effects will the proposed legislation have in terms of the staffing by government required for enforcement and the need for enforcement?
- What will be the consequences for the burden on the judiciary (courts and the Public Prosecutor’s Office)?

Upon completion of an issue the EO should additionally do an evaluation of its “wins”. These can be categorised as ‘hard’ and ‘soft’ wins.

Hard wins include the following:

- Effected actual policy/regulatory change.
- Issued specific policy recommendations.

⁵ World Bank: World Development Report, 2005.

- Organized high profile meetings with government, garnering member attention and/or a media profile.
- Participated effectively in government decision-making processes.
- Soft wins include the following:
- Increased dialogue with government and improved understanding on their part of enterprise concerns.
- Greater appreciation of the role of the EO in bringing the collective view of business to government.
- Increased trust established between government and the EO.
- EO's credibility enhanced.

EVALUATION CHECKLIST

- Has the issue changed in any way?
- Is further research required?
- Did the EO set a time-frame for resolution or progress on the issue and was this respected?
- Did the goals or timetable need to be revised?
- Did the EO identify the correct advocacy targets?
- Did the EO succeed in reaching these advocacy targets?
- Did the EO have the right messengers?
- Were the target recipients responsive to the EO's message?
- Did the message need to be modified or fine tuned?
- Did the EO's advocacy tactics prove to be effective?
- Were the financial and human resources adequate?
- Were coalition opportunities taken advantage of?
- Did coalitions operate effectively?

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KEY QUESTIONS FOR EVALUATING AN ADVOCACY INITIATIVE

Evaluating impact	<p>Possible key questions:</p> <ul style="list-style-type: none"> ▪ Have policy changes resulted in improvements to enterprises? Why/why not? Can you provide data to support your findings? ▪ Have policy changes contributed to promoting the ease of doing business? ▪ Have policy changes made the investment climate more conducive to investors?
Evaluating effects	<p>Possible key questions:</p> <ul style="list-style-type: none"> ▪ Has the policy change you tried to achieve occurred, or are the prospects better than they were before? ▪ Have new policies been approved, or outdated/adverse policies been changed? ▪ What factors enabled/hindered the success of your policy change; that is, the creation, reform or enactment of policies? ▪ Were bills or proposals formally introduced in the legislature or other government body or were informal decisions made? ▪ Who made final decisions that enabled/hindered the policy change?
Evaluating your strategy	<p>Possible key questions:</p> <ul style="list-style-type: none"> ▪ Did the EO select appropriate primary and secondary audiences? ▪ Did you have to change the targets of your advocacy along the way? Why / why not? ▪ Did your advocacy messages change your target audiences' opinions or knowledge on the policy issue? ▪ Which messages were most successful, and which failed to convey your point? ▪ Did you choose appropriate roles for your advocacy initiative? Could other roles have been more effective? ▪ Did you advocate in a coalition? What were the benefits/drawbacks for advocating in a coalition? ▪ Did the advocacy initiative raise public awareness and interest in the policy issue? ▪ What were the major obstacles faced by your advocacy initiative? ▪ What did you do to overcome those obstacles? ▪ What can you learn from your strategy implementation for future advocacy initiatives?

ANNEX

Measure impact through an Issue Tracker

This is a simple tool that an EO can deploy which tracks the progress of an issue. Its utility is both for the EO itself, as it can demonstrably and chronologically see its steps on an issue, as well as a useful way to keep members informed of the EO's actions. Often progress on an issue can take much time, sometimes there are regressive steps back as an issue falters, while much effort can be quietly taking place behind the scenes.

The Tracker has five columns: the first describes an issue, the second summarizes the EO's recommendations on the issue, the third is for tracking progress. The fourth outlines the current status of proposals (e.g., firm commitments, subdecrees signed, laws submitted to Parliament). A fifth column can be added to mark achievements and closure of that particular action.

The tracker can be used in a precise or loose way. If it tracks recommendations that are extremely specific, it provides a sure means to measure the progress of each proposal, which is essential to the process. This can additionally help with member communication.

However, it must be taken into consideration that a policy advocacy process is often a politically sensitive mechanism. Being too prescriptive within the Tracker or focusing too early on desired outcomes (e.g., laws or regulation passed) may undermine the overall EO's goal.

EO ISSUE TRACKER

Issue	Employer contributions for Occupational Risks	EO Inputs
Background	<ul style="list-style-type: none"> ▪ A change of government has increased the employer contribution rate in 2009. The EO has been active on advocating for a return to the original rate. The main argument used was that government did not effectively consult business on the likely impact the change would have; nor conduct any kind of wider impact assessment. ▪ Experience from the EO's members has been negative in that it has added to an increasing cost base. It put pressure on a key sector, the textile sector, at a time when it was adjusting to changes in the trading environment that was leading to a loss of business. ▪ The EO also reported some loss of investor confidence in the country as the government actions on this and other cost-related policy actions appeared to investors as weakening the investment climate, and created reasons to invest in regional competitors. 	<ul style="list-style-type: none"> ▪ <i>Survey on constraints in one sector</i> ▪ <i>Position paper developed and widely disseminated</i> ▪ <i>10 Meetings with Ministerial officials</i> ▪ <i>4 meetings with Senior Ministry officials</i> ▪ <i>1 meeting with Minister</i>
EO Recommendation	<ul style="list-style-type: none"> ▪ EO seeking reduction in contribution rate from 0.8% to 0.5% across all private sector industry sectors. ▪ EO notes in its submission that while it would be preferable to have higher rates for industries that are more prone to accidents and health risks – there is no historical or current data to facilitate such a differentiation. Until such a time all enterprises should be treated the same. ▪ EO notes that the longer-term goal should be major efforts at improvements in safety, and makes a number of suggestions how to do this. 	<ul style="list-style-type: none"> ▪ <i>6 information seminars with members</i> ▪ <i>5 meetings with Chamber of commerce</i> ▪ <i>Joint statement released with Chamber of commerce</i>
Progress	<ul style="list-style-type: none"> ▪ The EO's Director General has met with the Head of the Ministry on five occasions in the last two months and provided her with direct information from members ▪ This activity prepared the way for a meeting between the Director General, President, and the Minister, in which they presented the findings of a survey the EO undertook on the impact of the rate increase on the textile sector. ▪ As a result of these efforts Government has agreed to a partial reduction – for the main exporting sector: textiles (which directly employs 35 per cent of the country's labour force). This sector has suffered a major downturn and as a way to alleviate pressure, in response to the EO's demand for a reduction, rates where decreased just for this sector. 	<ul style="list-style-type: none"> ▪ <i>3 preparation meetings with members</i> ▪ <i>3 press articles</i> ▪ <i>2 news interviews</i> ▪ <i>Report commissioned</i>
Current status	<ul style="list-style-type: none"> ▪ The EO is now pushing government to extend the reduction across all other sectors. ▪ It has commissioned a report to outline the impact the reduction has had on the textile sector. This report showed positive impact for the sector, for jobs, and for wider growth. The report is now a key tool being used by the EO in its advocacy efforts with the Ministry. ▪ EO has also utilized comparative information from International and regional organizations that shows how employer contributions are among the highest in the region. ▪ Government has agreed to host a roundtable with the EO and some of its leading members from across sectors in one month's time to hear specific suggestions on Occupational Safety and Health improvements. The EO feels that this could be the way to position its argument to secure the reduction across sectors. 	

