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## **P3 PLANNING & ASSESSMENT TOOLKIT**

U.S. Department of State Secretary's Office  
of Global Partnerships (S/GP) Public-Private  
Partnerships (P3) Planning and Assessment  
Analytical Tools



Program for the Advancement of Research  
on Conflict and Collaboration

# **P3 PLANNING & ASSESSMENT TOOLKIT**

U.S. Department of State Secretary's Office of Global Partnerships (S/GP) Public-Private Partnerships (P3)  
Planning and Assessment Analytical Tools

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ON THE COVER: A clean cookstove in use in India. (Source: Sustainable Energy for All, UN, Vienna Austria. Image available at [www.se4all.org/wp-content/uploads/2013/09/1-Cookstove-in-India.jpg](http://www.se4all.org/wp-content/uploads/2013/09/1-Cookstove-in-India.jpg).)

ICONS: Márcio Duarte, Stefan Parnarov, Marco Galtarossa, and Shawn Erdely via The Noun Project.

# INTRODUCTION



## PURPOSE OF THE TOOLKIT

This Toolkit provides the Secretary's Office of Global Partnerships (S/GP) with some analytical tools to assess potential and existing public-private partnerships (P3) affiliated with the U.S. Department of State (State).

The toolkit includes three parts to help with P3 planning:

- » Part 1 highlights State's P3 definition and the significant outcomes possible with the P3 in the foreign policy and development domain.
- » Part 2 offers both a typology and anatomy of the successful P3 so decision-makers can best fit organization's goals, interests, and resources to the right P3 project and format.
- » Part 3 offers 2 practical assessment tools: first, a pull-out survey-style evaluation to perform a quick assessment of P3 projects; and second, an expanded assessment tool, which walks S/GP, partners, and other decision-makers through the step-by-step process of asking critical questions for building and planning a P3 project.

The Toolkit concludes by explaining S/GP's mission in building P3s across the U.S. government and the world.

As researchers at Syracuse University, all information and findings here are based on our synthesis of the social science collaboration and P3 literature and our evaluation study conducted for S/GP from October 2014-2015.<sup>1</sup>



<sup>1</sup> This P3 Assessment Tool and Toolkit is a companion piece to an evaluation study commissioned by the Secretary's Office of Global Partnerships, US Department of State, of S/GP activities supporting the Global Alliance for Clean Cookstoves 2009-2015, as per Department of State Award S-LMAQM-14-CA-1196 to the Moynihan Institute of Global Affairs and the Institute for National Security and Counterterrorism (INSCT), the Maxwell School and the College of Law, Syracuse University.

# S/GP P3 PLANNING TOOL



## PART 1: DEFINITIONS

### PUBLIC-PRIVATE PARTNERSHIPS (P3)

The U.S. State Department defines a public-private partnership (P3) as “a collaborative working relationship with non-governmental partners in which the goals, structure, and governance of the partnership, as well as the roles and responsibilities of each partner, are mutually determined and decision-making is shared.” P3s share 5 key partnering principles for success: equity; openness and transparency; mutual benefit; shared risks and rewards; accountability.<sup>2</sup>

### S/GP MISSION

S/GP’s mission<sup>3</sup> is to build P3s that strengthen diplomacy and development outcomes by serving as:

- » **Convener**, bringing together people from across regions and sectors to work together on issues of common interest.
- » **Catalyst**, launching new projects, actively seeking new solutions, and providing vital training and technical assistance to facilitate additional projects.
- » **Collaborator**, working closely with our partners to plan and implement projects while avoiding duplication, learning from each other, and maximizing impact by looking for best practices.
- » **Cultivator**, nurturing innovative new partnerships by providing the space, access to networks and capital, and mentoring assistance to turn a good idea into reality.

S/GP enables the successful creation of P3-based solutions by: supporting U.S. diplomacy and development around the world

by leveraging the creativity, innovation, and business resources of private sector partners for greater impact; growing solutions to address the priority issues of the Secretary in modern, adaptive ways that embrace technology and disruption; and providing collaborative environments for Department-wide progress in embracing new problem-solving approaches, including breaking down barriers between offices and bureaus.

### AMAZING OUTCOMES

Our research indicates that P3s offer many advantages and can achieve significant, often unexpected outcomes beyond the original objectives. Some common outcomes are:

- » Achieving large-scale, broad-based, even global impacts.
- » Developing new networks and relationships to be leveraged for addressing future “wicked” problems or complex issues.
- » Expanding scientific/empirical knowledge and fostering technological innovation.
- » Discovering interconnected issues, causal linkages, and new solutions and strategies.
- » Increasing global public awareness.
- » Creating momentum that attracts new stakeholders and shared interests and develops new markets.
- » Adapting organizational culture and processes to increase effectiveness and learning from other sectors.
- » Developing collaborative leadership talent and human capital.

2 U.S. Department of State, State of Global Partnerships Report (March 28, 2014): 4, <http://www.state.gov/documents/organization/224308.pdf>.

3 See <http://www.state.gov/s/partnerships/mission/index.htm>.

## PART 2: P3 TYPOLOGY AND ANATOMY

In P3 planning, partnerships come in a variety of types. Each is appropriate to different problems, needs, goals, and resources.

### P3 TYPOLOGY: CHOOSE A P3 TYPE ALONG THE “SPECTRUM OF COLLABORATION” TO SUIT YOUR GOALS

Our study discovered a “spectrum of partnerships” (see below) common and useful in the foreign policy and development domain.

The spectrum is defined by greater or lesser degrees of collaborative commitment: the investment of resources (time, money, personnel, political capital, staff, etc.) and partnership integration.<sup>4</sup>

- » P3s come in various types: the type of P3 pursued should fit the nature and scope of the problem or issue being addressed.
- » Partnership vs. grants, contracts, or procurement: P3s are not synonymous with grants, contracts, or procurement. These involve the acquisition of goods or services from an external entity. P3s involve a closer collaborative bond, an integrated working relationship between public and private actors in which the goals, structure, roles, responsibilities, and decisions of all involved partners are shared, and the total power of the P3 is greater than the sum of its parts.

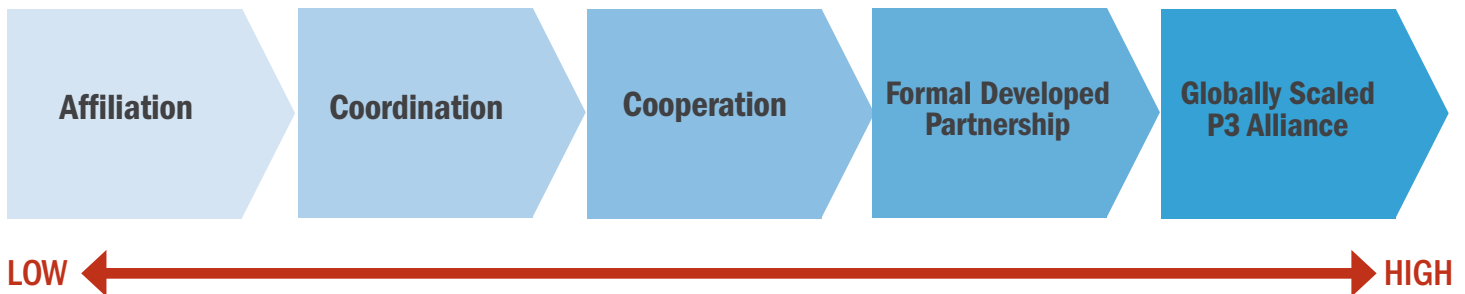
### P3 ANATOMY: PAY ATTENTION TO CORE ATTRIBUTES FOR SUCCESS: PROBLEM, PEOPLE, PROCESS, SYSTEMS, AND CULTURE

Our research shows that certain attributes—captured in the graphic below—are essential to developing a successful P3 in the foreign policy and development setting.

Note: these elements track with the simple, step-by-step P3 evaluation tools (see page 7).



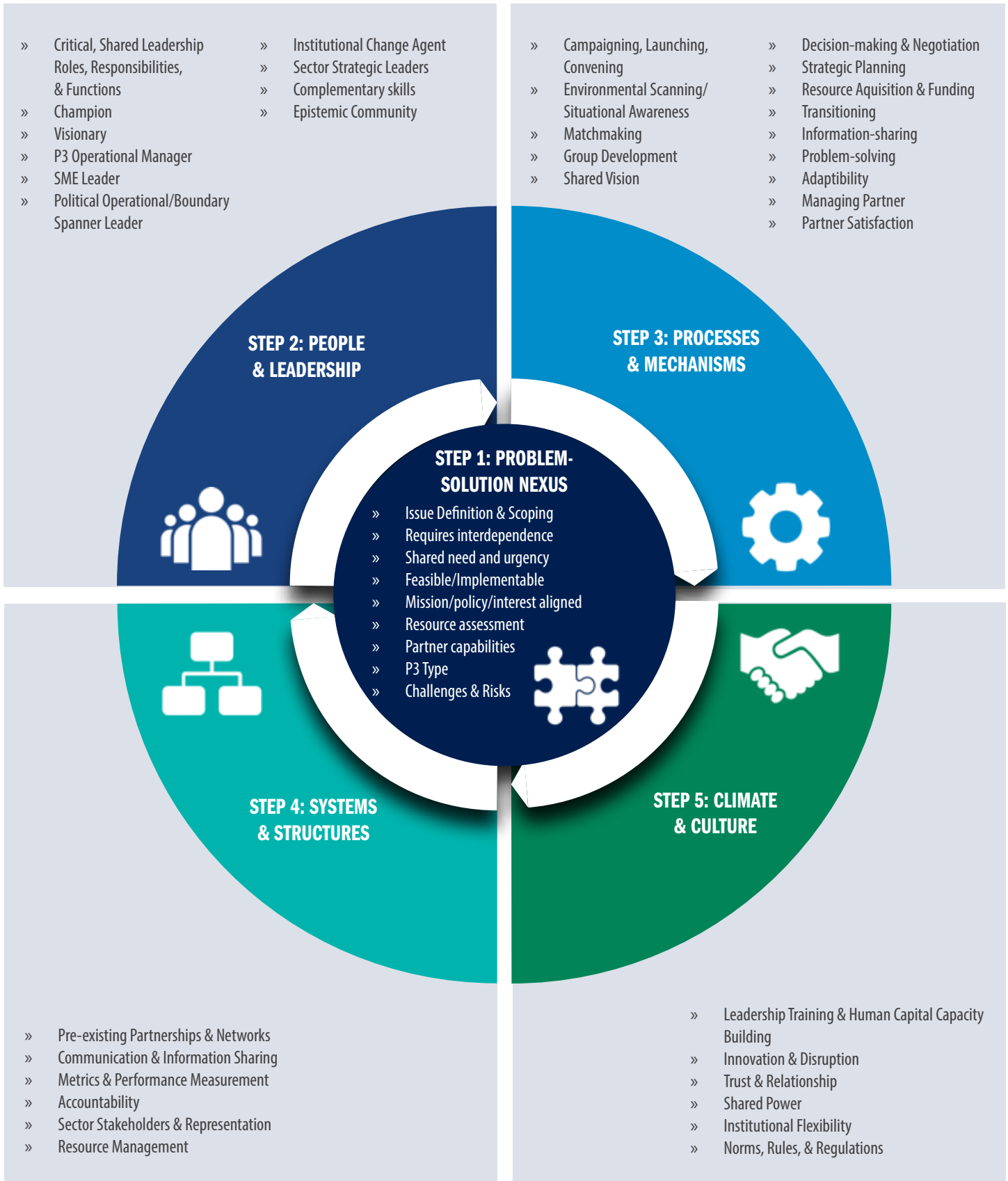
### SPECTRUM OF P3 TYPES IN THE FOREIGN POLICY AND INTERNATIONAL DEVELOPMENT DOMAIN



**Scale/Bonds of Collaboration Needed for Foreign Policy Delivery**  
Intensity of S/GP investment: leadership, personnel, resources, time frame of commitment

4 See R. O’Leary, Choi, Y., & Gerard, C. M. (2012). The Skill Set of the Successful Collaborator. *Public Administration Review*, 72(s1), S70–S83. <http://doi.org/10.1111/j.1540-6210.2012.02667.x>; R. Keast & M. Mandell (2013), “Collaborative competencies/capabilities,” Fact Sheet 14, Australian Research Alliance for Children and Youth.

# P3 PLANNING & ASSESSMENT ANATOMY CHART




# P3 STEP-BY-STEP ASSESSMENT TOOL

This tool walks decision-makers through the critical steps and core questions necessary for assessing a P3 and its partners. In Step 1, users conduct an internal ‘readiness’ assessment: identify a problem; determine whether it is suited to the P3 format, and if so, which type; and propose a measurable solution.

Following this step, users proceed to examine the strengths and weaknesses of the P3 based on its capacities, assessing whether

it has the right goals, people, systems, processes, culture, etc. By using this tool, a leader can think critically about a broad-scale, even global problem and its solution, assess existing and needed partnership capacities, and analyze gaps where changes need to be made.

CRITICAL STEPS	P3 ATTRIBUTES	CRITICAL QUESTIONS FOR ASSESSING P3		
		GENERAL QUESTIONS	S/GP SPECIFIC	
 <p><b>STEP 1</b></p> <p><b>IDENTIFY PROBLEM/ SOLUTION NEXUS FOR A VIABLE P3</b></p>	<p><b>DEFINE AND SCOPE THE “PROBLEM” OR “ISSUE”</b></p>	Issue Definition & Scoping	<ul style="list-style-type: none"> <li>» What is the problem or issue? What is its scope?</li> <li>» Is it complex or ‘wicked’? (i.e., inextricably linked to other issues whose resolution must be part of the overall approach)</li> <li>» What are the measures of success? (i.e., what does a successful resolution “look like”—a foreign policy goal, market, objective)</li> <li>» Identify challenges &amp; risks &amp; strategies to address them.</li> </ul>	<ul style="list-style-type: none"> <li>» Is the problem /issue and its solution within State’s mission and the Secretary’s agenda?</li> <li>» Is it a high priority for leadership?</li> <li>» What role will State play in the P3?</li> <li>» Does the P3 fit into the culture of State, of SGP?</li> </ul>
		Requires Interdependence	<ul style="list-style-type: none"> <li>» Does the problem require more than one organization to solve it (i.e., providing financial, expertise, institutional, technical resources and supports?)</li> <li>» Do partners perceive their individual interests are in harmony with the common vision, and that participation in the P3 offers them mutual and individual gains?</li> </ul>	
		Shared need & urgency	<ul style="list-style-type: none"> <li>» Do potential partners see the problem as a priority and urgent?</li> </ul>	
		Mission/policy/ interest aligned	<ul style="list-style-type: none"> <li>» • Can partners be mobilized around the issue/problem and its solution?</li> <li>» • Is this problem/issue aligned with partners’ missions or agendas?</li> <li>» • Does it enjoy support at the highest levels of leadership in a partner organization?</li> <li>» • Does the P3 mission fit in with the culture of a partner?</li> </ul>	
	<p><b>FRAME PROBLEMS INTO REALIZABLE SOLUTIONS</b></p>	Feasible/ Implementable	<ul style="list-style-type: none"> <li>» Is there a feasible, viable solution(s)? Is the solution “do-able” and implementable?</li> <li>» Is there data to support that conclusion? Is it robust, multifaceted, scientific, and tested? Is a data-driven case critical to the P3 campaign? Is this information synthesized and presented in a way to advocate for the P3?</li> <li>» Have new solutions or approaches been needed to address the issue?</li> </ul>	<ul style="list-style-type: none"> <li>» Can State and S/GP distinguish itself—exhibit leadership and innovation—on this problem and solution?</li> </ul>

	P3 ATTRIBUTES	GENERAL QUESTIONS	S/GP SPECIFIC
<b>CHOOSING THE P3 TYPE, GOALS &amp; CAPACITIES</b>	Resource Assessment	<ul style="list-style-type: none"> <li>» What resources are needed? (i.e., financial, human capital, infrastructure, knowledge, money, support)</li> <li>» Have you identified synergies of interest and stakeholder groups for P3 support or participation?</li> <li>» What internal capacities and resources are available and are partners willing to commit these?</li> <li>» Are these resources sufficient for implementing the P3? And for how long?</li> </ul>	<ul style="list-style-type: none"> <li>» What resources is State or S/GP willing to commit?</li> </ul>
	Partnership Identification & Capabilities	<ul style="list-style-type: none"> <li>» Who are the organizations and experts in this domain for solving the problem/implementing the solution? Have they committed real resources? Made progress that could be harnessed to the P3 effort? Why or why not?</li> <li>» Identify organizations that represent potential partners based on mission, experience, or resource capacity (internal bureaus, sectors, public &amp; private sectors, civil society).</li> <li>» Are other USG agencies committed to addressing the problem/implementing the solution?</li> <li>» Are partners aligned in shared risks, responsibilities, and potential gains?</li> <li>» Who are the essential strategic partners needed for P3 success? What will it take to involve them?</li> </ul>	<ul style="list-style-type: none"> <li>» Does State or S/GP have the resources (financial, convening authority, creating issue visibility, access to high level leaders etc.) to support this partnership?</li> <li>» Does SGP have past relationships/ successes with potential partners?</li> <li>» Are there incentives S/GP can use to attract partners?</li> <li>» Is there an existing partnership around the issue on which SGP can build and which can be mobilized?</li> </ul>
	Partnership Type	<ul style="list-style-type: none"> <li>» What type of P3 seems best suited to the goals and available resource and commitment levels? <ul style="list-style-type: none"> <li>• None</li> <li>• Affiliation</li> <li>• Coordination</li> <li>• Cooperation</li> <li>• Formally developed Partnership</li> <li>• Stand-Alone P3 Alliance</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>» How easy a process will it be for SGP to help build a P3 around this issue? How controllable is it for SGP?</li> </ul> <p>1=Difficult 2=Unsure 3=Easy</p>
<b>IDENTIFY CHALLENGES, RISKS AND STRATEGIES</b>	Challenges & Risks	<ul style="list-style-type: none"> <li>» What are potential challenges or problems in building/ sustaining the P3?</li> <li>» How do you assess the window of opportunity for this P3 (political, economic, social, institutional, technological, etc.)?</li> <li>» How will you incorporate knowledge and lessons-learned for the success of the P3?</li> </ul>	<ul style="list-style-type: none"> <li>» Is this P3 sustainable in the face of transitions of staff and/or political leadership?</li> <li>» How will SGP learn from this P3?</li> </ul>





**ASSESS PEOPLE  
AND LEADERSHIP  
CAPACITY**

	<b>P3 ATTRIBUTES</b>	<b>GENERAL QUESTIONS</b>	<b>S/GP SPECIFIC</b>
	Critical Leadership Roles & Functions	<ul style="list-style-type: none"> <li>» Are the following roles and responsibilities shared and distributed among partners so as to leverage capacities, expertise, complementary attributes?</li> <li>» Across the P3, are there individuals able to fill or develop these essential leadership roles and functions?</li> </ul>	<ul style="list-style-type: none"> <li>» Can S/GP identify strategic leaders, people, and skills to develop the P3?</li> <li>» Will S/GP commit staff in support of the P3?</li> </ul>
	Champion	<ul style="list-style-type: none"> <li>» Do you have a Champion, who issues directives and advocates for the P3 from the top; and who lends credibility, reputation, and influence to the P3?</li> </ul>	
	Visionary	<ul style="list-style-type: none"> <li>» Do you have a Visionary, who frames the big picture, articulates what can be accomplished, aligns and motivates partners towards a common vision?</li> </ul>	
	SME Leader	<ul style="list-style-type: none"> <li>» Do you have Subject Matter Expert Leader, whose purpose is to achieve the solution to the problem, establish cutting-edge knowledge and data for P3 implementation, functions as the guardian of the “solution,” provides a source of long-term passion and commitment to the endeavor, and who serves as the critical node across epistemic communities, stakeholders, partners, and sectors connecting possibilities to outcomes?</li> </ul>	
	Political Operational	<ul style="list-style-type: none"> <li>» Do you have a Political Operational leader skilled at recognizing moments of convergence between interests and opportunity through broad awareness of agendas, institutional processes, and motivations across stakeholder?</li> </ul>	
	Boundary Spanner	<ul style="list-style-type: none"> <li>» Do you have Boundary Spanners, who mobilize diverse partners from all sectors (USG, business sector, civil society and governments), activate networks, and provide a bridge for collaboration across differences?</li> </ul>	
	P3 Operational Leader	<ul style="list-style-type: none"> <li>» Do you have a Political Operational leader skilled at recognizing moments of convergence between interests and opportunity through broad awareness of agendas, institutional processes, and motivations across stakeholder?</li> </ul>	
	Institutional Change Agents	<ul style="list-style-type: none"> <li>» Do you have Institutional Change Agents, who have expertise regarding internal institutional structures and processes, and can thus facilitate integration and adaptation of these processes to meet the needs of the partnership?</li> </ul>	
	Sector Strategic/Agency Liaison Leaders	<ul style="list-style-type: none"> <li>» Do you have Sector/Agency Liaisons, people who provide Agency or Sector expertise, represent the needs and interests of their respective sectors and organizations within the P3, advocate for the P3 among their own leadership?</li> </ul>	
	Epistemic Community	<ul style="list-style-type: none"> <li>» Are there communities and networks of experts fluent in the issue/problem whose expertise is available for use by the P3 in implementing a solution?</li> </ul>	
	Complementary Skillssets	<ul style="list-style-type: none"> <li>» Does the P3 have complementary leadership and human capital capabilities?</li> </ul>	



**ASSESS STRENGTH OF P3 PROCESS**

	<b>P3 ATTRIBUTES</b>	<b>GENERAL QUESTIONS</b>	<b>S/GP SPECIFIC</b>
	Campaigning, Launching, Convening	» Is there a process to incubate, develop momentum, and launch the P3?	» What strategic role will State play in this?
	Matchmaking	» Is there a process for assessing partners and for identifying new potential partners?	» Are there incentives S/GP can offer to catalyze this effort or help bring partners onboard?
	Information Sharing	» Does the P3 have compatible processes for sharing information (i.e., developing a common language, repositories of needed data and information, systems for regular and effective communication)?	
	Environmental Scanning & Situational Awareness	» Does the P3 have a process for staying relevant, remaining abreast of related, new developments, including the evolving external climate relevant to the partnership endeavor? For integrating lessons and information into operations?	» Does S/GP have a process for identifying and selecting P3 opportunities?
	Shared Vision Development	» Is there a process for determining a common purpose?	
	Group Development	» Do potential partners meet or interact regularly? » Does the partnership have processes for managing conflict? For fostering relationship building? For developing and accepting norms?	» Can S/GP play its “collaborator” and “cultivator” roles here?
	Decision-Making & Negotiation	» Does your organization have a voice in decisions made and are your interests integrated into the decision-making process?	» What role will State or S/GP expect to play in decision-making processes?
	Strategic Planning	» Does the P3 have a strategic planning process that will enhance the collaboration and facilitate outcomes? What challenges have been identified in the process? Can these be overcome and how?	» Can State or S/GP provide support and experience here?
	Resource Acquisition & Funding	» Has the partnership identified the variety of necessary resources to achieve its objectives? Has the P3 developed processes and systems for creating resource flows, getting partners to invest, and designating responsibility for resource development and management? Is there a process for assessing the needs of the P3 and acquiring sufficient resources from all partners? Will rewards, risk and responsibilities be shared by all partners?	
	Transitioning	» Is there a transition plan for the phases of development (launch to endgame) over the planned lifetime of the partnership?	» Will there be a time that the P3 will become a stand-alone entity without USG support? Is there a plan for S/GP to exit the P3 in ways that avoid destabilizing the P3?
	Problem-solving	» Is there a structured problem-solving approach learned by everyone? Have potential incompatibilities, sticking points (where accommodations between partners may not be possible) been identified? Have processes been developed to manage these or related problems?	



**ASSESS SYSTEMS  
& STRUCTURES**

	<b>P3 ATTRIBUTES</b>	<b>GENERAL QUESTIONS</b>	<b>S/GP SPECIFIC</b>
	Adaptability	» Are internal processes sufficiently flexible/adaptable to meet the needs of the P3 and its partners? (i.e. can public partners adapt to private sector pacing of decision-making; can private partners adapt to public stringent accountability measures)	» Are the organizational processes in conflict with how the P3 operates?
	Managing Partner	» Do you have a process for choosing a managing partner—one with the skills and capacity to host a P3 of the size & breadth of the proposed type? A managing partner willing to create an appropriate and accountable governance structure, assess and evolve P3 goals and needs, and perceived as neutral, trusted, and adding value by stakeholders?	» Does S/GP have experiences with past P3s that are relevant here?
	Partner Satisfaction	» Is there a process for gauging the satisfaction of P3 members?	
	<b>P3 ATTRIBUTES</b>	<b>GENERAL QUESTIONS</b>	<b>S/GP SPECIFIC</b>
	Pre-Existing Partnership & Networks	» Are there existing partnerships, sectors, networked communities & experts who can be called upon to provide support, expertise, and guidance for the P3?	» Can S/GP take a role in this process?
	Communication & Information-Sharing	» Are the communication and information-sharing systems institutionalized and functioning effectively? Has a common language been agreed to between partners? Are systems implemented to ensure regular and effective communication between partners? Are there plans to build infrastructure to facilitate information-sharing across partners?	
	Metrics & Performance Measurement	» Have partners agreed to indicators, metrics, and measurement processes to meet P3 performance needs, goals, and respective partner objectives? Are there milestones and objectives to hold the P3 and the partners accountable?	
	Accountability	» Are designated partners empowered to perform the tasks necessary to fulfill their obligations with respect to accountability? Is accountability for the project distributed across the partnership?	
	Sector Stakeholders & Representation	» Does your P3 have representation from the right organizations and essential sectors needed to address the problem? Do you have strategies to fill gaps in the partner base?	
	Learning & Knowledge Management	» Are there structured reviews of P3 activities to promote learning among partners? Are there agreed-to systems for the integration of learning (i.e., structured reviews)? Are systems in place to archive learning for informing future partnership endeavors?	
	Resource Management	» Does the P3 have a designated budget and a budget development, allocation & review system in place? » Are the members of the partnership willing to provide the resources and make them available to the partnership without restrictions that would limit their effective use? » Has the partnership developed a process for aggregating/holding partnership resources, and for designating responsibility for their management? Has the partnership developed a process by which resources held by the partnership can be requested and distributed?	



**STEP 5**

**UNDERSTANDING  
CLIMATE & CULTURE**

	<b>P3 ATTRIBUTES</b>	<b>GENERAL QUESTIONS</b>	<b>S/GP SPECIFIC</b>
	Innovation & Disruption	» Do the P3 partners take advantage of creative synergies to develop new and innovative solutions to a problem, seeking to achieve 1+1=3?	» Is S/GP committed to challenging existing USG bureaucratic barriers that prevent the public sector from leveraging P3s?
	Leadership Training & Human Capital Capacity Building	» Does the P3 have means to develop training programs specific to its capacity needs?	» Can S/GP provide resources and experience here?
	Trust & Relationship	» Are the partners willing to share risks, accept responsibility, and share credit for what happens within the P3?	
	Shared Power	» Are partners committed to shared leadership and consensus decision-making? Are the partners committed to negotiation and bargaining as a way of dealing with differences and crafting solutions to emerging problems?	
	Institutional Flexibility	» Can stakeholders adapt internal processes to effectively contribute and function within the P3 structure?	» Is State and S/GP committed to developing flexible processes to facilitate the actual workings of diverse P3s?
	Norms, Rules & Regulations	» Does the organizational culture of the partners support all facets of collaboration? Can S/GP push the USG and others to create new rules and procedures to better participate in a collaborative environment?	» Can S/GP push the USG and others to create new rules and procedures to better participate in a collaborative environment?

## CONCLUSION

P3s are increasingly useful for global development challenges, offering benefits to partners that extend beyond their expectations. P3s require the intentional development of collaborative skills, the fostering of leadership capacity in a variety of forms, and a willingness to engage in creative, 'out-of-the-box' thinking. Likewise, P3s work best when partners commit to learning.

## EVALUATION VS. RESEARCH

The U.S. Agency for International Development (2011, 2) defines evaluation as: "The systematic collection and analysis of information about the characteristics and outcomes of programs and projects as a basis for judgments, to improve effectiveness, and/or inform decisions about programming."<sup>5</sup> While both research and evaluation systematically seek answers to questions and use many similar techniques to answer those questions, their purposes differ: Research seeks to discover and create new and generalizable knowledge; while evaluation seeks to inform decisions and judgments often to assess a specific program, policy, or project's effectiveness. Types of evaluation vary by purpose and program stage:

- » Formative evaluation.
- » Summative evaluation.
- » Process evaluation.
- » Outcome evaluation.
- » Impact evaluation.
- » Participatory Evaluation

**Note that in Participatory Evaluation** program clients or beneficiaries are important in an evaluation, not only as a source of information, but as active participants in all key evaluation processes, including design, planning, data collection, analysis, and reporting.<sup>6</sup> There are many advantages to participatory evaluation—among them:

- » Evaluators gain a better understanding of stakeholder perspectives.
- » Beneficiaries help hold an organization accountable for program results.
- » Helps create an environment of trust and transparency.
- » Cultivates evaluative thinking and fuels ongoing learning.
- » Stimulates innovative ways of measuring outcomes and helps clarify indicators.
- » Often leads to participatory decision-making.

All deliverables from the Syracuse study (2015) are the result of a participatory evaluation process, by design, an evaluation P3.



5 See Fitzpatrick, Sanders, and Worthen, 2011. For Michael Patton (1997, 23), evaluation is: "The systematic collection of information about the activities, characteristics, and results of programs to make judgments about the program, improve or further develop program effectiveness, inform decisions about future programming, and/or increase understanding." For the Organization for Economic Co-operation and Development (OECD; 2002, 21-22), evaluation is: "The systematic and objective assessment of an ongoing or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfillment of objectives, development efficiency, effectiveness, impact, and sustainability."

6 Field Guide for Evaluation: How to Develop an Effective Terms of Reference, Pact Inc., Washington, DC; June 2014, [http://betterevaluation.org/sites/default/files/Field%20Guide%20for%20Evaluation\\_Final.pdf](http://betterevaluation.org/sites/default/files/Field%20Guide%20for%20Evaluation_Final.pdf); Sulley Gariba & Kathy Durand. 2007. Workshop on participatory monitoring & evaluation. Paper presented at the International Program on Development Evaluation Training, Carleton University, Ottawa

# S/GP P3 ASSESSMENT TOOL



## INTRODUCTION

This questionnaire assesses the viability of a public-private partnership (P3) that your organization is considering or already a part of. By a P3, we mean a collaborative working relationship between government and non-governmental partners in which the goals, structure, and governance of the partnership as well as the roles and responsibilities of each partner, are mutually determined. The issues addressed in collaborative partnerships are typically complex and require long-term commitment. P3's share five key partnering principles for success:

- » Equity
- » Openness and Transparency
- » Mutual Benefits for all partners
- » Shared Risks and Rewards
- » Accountability.

On the following page is a framework for a viable P3 comprised of five component parts:

- » An issue that is highly salient and requires more than one organization for its solution
- » The right people playing specific roles
- » Processes and mechanisms that facilitate the success of the P3
- » Institutionalized systems that give structure to the P3
- » A culture that supports collaboration.

This framework guides the items in this assessment tool. As you respond to each item in the assessment, reflect on your experi-

ence in your P3 or the P3 your organization is considering. Each section ends with a place for you to write down issues that are raised, which you may wish to reflect on further or request guidance to address.

**Note:** Not all P3's operate collaboratively. Some are efforts to affiliate, rather than accomplish programmatic goals. Others are short-term efforts to coordinate resources or deal with crises. This assessment tool is designed to assess collaborative partnerships, as defined above.



# P3 ASSESSMENT ANATOMY CHART

- » Champion
- » Boundary Spanner
- » Visionary
- » Sector/Agency Liaisons
- » Subject Matter Experts
- » P3 Operational Manager
- » Shared Roles & Responsibilities

- » Matchmaking
- » Information-Sharing
- » Environmental Scanning
- » Shared Vision Development
- » Group Development
- » Decision-Making & Negotiation
- » Strategic Planning
- » Resource Acquisition & Funding
- » Adaptability

## STEP 2: PEOPLE & LEADERSHIP



## STEP 3: PROCESSES & MECHANISMS



### ISSUE

- » Issue Definition & Scoping
- » Requires Interdependence
- » Shared Need & Urgency
- » Mission/Policy/Interest Aligned
- » Feasible
- » High Level Support for Partnership
- » Available Resources



## STEP 4: SYSTEMS & STRUCTURES



## STEP 5: CLIMATE & CULTURE



- » Pre-Existing Work Groups
- » Communication & Information-Sharing
- » Performance Measurement
- » Accountability
- » Sector Stakeholders & Representation
- » Learning & Capacity-Building
- » Financial Management

- » Innovation
- » Trust & Relationship
- » Shared Power
- » Negotiation
- » Norms, Rules, & Regulations

# P3 ASSESSMENT TOOL QUESTIONNAIRE



## 1. ISSUE

### 1.A. ISSUE DEFINITION AND SCOPING

What is the problem or issue the P3 will address or is addressing?

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What would a successful outcome be from your organization's perspective?

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What are the challenges and risks associated with the problem/issue? What strategies have been tried to address them?

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### 1.B. REQUIRES INTERDEPENDENCE

Does the issue require more than one organization to address it?

YES  NO

If so, which organizations are required?

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### 1.C. SHARED NEED AND URGENCY

Do potential partners perceive urgency in dealing with the problem/issue?

YES  NO

Are all partners willing to share risks, responsibilities and gains in addressing this issue?

YES  NO



**1.D. MISSION/POLICY/INTEREST ALIGNED**

Is the issue aligned with the agenda of the top leadership in the organization?

YES       NO

**1.E. FEASIBILITY**

Is there a feasible/tangible outcome?

YES       NO

Is there data to support that conclusion?

YES       NO

**1.F . HIGH LEVEL SUPPORT FOR PARTNERSHIP**

Is there a clear directive from top leadership for pursuing a partnership?

YES       NO

**1.G. AVAILABLE RESOURCES**

Is the organization willing to commit resources to the P3?

YES       NO

**QUESTIONS TO CONSIDER**

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## 2. PEOPLE AND LEADERSHIP



The following items focus on the roles needed for a P3 to be successful. Remember, individuals may play more than one role.

### 2.A. CHAMPION

Do you have a Champion, someone who provides a directive from the top and lends their credibility, reputation, and influence to advocate for the shared goals of the P3?

YES  NO

### 2.B. BOUNDARY SPANNER

Do you have a Boundary Spanner, someone who mobilizes diverse partners from all sectors (USG, business sector, civil society, other governments), activates networks, and provides a bridge for leaders and the Champion to enable collaboration across sectors and differences?

YES  NO

### 2.C. VISIONARY

Do you have a Visionary, someone who frames the “big picture”, articulates what can be accomplished, and aligns and motivates partners towards a common vision?

YES  NO

### 2.D. SECTOR/AGENCY LIAISONS

Do you have Sector/Agency Liaisons, people who provide Agency or Sector expertise, bring partners with them, and represent the needs and interests of their respective sectors and organizations within the P3? Liaisons advocate for the P3 among their leadership.

YES  NO

### 2.E. SUBJECT MATTER EXPERTS

Do you have Subject Matter Experts, people who provide substantive/technical understanding of the subject matter at the core of a collaboration and who have access to other experts?

YES  NO

## 2.E. P3 OPERATIONAL MANAGER

Do you have a P3 Operational Manager, someone who operationalizes the vision, manages the governance structures and functional integration, and directs implementation?

YES  NO

## 2.F. SHARED ROLES AND RESPONSIBILITIES

Are the roles and responsibilities described above shared and distributed among partners so as to leverage capacities, expertise, complementary attributes?

YES  NO

## QUESTIONS TO CONSIDER

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## 3. PROCESSES AND MECHANISMS

### 3.A. MATCHMAKING

Is there a process for assessing partners and for identifying new potential partners?

YES  NO



### 3.B. INFORMATION SHARING

Does the P3 have compatible processes for sharing data and information?

YES  NO

### 3.C. ENVIRONMENTAL SCANNING

Does the partnership have a process for assessing the external context relevant to the partnership endeavor and integrating that information into the partnership operations?

YES  NO

### 3.D. SHARED VISION DEVELOPMENT

Is there a process for determining a common purpose?

YES  NO

### 3.E. GROUP DEVELOPMENT

Do potential partners meet or interact regularly?

YES  NO

Does the partnership have processes for managing conflict?

YES  NO

Does the partnership have processes for fostering communication and relationship-building?

YES  NO

Does the partnership have processes for developing and accepting norms?

YES  NO

### 3.F. DECISION-MAKING AND NEGOTIATION

Do you perceive that your organization has a voice in decisions made by the P3?

YES  NO

Do you perceive that your interests are integrated into the decision-making process?

YES  NO

### 3.G. STRATEGIC PLANNING

Does the P3 have a strategic planning process?

YES  NO

Does the strategic planning process enhance the collaboration and facilitate outcomes?

YES  NO

### 3.H. RESOURCE ACQUISITION AND FUNDING

Is there a process for assessing the needs of the P3 and acquiring sufficient resources from all partners?

YES  NO

Does the process facilitate the sharing of risks and responsibilities by all partners?

YES  NO

### 3.I. ADAPTABILITY:

Are internal processes sufficiently flexible/adaptable to meet the needs of the P3 and its individual partners?

YES  NO

Do your organizational processes conflict with how the P3 operates?

YES  NO

### QUESTIONS TO CONSIDER

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## 4. CLIMATE AND CULTURE



### 4.A. INNOVATION

Do the P3 partners take advantage of creative synergies to develop new and innovative solutions for the problem?

YES  NO

### 4.B. TRUST AND RELATIONSHIP

Are the partners willing to share risks, accept responsibility, and share credit for what happens within the P3?

YES  NO

### 4.C. SHARED POWER

Are the partners committed to shared leadership and consensus decision-making?

YES  NO

### 4.D. NEGOTIATION

Are the partners committed to a process of negotiation and bargaining as a way of dealing with differences and crafting solutions to emerging problems?

YES  NO

### 4.E. NORMS, RULES AND REGULATION

Does the organizational culture of each partner support all facets of the collaboration?

YES  NO

### QUESTIONS TO CONSIDER

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## 5. SYSTEMS AND STRUCTURES

### 5.A. PRE-EXISTING WORK GROUPS

Are there existing partnerships, sectors, networked communities, and experts that can be called upon to provide support, technical expertise, and guidance for the P3?

YES  NO



### 5.B. COMMUNICATION AND INFORMATION-SHARING

Does the P3 have a common and shared language that supports its work?

YES  NO

Are information and data shared across partners?

YES  NO

### 5.C. PERFORMANCE MEASUREMENT

Have the partners agreed to a set of indicators and processes that will meet performance measurement needs against their respective objectives?

YES  NO

### 5.D. ACCOUNTABILITY

Are there milestones and objectives to hold the P3 and the partners accountable?

YES  NO

### 5.E. SECTOR STAKEHOLDERS AND REPRESENTATION

Does your partnership have representation from all essential organizations or sectors needed to address the problem?

YES  NO

Do you have strategies to fill gaps in the partner base?

YES  NO

## 5.F LEARNING AND CAPACITY BUILDING

Are there structured reviews of P3 activities to promote learning among partners?

YES  NO

Are systems in place to archive learning for informing future partnership endeavors?

YES  NO

Does the P3 have the means by which to develop training programs specific to its capacity needs?

YES  NO

## 5.G FINANCIAL MANAGEMENT

Does the P3 have a designated budget and a budget development, allocation and review system in place?

YES  NO

## QUESTIONS TO CONSIDER

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## SCORING

Count up the number of “yes” and “no” answers you gave for each of the quadrants in the framework (i.e., issue, people and leadership, processes and mechanisms, systems and structures, and climate and culture) and enter the figures into the table below. These scores suggest how well the P3 you are organizing or already participating in matches the standard definition of a public-private partnership listed at the beginning of this assessment tool. Some “no” responses are to be expected, but consider the sector in which you have the most and think about what things your organization can do to meet the criteria for this type of P3. If your answers contain a large number of “no” responses, your organization may want to consider a different type of partnership to achieve its goals. In each section you were given an opportunity to list questions to consider. Please note that staff members in the Secretary’s Office for Global Partnerships (S/GP) in the State Department are trained to work with organizations on just such concerns.

	NUMBER OF YES RESPONSES	NUMBER OF NO RESPONSES	TOTAL
 <b>ISSUE</b> (8 YES/NO QUESTIONS)			
 <b>PEOPLE &amp; LEADERSHIP</b> (7 YES/NO QUESTIONS)			
 <b>PROCESSES &amp; MECHANISMS</b> (16 YES/NO QUESTIONS)			
 <b>CLIMATE &amp; CULTURE</b> (5 YES/NO QUESTIONS)			
 <b>SYSTEMS &amp; STRUCTURES</b> (11 YES/NO QUESTIONS)			

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