Introduction

The private sector (PS) has extraordinary power in today's world. Impact of businesses on development is huge. Addressing the PS is an important part of Oxfam's program and campaign work and is essential for achieving our long term goals as an organization.

This note aims to improve the quality of our PS work by building a shared understanding of Oxfam's PS work, including different approaches in different contexts across the confederation. It is written for program and campaign staff working on PS, both in countries as well as in affiliate headquarters.

This note is not a PS strategy but gives guidance and tools for building PS strategies and planning PS engagements so as to increase our impact. It complements Oxfam's overall PS strategies on priority sectors and more detailed affiliate's PS strategies. This note captures insights from the Private Sector Impact Meeting (November 2012) and builds on the Guide to working with the private sector and ethical screening, available at https://sumus.oxfam.org/private-sector-team/documents/guide-working-private-sector-ethical-screening.

In addition to the introduction about Oxfam's view on and approach to the PS, this note describes six steps that need to be taken to work effectively around the PS:
Step 1: Identify your objectives and carry out a power analysis
Step 2: Identify your private sector approaches
Step 3: Assess & manage your risks and carry out an ethical screening
Step 4: Communicate, consult and get sign off
Step 5: Articulate your Theory of Change & incorporate MEAL from the start
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Oxfam's vision and approach to the Private Sector

The PS has tremendous influence in today's world. The impact of PS activity on poverty is complex and will be shaped by many variables including the nature of the company, the sector, international policy framework, national laws and local context.

Just as governments can seek to redistribute wealth in unequal societies, or worsen social inequalities, in the same way the PS can contribute to inclusive development or undermine it. Corporations can play an important part in respecting our planetary boundaries and helping people to attain their right to a sustainable livelihood. Conversely, corporations can undermine the fundamental rights of poor and vulnerable people and destroy the environment. Oxfam works with many people affected in this way.

Oxfam believes that governments, civil society, the PS and international institutions share the responsibility for ensuring that basic human development is based on ethical policy decisions protecting human rights, and is not left to the competing forces of the marketplace. Oxfam takes a multi-faceted approach to interaction with the PS. We seek to engage with the PS in a positive spirit of open collaboration, to assist business to work in ways which enable people to realize their rights. But Oxfam will also strongly challenge actions that threaten the well-being of poor and vulnerable people and communities, and will lobby to ensure that legal obligations are met and codes of conduct are strong and enforced.

Resource: Oxfam's principles and beliefs concerning the PS are reflected in the Executive Directors' propositional statement about the PS, available at https://sumus.oxfam.org/private-sector-team/documents/propositional-statement-ps.
Oxfam's five main approaches for engaging the PS are laid out in the box below.

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Oxfam has five main approaches to the private sector. They are dynamic and can co-exist. Our five approaches are:

1. **Influencing governmental rules** - influencing governments and intergovernmental organizations to promote and improve regulatory frameworks for the private sector.
2. **Advocacy** – addressing the private sector directly to change their policies and practices, both outside or critical advocacy (campaigning, naming and shaming) and inside advocacy (or internal influencing)
3. **Partnerships** – active collaboration with business, both program (such as supply chain work involving smallholders and investment in microfinance) and policy (such as joint poverty footprint research).
4. **Doing business** – Oxfam acting as a private sector actor, both as a consumer (procurement of goods and services) as well as an entrepreneur (providing goods and services - from fair trade products through our shops to advice on CSR to business).
5. **Fundraising** –including a wide variety of corporate support, both gifts in cash and in kind.

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This note focuses on the first three approaches. Guidance around *doing business* is available in various places: the Fair Trade Group gives guidance on Oxfam purchasing fair trade products and providing them through our shops; the Cost Effectiveness - Shared support and services Enabling Change Goal Group includes work on Oxfam procuring goods and services. The Guide to working with the private sector and ethical screening deals extensively with *fundraising* -see https://sumus.oxfam.org/private-sector-team/documents/guide-working-private-sector-ethical-screening.

Step 1- Identify your objectives and carry out a power analysis

Any PS engagement should further Oxfam's mission, aims and strategic change objectives. Clear objectives should be established in advance of any engagement. They need to contribute to Oxfam's external Change Goals[1] and focus on priority sectors (food & beverage companies, traders, extractive industries, financial sector)[2]. Identifying your objectives is the first step of any PS work, together with a power analysis that helps to make the right decisions about where to invest Oxfam's resources most effectively to have the necessary impact.

There are three key questions that need to be answered to help identify your objective:

1) **What is the exact objective?**
   - What is the problem that is being addressed? Articulate why you choose this sector/company.
   - How does the objective relate to poverty reduction? What would it change in poor people's lives? How does it improve gender equality? How does it contribute to Oxfam's change goals?
   - What added value does Oxfam have related to the objective? Are any other organizations addressing the same objective? If so, what value does Oxfam add?
2) **What needs to change to achieve this objective (what laws, policies, practices, markets, relationships need to change)?**
   - Is it regulation, company policies, business practices or all of the above? Are they all equally important and influential on the exact objective?
   - If there are several elements to change, are they related? Is there one that paralyses progress on all the rest? Or one that could act as a catalyst for change?
3) **What are obstacles to change?**

The effectiveness of any PS work depends, partly, upon an adequate reading of the political, economic, and social environment in which the PS intervention seeks to act, plus an analysis of how change can be made to happen and the key individuals who will make the decisions, and how they can be influenced.

You need to identify what is winnable and to realize that your work is time bound. How likely is it that you will achieve your objective?

With the limited resources that Oxfam has for PS work, the efficiency of PS work is key. Efficiency rests on making the right decisions about where to invest Oxfam's resources to get the necessary (desired) impact in policy and practice with the least investment. A power analysis will help you to make these decisions. This power analysis needs to be based on an understanding of the value proposition of the business and sector at stake. What are aspirations of the company/sector? What are the incentives for the company to listen to or cooperate with Oxfam? Be prepared that doing a PS power analysis may be more challenging than doing a power analysis related to the public sector, because information will be harder to find.

Resource: The full Oxfam Power Analysis Checklist and Methodology is available at https://sumus.oxfam.org/campaigns/documents/power-analysis-checklist-and-methodology-0. The document includes 3 phases: 1) define objectives, 2) define targets and 3) define tools in order to influence targets. Phases 1 and 2 are particularly relevant for Step 1 of your PS work; phases 2 and 3 apply to Step 2 of your PS work.

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[1] See external Change Goals as described in Oxfam Strategic Plan at https://sumus.oxfam.org/osp-group-2013-19/wiki/oxfam-strategic-plan-2013-19-eng .The PS has also a huge role to play in cross cutting areas (urban and resilience).
[2] See section on Private Sector in Communiqué Executive directors and board meeting, 1-5 October 2012, Arezzo, Italy https://sumus.oxfam.org/board/documents/board-and-eds-communique-october-2012-arezzo-italy

Step 2- Identify your Private Sector approaches (strategic and tactical guidance and exit strategy)

This section helps you to select and elaborate your approach to the PS. What approach works best when? When you have chosen an approach, how best to carry it out? What is the exit plan? There are three PS approaches included in this section: 1) influencing governmental rules, 2) advocacy and 3) partnerships. These approaches are laid out in more detail in the box below.

Influencing governmental rules: influencing governments and intergovernmental organisations to promote and improve regulatory frameworks for the private sector:
- **National** – for example work around company disclosure for the extractive industry. Extractives transparency legislation in the US requires that any US-listed company engaged in oil, gas or mineral extraction anywhere in the world must report the type and amount of payments made for each project.
- **International**– for example work around the OECD Guidelines for Multinational Enterprises, a set of voluntary recommendations to multinational enterprises in all the major areas of business ethics. Adhering governments have committed to promote them among multinational enterprises operating in or from their territories.

Advocacy: addressing the private sector directly to change their policies and practices.
- **Outside or critical advocacy**: Campaigns, lobbying, naming & shaming (also "thanking and spanking" using the villains and heroes model). Examples are the Behind the Brands campaign, the Starbucks campaign about the ownership of coffee names in Ethiopia, and Play Fair at the Olympics, a campaign addressing sportswear companies around labour rights.
- **Inside advocacy or internal influencing.** This kind of advocacy based on dialogue with business includes both advocacy to change negative policies and practices and advocating positive policy or practices. It is part of **both program and policy work** and can take place at the company and at the sector level. Examples are influencing companies to purchase women and smallholder production and participating in multi-stakeholder initiatives, such as the Round Table on Sustainable Palm Oil (RSPO).

Partnerships: long term, formal and co-branded collaboration with businesses.
- **Policy**: including joint research such as the Poverty Footprint studies we have done with Unilever in Indonesia, Coca Cola in Zambia and El Salvador and IPL in Kenya).
- **Program**: this includes for example involving smallholders in supply chains (Unilever in Azerbaijan), providing insurance to smallholders (Swiss Re in Ethiopia) and investment in microfinance (ASN-Novib Microcredit Fund, working worldwide).

Mind that this is not a rigid classification and that approaches are not mutually exclusive and can evolve over time. Some interventions combine different approaches (a policy partnership such as a Poverty Footprint study also has elements of inside advocacy) and programmes can include various approaches as well.

Resources: The SUMUS page for the Private Sector Impact meeting includes brief case studies of different approaches describing lessons learnt, outcomes and challenges: https://sumus.oxfam.org/node/85678/documents?keyword=All&search=&geography=&doctype=All&og_public=All&field_document_folder_nid=107011. Next to this the PS evaluations page gives an overview of existing evaluations about Oxfam's PS work– see https://sumus.oxfam.org/private-sector-team/documents/folders/evaluations.

Choosing an approach: what approach works best when?

There is not ONE best approach to address a certain problem. A good approach depends on the company, the sector, the issue and the context.

Influencing governmental rules
Influencing governmental rules is a real outsider approach. Your strategy is not to address the PS directly, but to address governments or intergovernmental organizations so as to develop and implement rules for the PS. This approach works well when
- there is no specific company targeted – rather an entire sector or industry – and structural issues are at stake.
- the playing field is diverse & distorted.
- legislation is absent/weak and a regulatory framework needs to be established so as to have (lowest) common denominator in terms of guideline.

- where a government or inter-governmental agency/instrument is the most important player.

<u>Advocacy</u>

Advocacy works best when embedded in a wider strategy for the sector - going beyond an individual company. There is an important internal split between inside advocacy (lobbying) and outside advocacy (campaigning).

- Inside advocacy (lobbying)
  - o Works best when a company already has taken steps in the right direction and shows a willingness for change
- Outside advocacy (campaigning)
  - o Works best for sectors/companies that are susceptible for public pressure (such as companies with well-known consumer brands)
  - o Works best when there is a "righteous grievance" - villains/heroes, leaders/laggards, scandals
  - o Works best when internal advocacy and dialogue with the company have not generated the behaviour change required
  - o Works well when you have government support from the country in which specific problems are situated

<u>Partnerships</u>

Combined NGO - business initiatives can generate new learning and demonstrate what is possible. Successful partnerships can make Oxfam more powerful in the eyes of the PS at large and thus increase potential impact more broadly. Inside advocacy targeted at one company can come close to a partnership, partnerships however are formal (defined legally), co-branded, often involve more resources than inside advocacy does, and have long term commitment. We define private sector partnerships as one to one relations between Oxfam and a company. A private sector partnership works best

- when the potential impact is larger than just influencing one company.
- when there is a clear mutual benefit.
- with frontrunners [, but not necessarily]. It really is helpful when a PS partner has a shared long-term objective, and is not only influenced by short term return on investment targets.
- when a corporation shows willingness to change itself, or join forces to change other PS entities.

Tactics: when you have chosen a specific approach, how best to do this?

For all three approaches, it is important to link local to global, to maintain good relationships, to remain flexible and not to oversell what you are doing.

- Local to global: a plea for global rules is strengthened by local evidence grounded in program experience; local partnerships can have wider impact if you make a connection between local partnerships and the HQ of the company.
- Strong relationships: this includes relationships with Oxfam's grassroots partners, business allies and other allies. It is important having them understand and support Oxfam's PS work.
  - o For grassroots partners this includes aligning partner priorities with Oxfam's PS priorities and being sensitive to potential risks partners might face.
  - o Business allies such as social responsible investors, progressive business groups and business leaders can help put pressure on governments and company targets.
- Flexibility: it is important to be flexible with larger goals in mind, for example because of a changing context or new information that you've gathered.
- Watch out for promising too much -this can undermine Oxfam's credibility.

The second and third phase of the power analysis methodology (see Step 1) will help you to elaborate the approach you have chosen. They contain questions about defining targets and about defining tools to influence targets. The following tools are important especially for influencing governmental rules and for advocacy:

- Research to establish a good evidence base
- Public/media support
- Mass mobilisation and proper use of public campaigning - engaging citizens is critical, not just as a way of influencing governments or companies, but also to encourage behaviour change.

For distinct approaches, keep in mind the following:

<u>Influencing governmental rules</u>

- Identify appropriate & complementary alliances
  - o Be clear about when you are advocating from an Oxfam perspective or from an alliance perspective
  - o Communicate clearly what Oxfam will bring into the alliance and agreed protocols
  - o Consider including critical business allies and PS associations (e.g. Chambers of Commerce) as part of an alliance
- Participate in both inside and outside discussions

- In less/not democratic countries where there is limited ability to influence the government, consider multi-national corporations (MNC) as the change agent. MNCs can also be helpful to lobby governments in other contexts.

Advocacy

For both inside and outside advocacy:
- Flexible approach - sometimes gradual, sometimes fast and hard
- A credible (media) threat helps, even if not used

Inside advocacy (lobbying)
- Consider public private partnership approaches
- Closed door meetings with companies should be handled in the same way as interaction with multi-lateral institutions and governments - clarity about when meetings or comments are on or off the record, ensuring Oxfam lead is properly staffed with a note-taker and that the target company understands that Oxfam may choose to go public and/or withdraw from negotiations if the company acts in bad faith.
  Resource: Detailed guidelines for meetings are included in Appendix 1 of the [Guide to working with the PS and ethical screening](#).

Outside advocacy (campaigning)
- Before attacking a company there needs to be some form of dialogue with the company. This is important not just to check findings and address legal risks, but also to build relationships, find internal champions, figure out soft points and determine the right "ask". Dialogue needs to be timed carefully. The company needs appropriate time to respond, but allowing too much time to respond may allow the company to undertake actions that undermine your campaign. Rule of thumb: 2 weeks notice
- Shareholder advocacy can help.

Partnerships with corporations
- Articulate clearly Oxfam's level of ambition, where the win - win situation is and what the added value of the partnership is.
- Focus on positive areas, with a (potential) overlap of interest
- Division of responsibilities should be clear in terms of work and money in any joint work with the PS. It is recommended that each party pays its own way in any interaction intended to raise PS standards.
- The right to end the relationship should be retained in any agreement with a company.
- Clarity should be ensured regarding terminology used in any agreement. Both parties should agree on the meaning of such things as 'a consultation', 'cooperation', 'endorsement', 'sponsorship', 'partnership', etc.
- There should be a written agreement on the use of the Oxfam name and/or logo in any form of PS interaction.
  Resource: Appendix 2 of the [Guide to working with the PS and ethical screening](#) contains detailed guidance on what agreements with corporations should contain.

Plan an exit strategy

You need to ensure that your approach is time bound. After identifying your PS approach, also define the 'endgame' or define if you want to adjust your approach at a certain point in the future.
- When will you be satisfied and stop this piece of work?
- Are you open to move to a different approach, for example from advocacy to collaboration? Under what conditions? With which sectors?

Exit Strategies from PS engagements are made much simpler if they are planned and communicated at the outset of the arrangement.

Resource: Appendix 2 of the [Guide to working with the PS and ethical screening](#) describes a range of reasons for ending any engagement with a corporation.

Step 3- Screening, risk assessment & management

Any PS engagement (especially advocacy and partnerships) should start with a risk assessment. This assessment helps Oxfam to think through possible implications of PS work and helps decision-makers to make an informed decision about approving this PS work. After identifying possible risks, you need to balance them against the potential opportunities and to articulate how you will manage identified risks. A risk assessment of any partnership with a company should be built on an ethical screen. The screen itself does not say whether you can go ahead with the work, it is the risk assessment relating the screen to the potential opportunities that leads to a conclusion.

Assessment of risk

A risk assessment should start with a macro-level overview of the sector. This identifies the sub-sectors, major players and differing business models. Once that has been addressed, the due diligence on the specific actor is much more nuanced, framed and understood.

Risk of southern advocacy is often higher than at HQ level so this needs to be based on a context specific campaign model which is country sensitive.

> Oxfam does not have a black list of companies or sectors with whom it does not work, but there is a brief high-risk list. Activities with companies included in this list require up front consultation at the highest level in Oxfam before entering into partnership:
> * Named targets (e.g. specific companies) of Oxfam campaigns
> * Arms manufacture that in normal use violates humanitarian principles (e.g. cluster munitions)
> * Pesticides outside FAO guidelines
> * Baby milk outside WHO code of conduct

The Guide to working with the PS and ethical screening (section F) contains a helpful overview of possible risks arising from PS interaction:

1. Risk to brand or identity through public association with a corporation whose core business substantially undermines our mission and values.
2. Risk to brand or identity through poor quality critical advocacy, or active, effective private sector response to that criticism. From country perspective, there is also a risk of our reputation to partners that might affect the level of trust between Oxfam and partners.
3. Risk of legal action. Legal action can take the form of libel, with potential financial penalties, or court injunctions which could affect Oxfam's ability to carry out its work. The UK has one of the world's strongest libel regimes and companies are able to sue OGB for actions of other Oxfams outside the UK. Therefore high libel risks may need to be assesses against UK law.
4. Risks of reprisals. Risks to Oxfam's work and staff would be more likely in developing countries where the rule of law is weaker.
5. Risks to partners and other stakeholders. Partners may be more vulnerable to reputational, legal and physical reprisals than Oxfam itself.
6. Risk of one type of engagement damaging other work. Marketing objectives may undermine the integrity of our advocacy message for example.
7. Risk of reputational damage through rejecting offers of funds.
8. Risk to brand or identity through a corporation using the Oxfam brand or marks for "green-washing." Public association of an inappropriate corporation with the Oxfam brand may improve the status or brand of the corporation, whilst damaging the status of the Oxfam brand.

Risk management

When you have identified what risks are at stake, you need to identify the consequences and probability of these risks. As a rule of thumb, note that the consequences weigh more heavily than the probability. The risks that may cause the biggest losses deserve greater priority.

While there is little that can be done about uncertainty around risks, often much can be done to influence activities or situations that create the potential of loss (or gain). How would you communicate risks & failures? Are you prepared for the worst case scenario?

Risk management falls into one of five categories[3]:
1. Prevent: limit the probability of the risk materialising.
2. Reduce: decrease the magnitude of the negative consequences in case the risk occurs.
3. Share: in some cases, a risk can be partially transferred to another organisation.
4. Avoid: eliminate the source of risk.
5. Run the risk, consciously. You are not powerless; you can monitor the potential negative consequences and prepare yourself to deal with them, for example by developing different scenarios.

Ethical screening

All relationships with corporate organizations and public associations with a company require an ethical screen. A screen is the basis of a risk assessment of any partnership with a company.

- Staff should use the OI template for screening (found on Sumus: https://sumus.oxfam.org/corporate-fundraising/documents/oi-ethical-screening-template) so as to improve the consistency of ethical checks across the confederation.
- This template may be too detailed for screening domestic companies in developing countries. What is most important is to look at scandals and to be aware of these. Checking with key national NGOs helps. Industry magazines are often a good source of initial information providing leads for further investigation for screening of small and mid-tier companies. OGB has regional ethical screening committees that can support screening of companies in several regions.
- All affiliates can now access Corporate Critic, which should help greatly with the principal question if there is any scandal relating to the company, in addition to news searches. All users must log-off of Corporate Critic immediately after use.
  - login details: http://www.corporatecritic.org
  - username: Oxfam
  - password: ethical
- All affiliates should ensure that ALL screens are on the Corporate Contacts Database (CCD) which will help everyone in this area. Go to https://sumus.oxfam.org/ccdb.
- Existing screens are available on SUMUS at https://sumus.oxfam.org//private-sector-team/documents/folders/ethical-checks-private-sector-companies. They can be used for new interactions within 12 months of the date the screen was completed. Otherwise they should be updated.

Resource: The OI screening standards and process are laid out in the Guide to working with the private sector and ethical screening.

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[3] See Oxfam Novib toolbox, tool K

Step 4- Communication, consultation and sign-off

Communication is the process of informing others about your interactions. **Consultation** is the process of soliciting feedback on a product from relevant stakeholders. In case of conflicts about proposed PS interactions, there is an agreed arbitration process. **Sign-off** is a formal decision-making process.

Communication

Affiliates need to ensure they have clear internal communication lines. Any meaningful incidences of PS interaction will be communicated to other affiliates through the Corporate Contact Database, the PS policy bulletin and the appropriate e-mail lists mentioned below.

- The Corporate Contact Database is the online tool for communication about interaction with individual companies. It is an essential source for getting and for sharing information about specific companies. It is the responsibility of individual affiliates to upload information onto the OI Corporate Contacts database. It is of particular importance that campaign targets are communicated to other affiliates who may consider raising funds from the corporation concerned. Go to https://sumus.oxfam.org/ccdb.
- The OI PS policy bulletin gives an overview of all PS policy work across the confederation. It is issued twice a year and compiled through the affiliate line (managed by the designated HQ PS lead within that affiliate). Ensure that your affiliate HQ is aware of relevant PS work in countries so that it can be included in the bulletin.
- Two email lists exist to facilitate communication between affiliates on PS issues:
  - oipstpol@oxfaminternational.org is an email list for advocacy personnel working on PS issues.
  - oipstfund@oxfaminternational.org is an email list for fundraising personnel raising money from corporations.

Consultation

Consultation helps to ensure the quality and accuracy of the plan or product. It strengthens and improves the product by gathering input from and ensuring relevance for both Northern and Southern colleagues and partners, as well as strengthening evidence and examples. Consultation is really important to check for sensitivities and risk (for specific countries or issues) and to generate buy-in from internal audiences, for example when you want to embark on outside advocacy or start a new partnership with a specific company.

Resource: The Guidelines for Consultation on OI Products provide some very helpful guidelines on effectively running a consultation process in OI, looking both at policy products as well as at media and communication products. They are available at https://sumus.oxfam.org/rights-crisis-policy-and-research-group-ric-prg/wiki/guidelines-consultation-oi-products.

Arbitration processes[4]

- If any affiliate, or the OI Secretariat, believes that the engagement of another affiliate with a particular company poses a risk to Oxfam's integrity, or to the program, fundraising or advocacy work of Oxfam, they should first raise the issue bilaterally with the affiliate concerned.
- If the concern cannot be reconciled bilaterally, the issue should be taken up with the OI PST coordinator who will host a discussion with the relevant affiliates and any other interested parties and seek advice from the Oxfam Private Sector Team (OPST). The OPST Coordinator will manage the process and ensure appropriate consultation.
- If unresolved, the OI deputy advocacy director together with chair of the OPST will issue a final decision.

For countries, there are agreed ways of escalation through Managing Affiliate lines. In case of inter- affiliate disagreement in countries the issue should be escalated to the PGG. If necessary the OPST Coordinator may be approached through the management line.

Resource: Guidelines on communication and arbitration are included in the Guide to working with the Private Sector and ethical screening.

Sign-off

Sign-off is a final verification check. This is the way we ensure that what we say or do is of high-quality; conforms to policies; takes account of risk to staff security, the program and our reputation; and correctly reflects Oxfam's

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[4] Updated from Guide to working with the PS

identity. Sign-off generally is a "yes" or "no" decision, with minimal comments relating to the changes that are required to obtain sign-off. OI Sign-off Decision-Makers consider the comments and concerns raised during the comment period in their final sign-off decision.

- Each affiliate should ensure they have a clear sign-off procedure.
- Any interaction with brands headquartered in the territory of another affiliate, must be discussed and agreed with the relevant affiliate beforehand. If a company is not headquartered in a country where Oxfam has an affiliate, check the Corporate Contact Database for existing contact points in Oxfam.
- Generally, products produced by Oxfam affiliates for their national markets and products produced by Southern regions or country offices for their national or regional markets do not need to be signed off by OI, unless they are OI-branded. Exceptions are products that create sensitivities for other affiliates or regions, or products that go beyond existing OI policy for a priority international campaign.
- OIPGG Chairs are primary decision-makers for national level PS work. At country level, partner voices come first; at global level, Oxfam's voice can come out prominently.
- A lot of PS work relates to one of the campaigns. In that case, it needs to fit in the campaign strategy and respect existing OI policy for a priority international campaign. OI campaign leads may need to sign off at the international level.
- The OPST signs off on Oxfam-wide PS strategies around OI priority sectors (food & beverage companies, traders, the financial sector and extractive industries) and will confirm if proposed PS actions are consistent with the strategy. When the agreed arbitration process (see above) does not work, the chair of the OPST will make final decisions and announce to OI.

Resource: The OI sign-off handbook gives an overview of sign-off processes in OI. It focuses on specific products (papers, letters, policy positions, media products and popular communications materials) and describes when sign-off is needed and which OI Sign-off Decision-Makers should be involved. The OI sign-off handbook is available at: https://sumus.oxfam.org/campaigns/documents/download-word-document.

Step 5- Articulate your Theory of Change & incorporate MEAL from the start

Monitoring, evaluation, accountability and learning (MEAL) strengthens Oxfam's ability to demonstrate the impact and effectiveness of its work and it improves the responsiveness and agility of PS work in rapidly changing political contexts. Accountability, both to the communities living in poverty and to Oxfam supporters, donors and other external stakeholders, is an ethical and effective basis for Oxfam relationships. We can be accountable to multiple stakeholders by showing how we engage the PS and explaining why we do it that way. Good PS work incorporates MEAL from the start. The six main steps for PS MEAL are laid out below.

Articulate a theory of change

A theory of change outlines the changes in the lives of women and men living in poverty that we wish to see as a result of Oxfam's campaign, and the key changes that are needed for this to happen. It also identifies underlying assumptions. Asking a second opinion on a theory of change will help, for example from economists, market analysts, strategic allies or others who can help see blind spots. For partnership approaches, it is important to assess what the value will be for the PS partner to spend time and money with Oxfam.

Box 1: Developing a theory of change
Define desired impact on the lives of people
Outline the outcomes that the private sector work will need to achieve to bring about the impact
Conduct a Power Analysis on the key issues addressed by the PS work e.g. who are the allies, blockers, 'swingers' etc. and how can they be influenced?
Based on this, determine effective strategies to achieve outcomes and any 'intermediate outcomes' along the way.
Pull together a 'theory of change' or logic model diagram illustrating the impact, outcomes, and strategies.

Identify Indicators

Once PS outcomes have been articulated, it is helpful to agree what indicators will show that we are on track to deliver these outcomes. For some PS work identifying SMART (specific, measurable, achievable, relevant, and time-bound) indicators may be possible. If detailed indicators may not be viable or sensible, identifying proxy indicators or 'outcome areas' to monitor may be sufficient.

Possible indicators might include (indicative examples only):
- Quality of dialogues/negotiations/advocacy: who is at the table, transparency of process, progress towards agreement
- Evidence of actions by advocacy targets towards policy and practice change (public statements, actions of support, announcement of policies)
- Oxfam language adopted by allies and/or champions, echoed in press/public debates
- The number and type of organizations in an alliance

For partnership approaches (especially for program partnerships), it is important not only to have our own internal indicators, but also to agree to shared indicators of success with the company.

Collect data

For each key outcome, campaign teams should develop a data collection plan, which sets out: 1) the indicator(s) or outcome area(s) they will track, 2) the data that needs to be collected, 3) how it will be collected and how frequently (e.g. quarterly, weekly), 4) who will be responsible for collecting it and 5) how it will be used. Where possible this should be a mix of qualitative and quantitative information.

For PS partnerships, it is helpful to align the timing of data collection with the PS partner. If you collect data when the PS partner is producing their CSR report the company may be able to bear the costs.

Analyse data and review progress

Some of the monitoring data collected will be useful to PS teams immediately, while other data will need to be analysed and fed into the PS decision-making processes at particular points in time. Particular points in time might include team meetings, quarterly reviews, semi-annual reporting processes, and after- action reviews. They should involve key stakeholders. Different review moments will have a different purpose and focus. In general, they will focus on whether the team is on track and whether external developments may have affected the intervention strategy.

Evaluate the PS work

External evaluations should test the validity of the theory of change and assess progress towards its goals. An external evaluation will often require collecting additional data from external sources to make conclusive analysis. It will complement team led analysis, and provide an objective view of overall effectiveness, outcomes and Oxfam's added value. Evaluations of PS partnerships should include a cost-benefit analysis. It is recommended that external evaluation(s) be carried out depending on the scale of investment.

Evaluative learning & communicating results

Evaluations are opportunities for learning. Evaluation findings can be shared internally and externally –for example with campaign allies and partners ahead of strategy meetings of relevant campaigns so that their findings may inform the planning. By sharing widely as possible, we can help others replicate our successes and learn from our errors so that we can build a strong civil society movement together. To ensure transparency to Oxfam's constituents, Oxfam will routinely place the executive summary and management response on our website. Before going public with an evaluation, findings should be shared with the advocacy target.

Resources: The 6 step guidance above is derived from the 6 step campaign MEL approach developed by the OI Community of Practice for MEL in Campaigns together with their campaigns colleagues. See https:/sumus.oxfam.org/monitoring-evaluation-learning-and-accountability/wiki/mel-and-campaigns-community-practice. The 6 step approach will be available on SUMUS shortly. For more comprehensive MEL guidance, see the Common Approaches guidance at https://sumus.oxfam.org/monitoring-evaluation-learning-and-accountability/documents/common-approach-mel-and-social.

Step 6- Get planning and resourcing right

Planning and human resources

Some PS work such as addressing legal risk, influencing rules and mediation can be very time consuming, therefore it is important to adequately plan and estimate the time commitment needed to reach your objectives.

- How much time is needed for adequate preparation of the information and research necessary to engage with the PS? How much time do you need for subsequent steps and what does it take in terms of human resources to engage in an authoritative and professional manner?
- Which persons will be available, and how much of their time will they spend on PS work? A country program can either have a designated PS officer or coordinator, or build PS work in the existing structure, depending on the approach used. There should be an assessment of the capacity of staff and capacity building needs.
- PS colleagues elsewhere may be able to help think through your PS work. On SUMUS you can find a list of the PS policy team members, who can serve as resources. Go to https://sumus.oxfam.org/node/530/members, click on 'Members' in the menu list in the SUMUS group to navigate to the correct page, then at the bottom of the page under the list of members is an orange 'XLS' tab. Click on this and the data is exported. You just need to save as an Excel spreadsheet to extract the membership data.
- MEL colleagues can play a valuable role in 'accompanying' PS teams, particularly at key points in the PS timeline. Their input is particularly useful in developing the theory of change/logic model and identifying assumptions, designing the MEL plan or data collection process, writing evaluation Terms of Reference, and supporting review processes.

Budget and financial resources

What financial resources do you need to carry out the PS work and how can you secure funding?

- MEL costs should be budgeted in campaign plans and fundraising proposals, it does not necessarily require significant additional resources. External evaluations do carry a significant cost, and the costs for these should be budgeted within the campaign.
- Funding for PS advocacy can provide additional financing of long-term programs.
- For PS partnerships, it is helpful to align the timing of data collection with the PS partner. If you collect data when the PS partner is producing their CSR report the company may be able to bear the costs.

This guidance was developed by Joyce Kortlandt, PS coordinator, built on the Private Sector Impact Meeting and the Guide to working with the Private Sector and Ethical Screening.

Annex 1: Checklist for developing a PS plan

1- **Objectives and power analysis**

- *Problem statement*
- *Objectives (including gender and our added value)*
- *How do objectives contribute to external change goals and priority sectors?*
- *Value added of Oxfam*
- *Power Analysis*

2- PS approaches

- *Choosing and justifying your approach*
- *Elaborating your approach*
    - *Local to global*
    - *Strong relationships*
    - *Research*
    - *Public/media support*
    - *Mass mobilisation*
    - *….*
- *Exit strategy: when and how will you phase out your work?*

3- Risk analysis (see also risk template)

- *Risk assessment: what are possible risks related to your plan?*
- *Risk management: what is the impact and the probability of these risks? How will you handle risks?*
- *Ethical screen (obligatory in case of PS partnership)*

4- Communication, consultation and sign off

- *Who needs to be informed inside the affiliate?*
- *Cross affiliate communication*
    - *CCD*

- o *e-mail lists*
- o *OI PS policy bulletin*
- *Consultation: who needs to be consulted about plans?*
- *Who will sign off on the proposal?*

5- Theory of Change & MEAL

1. *What is your theory of change including impact, outcomes and strategies?*
2. *What indicators will show that you are on track to deliver outcomes?*
3. *What data will track indicators? What is your data collection plan?*
4. *Who and when will you analyse data to review progress?*
5. *How will you evaluate? Will there be an external evaluation?*
6. *With whom will you share evaluation findings and when will we do this?*

6- Implementation

- *Planning and necessary human resources*
- *Available human resources (in house and support elsewhere)*
- *Planning and necessary financial resources*
- *Available budget*

Annex 2: Risk template

RISK LEVELS

PROBABILITY ⟍ CONSEQUENCES	High	Medium	Low
Major	A. Extensive management essential	B. Must manage and monitor risks	C. Considerable management required
Moderate	B. Management effort required	C. Management effort worthwhile	D. Risks may be worth accepting with monitoring
Minor	C. Manage and monitor risks	D. Accept but monitor risks	E. Accept risks with no action required

SOURCE: ON Toolbox 2009 , Adapted from Treasury Board of Canada, *Integrated Risk Management Framework, 2002*

Risk description	Level of risk [Consequence/ Probability]	Form and probability of risk	Risk management actions
Risk to brand or identity through public association with a corporation whose core business substantially undermines our mission and values.			
Risk to brand or identity and to relations with partners through poor quality critical advocacy.			
Risk of legal action.			
Risks to Oxfam's work and staff through reprisals.			
Risks to partners and other stakeholders.			
Risk of one type of engagement damaging other work.			
Risk of reputational damage through rejecting offers of funds.			
Risk to brand or identity through a corporation using the Oxfam brand or marks for "green-washing."			

Risk description	Level of risk [Consequence/ Probability]	Form and probability of risk	Risk management actions
		18	
Generic risk management measures applied to all risks:			