GSDRC Applied Knowledge Services

Governance · Social Development · Humanitarian · Conflict

The Social Impact of Private Sector Development

Topic Guide

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Author and contributors

This topic guide was written by Róisín Hinds (GSDRC, University of Birmingham). We are grateful for the suggestions and contributions of Barbara Evers (University of Manchester), Frances House (Institute for Human Rights and Business) and Md-Mamunur Rahman (Institute of Development Studies).

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GSDRC
International Development Department, College of Social Sciences
University of Birmingham, B15 2TT, UK
www.gsdrc.org

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Contents

1. Executive summary

Donor agencies are paying increasing attention to how private sector development (PSD) can be leveraged to support poverty reduction and sustainable, equitable and inclusive economic growth. This topic guide synthesises the most recent evidence on the social impacts of private sector development work, documenting emerging approaches and lessons learned. The private sector incorporates all economic activity that occurs outside of the state, ranging from smallholder farmers and informal entrepreneurs, to multinational corporations (MNCs) and the financial services sector. For the purposes of this guide, the focus is on organised firms and chains, such as agri-supply chains and large consumer base companies.

The private sector can have a transformational impact on peoples' lives as a creator of jobs and producer of goods and services that poor people use. Making use of social development thinking is essential for effective private sector development work that is responsible, inclusive, and delivers sustainable benefits to poor people.

Despite increasing donor attention in this area, there is a lack of systematic evaluations and rigorous evidence of the social impacts of PSD. This guide focuses on the social impact of private sector development work delivered through regulation, supply chain relationships and market development. It also looks at two overarching issues – 1) women, girls and private sector development; and 2) monitoring and evaluation frameworks. And it looks at two emerging issues – 1) business and human rights; and 2) participation and technology.

Some of the emerging findings from the available literature include:

- ***Regulation****:* Regulatory processes include national legislation and voluntary self-regulation within firms. Evidence on the links between regulation and inclusive growth is inconsistent. Some regulatory efforts have had positive social impacts, but the evidence base is limited.

- ***Firms and supply chains****:* Many interventions focus on upgrading and sharing the gains from participating in global, regional and national value chains, including linking producers to high-value markets and improving working conditions. Evidence of the impact of interventions is limited by a lack of rigorous evaluations, but there are some case study examples of success.

- ***Market development****:* Markets are particularly important for poor men and women, yet they are often costly or difficult to access. Interventions aim to increase access to markets by providing new technologies and technical assistance, and by brokering links between producers and buyers.

- ***Monitoring and evaluation****:* There is limited evidence on how M&E approaches can measure changes in private sector activity in ways that reach the poorest and most excluded. Some organisations have produced specific guidelines for assessing the impacts of programmes on particular groups. However, in general, many M&E approaches fail to reach the poorest groups, are gender blind, or make little mention of gender dynamics.

- ***Women, girls and private sector development****:* The integration of gender issues into private sector development work is essential for achieving inclusive, pro-poor growth. However, women's economic participation is often hampered by a combination of structural and cultural barriers. There is some evidence that PSD approaches that integrate women and girls have had positive impacts, but the evidence base is fairly limited and dominated by a small number of descriptive studies.

- ***Business and human rights:*** Businesses affect almost all areas of human rights. Key issues include working conditions, discrimination, and access to land. Donor interventions in this area range from developing mechanisms to address rights issues, to holding government to account for rights enforcement.

- ***Participation and new technology**:* Information Communication Technology (ICT) can transform business, support entrepreneurship, and drive innovation and economic growth. PSD interventions incorporating ICT include technology transfer in agriculture, and the use of mobile phones for delivering financial services. As this is an emerging body of evidence, there is limited evidence of long-term impacts.

Evidence guide

EVIDENCE EXAMINED IN THIS TOPIC GUIDE				
Private sector development programme				
		Regulation and legislative environment	Firms and value chains	Market development
Social development factor	Accountability	UNEP and KPMG 2006 [S; OR] Utting 2008 [S; OR] UNCTAD 2012 [S; OR] Lund-Thomsen and Lindgreen 2013 [S; OR] Kirkpatrick 2012 [S; OR] UNIDO 2008 [S; OR] Hiscox, Schwartz and Toffel 2008 [S; OR] McKinsey and Company 2004 [S; OR]	Riisgaard and Hammer 2011 [P&E; OBS] Humphrey and Navas-Alemàn 2010 [S; OR]	
	Livelihoods		Seville, Buxton and Vorley 2011 [S; OR] Vorley, Fearne and Ray 2006 [O&E; OBS] Tschirley 2010 [S; OR] Heierli 2008 [S; OR] Dunn, Schiff and Creevey 2011 [P&E; OBS]	PrOpCom 2013 [P&E; OBS] Sida, Sinha and Holmberg 2013 [S; OR] Piza et al. 2013 [S; OR] West 2013 [S; OR]
	Human rights and social exclusion	UN Global Compact and UN-OHCHR 2007 [P&E; OBS] Barrientos and Smith 2006 [P&E; OBS] GRI, Realizing Rights, UN Global Compact 2009 [S; OR]	Barrientos, Gereffi and Ross 2011 [P&E; OBS] Newitt 2013 [S; OR] Barrientos 2011 [P&E; OBS] Staritz and Morris 2013 [S; OR] Bacchetta, Ernst and Bustamante 2009 [S; OR]	
	Skill development		Dunbar 2013 [S; OR] Fernandez-Stark, Bamber and Gereffi 2011 [P&E; OBS] Newitt 2013 [S; OR]	
	Gender	World Bank 2007 [S; OR]	Care International 2013 [P&E; OBS] World Bank 2007 [S; OR] Barrett, Manfre and Rubin 2009 [S; OR] Coles and Mitchell 2010 [S; OR] Heinrich 2013 [S; OR] UN Global Compact and UN-OHCHR 2007 [P&E; OBS]	World Bank 2007 [S; OR] Hampel-Milagrosa 2011 [P&E; OBS]
	Monitoring and evaluation	DCED 2011 [P&E; OBS] Woller 2007 [S; OR] Curtis et al. [S; OR]	CARE 2012 [S; OR] Miehlbradt and Riggs 2012 [S; OR]	Ruffer and Wach 2013 [S; OR]

Key to the research descriptors

[P&E] ***Primary and Empirical***
[EXP] Experimental
[OBS] Observational

[S] ***Secondary***
[SR] Systematic Review
[OR] Other Review

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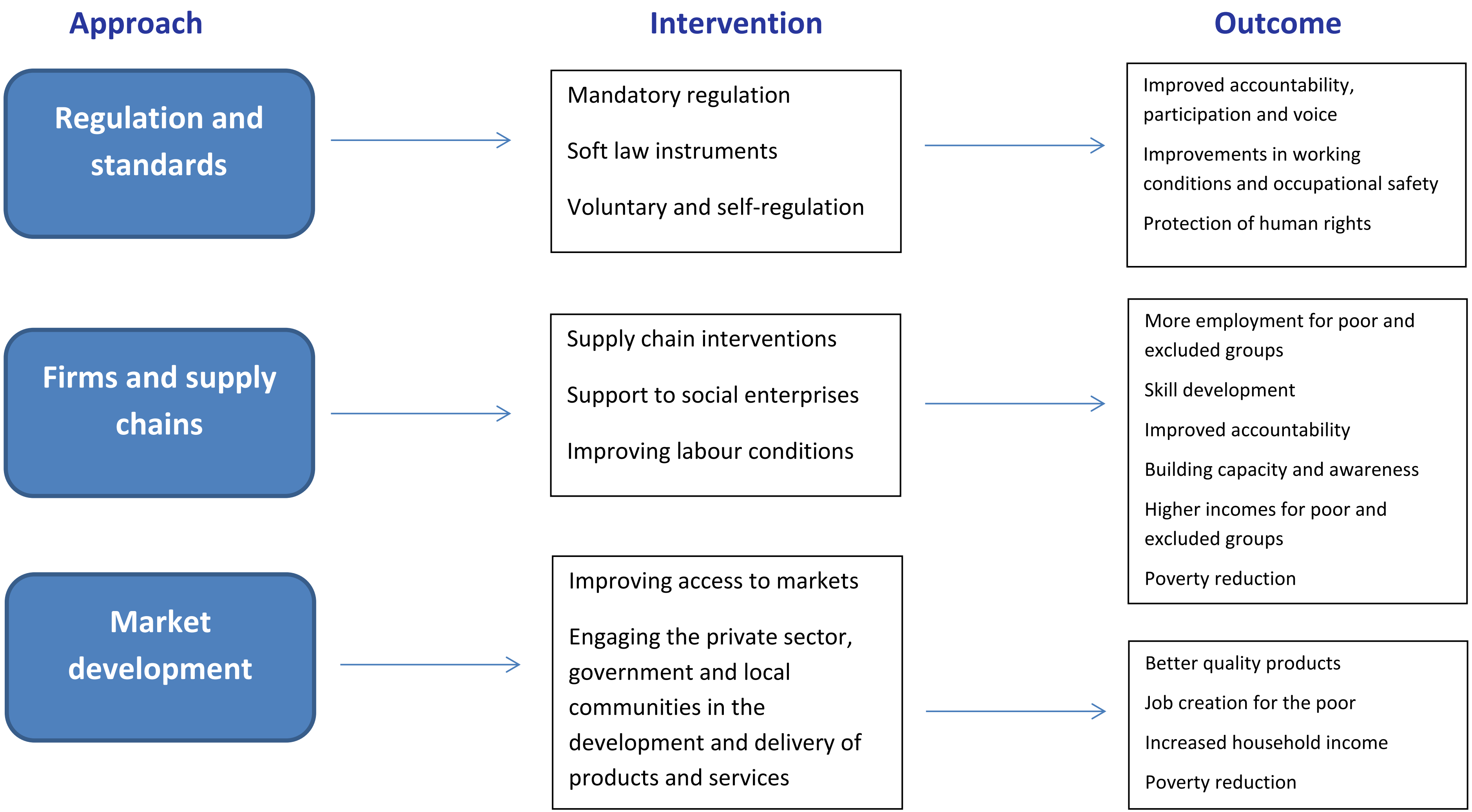
Transmission diagram

The diagram below illustrates some of the main transmission mechanisms between private sector development work and their social impacts. It is an illustration of some of the key issues, interventions and impacts that are identified, and expanded upon, throughout this topic guide.



2. Key social issues relating to private sector development

Private sector development (PSD) approaches seeks to catalyse private investment that benefits poor men and women, directly and indirectly. The private sector is involved in all aspects of development; from job creation and education to financial services and the delivery of health care. As well as creating a significant proportion of jobs, private enterprises produce many of the goods that poor people buy, and drive innovation that can have a transformational impact on poor peoples' lives.

Making use of social development thinking is essential to delivering effective private sector development work. Recognising the social impacts of PSD can help **strengthen the sustainability of business, support inclusive growth,** and **achieve positive sustainable impacts** (Heinrich 2013). Realising social development opportunities can also contribute to, and often enhance, many of the delivery areas of private sector development work, including:

- ***Adding social value****:* PSD has the potential to add significant social value[1]; however impacts are often uneven or exclusionary. Factors that can add social value include employment and access to finance and assets (DFID 2009). Skill development offers mutual benefits to both social development and private sector development[2].
- ***Addressing gender and social exclusion***: There is strong evidence that increasing women's economic opportunities can help achieve positive development outcomes. Private sector development approaches can support this by, for instance, improving women's access to employment and financial services (Markel 2014).
- ***Incorporating human rights****:* Business has an impact on almost all aspects of human rights. This includes labour rights, the right to land and water, non-discrimination, and freedom of expression[3].

Social analysis tools can help to identify the social issues that might emerge in PSD initiatives (ADB 2009; DFID 2009). Gender and social exclusion analysis, for instance, can provide an understanding of how access to finance and services is impacted by gender and social identity, or how different social groups are affected by the investment climate and regulation (DFID 2009). The Asian Development Bank (ADB) has produced a step-by-step guide to social analysis in PSD projects which emphasises consultation and participation (ADB 2009).

The purpose of this topic guide is to bring social development practitioners up-to-date on how social development approaches can help identify and address the social impacts of private sector development work. The guide focuses on three key issues and approaches: regulations and standards; firms and supply chains; and market development.

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[1] Social value typically refers to the broader non-financial impacts of programmes or interventions, including social capital, the wellbeing of individuals and communities, and impacts on the environment. See Wood and Leighton (2010).
[2] Expert comments: Barbara Evers
[3] See: http://business-humanrights.org/

3. Issues, interventions and impacts

3.1 Regulations and standards

Issues

Calls for improved regulation of business activity have been prompted by a number of high profile incidences of negative social impact (Utting 2008; Broomhill 2007; UNEP et al. undated). Illustrative examples include the use of child labour in clothing manufacturing[4]; concern for the relationship between some businesses and security forces (Pitts 2011); and the much documented treatment of workers in mobile phone factories in Asia.[5] **Heightened perceptions of social risk** within corporations themselves have also provided an impetus for business regulation and reform (Utting 2008).

Governance and corruption are key issues for inclusive private sector development. Businesses have an important role in ensuring that their operations do not hamper good governance efforts (Sullivan 2006). Transparency and accountability in public financial management are crucial for equitable and inclusive economic development with positive social impacts.[6]

National regulatory instruments, corporate social responsibility (CSR) approaches, and voluntary and self-regulation provide opportunities for overseeing the social impacts of business activity. The emergence of 'soft law' instruments to govern corporate conduct has also been accompanied by an increasing regulatory role for NGOs, trade unions, and businesses themselves (Nolan 2013). Challenges and complications can arise, however, when national **legislation is not aligned** with international standards or guidelines.

Interventions

National regulatory instruments

National regulatory instruments govern a broad range of business activities which have social impacts, including labour conditions, tax obligations, and sustainability reporting (UNEP et al. undated).

Advocates for **mandatory regulation** contend that the use of regulated codes helps to ensure a minimum level of compliance, as well as producing a central and comparable source of data that can be used by investors and other stakeholders (UNEP and KPMG 2006). However, some authors caution that mandatory regulation may be hampered by knowledge gaps between regulators and the industry, inflexibility, and a lack of incentives for innovation (UNEP and KPMG 2006).

Some donors have been supporting **business environment reform approaches**, which include reform of national regulatory instruments. Though much of this work focuses on reducing regulatory barriers and creating a business environment that is supports market-led growth, some initiatives provide oversight on the social impacts of business activity. Case study examples show that good regulations can: make it easier for poor entrepreneurs to register their businesses and enter the formal economy; help secure

[4] Se: http://www.law.harvard.edu/programs/lwp/NLC_childlabor.html
[5] See: http://www.globallabourrights.org/reports/document/1412-IGLHR-China-AppleZhenDingTech.pdf
[6] Expert comments: Frances House

benefits; and protect workers, consumers and the environment[7] (See for example Bettcher, Friedl and Marini 2009).

'Soft law' instruments

There is an emerging body of 'soft law' instruments that seek to mitigate any harmful impacts of business activity. These advocate a minimum level compliance with international standards in areas such human rights, transparency, and environmental impact. Though lacking the same legal status as mandatory regulations, soft law instruments are guidelines to which states adhere and which have a different status than voluntary approaches. Examples include:

- **OECD Guidelines for Multinational Enterprises**, which are recommendations covering all areas of business ethics, including steps to obey the law, observe international standards, and respond to societal expectations[8] (OECD 2011).
- The **UN Global Compact**, which is a policy initiative for businesses that seek to align their operations and strategies with ten universally accepted principles in the areas of human rights, labour, environment and anti-corruption[9].
- The **Voluntary Principles on Security and Human Rights**, which provides guidance to companies operating in conflict-affected or fragile environments to secure their premises while maintaining high human rights standards[10] (Pitts 2011).

Voluntary approaches and self-regulation within firms

Voluntary approaches and self-regulation present a viable alternative to public and state-based forms of social governance (Pattberg 2011). They give businesses the opportunity to develop country- or industry-appropriate approaches to social responsibility (UNEP and KPMG 2006).

When self-regulatory processes are **sector or industry specific**, their proximity can mean they have better access to industry information and are better placed than government regulators to identify potential problems (UNEP and KPMG 2006; OECD 2015). Self-regulators may also act with greater flexibility and can harness the collective interests of the industry to generate a higher level of compliance (UNEP and KPMG 2006). Despite such advantages, however, experts caution that self-regulatory processes can be hampered by conflicts of interest, inadequate sanctions, and under enforcement (UNEP and KPMG 2006; OECD 2015). Some experts also caution that companies may be less likely to disclose negative material in voluntary reports (UNEP and KPMG 2006), and that the structure governing self-regulatory schemes can be dominated by a small number of actors who favour the interests of long-established or larger firms (OECD 2015).

Many large international companies have introduced **codes of conduct in their global supply chains**, as they seek to influence the social and environmental impact of supply chain members (UNCTAD 2012). UNCTAD evidence finds that codes are no longer limited to certain sectors, but common across a broad range of industries, from pharmaceuticals, to packaged foods and meat (UNCTAD 2012).

[7] See: http://www.enterprise-development.org/page/whyber
[8] See: http://www.oecd.org/corporate/mne/
[9] See: https://www.unglobalcompact.org/aboutthegc/
[10] See: http://www.voluntaryprinciples.org/what-are-the-voluntary-principles/

Complying with codes of conduct can present notable challenges for small and medium enterprises (SMEs), particularly those in developing countries (UNCTAD 2012). Many suppliers may be new to CSR codes, have difficulty finding and collating the required information, and face challenges bearing the direct and indirect costs of CSR compliance (UNCTAD 2012).

Recent trends also include a growth in sustainability reporting in non-OECD countries (See Box 1).

Box 1: Sustainability reporting

There has been a recent trend toward environmental and sustainability reporting in non-OECD countries. A survey from the International Finance Corporation (IFC) and the World Resources Institute found that sustainably reporting increased during the period 2004-2009 in six Asian countries (India, Indonesia, Malaysia, Philippines, Thailand and Vietnam). This increase was attributed to a combination of factors, including the efforts of national governments, training and consulting organisations, and professional accounting associations. However, sustainability reporting worldwide remains low.

Source: IFC and WRI 2009

Impacts

National regulatory instruments

Evidence on the impact of donor attempts to support national regulatory reform is **limited**. Much regulatory reform assistance is embedded within broader interventions, such as public sector reform, making it difficult to identify direct causal links (IFC 2008, p. 43 cited in Kirkpatrick 2012). Some authors have raised concerns about the capacity of business environment reforms to achieve positive social impacts (Kirkpatrick 2012). One study from Zambia, for instance, finds that though business enabling environment reforms can deliver economic growth, they have not delivered significant poverty reduction or job creation (CAFOD and JCTR 2014).

'Soft law' instruments

There is some, albeit limited, evidence that 'soft law' instruments have improved the social impact of businesses. The Voluntary Principles on Human Rights, for instance, have contributed to raising awareness of key issues among companies, increasing dialogue with stakeholders, and, in some cases, leading to 'clear improvements in certain concrete country situations' (Pitts 2011, p. 360). An illustrative example is the case of BP in Indonesia. BP engaged with expert consultants to analyse the human rights risks of operating in the country and included specific contractual language which obliged them to adhere the voluntary principles in their relationships with security providers (Pitts 2011).

Others note that the impact of principles such as the UN's Global Compact are **inherently difficult to assess** as they promote adherence to a general principle and ethos, rather than a specific set of measurable goals (Hale 2011).

Voluntary and self-regulation within firms

Evidence on the **social impacts** of voluntary and self-regulation is also limited (Hiscox, Schwartz and Toffel 2008). Recent academic evidence finds that voluntary codes of conduct have brought about tangible improvements in working conditions, such as occupational safety and remuneration, but have had little effect on less tangible issues, such as freedom of association and collective bargaining (Lund-Thomsen and Lindgreen 2013). Some experts note that when CSR is about being responsive to the community and addressing real concerns proactively (including in the design and implementation of projects) it can play a prominent role[11]. Others advocate the need to move beyond voluntary principles and introduce reporting mechanisms and procedures that bring about a measure of accountability.

3.2 Firms and supply chains

Issues

The changing dynamics of global production and trade has major implications for people living in developing countries. Global value chains (GVCs) have become the dominant trading model in many sectors[12] with poor people are being integrated as producers, workers, and consumers into global and regional markets and production processes (See Kaplinsky and Morris 2002; Coe, Dicken and Hess 2008; Kaplinsky and Farooki 2010; Roduner 2005). Many formally employed workers in developing countries are part of value chains, as well as some groups of informally employed workers.

Though poor people are being integrated into value chains, their participation does not always guarantee positive development outcomes. A key challenge for the development community is to improve or 'upgrade' the position or poor people within value chains. **Upgrading** typically refers to supporting higher value activities in production to improve knowledge and skills, and increase the benefits of participating in value chains (Gereffi 2005, p. 171-175). There are two specific types of upgrading identified in the literature:

- **Economic upgrading** is a process by which firms 'improve their position in terms of value added and productive capacities within value chains' and producers have been able to move to higher-value activities (Barrientos et al. 2011, p. 301).

- **Social upgrading** refers to 'improving the rights and entitlements of workers as social actors, which enhances the quality of their employment' (Barrientos, Gereffi and Rossi 2011, p. 324).

Though there are evident links between the two approaches, economic upgrading does not automatically translate into social upgrading. Two key issues identified in the literature as being obstacles to social upgrading are access to supply chains and labour conditions within supply chains.

Access to supply chains

Incorporating SMEs and small-scale producers in supply chains has the **potential to reach significant numbers of poor people** and achieve positive social impacts through increased income generating opportunities (Seville, Buxton and Vorley 2011). However, a series of challenges can hamper producers' effective involvement in supply chains (Vorley, Fearne and Ray 2006; Tschirley 2010; Heierli 2008):

- *Transaction costs:* Small-scale agricultural producers can face significant transaction costs in marketing their products, often due to the small or irregular volumes of their yields (Heierli 2008). Unless they have the ability to organise marketing efforts, they may not be able to access markets, or secure the best prices for their goods (Heierli 2008).

[11] Expert comments: Daniel Franks

- *Accessing credit:* An inability to access credit can prevent producers from investing in the technology and know-how necessary to improve their productivity and meet the needs of buyers in value chains (Heierli 2008; Wilshaw 2013).

- *Meeting standards:* Some producers may face challenges in meeting buyers' commercial demands and quality standards (Barrientos, Gereffi and Rossi 2011). To sell their goods to markets, for instance, producers may need to pay more attention to sorting, packing and grading, which can add significant transaction costs (Heierli 2008).

There is also some debate among the literature as to whether SMEs should be integrated in global value chains, or whether the focus should be on regional value chains (Stamm and von Drachenfels 2011).

Labour conditions

The growth of global production has created new job opportunities in developing and emerging economies, particularly for people who may have had difficulty obtaining wage employment previously. The expansion of global production in labour-intensive industries such as manufacturing, for instance, has been an important source of employment for women and migrant workers (Barrientos, Gereffi and Rossi 2011).

When employment is regular and generates protection and rights for workers it can contribute to social upgrading (Barrientos, Gerefi and Rossi 2011). However, much evidence indicates that employment in value chains can fall short of these requirements; is vulnerable, insecure and lacks adequate social protection (Newitt 2013; Fair Wear Foundation 2012; Barrientos 2011; See Box 2).

The **governance of value chains** can have important implications for the social impacts of business activity, including the regulation of global standards (Riisgaard and Hammer 2011). The complexity of global production and trade means that it can be difficult for companies – even those with comprehensive auditing and monitoring processes – to adequately monitor labour conditions within their suppliers (Riisgaard and Hammer 2011).

Box 2: Wage issues in the tea industry

Empirical evidence cited by Oxfam and the Ethical Tea Partnership identified wage issues in the tea industry in three case study areas: Malawi, Indonesia and India. Some of the identified barriers to raising wages in the tea sector include:

- Lack of understanding of wage-setting mechanisms
- Absence of collective bargaining processes
- Disempowerment of women workers
- Contribution of in-kind benefits
- Structure and productivity of tea production
- Limited dialogue between stakeholders
- Overly simplistic assurance processes

Source: Ethical Tea Partnership and Oxfam (2013)

Some of the key issues relating to labour conditions within supply chains include:

Remuneration and conditions

- *Poverty and low wages:* Recent ILO evidence finds that approximately 839 million people worldwide are employed on US$2 or less per day, representing 26.7 per cent of total global employment (ILO 2014, p. 12). Cost pressures in many sectors, including retail and electronics, mean that when costs in supply chains are squeezed, there are often direct wage implications for workers[13].

- *Hours of work:* Evidence indicates that some people employed in value chains work long hours. A case study example from Madagascar, for instance, finds that workers employed in apparel manufacturing face moral pressure to work long hours and often have challenges claiming overtime pay (Staritz and Morris 2013).

Forms of contracting

- *Vulnerable and precarious employment:* Workers employed in vulnerable and precarious employment are typically less likely to have access to social protection, cannot join trade unions, and have no means of collective bargaining with their employer for improved working conditions and pay (ILO 2014).

- *Outsourcing:* Recent evidence points to the increasing use of outsourcing and agency workers in global supply chains (Newitt 2013). Agency workers are ostensibly used to provide flexibility in the workforce. However, they often lack a contractual relationship, may have less bargaining power, and endure poorer wages and conditions than directly employed colleagues (Newitt 2013). A case study example from South Africa shows that contract workers in the horticultural sector have been subject to workplace abuse, had wages withheld, and experienced serious accidents at work (Barrientos 2011).

- *Informality:* A review of literature finds a predominance of informal employment in value chains, particularly in processing units, pack-houses, and commercial farms (Chan 2013). A high rate of informality hampers poverty reduction efforts, typically involves lower and more volatile rates of pay, and often makes it difficult for workers to acquire generic skills that can be used in a variety of occupations (Bacchetta, Ernst and Bustamante 2009; ILO 2014). At the macro level, countries with large informal economies tend to experience lower export diversification, which has been linked to reduced economic growth (Bacchetta, Ernst and Bustamante 2009). Bringing workers out of informality has the potential to reduce working poverty, improve working conditions, and generate much needed tax revenue (ILO 2014).

Occupational health and safety

Throughout the world, the poorest and least protected – often women, children and migrants - are among the most affected by **poor occupational health and safety**. Developing countries have particularly high rates of deaths and injuries at work, due, in part, to the prominence of hazardous activities such as mining, fishing, and agriculture[14]. Businesses have a role to play in ensuring that workers within their supply chains experience adequate social protection and safety in the workplace. The ILO has identified the following areas as of critical importance to occupational health and safety[15]:

- Improving productivity and working conditions in SMEs;

- Protecting workers from unacceptable forms of work;

[13] Ibid.
[14] See: http://ilo.org/global/topics/safety-and-health-at-work/lang--en/index.htm
[15] See: http://www.ilo.org/safework/areasofwork/lang--en/index.htm

- Promoting more and better jobs for inclusive growth;
- Supporting jobs and skills for youth;
- Creating and extending social protection floors;
- Supporting decent work in the rural economy;
- Formalising the informal economy;
- Strengthening workplace compliance through labour inspection.

Interventions

Supply chain interventions have gained some traction among donors as a means to promote inclusive private sector development and support poverty reduction. They have become appealing to some businesses which, seeking to show their social and economic impact, view value chain interventions as 'a lever through which businesses can boost their development impact' (Ashley 2009, p. 1).

Interventions by firms

Interventions by firms to support inclusive supply chains typically involve **close collaboration and partnership with donors (**Humphrey and Navas-Alemán 2010). A comprehensive review of GVC approaches identifies three types of **lead firm interventions**: i) supplier development programmes in manufacturing; ii) programmes that link lead firms with agricultural producers; and iii) interventions that focus on labour conditions (Humphrey and Navas- Alemán 2010).

Supplier development programmes

Supplier development programmes typically aim to link local SMEs with large multinational companies, with the aim of increasing the potential of the SME to be a supplier for the larger enterprise (See Box 3). In some interventions, MNCs have adopted a mentoring role – providing technical assistance and direct support to the SME (Humphrey and Navas- Alemán 2010).

Lead-firm based interventions in the **agricultural sector** range from enhancing producers' bargaining power and ability to bulk produce, to supporting market linkages between producers and processors (Stamm and von Drachenfels 2011; See Box 4). Some donors have provided on-site storage to allow farmers to benefit from seasonal price fluctuations, or have offered technical assistance to strengthen public-private partnerships and deepen collaboration with NGOs (Stamm and von Drachenfels 2011).

Box 3: IFC and ExxonMobil's SME development in Chad

The ExxonMobil and IFC 'Local Business Opportunities' (LBO) programme supports the development of SMEs in Chad through training and capacity building. ExxonMobil assess the capabilities of potential suppliers, and recommends them as candidates for training at an IFC facility in Chad. Services such as capacity building, access to finance and e-procurement support activities are provided to SMEs, in the hope they will qualify to be suppliers of ExxonMobil in future.

Some of the lessons emerging from the LBO programme include:

- Establish plans and set boundaries early into the process. The ExxonMobil programme started with 10 components in 2002 but was refocused more narrowly in 2004 to deliver improved results.
- Design the linkage programme before implementation of the investment project. The earlier that programme design occurs, the greater potential there is to tap into the full range of business opportunities.
- Early sponsor buy-in is critical. Project sponsors should have a good understanding of the value of the linkages programme and a willingness and commitment to share responsibility.

Source: Humphrey and Navas-Alemán 2010; Jenkins et al. (2007)

Some of the key challenges for scaling inclusive agri-food supply chains include (Woodhill in Butler et al. 2013, p. 34):

- *Strengthening relationships and intermediary functions*: Inclusive business depends on good partnerships and relations. Trusted agents and platforms are needed to broker relations and stimulate investment; however, these can be difficult to establish.
- *Improving mechanisms for collaboration and pre-commercial financing*: An injection of finance is often needed to kick-start inclusive business in the agri-food sector before it becomes commercially viable. Providing this type of financing in such a way as to drive entrepreneurship without excessive bureaucracy is a key challenge.
- *Strengthening agri-cluster and networked business initiatives:* Inclusive development in the agriculture sector depends on the development of clusters in agri-services, processing and logistics that can support multiple supply lines and create economies of scale. These can be difficult and complicated to establish.
- *Improving mechanisms for joint learning and research between all groups:* There are limited mechanisms for joint learning between key players in inclusive supply chains, such as business, government and producer organisations. New approaches are needed which have the appropriate efficiency and responsiveness.

Box 4: Linking small-scale vegetable farmers in India to supermarkets

The USAID Growth-oriented Microenterprise Development Project (GMED) aimed to link small-scale farmers in India to competitive value chains. The project involved two components: technical assistance to facilitate farmer upgrading; and support to the establishment of mutually beneficial vertical relationships linking farmers to corporate buyers.

A mixed method internal evaluation found that the programme largely succeeded in increasing farmers' awareness of the process and product upgrading. A farmer-to-farmer approach was an appropriate mechanism for diffusing the information throughout the local area. However, the success of the project in facilitating and sustaining vertical linkages was limited. Factors limiting success included: the global economic recession; changes in state regulations affecting the business environment; and changes in the business strategies of the lead firms on which the project depended.

Source: Dunn, Schiff and Creevey (2011)

Interventions that focus on labour conditions

Interventions aiming to improve labour conditions within supply chains range from supporting dialogue models between workers and employers (Box 6), to providing technical assistance to improve terms and conditions.

Businesses can draw on the **expertise of civil society organisations** when seeking to improve labour conditions in their supply chains (See for example Box 5). Some CSOs have been advocating for the payment of a **living wage** – defined as that which meets basic needs and provides some discretionary income (Fair Wear Foundation 2012). The case for companies to pay a living wage is driven by a variety of factors; reputational risks and pressures on companies to demonstrate corporate social responsibility are matched by growing evidence that paying a living wage can contribute to higher production rates and better product quality[16] (Thompson and Chapman 2006). Some of the barriers to raising wages in supply chains include lack of collective bargaining processes and limited dialogue between stakeholders (See Box 3).

Box 5: Supporting women workers in the Sri Lankan tea sector

Care International successfully improved worker-management relations in the Sri Lankan tea sector by supporting a dialogue model called *Community Development Forum (CDF).* CDFs function as 'mini-parliaments' that facilitate dialogue between workers, management and the broader community.

An internal report notes that the CDF achieved tangible benefits for workers and their employers. Labour relations were improved, worker well-being increased, and productivity per worker rose. For every dollar invested in CDFs, tea estates made an additional US$26.

Source: Care International (2013)

[16] Expert comments: Frances House.

Skill development is crucial to both poverty reduction and private sector development, and can impact on competitiveness in value chains (See Box 6). The private sector can play an important role in meeting growing demand for training opportunities within and beyond supply chains (Dunbar 2013). Recent evidence suggests that businesses are more likely to engage in skill development when the benefits are clearly apparent, there is minimal bureaucracy attached, and the business environment is favourable (Dunbar 2013).

Box 6: Workforce development in fruit and vegetable GVCs

The cultivation of fruit and vegetables is highly labour intensive and offers an important source of employment in developing countries. The increased complexity of value chains, combined with greater competition and the enforcement of public and private industry standards has meant that workforce skills are an important factor for industry competitiveness. Drawing from a range of case studies, themes identified in workforce development for fruit and vegetable GVCs include:

- *Standards training* is a basic requirement to compete in high-value markets. It is essential to understand global requirements; identify the skills to meet these requirements; and train workers in those skills. Food safety and health-related training are particularly relevant for agricultural GVCs.
- *Return on investment* is fundamental for providing incentives for firms to spend on training and ensure workforce skills rise.
- *Formal higher education* is important for key positions in the value chain. Lack of higher education can create bottlenecks that prevent upgrading.

Source: Fernandez-Stark, Bamber and Gereffi (2011)

The modalities of private sector engagement in skill development include: joint efforts of businesses, international institutions, and government to support national skill development strategies; and programmes to improve the capacity of private sector training providers (Dunbar 2013). Some companies have developed their own in-house training programmes in response to weaknesses in national training provision and when national training is not aligned to the needs of the private sector. Research shows that **the most effective programmes incorporate both soft and technical skills**, on-the-job and off-the-job training, and take into account the skills required in the informal sector (Dunbar 2013). The best results have been achieved in initiatives where employers have been involved at the beginning of the planning phase (Dunbar 2013).

Examples of business and donor agency support to skill development include:

- *Public Private Partnerships (PPPs) between multinationals and training providers*: SIDA has been one of the most active agencies supporting PPPs for skill development (Dunbar 2013). In

Bangladesh, for instance, SIDA has recently begun working with the ILO and clothing company H&M to train an estimated 5,000 people in the garment industry by 2016.[17]

- *Partnering on national strategies in skill development*: DANIDA has been working with the Bhutanese Department of Occupational Standards to introduce national occupational skill standards. The programme has found it difficult to establish strong participation from employers due to a highly fragmented labour market (Dunbar 2013).

- *Involving private sector training providers:* Private companies have been involved in the delivery of training programmes in various countries. In some cases, this is stimulated government action. DANIDA experience in Bhutan, for instance, found that private providers provided the initiative for change, obliging state technical training institutions to follow (Dunbar 2013).

Interventions by donors

The ILO's *Better Factories Cambodia* (BFC) programme aims to develop local suppliers for US buyers with an explicit commitment to improve working conditions (Humphrey and Navas-Alemán 2010). The programme monitors factories, trains management and workers, and provides advice on factory improvements that can help businesses preserve profits, while respecting workers' rights[18].

Some donors have been supporting **social enterprises** – organisations that typically combine key features of private sector enterprises with a focus on achieving social and/or environmental impact (Rogerson et al. 2014). A stocktake of donor support to social enterprises finds that in this rapidly evolving area of work, donors are supporting a variety of business models intended for social impact. The main rationale for social enterprise programmes reviewed is to support greater inclusion of the poor, of women, and other vulnerable groups in the growth process (Rogerson et al. 2014).

Impacts

There is **limited evidence** about the impact of firms and supply chain interventions. Some project documents provide anecdotal evidence of positive impact; however, there is a **broad lack of systematic assessment**. Some authors attribute the lack of impact evaluations to the complexity of supply chains, the high cost of evaluation studies, and the significant methodological challenges involved in attributing changes to any one single factor. Supply chains are continuously adapting to new market and non-market forces; evaluators thus face a challenge of designing methodologies that are suitable to rapidly changing dynamics and reflect the fluctuations inherit in supply chain systems (Kidoido and Child 2014). Recent approaches have attempted to tackle evaluation deficits and include the use of value chain monitoring and client mapping (See Box 7).

[17] See: http://www.sustainablebrands.com/news_and_views/supply_chain/aarthi_rayapura/hm_launching_skills_training_initiative_garment_workers_
[18] See: http://betterfactories.org/

Impact of inclusive supply chain interventions

There is **mixed evidence** about the impact of inclusive supply chain interventions. One case study example from Kenya finds that commercial producers have been able to move to higher-value activities in horticultural chains through meeting private industry standards (Evers et al. 2014). However, for smallholders' such standards – which are particularly stringent in European supermarkets - can hamper their ability to access global supermarket value chains (Evers et al. 2014).

Evidence indicates that **less stringent supply chains can be easier for smallholder horticultural producers to access**. A study on South African horticultural value chains, for instance, notes that the expansion of South African supermarkets and the growth of South-South trade provide new channels for fruit and vegetables (Barrientos and Visser 2012). These typically require less stringent standards than European markets but pay comparable prices (Barrientos and Visser 2012). The Babban Gona franchisee model in Nigeria provides small holder farmers with access to investment capital, as well as agricultural and marketing services, to help them supply grain for animal feed companies[19].

Box 7: Monitoring and evaluation for value chain interventions

CARE (2012) has produced a comprehensive guide on M&E system design for value chain projects. Key aspects of this framework include initial M&E system client mapping, reviewing and refining causal models, and assessing M&E resources and capacity (CARE 2012). Some value chain M&E systems are based on results chain appraisals (Miehlbradt and Riggs 2012), such as GIZ's value chain monitoring approach, which involves three components: formulating impact hypothesis of value chain promotion; verifying the impact of hypotheses; and managing for development results (GIZ 2007). The ILO has produced a step-by-step guide to monitoring and evaluating value chain development for decent work (Herr and Muzira 2009).

Some of the general guidance and lessons emerging from inclusive supply chain interventions include:

- *Identify access routes*: Strategies to enhance the capacity of poor producers to engage with market-orientated activities must identify access routes to the markets and the agents involved (Humphrey and Navas-Alemán 2010).
- *Analysis of supply chains*: Supply chain interventions should begin with an analysis of the characteristics and constituent elements of the chain, and match the requirements of the potential markets with the capacity of potential suppliers (Humphrey and Navas-Alemán 2010).
- *Lead-firm changes*: Changing the behaviour of lead firms in supply chains can have notable impacts on small producers (Humphrey and Navas-Alemán 2010).
- *Access to assets:* Evidence indicates that access to assets – and the ability to accumulate and use those assets effectively – is critical to the effective participation of poor people in supply chains (Seville, Buxton and Vorley 2011).
- *Support sectoral and national platforms for dialogue*: Building the capacity of sectoral actors and supporting the establishment of platforms of dialogue can help to improve understanding between actors and provide a conduit for dialogue and change (Newitt 2013).

[19] See: http://www.doreopartners.com/small-holder-farmers-thoughts-on-the-babban-gona-franchise-model/

Impact of interventions to improve labour conditions

Evidence on how initiatives have contributed to improving labour conditions within value chains is also **limited**, with few organisations having published evaluations of voluntary initiatives (Newitt 2013). The research that is available suggests that initiatives are **more likely to have an impact in areas where non-compliance is most visible and action more easily attainable**, such as in health and safety violations (Newitt 2013).

The available evidence on the issue of collective bargaining suggests that interventions have made limited progress. Trade unions often lack capacity, companies can be distrustful of workers organisations, and barriers are particularly prominent in countries where legislation does not guarantee freedom of association. However, some private sector voluntary initiatives have been successful in opening up space for dialogue between the private sector, trades unions and NGOs (Newitt 2013). **Building capacity and awareness** of workers' rights and supporting the capacity development of workers' organisations can help them defend to these rights and represent workers' interests (Newitt 2013).

An independent evaluation of the ILO's Better Factories programme identified both positive and negative impacts (Merk 2012). While the programme was operated on a sector-wide basis and achieved some improvements in labour conditions, a number of concerns were raised including:

- *No law enforcement powers*: The BFC does not have powers of enforcement, and is instead tasked with verifying the conditions in participating factories, reporting on them, and providing information and advice on compliance. The lack of enforcement powers has been frustrating for unions and workers who report violations (Merk 2012).
- *Freedom of association*: Freedom of association, which is central to collective bargaining, remains under threat, particularly due to the prominence of fixed term contracts (Merk 2012).
- *Limited scope and coverage*: The BFC is not looking into violations that occur in small factories that subcontract to bigger companies, meaning that they can evade monitoring. The BFC also does not cover garment factors that produce solely for the domestic market and are not engaged in export activities (Merk 2012).

3.3 Market development

Issues

Functioning market systems, in which buyers and sellers exchange goods and services, are a central organising principle of successful economies. They can stimulate competition, place pressure on producers to improve products, and in turn offer better value for consumers. **Markets are particularly important for poor people**, who typically experience weaker informal networks and inadequate state service delivery (SDC and DIFD 2008). Poor men and women rely on markets to provide the goods and services that not only fulfil basic needs, but which can be pivotal to strengthening capacity (Springfield Centre 2008; UNDP 2010; SDC and DFID 2008).

When markets are working exclusively or inefficiently, they may not work well for the poor as both consumers and producers (SDC and DFID 2008). Markets can be costly or difficult for poor people to access, and lack effective regulation (SDC and DFID 2008). **Barriers** to inclusive market development exist at micro, meso and macro levels, and include limited access to finance, weak value chain linkages, capacity constraints and information deficits, and a lack of infrastructure (UNDP 2010). **Sustainability** is also a key issue demands that a consideration of how market functions can work more effectively in future, including through the use of incentives (Springfield Centre 2008).

Reaching the poor as consumers is an important issue in market development. Poor people are often approached as a homogenous group; however, there are significant differences in terms of wants, needs, and levels of poverty (Heierli 2008). Such segmentation demands a more considered application of marketing approaches to ensure that poor people are reached (Heierli 2008).

Interventions

Donor assistance to market development

As integrating human rights into PSD programming is relatively new for many donors, examples of approaches are **limited and incremental**. Evidence suggests that more research is needed to bring together the experiences of donor agencies, financial institutions, and NGOs in integrating human rights concerns (Gibb, Foster, and Weston 2008). The role of the state and of transnational corporations in rights-based PSD also needs to be more clearly defined (Gibb et al. 2008).

Market development approaches seek facilitate change in business behaviour to deliver positive impacts to poor people and to strengthen the markets that poor people depend on for their livelihoods. Most market development interventions share the view that market-based economic engagement with the poor is essential for sustainable development (Springfield Centre 2008, 2008b). Examples of donor agency programmes include technical assistance and specialist advice to businesses, the introduction of new business ideas or technologies, and the provision of market information[20]. Many interventions occur in sectors where the poor are concentrated, such as agriculture and labour-intensive industries.

Making Markets Work for the Poor (M4P)

Making Markets Work for the Poor is an approach to developing market systems so that they 'function more effectively, sustainably and beneficially for poor people, building their capacities and offering them the opportunity to enhance their lives' (Springfield Centre 2008, p. 25). It is based on the concept that as poor people are dependent on the market system for their livelihoods, changing markets to make them work for effectively and sustainably for the poor can improve livelihoods and reduce poverty[21]. More accessible and competitive markets provide opportunities for poor people and can help them to find their own way out of poverty (Springfield Centre 2008, 2008b; See Box 8).

M4P activities aim to analyse and influence market systems that reach poor people as consumers, producers, and employees. They aim to **facilitate change** in the capabilities, incentives, and behaviour of market actors (Ruffer and Wach 2013), and include using **marketing approaches** to reach the poorest consumers (Heierli 2008). Examples of M4P working in practice include:

- **FinMark Trust South Africa** aimed to make financial services work more effectively for the poor by addressing the underlying causes of low access, including lack of information, poor stakeholder relationships and weak regulatory processes. Achievements include: contributing to

[20] See: http://www.enterprise-development.org/page/whymarketdev
[21] See: http://www.enterprise-development.org/page/m4p

a 7.1 million increase in 'banked' population; providing new information services; and creating a better innovation environment (SDC and DFID 2008).

- **FIT-SEMA, Uganda** sought to improve the quality and relevance of business-related radio programming by building the capacity and incentives of radio stations and other players (SDC and DFID 2008). The programme supported 25 radio stations, offered 50 new programmes and reached 7 million more listeners.

There is an emerging body of evidence looking at how private sector actors analyse poor men and women as a potential market segment. Case studies in various sectors - including solar lighting and micro irrigation - emphasise the utility of market segmentation, market research, and the '4Ps': products; pricing; place and promotion[22] (Heierli 2008).

Box 8: M4P PrOpCom - Making tractors work for the poor

PrOpCom's intervention in the Nigerian agricultural sector sought to support the mechanisation of smallholder farmers to boost production, achieve cost savings, and address some of the problems commonly encountered by poor smallholders, including declining labour supply and double season cropping opportunities being missed.

PrOpCom aimed to stimulate a new sales channel and equip private tractor owner-operators with greater choice. The pervasiveness of the Nigerian government in the country's tractor market (as the principal buyer) placed a damaging split between tractor distributors and tractor owner-operators. PrOpCom facilitated change by working with companies to design and develop direct, private sales and distribution channels; oversee the implementation of new sales channels; expedite the expansion of the sales model and choice; and embed systematic change by encouraging evolution and quality improvements.

An internal impact assessment of the programme found that: service provision has been profitable; that tractor servicing has been deemed better than its predecessor; and that copying and crowding of the programme has occurred – indicating a wider buy-in than initially anticipated.

Source: PrOpCom (2013)

UNDP's Inclusive Markets

Similar to M4P, UNDP's Inclusive Markets approach aims to extend market choices and opportunities for the poor as consumers, producers and wage earners.[23] The aim is to create job opportunities, and affordable goods and services that are needed and used by poor people. UNDP's approach focuses on entire sectors or sub-sectors, and aims to tackle various barriers to inclusive market development. UNDP's role has varied from acting as a broker, facilitating linkages between civil society, public and private sectors, to acting as a project partner, providing technical assistance or policy advisory support and assistance (UNDP 2010). UNDP has produced a handbook on inclusive markets which provides

[22] See also: http://www.poverty.ch/
[23] See: http://www.undp.org/content/undp/en/home/ourwork/partners/private_sector/IMD/

guidance on identifying opportunities, formulating and implementing projects, and measuring result (UNDP 2010).

Opportunities for the Majority (OMJ)

Opportunities for the Majority was launched by the Inter-American Development Bank (IDB) in 2007. It aims to promote and finance market-based, sustainable business models that engage the private sector, local governments and local communities in the development and delivery of products and services.[24] OMJ provides medium- and long-term loans and partial credit guarantees to support business models that benefit low-income populations in Latin America and the Caribbean.[25] Priority sectors include financial services, housing, education, telecommunications, and health and nutrition.[26]

Impacts

Limitations of evaluative approaches

Literature on the impact of market development approaches is **limited** and generally points to the challenges of achieving profits while reaching the poor. Experts note that there is a **need for more rigorous evaluations** of market development programmes (Sinha, Holmberg and Thomas 2013). In a literature review of market development approaches for SIDA, Sinha, Holmberg and Thomas (2013) note that few interventions have evaluated the outcomes and impacts resulting from programmes. The authors caution that some of the assumptions that underpin donor market development interventions are not well-supported by evidence (Sinha, Holmberg and Thomas 2013). A review of evaluation methods for M4P programmes finds that approaches have been weak in terms of triangulation, rigour of data collection, the development and use of theories of change, and a lack of consideration of unintended negative effects (Ruffer and Wach 2013).

Impact of programmes

Of the limited evaluations of programmes that are available, **results have been mixed**. An internal evaluation of the OMJ programme found that though there were some important successes – including building up a diverse portfolio– there were also notable challenges (Piza et al. 2013; IDB 2012). Initial results indicate a negative association between targeting low income beneficiaries and likely business performance, with worse business performance occurring on average in projects with better targeting (Piza et al. 2013). Some projects failed to specify which market or government failures they sought to address, making evaluation difficult. Evaluators recommend that the effectiveness and long-term sustainability of business models supported by OMJ must be monitored carefully (Piza et al. 2013; IDB 2012).

Some **single case examples** provide evidence of impact and lessons. The Katalyst programme in Bangladesh, for instance, aims to increase the income of poor men and women in rural areas. It does this by facilitating change in services, inputs and product markets to increase the competitiveness of farmers

[24] See: http://www.iadb.org/en/topics/opportunities-for-the-majority/idb-opportunities-for-the-majority-serving-the-base-of-the-pyramid-in-latin-america,1377.html
[25] See: http://www.iadb.org/en/topics/opportunities-for-the-majority/om-frequently-asked-questions-faqs,1475.html
[26] See: http://www.iadb.org/en/topics/opportunities-for-the-majority/om-frequently-asked-questions-faqs,1475.html

and small enterprises (Katalyst 2014). Some of the programme's notable achievements include (Katalyst 2014):

- Working with a local non-profit business organisation, Katalyst trained famers, retailers and pesticide sprayers across the country in the safe and judicious use of pesticides. An impact assessment found that when farmers put this knowledge into action, their income increased.
- By facilitating public-private collaboration, Katalyst helped to improve farmers' access to information and services.
- Katalyst partnered with the Rural Development Academy to develop and promote low cost quality compost among farmers. Local service producers were trained to disseminate knowledge of farmers and ensure its effective use at the household level.

Other examples of impact from the inclusive market programmes include:

- *Increase in household incomes*: UNDP supported a dairy value chain integration initiative in Armenia by brokering relationships between small-holder farmers and the private sector, contributing to the full renovation of milk collection centres, and purchasing two milk trucks. Initial results indicate a 20-25 per cent increase in the household incomes of beneficiaries (UNDP 2010, p. 11).
- *Growth in micro-enterprises*: UNDP Nepal, alongside the Nepalese government and local partners, developed an enterprise development programme that aimed to address rural poverty by engaging the population in entrepreneurial activities. Results show the programme has contributed to the growth of 46,000 micro-enterprises (of which 68 per cent are owned by women), created more than 55,400 jobs, and increased entrepreneurs' income by 297 per cent on average (UNDP 2010, p. 20).
- *Provision of financial services:* The Pacific Financial Inclusion Programme - in partnership with UNDP, UNCDF, the EU and AusAid - expanded access to financial services to some of the region's most excluded people, including rural and low-income women and micro-entrepreneurs. By the end of 2010, over 150,000 clients had been reached, 113 trainers trained and 48,000 people received financial literacy training (UNDP 2010, p. 12).

Lessons

A number of **comprehensive operational guides** have been produced with guidance, challenges, and lessons from market development programmes (Springfield Centre 2008b; Roduner, Schulz and Frangniére 2011; Emerging Market Economics 2008). Some of the lessons emerging from the literature include:

- *Governance and local ownership:* It is important to identify governance structures and promote local ownership. The willingness of stakeholders to exercise strategic leadership is a crucial factor in securing ownership (Emerging Market Economics 2008).
- *Understanding local context:* The positioning of programmes should take into account local context. In particular, what is causing markets to fail, the political economy and capacity of the state, and the behaviour of the private sector (Emerging Market Economics 2008).

- *Flexibility:* Due to the unpredictability of market conditions, flexibility in management arrangements, resource use, and the types of interventions is crucial to success (Emerging Market Economics 2008).

3.4 Business and human rights

Issues

There is a **broad body of evidence** showing how some business activity has had detrimental impacts on human rights, particularly in less economically developed countries.[27] Case studies examples highlight, for instance, violations in labour rights and the role businesses have played in fuelling conflict.[28]

All aspects of human rights are potentially relevant businesses. The key international standards and obligations concerning human rights are set out in the International Bill of Human Rights and other key UN conventions, including the Convention to Eliminate All Forms of Discrimination Against Women[29] and ILO labour conventions.[30] The UN's overarching framework to guide companies in their implementation of human rights is the **United Nation's Guiding Principles on Business and Human Rights (UNGPs)** which are based on three key principles: (i) the state has a duty to protect human rights; (ii) companies have a responsibility to respect human rights; (iii) and there should be provision of access to remedy through judicial, administrative, legislative or other appropriate means (UN-OHCHR 2011).

Some businesses have attempted to address human rights issues in their operations. However, many do not use rights language and therefore do not recognise that they are. Others have little experience of carrying out human rights due diligence or identifying material issues. Participation by those affected by business action is also often inadequate.

As human rights permeates all aspects of corporate activity, businesses should carry out due diligence and risk assessments to identify which human rights concerns are most relevant to their operations. The underpinning elements of a human rights based approach are **transparency, participation** and **redress**.

Approaches

Donor approaches

Research analysing ten donor agencies rights-based approaches (RBA) to PSD finds that donor approaches tend to reflect their own national interests in terms of social attitudes, value systems and norms (Gibb et al. 2008). Many RBA to private sector development focus on changing existing power structures, holding governments to account for rights enforcement, and developing mechanisms for addressing and redressing rights issues (Gibb et al. 2008).

[27] The Business and Human Rights Resource Centre provides a broad body of evidence on the links between human rights and business activity. See: http://business-humanrights.org/en
[28] See: http://business-humanrights.org/en/conflict-peace
[29] See: http://www.un.org/womenwatch/daw/cedaw/
[30] See: http://ilo.org/global/standards/introduction-to-international-labour-standards/conventions-and-recommendations/lang--en/index.htm

Business approaches

Some businesses and sectors have introduced **voluntary initiatives, standards, and corporate social responsibility (CSR) approaches** to help meet their human rights obligations (*See also Section 3.1 Regulation and Regulatory Institutions*). This includes multi-stakeholder engagement (See Box 9) and collective approaches to corporate responsibility (UN Global Compact and UN-OHCHR 2007).

Box 9: The value of multi-stakeholder engagement in Sudan

ABB is a Zurich-based electro-engineering company that provides power and automation technologies. Its operations in Sudan - including the Merowe dam, the Heglig oil field – came under significant criticism from both human rights experts and shareholders. Concerns were raised that the company's presence and activities the region were abetting violations of civil and political rights in Darfur.

In the early 2000s, ABB began an in-depth examination of its human rights practices. The company engaged with three groups: consulting specialists, stakeholders on the ground in Sudan, and its critics. With the help of specialists, stakeholder opinions were mapped. A stakeholder forum meeting was established – allowing critics to present evidence - and employees were consulted. Following the process of multi-stakeholder engagement, ABB announced the suspension of new business activities in Sudan. Sudan was also added to the list of countries the company does not engage in new business activity in. Some of the lessons from ABB's rights-based approach include:

- Identify human rights issues at an early stage.
- Ensure that the different components of the business are working in tandem to support human rights.
- Map and engage potential stakeholders. This includes commercial partners and investors, communities and individuals affected by business activity, relevant authorities, and local and international NGOs.

Source: Popper in UN Global Compact and UN-OHCHR (2007)

Examples of voluntary initiatives lead by the business community, often in partnership with civil society, government and donors, include:

Approaches that primarily promote transparency

- *The Extractive Industry Transparency Initiative (EITI)*: The EITI standard aims to create transparency in the governance and management of revenue from natural resources, including the full disclosure of taxes and other payments made by oil, gas, and mining companies to government.[31]

[31] See: https://eiti.org/eiti

- *Kimberly process (KP):* The Kimberley process certification scheme was established in 2003 in an attempt to prevent 'conflict diamonds' entering the mainstream diamond market[32] (Grant 2012).

Approaches that primarily facilitate participation and worker voice

- *Dhaka Principles for Migration with Dignity:* These are a set of human rights based principles that enhance respect for the rights of migrant workers at all stages of employment; from recruitment through to further employment or safe return.[33]

- *Electronic industry code of contact (EICC):* The EICC establishes standards relating to working conditions and environmental impact in supply chains in the electronic industry.[34]

- *Ethical trading initiative (ETI):* ETI is an alliance of companies, trade unions and NGOs that aims to eliminate workplace discrimination and exploitation.[35]

- *Social Accountability 8000 Standard (SA 8000):* An auditable social certification standard for decent workplaces across all industrial sectors. It takes a management systems approach which sets out the structures and procedures that companies must adopt to comply with the standard.[36]

Approaches that primarily facilitate accountability

- *AcountAbility's AA1000 framework and standards*: This framework aims to improve accountability and the performance of organisations by improving the quality of social and ethnical accounting, auditing and reporting[37].

Guidance

A number of **sector guides** have been produced by the Institute for Human Rights and Business to aid specific industries implement the UN Guiding Principles, including in the extractive sector,[38] the ICT sector[39], and the employment and recruitment sector.[40]

Human Rights: A Call to Action is a project by the Global Reporting Initiative, the UN Global Compact and Realizing Rights which aims to improve understandings of human rights issues and provides guidance for how to **embed human rights in global reporting standards** (GRI, Realizing Rights, UN Global Compact 2009). A recent analysis of corporate human rights reporting found that there has been some progress in recent years. Particular strengths include innovations in the inclusion of stakeholders and outside voices in reporting – such as statements from independent review panels – and supply chain reporting (Umlas 2009). Persistent challenges remain, however, including a lack of performance and impact reporting (Umlas 2009).

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[32] See: http://www.kimberleyprocess.com/
[33] See: http://www.dhaka-principles.org/
[34] See: http://www.hp.com/hpinfo/globalcitizenship/environment/pdf/supcode.pdf
[35] See: http://www.ethicaltrade.org/about-eti
[36] See: http://www.sa-intl.org/index.cfm?fuseaction=Page.ViewPage&PageID=937
[37] See: http://www.accountability.org/images/content/0/7/076/AA1000%20Overview.pdf
[38] See: http://www.ihrb.org/pdf/eu-sector-guidance/EC-Guides/O&G/EC-Guide_O&G.pdf
[39] See: http://www.ihrb.org/publications/reports/ict-human-rights-sector-guide.html
[40] See: http://www.ihrb.org/publications/reports/employment-and-recruitment-agencies-human-rights-sector-guide.html

Impacts

There is **very limited evidence** on the impact of human rights and other CSR approaches on businesses and private sector development. Some experts attribute the difficulty in assessing the impacts of CSR to the voluntary nature of many standards and principles, and the lack of easily measurable targets. Others caution that there is a contradiction between some companies' commitment to CSR approaches and their actual implementation of principles (Slack 2010).

The Ethical Trading Initiative (ETI) commissioned an extensive independent evaluation of the impact of its members' activities. The multi-country evaluation concluded that activities related to the ETI had a **positive impact** on workers' and small producers' lives (Barrientos and Smith 2006). Some of the most visible improvements were evident in health and safety, with measurable improvements in certain indicators, including fewer accidents (Barrientos and Smith 2006). Other impacts varied by country and sector, and included reduced regular and overtime hours, less employment of children and young workers, and the provision of state insurance and pensions (Barrientos and Smith 2006).

Some single case examples show further positive results. An independent assessment of the UN's Global Compact, for instance, found that that it has accelerated or eased change within some participant countries (McKinsey and Company 2004). Participation in the Compact also helped companies attract additional resources for corporate citizenship and acted an as accelerator for policy change (McKinsey and Company 2004).

3.5 Participation and new technology

Issues

Information Communication Technologies (ICTs) can have a **transformational impact** on poor men and women's lives, and play an important role in inclusive private sector development. New technology can transform business, support entrepreneurship, and drive innovation and economic growth in the developing world (Yonazi et al. 2012). ICTs can also **aid the effectiveness of development interventions**, with many agencies supporting the provision of new technology to help reduce the costs and facilitate poverty reduction.

The increased coverage and spread of **mobile telephones** presents new opportunities for consumers and producers[41]. Phones can be used as a platform to increase access to information and financial services, enhance participation, and help citizens access government services (Yonazi et al. 2012). Improved communication systems can also help firms to better manage their supply chains, and create new jobs in response to the demand for mobile-related services (Aker and Mbiti 2010).

As a key driver of innovation and technology, the private sector can play a vital role in supporting participation and new technology in developing countries. Businesses often own or sell specialised technology which can be crucial to development (Zyck and Kent 2014).

[41] By 2012, there were approximately 250 million mobile phone subscriptions in Africa, more than in the European Union and the United States of America (Yonazi et al. 2012).

Approaches

ICTs have been used in donor interventions in various sectors. Case study examples show how new technology has been used to help address challenges in **agricultural production and food security**, such as inadequate access to markets, unfavourable market conditions, and high production and transportation costs (Yonazi et al. 2012; Kora and Kassem 2010). Recent literature shows how ICTs can support smallholder farmers in value chains by improving access to financial services and providing agricultural information (Keeble et al. 2011).

ICTs have also played an important role in reporting labour abuses to improve working conditions (See Box 10).

> **Box 10: LaborVoices – increasing worker participation**
>
> LaborVoices is a US based NGO that provides global brands and their supply chains with an early warning system, based on direct feedback from workers. Workers are anonymously polled through their mobile phones on safety and working conditions. This provides real-time visibility of working conditions and enables companies to identify and solve problems before they become urgent.
>
> Source: www.laborvoices.com/

Recent case studies show how ICTs have been used in **social entrepreneurship** to create social value (Maree et al. 2013). Examples from Kenya and Uganda show how mobile phones have enhanced the capacity of users to upgrade themselves economically and socially (Maree et al. 2013). In Kenya, for instance, mobile phones have been used to deliver finance for start-up entrepreneurs (Maree et al. 2013).

Technology transfer has been used as a component of broader PSD strategies, and can provide tangible gains in a range of sectors. In education, for instance, the introduction and use of new technologies can increase the skills and employability of students. Literature on technology transfer to aid local production emphasises the need for an institutional and policy framework that includes:

- A systematic assessment of national and regional needs, including local production capacity and market viability (UNCTAD 2011)
- A favourable policy framework that promotes domestic and foreign investment in production and technology transfer (UNCTAD 2011)
- Policies and mechanisms that promote access to locally produced goods.

There is a growing body of literature exploring the role of ICT in the **delivery of financial services** to the poor (Stefanski 2012). In Kenya, for example, the mobile money service M-PESA has been highly successful in offering a range of payment services, including making school payments, paying utility bills, and purchasing travel tickets (Stefanski 2012). Subscribers are also able to collect cash from selected ATMs (Stefanski 2012). Despite the rise of technological innovations for financial inclusion, experts' caution that tensions between government and donor approaches can hamper implementation (Williams and Johnson 2013). It is recommended that donors undertake political economy analysis to understand the dynamics of financial inclusion (Williams and Johnson 2013).

Impacts

There is a broad body of evidence linking investment in ICTs and economic growth, but less consistent evidence on the links to pro-poor growth (Batchelor and Scott 2005; World Bank 2009). Many ICT interventions are relatively new and so there is **limited evidence** available about their impact and effectiveness (Dunbar 2013). Key lessons emerging from the literature on the use of ICTs for development include:

- *Enabling environment:* Governments' have a key role to play in creating an enabling policy environment for ICT development; acting as role model and key client in adopting new technologies; and widening access to ICT infrastructure and connectivity (Stefanski 2012).
- *Cross-sectoral and multi-stakeholder collaboration:* Effective use of ICTs requires cross-sectoral and multi-stakeholder collaboration between technologists, development practitioners, and entrepreneurs (Yonazi et al. 2012).

3.6 Monitoring and evaluation

Approaches

Monitoring and evaluation in cross-cutting private sector development

The Donor Committee for Enterprise Development (DCED) has attempted to create a common approach to monitoring and evaluation among aid agencies through the **DCED Standards for Results Management**. These aim to provide a framework, tools, and incentives to systematically assess programmes working in complex market systems (See Box 11). A specific toolkit for M&E in conflict-affected environments has also been developed, which emphasises the need to consider how PSD approaches impact on all aspects of peacebuilding (See Box 12). There are a number of case studies which demonstrate how the DCED Standard has been used in practice (Kessler 2013; DCED 2011; Lefebvre 2013).

USAID has utilised a **causal model approach** that identifies the casual (or logical) links between programme activities and expected outputs, outcomes and impacts (Woller 2007). The causal chain helps to identify performance indicators at each link in the chain, and forces managers to think about hypothesised explicit or implicit relationships in programme design (Woller 2007).

Box 11: Elements of the DCED Standard

1. Articulating the results chain or programme logic
2. Defining indicators of changed based on the logic
3. Measuring changes in indicators, applying good practice
4. Estimating attributable changes
5. Capturing wider changes in the system or market
6. Tracking associated programme costs
7. Reporting results in a responsible way
8. Managing the system for results measurement

Theory of change approaches have also been used to evaluate market-driven programmes. They can help to establish whether the linkages between interventions and impacts are plausible, identify any unintended effects, and account for other contributory factors (Ruffer and Wach 2013). Experts recommend that theories of change should be revisited frequently and vetted by stakeholders external to the project (Ruffer and Wach 2013).

Box 12: DCED toolkit for M&E in conflict-affected environments

This toolkit provides practical guidance for PSD practitioners in how to develop and evaluate PSD programming in conflict-affect environments (CAEs). It provides four main areas of guidance: an overview of what PSD can achieve in conflict-affected environments; an insight into what is meant by conflict-affected environments; a range of tools for professionals to apply in CAEs; and a monitoring and evaluation framework for PSD in CAEs. The toolkit emphasises that both outputs and outcomes of PSD approaches should be monitored for their possible impact on all aspects of peacebuilding, rather than just focusing on economic development.

See: Curtis et al. (2012)

Monitoring and evaluation PSD approaches to reach the poorest and excluded

Private sector development approaches will not necessarily benefit all groups equally. Evaluations therefore need to utilise tools and approaches that capture the experiences of different groups so that a complete picture of the impact of the intervention can be produced (IFC 2008b).

There is **limited evidence** on how M&E approaches can measure changes in private sector activity in ways that reach the poorest and most excluded. Some organisations have produced specific guidelines for assessing the impacts of programmes on particular groups. However, in the main, many approaches to M&E in PSD **fail to reach the poorest groups**, are **gender blind,** or make little mention of gender dynamics.

Some specific approaches to identifying the impacts of PSD on excluded groups include:

- The Global Partnership for Youth Employment has produced a practical guide for monitoring the success of **youth livelihood interventions** (Hempel and Fiala 2012). It emphasises the need to identify appropriate evaluative methodologies, and details case studies of impact evaluation (Hempel and Fiala 2012).
- A handbook on M&E for business environment reform provides some guidance on how to make evaluative process as **inclusive** as possible (IFC 2008b). This includes considering how businesses operate in different sectors; how business owners have different gender, ethnicity, age, religious, and socio-economic backgrounds; and how the informal sector can be excluded but impacted by interventions (IFC 2008b).
- Measuring women's unpaid or informal work has been a historically neglected area.[42] Some experts recommend using time-use surveys to measure unpaid care work (Esquivel 2013).

[42] See: http://www.eldis.org/go/topics/resource-guides/gender/key-issues/gender-and-indicators/measuring-in-different-contexts#.VPRG0PmsXW0

4. Women, girls and private sector development

4.1 Issues

Increasing women's control over decisions that affect their lives is widely acknowledged as central to combating poverty. Investment in women has been shown to have significant knock-on development effects, as women spend additional income on the health and well-being of their families. However, at both macro and micro levels, women's economic participation is hampered by structural and cultural barriers (See for example World Bank 2007; ILO 2011). Some of the key issues constraining women's economic participation include:

- *Disparities in asset ownership*: Gender disparities in asset ownership place restrictions on the economic opportunities of women. Access to land, for instance, can be constrained by law and custom, meaning that women are unable to use it as a production input or collateral for credit. This not only affects individual women, but has a broader impact on economic development. There is consistent empirical evidence that asset inequality has a negative impact on growth in the agricultural sector (Barrett, Manfre and Rubin 2009).
- *Social attitudes and norms:* The attitudes and behaviours of people in the public arena can curtail the economic opportunities of women. Research from Ghana, for instance, finds that women entrepreneurs were denied business by male customers and suppliers on the basis of their gender (Hampel-Milagrosa 2011). In addition, women's common triple role – productive, reproductive and community managing – contributes to time poverty and constrains their ability to engage in paid employment.
- *Labour market imbalances*: Women's productive role is often stifled due to prejudices and taboos against hiring women. This not only affects the individual, but may hamper economic growth as it restricts total supply, pushes up the price of male labour, and creates artificial labour shortages (World Bank 2007).
- *Access to financial services and markets***:** Women's lack of collateral, seclusion from the public arena, and lack of mobility can limit their access to market and financial services. For example, women may have access to less information about prices, rules, and rights to basic services (World Bank 2007).

4.2 Approaches

The integration of gender issues into private sector development and economic development is essential for pro-poor growth and sustainable development. Agencies have adopted various strategies to leverage private sector development to support women's and girls' economic empowerment. Despite growing interest, literature evaluating gender-based upgrading programmes is **limited** and dominated by a small number of descriptive studies (Coles and Mitchell 2010).

Several bilateral and multilateral agencies are prioritising support for **women entrepreneurs** in value chain interventions. Assistance typically aims to strengthen the economic opportunities of women entrepreneurs by supporting them in starting, strengthening and expanding their enterprises (ILO undated). The ILO has been a pioneer of women's entrepreneurship development (WED) and has adopted a threefold approach: creating optimal conditions for women's entrepreneurs; strengthening institutional capacity to serve the needs of women entrepreneurs; and providing tailor-made tools and approaches to strength women's capacity to start and sustain businesses (ILO undated; See Box 13).

Box 13: Women's entrepreneurship development and gender equality (WEDGE)

The WEDGE Project sought to redress gender imbalances in enterprise development in seven countries, across two regions (Africa and Asia). The programme supported interventions at three levels: creating an enabling environment for women entrepreneurs; improving the capacity of business development providers to deliver services for women entrepreneurs; and improving the income-generating capacity, productivity and competitiveness of women entrepreneurs.

The programme was significantly decentralised, with a Chief Technical Adviser in each region managing the financial and administration arrangements, and preparing country budgets. All countries had a national project coordinator and a national project advisory committee, made up of relevant organisations and social partners. The project paid particular attention to entrepreneurs whose businesses had 'growth potential', and emphasised targeting vulnerable groups, such as women living with HIV/AIDS and women with disabilities.

An independent evaluation of the programme found that it produced mixed results. Though the programme contributed to improved support for women entrepreneurs, the full extent of these successes was hampered by inadequate design and weak programme monitoring. Micro-level activities were poorly elaborated, making it difficult to assess whether these efforts had improved income-generating capacity. The slow pace of government policy-making also thwarted business environment reform.

The bottom-up, 'national focus' approach was identified as a major strength of the programme. It allowed experience and networks to be shared at the national level, and enabled the programme to respond to national priorities and work with national partners.

Source: ILO (2011)

World Bank experience indicates that women benefit more from **business-enabling reforms** as their businesses tend to have more problems with customs, business registration, and tax administration than men (World Bank 2007). The *Gender and Growth Assessment Tool* is an aid to identify key investment climate constraints and develop a roadmap for implementing reform (IFC and FIAS 2005). The tool helps to identify both the long term constraints on women's engagement – such as gender-biased inheritance laws – and potential short term solutions (IFC and FIAS 2005).

Project activities supporting women's **enterprise development** range from offering access to credit or business networks, to training in product development (Nguyen 2012). ICTs have been leveraged by some agencies to support WED programmes. This includes, for instance, the use of mobile phones to convey information about products and markets, or direct support to women's ICT-based enterprises (Duncombe et al. 2005).

Some experts recommended that the delivery of financial services to women entrepreneurs should be accompanied by supplementary services, such as training, to increase women's direct control over their resources (OCED 2012).

Businesses and donors can play a key role in enhancing the **knowledge and skills** of women and girls to increase their economic participation (Heinrich 2013; See Box 14 and Box 15). The clothing company GAP, for instance, has partnered with USAID and CARE International to deliver a women's advancement programme in its clothing factories. The programme aims to support women garment workers by providing life skills education and technical training[43].

The provision of **flexible working conditions** can also help to increase women's economic participation. Case studies from Vanuatu and the Philippines show that the use of flexible and home-based work increases women's access to wage employment (Nethercott, Jago-Bassingthwaighte and Jupp 2013).

Box 14: World Bank Adolescent Girls Initiative

The World Bank's Adolescent Girls Initiative (AGI) provided demonstrative economic gains for young women. The project targeted eight low-income countries and provided six months of classroom training, followed by six months of business placement and support, including micro-enterprise advisor services and job placement assistance[1].

Girls are trained in business development skills and jobs skills targeted toward sectors which have a high demand for workers. An independent evaluation of the programme found that there was a 47 per cent increase in employment and earnings among young women who had received the training compared to those who had not.[1]

Improved access to **labour saving equipment** can also help women participate in the labour market. For instance, the upgrading of automated packing equipment in a fruit and vegetable factory in Fiji reduced weight loads and enabled more women to be employed on the factory floor (Heinrich 2013).

A number of toolkits and guidelines have been produced to support agencies in mainstreaming gender in their private sector development work (Mayoux and Mackie 2007; Senders, Lentink and Vanderschaeghe 2012). Some of key lessons and guidance emerging from the literature include:

- *Gender mainstreaming:* Gender mainstreaming should take place at all stages of the intervention, from initial design and planning, to implementation and monitoring of projects (Mayoux and Mackie 2007; UNCTAD 2014). Participatory approaches can be useful to identify the specific needs of, and impacts of the project on, women (Mayoux and Mackie 2007).
- *Gender appropriate infrastructure development:* Upgrading the facilities that small-scale operators depend on can help to increase productivity and improve access to new markets. Infrastructure development should take into account the facilities that women have access to and use (UNCTAD 2014).
- *Addressing institutional and household issues:* A systematic review of literature on gender upgrading found that programmes can be ineffective when the institutional and household factors that limited women's access to markets are not addressed (Coles and Mitchell 2010).

[43] See: http://www.usaid.gov/burma/press-releases/june-7-2014-gap-inc-announces-partnership-usaid-support-women

Box 15: The Go Beyond employee empowerment programme

MAS Holdings is Sri Lankan clothing company that operates manufacturing plants in seven countries. The Go Beyond programme created a framework to standardise employment development programmes across all plants. Prior to this, the variety and funding of classes for employees were at each plant manager's discretion. MAS examined best practices at each plant and developed a four point framework of career advancement, work-life balance; rewarding excellence; and community activation. Each site offered English and IT classes and financial management seminars.

A female targeted Women Go Beyond programme was introduced in plants that had high ratios of female employees. It included components such as presentations by noted women speakers, and the selection of a female employee as 'empowered woman of the year'. Based on the MAS initiative, Gap Inc. and Victoria Secret began their own initiatives recognising women entrepreneurs in MAS plants.

Source: Watson in UN Global Compact and UN-OHCHR (2007)

5. Normative frameworks and UK instruments

5.1 Principles and guidelines

OECD Guidelines for Multinational Enterprises

The OECD's Guidelines[44] are recommendations covering all areas of business ethics, including steps to obey the law, observe international standards, and respond to societal expectations (OECD 2011).

ILO core labour conventions

The ILO's Governing Body has identified eight 'fundamental conventions' that are cover subjects that are considered fundamental principles and rights at work[45]. The eight conventions are:

- Freedom of Association and Protection of the Right to Organise Convention, 1948 (No. 87)
- Right to Organise and Collective Bargaining Convention, 1949 (No. 98)
- Force Labour Convention, 1930 (No. 29)
- Abolition of Forced Labour Convention, 1957 (No. 105)
- Minimum Age Convention, 1973 (No. 138)
- Worst Forms of Child Labour Convention, 1999 (No. 182)
- Equal Remuneration Convention, 1951 (No. 100)
- Discrimination (Employment and Occupation) Convention, 1958 (No. 111)

UN Guiding Principles on Business and Human Rights

The UN's Guiding Principles outline the role of state and the role of businesses in protecting human rights in business situations[46]. The Principles are comprised of three parts: the state duty to protect human rights; corporate responsibility to respect human rights; and access to remedy through judicial, administrative, legislative or other appropriate means (UN-OHCHR 2011). Some human rights advocates have expressed concern that the guiding principles are not comprehensive enough and that they set minimal expectations for businesses (Blitt 2013). They do not impose obligations on TNCs, nor create a binding international law (Blitt 2013).

5.2 UK instruments

National Action Plan on Business and Human Rights

The UK's National Action Plan on Business and Human Rights was launched in 2013 in response to the UN's Guiding Principles[47]. The plan provides guidance for companies to integrate human rights into their operations, and sets out the UK Government's responsibilities to support businesses in meeting their human rights obligations (UK Government 2013).

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[44] See: http://www.oecd.org/corporate/mne/
[45] See: http://ilo.org/global/standards/introduction-to-international-labour-standards/conventions-and-recommendations/lang--en/index.htm
[46] See: http://business-humanrights.org/en/un-guiding-principles
[47] See: https://www.gov.uk/government/news/uk-first-to-launch-action-plan-on-business-and-human-rights

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