



EVALUATION: PPP: ILO_VW_GTZ

**Final Project Evaluation of the
Public-Private-Partnership Project
between VW/ILO/GTZ
Global Compact and Safety and Health
– OSH and Supply Chain Management –**

Project Number INT/04/M27/GTZ

For the

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Potsdam, October 13th, 2008

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List of abbreviations

BUSA	Business Unity South Africa
COCONASHT	Comisión Consultiva Nacional de Seguridad e Higiene en el Trabajo
CONCAMIN	Confedecación de Cámaras Industriales de los Estados Unidos Mexicanos
COSATU	Coalition of South African Trade Unions
DAC	Development Assistance Committee
DoL	Department of Labour
EC	Eastern Cape
FEDUSA	Federation of Unions SA
GTZ	Gesellschaft für Technische Zusammenarbeit
HIV/AIDS	Human Immunodeficiency Virus/ Acquired Immunodeficiency Syndrome
ILO	International Labour Office
IMF	International Metalworker's Association
IOE	International Organisation of Employers
LI	Labour Inspector
MoL	Ministry of Labour
NACTU	National Council of Trade Unions SA
NEDLAC	Economic Development and Labour Council
NPC	National Project Coordinator
NSC	National Steering Committee (Mexico)
NUMSA	National Union of Metal Workers SA
OSC	Overall Steering Committee
OSH	Occupational Safety and Health
POC	Process Optimising Consultation
POT	Process Optimising Teams
PPM	Project Plan Matrix
PSC	Project Steering Committee (South Africa)
PSS	Preventive Service System
SITIAVW	Sindicato Independiente de Trabajadores de la Industria Automotriz Volkswagen
SME	Small and Medium sized Enterprise
STPS	Secretaría del Trabajo y Previsión Social (Ministry of Labour)
VCT	Voluntary Counselling and Testing
VW	Volkswagen

Executive summary

Background of the Evaluation

Improving labour standards internationally forms one of the focal areas of the UN Global Compact Initiative. Volkswagen (VW) is one of the members of the compact, having a high degree of standards for its own employees in over 100 countries where the company operates. In order to reach small and medium sized enterprises (SMEs) within the supply chain, VW, the International Labour Office (ILO) and the Gesellschaft für Technische Zusammenarbeit (GTZ) entered a Public Private Partnership in 2004. This engagement aimed at enhancing occupational health and safety standards in VW supply chain companies in Brazil, Mexico and South Africa.

The project was managed by the ILO, while implementation at enterprise level was ensured by VW. The GTZ provided financial support for project implementation, and facilitated the cooperation arrangements. As GTZ was not directly involved in the project management, it was agreed that GTZ was responsible for the contracted the final evaluation. The Collective Leadership Institute (e.V.) was appointed as independent evaluator.

. Purpose of the Evaluation

The cooperation between the ILO and a multinational company is one of the first of this nature, and therefore a pilot project. For this reason, it was requested to evaluate the project regarding

- its developmental aims,

- the project management within the multi-stakeholder cooperation, and
- insights and learning for future projects of this kind.

Approach and Focus of the Evaluation

The key approach for the evaluation was a combination of preparatory desk research and data analysis, and empirical research mainly through interviews with relevant actors at an international level, and country level in Mexico and South Africa. The results are based on the analysis of documents and data, as well as interviews and focus group discussions with relevant actors in the field. Apart from preceding preparatory telephonic interviews the in-country-interviews took place between 30th August and 6th September 2008.

The evaluation assessment distinguishes between international level and country level. Major insights are summarized in overall conclusions and recommendations.

The assessment of results is based on the indicators in the project planning document (PPM). The impact assessment is based on DAC-criteria such as:

- Impact: The project's contribution to overarching development goals at the enterprise (micro level) and policy level (macro level)
- Effectiveness: Achievement of the project's objective
- Efficiency: Relation between the deployed resources and their impacts

- **Relevance:** Accordance of the project with the needs of the target group, the priorities of the political partners
- **Sustainability:** Examination whether the project's positive impacts persist further than the project's time-frame

The assessment of partnership management is based on the CLI-internal indicators for successful management of different phases in multi-stakeholder partnerships, distinguishing four phases, such as exploration and consultation (phase 1), building the partnership (phase 2), implementation (phase 3) and scaling-up, replication or institutionalization (phase 4).

Overall key findings

Improving occupational safety and health (OSH) issues has high priority both at international and national level. All stakeholders directly and indirectly involved stressed the importance of the topic. Lessons learned within the automobile sector need to be applied to other sectors to enhance a broader impact. Strategically, the project chose a very elaborate approach in connecting activities on micro and macro level in order to (1) emphasise OSH within the political dialogue, (2) introduce OSH standards within the labour inspectorate system through training the labour inspectors and (3) implementing the standards at micro level with supplier companies. In a multi-stakeholder-approach *Process Optimizing Teams* were created on national level. They jointly elaborated a consultation approach for supplier visits. This proved highly successful as stakeholders could exchange experience and

gain a broader picture of the possibilities for the successful implementation of OSH standards. The public-private partnership (PPP) model also contributed to a better understanding of private and public ways of operation. The new inspection approach focusing on an improvement process rather than compliance control was also seen as successful from public and private sector: it resulted in positive changes on supplier level with regard to the implementation of OSH standards as well as the cooperation with the labour inspectorates.

Partnership set-up

At international level, the project was initiated between the ILO in Geneva, Switzerland, and VW in Wolfsburg, Germany. The GTZ (Eschborn, Germany) was invited into the partnership, which facilitated the formal partnership between the three parties by signing a contribution agreement with the ILO and a cooperation agreement with VW in 2004. An Overall Steering Committee (OSC) was created, comprising of the main partners ILO, GTZ and VW, to which the partners of the ILO tripartite alliance, the IMF and IOE were invited to join. The pilot countries were agreed upon (South Africa, Mexico and Brazil) and the assigned project manager from the ILO SafeWork programme carried out a fact finding missions in 2004 to the selected countries.

Key findings for the international level

1. Partnership Assessment

Phase 1: Despite the elaborated planning process and the country missions that took place to consult local stakeholders, it is

questionable whether the consultation phase was given sufficient attention. Some core decisions were taken and strategic plans designed, before other main stakeholders, particularly on national levels, were involved. This may have meant that others were rather co-opted than invited as equal partners.

Phase 2: Although formal arrangements were put in place the level of clarification of roles and responsibilities towards the national levels remained insufficient. This is particularly clear in the lack of local ownership regarding the future of the project. Hence, it seems that the setting up of national steering committees was guided by assumptions regarding local ownership and commitment, rather than clear agreements and formal embeddedness of the project in local structures. The difficulties to provide adequate resources to the project from ILO hampered implementation and could be interpreted as unclear commitment within SafeWork. GTZ's role focused on the funding aspect.

Phase 3: The project partners focussed on the implementation and delivery of the project activities in the pilot countries. The initially planned role of the OSC in steering, supervising and transferring lessons learnt was not sufficiently fulfilled. Little attention was given to keep a true stakeholder partnership alive. This lack of project steering capacity translated down to country levels, where the lack of guidance contributed to a loss of motivation in partners involved.

Phase 4: The reporting process at the OSC was insufficient. This inhibited a learning

process from the project at international level, which could have informed cross country learning and scaling up as initially envisaged.¹

2. DAC Criteria

Impact: The impact can be measured at national level only.

Effectiveness: The project has reached many of the milestones in the two countries, but has all in all not been implemented to the degree in which those were envisaged in the PPM (see country reports).

Efficiency: It turned out to be rather difficult for the evaluation team to obtain an overview of the final budget and expenditure over the period of the project implementation due to the intransparency of relevant budget details.

Relevance: All interviewees unanimously stressed the relevance of the project and their interest and motivation in supporting it. The issue of OSH is seen as a high priority both at the international OSC level, as well as in the country interviews. However, it is questionable whether the project was sufficiently integrated in existing other national initiatives in the same field in order to achieve a higher degree of support and local ownership.

Sustainability at this point in time is questionable beyond some of the changes that were implemented at micro level (in the companies), and capacities imparted to labour inspectors. At a policy level, the project has not reached the degree of integration it envisaged. Nonetheless, changes in awareness and in

¹ GTZ 2004a: 6



some of the local practices may persist (see country assessment).

Key Findings for South Africa

1. Partnership Assessment

Phase 1: All partners agree to the importance of the project, and an initial country mission with consultations took place. There was, however, no in-depth country specific context analysis. A stakeholder consultation and involvement in strategy development to ensure local ownership was partly missing.

Phase 2: Formal roles were given to partners through the Project Steering Committee and National Project Coordinator, but financial control and decision-making power remained centralised in Geneva, compromising the project management capacities at national level.

Phase 3: Implementation of activities often took place in a fragmented manner (e.g. HIV/AIDS prog. 18 months after POC ended). The gap in project management made it difficult to stay connected and motivation levels diminished.

Phase 4: Although specifically planned, the connection between micro and macro level was missing, with little or no impact on policy level. The PSS could not be implemented, pointing to a lack of clarification of expectations towards the DoL when it was planned. Local ownership was questionable. Institutional arrangements need to be questioned (should the project have been housed within the DoL from the onset?). Learnings were not fully harvested or translated to macro level. The learnings from 8 supplier

companies are too few in order to develop best practices.

2. DAC Criteria

Impact: At micro level, impact can be observed. The POC process was seen as highly successful by most partners. Labour Inspectors have adapted their approach but struggle to retain staff. Suppliers state that they maintain standards. At macro level, so far less impact is visible, although it is hoped that the project learnings could still be utilised.

Effectiveness: the project has achieved milestones at a micro level, although more supplier companies could have been reached. On a macro level, the scaling up of the project onto a policy level, and the PSS system were not achieved.

Efficiency: The centralisation of the budget was leading towards more inefficiency, as budgets could not be utilised or accessed as needed.

Relevance: All interviewees at national level stressed the relevance and necessity of the project. Any failures in implementation can therefore not be connected to a lack of relevance.

Sustainability: Since the project was not fully owned at a national level, its sustainability is questionable. It therefore could not be scaled up to the macro level. At micro level, several changes were perceived that could remain sustainable.

Key Findings Mexico

1. Partnership Assessment



Phase 1: After the initial country mission with international consultants participating stakeholders were defined. However, due to missing in-depth consultation of the official partners and a country specific approach within the initial phase there was a perceivable lack of equal ownership of relevant project partners. Commitment, trust and engagement within the project did not develop adequately. An initial core group for a lively and result-oriented partnership was missing.

Phase 2: Formal roles were given to the Project Steering Committee, National Project Coordinator and the Process Optimizing Team was established. As the country specific approach was weak the further strengthening of the initial interested core group could not take place leaving the partnership more vulnerable to internal & external stress.

Phase 3: Implementation moved forward due to the strong commitment of the regional ILO staff. The vulnerability of the partnership became visible when the external consultant in charge of implementing the project activities was withdrawn by one of the project partners without being replaced. This left a vacuum, hence project implementation remained static. However, POCs, workshops for suppliers and labour inspectors as well as second visits were successfully held bringing benefit to all participants due to

- new methodological approach,
- creating a new stakeholder exposure (e.g. labour inspectors and suppliers) and,

- new content regarding OSH & implementing suggestions.

Phase 4: A Preventive Service System providing latest information for suppliers about Occupational Safety and Health issues could not be installed. The last project meeting is meant to consolidate the lessons learnt of the project. Already participating suppliers as well as new ones will be invited to foster an exchange of experience and explore possibilities for scaling up which could not be achieved within the official project time.

2. DAC Criteria

Impact: As a result of the project the topic of OSH was brought to micro and macro level and a stakeholder dialogue was initiated. Despite difficulties in the project implementation management seeds have been planted from which future activities between ILO and the Ministry of Labour as well as ILO and the supplier companies may arise.

Effectiveness: On micro level participating suppliers and labour inspectors benefited from the POCs, workshops and stakeholder exposure. However, the planned linkage between micro and macro level that would have led to a change in national OSH policy could not be achieved. This seems to have been a very ambitious initial goal that could have only been achieved with a broader approach including more companies and other sectors.

Efficiency: With a decentralized budget the project could have achieved more of the planned outcomes within a shorter time period



if the project implementation activities had been adjusted more to the local context.

Relevance: All stakeholders commented on the high relevance of the topic. Prior to the project sufficient knowledge was missing in companies and for labour inspectorates.

Sustainability: Due to a lack of ownership at national level the sustainability of the project needs to be questioned. However, the strong commitment of ILO Mexico led to a final workshop in which further activities will be elaborated. Furthermore a long distance learning course will start through the Ministry of Labour inspired by the project and its outcomes.

Summary of lessons learnt and recommendations for future projects

The designed approach of the project was promising and a reasonable response to the identified problems. This was evident in the fact that all stakeholders emphasized the relevance of the project intention. The success of the project on micro-level hints to the existing demand of projects of this kind and shows that the cooperation between private and public partners can be a successful approach in tackling challenges in standard implementation. The difficulties in achieving planned project results and subsequently impacts, can be identified as factors related to both project management and partnership management. It is recommended for future projects that more attention should be given to the **establishment of a stable core group of stakeholders** through the development of trust, good working

relationships and a regular joint evaluation of progress and success stories. This includes the early involvement of alliance partners, other relevant stakeholders on national level and country representatives. Since the success of such an initiative depends on the strong support from the relevant partners at country level, those should have had a much higher degree of ownership over the planning process, resources and learning from the project.

Opening up the visions and strategies of the initial core partners to be further shaped and owned by the relevant partners could have given the project a stronger foundation to be carried further than what was achieved in the time frame, as well as be sustained beyond the project lifespan. If the project set-up requires an international organisation to project manage national project implementation, clearer strategies need to be developed how to create a **sufficient level of ownership in the National level institutions** for taking the outcomes forward.

This involves the **decentralisation of the project** to enable partners at country level to design and tailor the local strategies and control budgets. A more **transparent and decentralised utilisation of the budget** would ease project implementation.

It could have also **involved the national partners in the overall strategic planning**, so that **cross country collaboration** would have begun at that level.

For an even more sustainable implementation on micro and macro level **the meso level serves as a transmitter and needs to be**



involved according to the country-specific context. A more careful selection or nomination of stakeholders would increase both legitimacy of and commitment to the project. To further stimulate the activities on micro level an **exchange between the participating suppliers** could stimulate the outcomes and **enable a more self-sustaining scaling up process** that takes the ownership of the suppliers seriously. Hence, an exchange on “best practices” or on challenges could take place, creating know-how and a dialogic culture towards capacity building for OSH. In order to strengthen ownership it is important to **take up existing initiatives** of the involved stakeholders and integrate them into the process.

Clear contracts or memoranda of understanding should have been developed at country level in order to ensure that expectations are clarified and understood, and stakeholders can be held accountable at later stages. **Clarifying roles and responsibilities** and upholding those (or holding others accountable) could have remained part of the process over time, in order to monitor **and assess the success of the partnership**.

Clear **leadership and management capacity** needs to be ensured at international level. From the side of the ILO SafeWork, the commitment to provide in kind contributions needs to be further examined. Ideally, the organisation needs to **free enough time and resources** internally in order **to ensure proper project management**. High turnover and vacant

positions over long stretches of time, while partners had to rely on one’s contributions, need to be avoided through **clear financial commitments** to support such a project at an institutional level.

GTZ should play in similar projects with the participation of international organisations a greater role in the overall management as well as the role as a facilitator at a national level.

Finally, the **harvesting of learning** from the country projects, including **knowledge transfer and feedback mechanisms** from micro to macro at national level and from national to international level and beyond need to be ensured, in order to meet the high expectations of such a project and make the learning available to others. This however means going beyond the reporting at conferences, and would involve **action learning at project level** in order to develop the approach over time into a **variety of “best practices” in different contexts**. A project of such scope should create a mutual **cross-country exchange** to enhance learning from Europe, Mexico, Brazil and South Africa, and could be transferred to other value chains. An exchange of approach and experience would support implementation at national level.

Given the scope of the project as it was initially planned and its potential impact, if managed well, one would have expected the appointment of a (possibly) **cross-sector secretariat** coordinating and supporting implementation, communication between international and national level as well as cross-country learning.



1 Background of Evaluation

Improving labour standards internationally forms one of the focal areas of the UN Global Compact Initiative. Volkswagen (VW) is one of the members of the compact, having a high degree of standards for its own employees in over 100 countries where the company operates². In order to reach small and medium sized enterprises (SMEs) within the supply chain, VW, the International Labour Office (ILO) and the Gesellschaft für Technische Zusammenarbeit (GTZ) entered a Public Private Partnership in 2004. This engagement aimed at enhancing occupational health and safety standards in VW supply chain companies in Brazil, Mexico and South Africa.

The project was managed by the ILO, while implementation at enterprise level was ensured by VW. The GTZ provided financial support for project implementation, facilitated the formal cooperation setting of the project and contracted the final evaluation. As agreed upon by all project partners at the beginning of the project the evaluation was assigned to GTZ as they were not directly involved in implementation and provide a broad expertise in evaluation. To ensure an objective evaluation the independent Collective Leadership Institute conducted the evaluation on behalf of GTZ.

1.1 Rationale, purpose and objectives of the evaluation

The cooperation between the ILO and a multinational company is one of the first of this nature, and therefore a pilot project. For this reason, it was requested to evaluate the project regarding

- a) its developmental aims, as well as
- b) the project management within the multi-stakeholder partnership.

The evaluation shall also provide insights and learning for future projects of this kind.³

Objectives of the evaluation included:

- Examining the developmental impact of the project on national and political level in relation to the project design and implementation plan.
- Examining the developmental impact of the project on the micro-level, particularly for SMEs being suppliers to VW.
- Examining the extent to which ILO and VW international policies and standards (VW Social Charter, ILO Conventions) can be implemented nationally.

² Frommann 2008b: 2

³ GTZ 2008b: 1

- Examining in what ways the project contributed to an increased implementation of related standards for a respective country as a whole (as referred to the UN Global Compact study)
- Examining in what ways the institutional set-up was beneficial and sufficient for a maximized impact of the project.
- Analysing “lessons learnt” in the form of recommendations for the responsible management level.
- Ensuring a sound contribution to the collective learning process of all project partners.

1.2 International Framework conditions for the project

Globally, two million men and women die each year due to occupational accidents or work-related diseases. Each year, 270 million fatal and non-fatal accidents occur, and 160 million incidents of occupational diseases. Occupational safety and health (OSH) standards differ immensely in various parts of the world, with varying challenges arising thereof. Some of those work-related challenges include:⁴

- Accidents and injuries
- Occupational diseases
- Infection-related diseases, tuberculosis and HIV/AIDS
- Lack of health care
- Lack of occupational safety
- Hazardous substances

Reasons for such include:

- Weak OSH laws
- No proper enforcement mechanisms
- Unsatisfactory implementation and lacking health and safety precautions at company level

The situation worsens through inexistent social security systems in development or threshold countries, where absences from work due to accidents or illnesses lead to job-losses and poverty. It is further estimated that 4% of the world’s Gross Domestic Product is lost due to injuries, death and disease, resulting in absence from work, sickness, treatments and benefits for survivors.⁵

The project, which is being evaluated here, therefore aimed at addressing those issues by enhancing OSH standards within small and medium sized enterprises (SME) in the VW supply chain as well as impacting on national OSH standards in three countries, namely Brazil, Mexico

⁴ ILO: Facts on SafeWork in Kristjansdottir 2007: 6-7

⁵ ILO: Facts on SafeWork in Kristjansdottir 2007: 6-7



and South Africa. The project was in line with the Global Compact Initiative as well as ILO OSH standards (see also section 3 on project description).

2 Methodology

The key approach for the evaluation was a combination of preparatory desk research and data analysis, and empirical research mainly through interviews with relevant actors at international level and national level. The results are based on the analysis of documents and data analysis, as well as semi-structured interviews and focus group discussions with relevant actors. Apart from preceding preparatory telephonic interviews on international and partly national level, the in-country-interviews took place between 30th August and 6th September 2008 and included main actors relevant for the implementation of the project.

The evaluation was carried out by a team of researchers from the Collective Leadership Institute, and was comprised of Petra Kuenkel as senior and supervisory researcher, Schirin Yachkaschi as expert for the country case study South Africa and Vera Fricke as expert for the country cases study Mexico. The team provided a combined competence in cross-sector-cooperation projects, research experience and evaluation of standard implementation.

2.1 Evaluation Scope, Focus and Approach

The evaluation scope was focussed on the international level, as well as the two countries South Africa and Mexico. Brazil was not part of this study, due to an early withdrawal of project partners in the country. Although may consider that it would have contributed to the learning of the overall approach to also examine the reasons for this withdrawal, due to time and budget limitations, Brazil was not made part of the evaluation assignment.

The first phase of the evaluation was comprised of a desk research with an analysis of relevant project documents and related papers, individual and group interviews with key partners and stakeholders at international level as well as the design and preparation of the country case studies. This phase concluded with a preliminary assessment of the partnership management and usefulness of the institutional arrangement.

Phase two concentrated on the country case studies in Mexico and South Africa and explored the country level perspective, the results and impact of pilot activities and the perspectives of partner representative staff and government officials. The information obtained also complemented the assessment of partnership management and usefulness of institutional arrangements from the country perspective.

In phase three the evaluation team consolidated the results and conducted additional interviews, respectively conversations with key partners to complement the country case study results and

offer a contribution to institutional learning. Phase 4 can be seen as a consolidation of all results. Apart from the impact oriented assessment of results in the countries, the evaluation team concentrated on the lessons learnt for possible future public private collaboration projects in terms of content (standards), institutional set-up and partnership management which are summarized in the overall conclusions and recommendations.

For the **empirical part** of the evaluation the consultancy team used semi-structured interview techniques as well as group interviews. The results allow for a mainly qualitative data analysis. The team also applied rapid appraisals and observations depending on what was appropriate in a specific situation. Interviewees included:

- Representatives from ILO, VW and GTZ at international level
- Representatives of ILO tripartite alliance partners involved in the overall steering committee
- Members of the national steering committees (from VW, ILO, GTZ, government, social partners and business associations)
- Members of the Process Optimising Teams at National Level
- Representatives of several supplier companies at local level

Table 1: Overview of interviews conducted with relevant actors on the international & national level

<i>International level</i>	
Relevant actors	Interviews*
GTZ	3
Volkswagen	2
ILO	3
IMF	1
IOE	1
Subtotal	10

*For the detailed list of interview partners, see Appendix 3

<i>National level South Africa</i>



Relevant actors	Interviews*	Focus groups/group interviews*
ILO	3	1
GTZ		1
VW		1
National Coordinator	1	
Government bodies		1
Labour Inspectors		1
Supplier Companies	3	2
Trade Unions	2	
Business Association	1	
Consultants	2	
Subtotal	12	7

*For the detailed list of interview partners, see Appendix 3

<i>National level Mexico</i>		
Relevant actors	Interviews*	Focus groups/group interviews*
ILO	2	
GTZ	2	
VW	3	
National Coordinator	1	
Government bodies	4	2
Labour Inspectors	3	
Supplier (3 companies)	19	
Association	1	
Subtotal	35	2

*For the detailed list of interview partners, see Appendix 3

The visits to supplier companies and labour inspectors have been selected by the National Project Co-ordinators (NPCs), and in Mexico also by VW. This may have resulted in a selection of well performing companies. However, triangulation with data from interviews with government institutions and project staff, led to a consolidation of conclusions. Wherever contradicting information occurred, it is mentioned in the assessment of results.

The country case studies concentrated on **examples for measurable impacts (selected suppliers)** on micro level and measurable impact on meso and macro level (**interviews with labour inspectors, steering committee members and consultants**). Additionally it looked into issues of local ownership, integration into existing government or other programs, and scaling-up potential.

2.2 Criteria for Evaluation Assessment

The evaluation assessed the project using criteria in two major areas

- Criteria related to the management of the partnership (including institutional arrangements and institutional embeddedness) (see 2.2.1),
- Criteria for the results and impact assessment based on the Project Planning Matrix and Development Assistance Committee (DAC)-criteria (see 2.2.2).

2.2.1 Criteria for Assessment of the Management of the Partnership

The evaluation team used evaluation criteria based on the approach to successful multi-stakeholder partnerships developed by the Collective Leadership Institute. The approach is based on 4 typical major phases in partnerships. The appropriate management of these phases increase the likelihood of sound implementation and possible impact. In relation to the evaluated Public-Private Partnership Project the following phases proved of relevance for the evaluation.

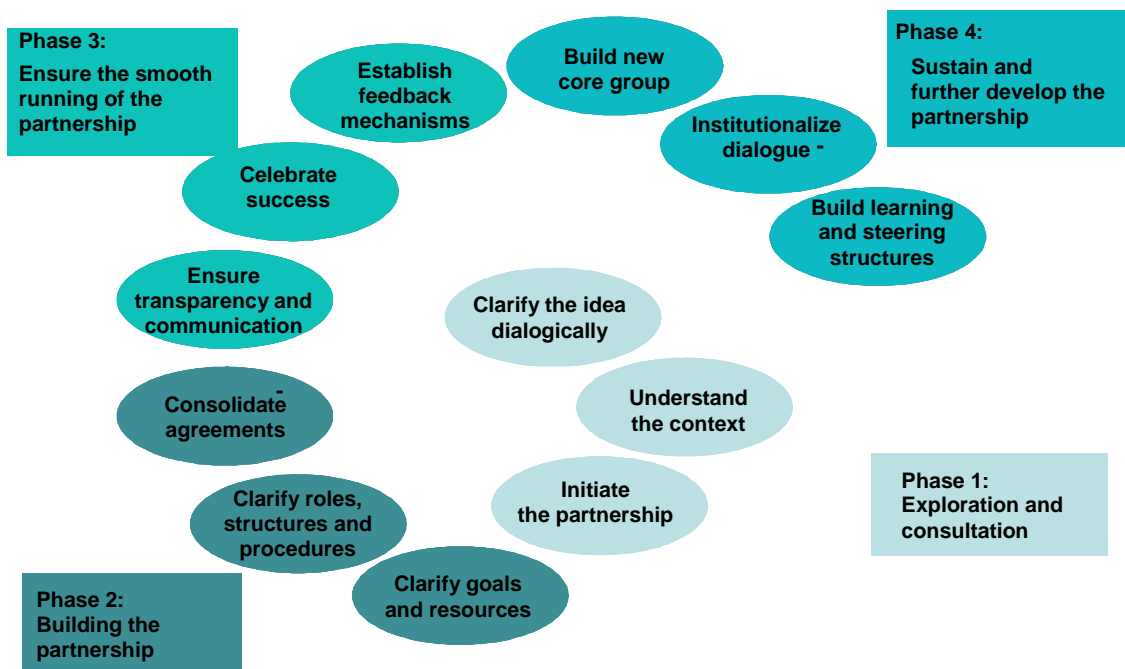


Figure 1: Partnership Management Cycle

Phase 1: Exploration and Consultation

The first phase of a Multi-Stakeholder-Partnership serves a sufficient exploration of the situation the project is intervening into, taking into account people and context.

The quality of trust and relationship building in phase one is a crucial success factor for the implementation phase. It is important that phase 1 has less emphasis on structure as this often absorbs creativity and can be perceived as imposed by actors that have not been involved from the beginning.



Relevant evaluation criteria:

- The degree of stakeholder integration into project design
- The degree of preparatory context analysis (international, in-country)

Phase 2: Building the Stakeholder Partnership

The second phase has usually already started throughout the first one. Its primary aim is to build a stable core group for the partnership implementation and ensure that activities are implemented jointly as needed. At this stage it is important to more formally and jointly agree on goals and a detailed project plan.

In phase two, the initial core group (often the initiators of the partnership holding the intention) needs to be strengthened and complemented by a committed core group for implementation. This protects the partnership from being too vulnerable to unavoidable change of personnel; it also serves to strengthen individuals in promoting the intention of the partnership within their respective institutions. It enhances the learning and communication capacity, and thus the ability to solve difficulties. In a too loosely built partnership often only one partner commits seriously to implementation. Structures in partnerships should be kept “alive” or changed if they do not serve their purpose.

Relevant evaluation criteria include:

- Appropriateness and usefulness of structures and formal arrangements
- The degree of clarity of goal and project design for all implementing actors

Phase 3: Implementation Phase

This phase can be seen as the actual implementation of planned activities and includes the establishment of an internal partnership monitoring system to ensure results and learning. A decisive factor for both a successful partnership and tangible results is the degree of joint implementation (respectively sufficiently coordinated implementation) and the ability for joint review. This includes the:

- Degree of coordination and cooperation between project partners (internationally and in-country)
- Degree of integration of partnership approach and content in partnering institutions
- Degree of coordination with relevant external stakeholders/actors
- Results and impact (covered by 2.2.2)

Phase 4: Scaling-up or Institutionalisation Phase

Most partnerships aim at having an impact on something that lies beyond the actual sequence of planned activities. If that is the case, the partnership sees itself as a pilot that either aims at contributing to the establishment of the partnership intention in larger structures (e.g. government structures), the provision of lessons learnt on successful procedures or the transformation into an institution or official procedure.

A decisive factor for the success of phase 4 lies in how far steps have been taken to integrate new actors in time and allow them to participate in the success. Such actors are by far more interested in taking the idea further.

Relevant evaluation criteria include the impact on potential structures/bodies for scaling up.

2.2.2 DAC Criteria for the Evaluation

The following DAC criteria were used to evaluate the specific and overall impact of the project:

- Noticeable direct and indirect impacts in the macro, (meso – if applicable) and micro level (**relevance, effectiveness, developmental impact**), including unintended positive impacts and unintended negative impacts. Most relevant indicators:
 - Micro level: noticeable and measurable changes caused by projects/programs (data from interviews with supplier companies, Process Optimising Teams (POT), labour inspectors, project staff, consultants, related actors and relevant documents)
 - Macro level: noticeable changes caused by projects/programs (data from interviews with project staff, national steering committees, and other relevant actors)

Criteria and questions for the evaluation included the following according to GTZ standards:⁶

- Impact: The project's contribution to overarching development goals at the enterprise (micro level) and policy level (macro level)
- Effectiveness: Achievement of the project's objective
- Efficiency: Relation between the deployed resources and their impacts
- Relevance: Accordance of the project with the needs of the target group, the priorities of the political partners
- Sustainability: Examination whether the project's positive impacts persist further than the project's time-frame

⁶ GTZ 2008b: 2; see Appendix 2 for more detailed evaluation questions

3 Project description

Enhancing occupational safety and health (OSH) is one of the broad global aims of the International Labour Office (ILO). “At its 91st Session (2003), the International Labour Conference adopted a Global Strategy on OSH, which was designed progressively to improve safety and health in the world of work.”⁷

VW, being one of the worlds leading automobile manufacturers, has a long term tradition in Corporate Social Responsibility, and has become a member of the Global Compact in 2002, which forms a platform for companies which acknowledge their global social responsibility. In 2002 VW and the Global Group Works Council signed the “Declaration on Social Rights and Industrial Relations”, linking globalization with social responsibility. In 2003 VW further signed seven Group Values, of which sustainability is one.⁸

The German Gesellschaft für Technische Zusammenarbeit (GTZ) actively supports public private partnerships (PPP) towards societal and economic development aims in line with the goals of the German Ministry for Economic Cooperation (BMZ). The Programme Office for Social and Ecological Standards supports a variety of stakeholders involved in developing and implementing social and ecological standards and can be seen as an intermediary in dialogue with government agencies, the private sector, trade unions and non-governmental organisations. Cooperation between public and private actors in implementing voluntary standards is seen as an helpful instrument to enhance capacity for compliance particularly in countries where law enforcement in this area is insufficient.

The project “Global Compact and Safety and Health Culture – OSH and Supply Chain Management” was designed as a PPP between VW, the ILO and the GTZ, aiming at contributing to the Global Compact Initiative, as well as ILO OSH standards. In this way, both VW and ILO were furthering their organisational goals through the partnership. GTZ was drawn in as a partner, whose PPP Office as well as the Programme Office for Social and Ecological Standards had the experience and interest in supporting such an initiative.

The broad aims of the project were to enhance OSH standards within small and medium sized enterprises (SME) in the VW supply chain in three countries, namely Brazil, Mexico and South Africa. Beyond the direct impact at specific VW supplier level, the project also involved the national Ministries of Labour and their labour inspectorates. Through the involvement it was hoped that best practices from the project would be translated into national policies towards OSH standards and

⁷ Al-Tuwajjri et al 2008

⁸ Kristjansdottir 2007: 1-2



inspection practices in supplier companies; and a SafeWork⁹ action programme established in each country. Beyond that, it was aimed at contributing to the “UN Global Compact by creating business partnerships and alliances at local, regional, national and international levels”.¹⁰ This meant that the project aimed at

- a) influencing SME supplier companies from VW at micro level (in three countries);
- b) contributing to the development of national OSH best practices and policies through the Ministries of Labour and their inspectorates; and
- c) contributing to global exchanges on OSH practices.

Overall project management rested within the ILO SafeWork department in Geneva, which oversaw project implementation in the three respective countries. An overall Steering Committee was established, comprising of ILO, VW and GTZ representatives as well as social partners of the ILO tripartite alliance, the International Metalworkers Federation (IMF) and the International Organisation of Employers (IOE).

The country projects were managed by a National Project Coordinator (NPC) and a Project Steering Committee. VW took responsibility for implementation at supplier level.¹¹ GTZ provided funds to the ILO for project implementation, and also brokered the partnership agreements. Since the ILO was legally not able to enter a contract with a private company, two contracts were established between GTZ and VW, as well as GTZ and ILO, specifying the nature of the responsibilities of both partners. GTZ further agreed to take responsibility for the final evaluation Project. Contribution from each partner amounted to:

Institution	Financial Contribution
GTZ	€ 600 000
ILO	€ 200 000 (in kind)
VW	€ 300 000 (in kind) ¹²

The project was initially planned to be implemented within three years, from 2004 to June 2007. It was subsequently extended thrice, to December 2007, then June 2008 and finally November 2008.¹³

⁹ See ILO website: <http://www.ilo.org/public/english/protection/safework>

¹⁰ Frommann 2008b: 2

¹¹ Frommann 2008b: 2-3

¹² GTZ & ILO 2004/ GTZ & VW 2004

¹³ Frommann 2008b: 2

4 Evaluation Results

4.1 Overall Level Project management international level

4.1.1 Process management

Stakeholder setup (macro)

At international level, the project was initiated between the ILO in Geneva, Switzerland, and VW in Wolfsburg, Germany. The GTZ (Eschborn, Germany) was invited into the partnership, who facilitated the formal partnership between the three parties by signing a contribution agreement with the ILO and a cooperation agreement with VW in 2004, which defined the nature of the collaboration (as mentioned above, the ILO could not enter a direct contract with a private company). The GTZ further organized a facilitated planning process between the three parties, where the broad project goals and activities were designed.

The **roles** of the three partners were as follows:

- * The **ILO SafeWork** programme took responsibility for project management at international level, and channelled the allocated funds from GTZ (€ 500 000) for project expenses to the country projects. Further, the ILO agreed to contribute €200 000 in kind in the form of staff time, and in the beginning of the project, a technical advisor was assigned for the overall project management in Geneva.¹⁴
- * **VW** agreed to allocate at least € 300 000 for the implementation of the project activities, in the form of assigning qualified experts, conducting training and upgrading measures, and transfer of know how to VW suppliers.¹⁵ The VW branches in the three countries selected the supplier companies for the project, and invited those to become part.
- * **GTZ** facilitated the partnership in the beginning through the contracting of both partners and the facilitation of a planning workshop. Beyond that, the role of GTZ mainly focussed on funding project activities. It was further agreed that GTZ would take responsibility for the final evaluation (although ILO aims at conducting a separate evaluation, as well).

An Overall Steering Committee (OSC) was created, comprising of the main partners ILO, GTZ and VW, to which the partners of the ILO tripartite alliance, the IMF and IOE were invited to join. Unfortunately, the invitation came at late stage in the planning process, and had already caused concern from the IMF, expressed in a letter to the ILO in July 2004.¹⁶ Here, the representative of IMF expressed disagreement with the failure of the ILO to adequately consult its tripartite alliance

¹⁴ ILO & GTZ 2004, Contribution Agreement

¹⁵ VW & GTZ 2004, Cooperation Agreement

¹⁶ Hoffner 2004

partners in the planning process and the planned fact finding missions to the three countries. The IMF therefore at first opposed their involvement, and only relented at the end of 2004 to become part of the project. This in return delayed the first meeting of the OSC to the 19th of May 2005. In the first OSC meeting, it was agreed that IMF would nominate the national trade unions in Brazil, Mexico and South Africa.¹⁷

The IOE was in return requested to propose national employers' organisations in the three countries. The IOE representative stated in the interview, that his involvement in the project was minimal, and that he had not received any feedback as to whether his suggestions for organisations had been taken forward. Hence, he questioned the seriousness of the involvement of the tripartite alliance partners of the ILO. The IMF representative felt adequately involved in the project and had travelled to the countries to facilitate the involvement of trade unions.

Over the whole project implementation period, the OSC met four times¹⁸, where project progress was discussed. Here, several interviewees felt that the meetings had not taken place often enough to become meaningfully involved, and that invitations had at times only arrived a week in advance, hampering attendance from all partners.¹⁹ It should also be remarked that minutes of OSC meetings were not available except for the last meeting on July 14th, 2008 (which was the fourth meeting).²⁰

Project implementation

The SafeWork programme at ILO had initially assigned an overall project manager, who was also the main technical advisor to all the country projects. He travelled to the selected countries on fact finding missions in 2004, where he met with several potential project partners (see country reports below).²¹

The project manager was then responsible for overseeing the national project implementation and reporting to the OSC. He also travelled to the countries to take part in project activities and talk to various stakeholders. In several interviews it was emphasised, that the project manager from Geneva ensured the initial take off of the projects in the countries in the first year (from mid 2005). However, in 2006, due to insecurities about the extension of his contract, he resigned from his position at SafeWork. This led to a gap in project management, as his post stayed vacant.²²

In the following period, there was no clarity about the responsibility for project management until the role was given to the current SafeWork coordinator in April 2007. However, it appears that after

¹⁷ GTZ 2005: 6; 12

¹⁸ Meetings took place in Geneva, Berlin and Eschborn: May 2005, May 2006, November 2006 and July 2008 (Frommann 2008b: 4)

¹⁹ Interviews with IOE and IMF representatives, 26th & 29th August 2008

²⁰ ILO 2008c

²¹ Treichel 2004a&b

²² Interview Albracht 11.09.08

the initial period, when SafeWork prioritised its commitment to the project, less staff time has been allocated in the later years, leading to a gap in project steering capacity.

As mentioned in several interviews, the SafeWork programme generally has a high workload.²³ Hence, there was a lack of time and capacity to guide and oversee the country activities, which translated down into country level project management. It is also questionable whether there was adequate project management capacity within SafeWork. Interviewees from the social partners as well as GTZ bemoaned the lack of coordination from SafeWork, which hampered implementation as well as partnership collaboration. However, it was also mentioned by the ILO coordinator that this was not due to the lack of internal capacity, as this PPP was the only technical cooperation project within SafeWork, but rather that more resources and staff time should have been invested to enable proper project management.²⁴

In phase 1 of the project, stakeholders at international and national level were introduced to the project and their interest in involvement assessed. National Project Steering Committees were established including representatives from:

- * National ILO, GTZ and VW offices,
- * Labour Ministries/ Departments,
- * Labour Inspectorates,
- * Trade Union and Employers' Organisations,
- * National OSH/ CSR Institutes.²⁵

While there was stakeholder involvement in this phase, and an adaptation of the initial plan took place, it was mentioned in several interviews with national partners in both Mexico and South Africa, that a proper context analysis and consultation of stakeholders had not taken place. This in return made the local level ownership questionable, as partners were involved, but not able to change or adapt the project at local level. Furthermore the lack of an in-depth context analysis led to the implementation of a broad approach designed at international level, which had not been sufficiently tailored to local specific needs.

The lack of ownership and disabling of the local ability to steer and influence was further increased through the fact that no local strategic plans were developed for the overall period, which could have guided the annual work-plans. Instead, countries were requested to develop annual work-plans based on the international strategic plan. Finally, local ownership was disabled through the fact that the National Project Coordinators (NPC) and Project Steering Committees (PSC) had no insight into the budget available, as the budget planning was centralised in Geneva and no transparency was in place to inform the national projects about what was available to them per

²³ E.g. Interview Henry 26.08.08

²⁴ Interview Gifford 12.09.08

²⁵ Frommann 2008b: 4

annum. Costing for the annual work-plans therefore had to be done without a suitable framework or ability to influence budget items. Furthermore, interviewees from national level ILO stated that ongoing expenses for small budget items such as stationery still had to be requested from Geneva each time those were needed, disabling a smooth running of the project.

After the establishment of the PSC and appointment of the NPC (in phase 1), phase 2 of the project implementation began, where interdisciplinary Process Optimising Teams (POT) were set up in the countries to carry out Process Optimisation Consultations (POC). The POT were comprised of

- * The NPC
- * Labour Inspectors
- * VW OSH experts
- * VW process optimising/ product quality experts²⁶

POC were carried out with selected supplier companies according to VW OSH standards in line with ILO OSH standards. The innovation aspects of the POC in relation to general labour inspection practise included a more in-depth OSH assessment over 1-2 days by a team of people, who emphasised the consultation-role of labour inspection rather than the policing-role. Further than that, the processes meant to be designed and operated jointly with different stakeholders in a preventative manner, by assessing occupational hazards, rather than only reacting after an injury has taken place. Another progressive aspect of the POC process was the involvement of HIV/AIDS aspects (in South Africa an additional HIV/AIDS programme was implemented 18 months after the POC).

The POC process included information workshops for supplier companies and training workshops for the POC team members and labour inspectors on good OSH practices. Beyond the POT, training was available to other labour inspectors.

Phase 3 of the project then aimed at carrying the outcomes onto a macro level, by making best practices derived from this project available to a wider audience of supplier companies, labour inspectors or generally people in need of OSH information through an internet-based Preventive Service System (PSS) based on the German KomNet system. The PSS was intended to be housed within and owned by the Labour Ministries at National level. Secondly, a telephonic call centre was planned to make expert advice available through the participation of the Labour Inspectorates. While there was consultation at national levels for this phase, it had been planned and designed at international level before ensuring its feasibility through national ownership.

²⁶ Frommann 2008b: 4

Beyond that, each VW supplier was meant to have a process oriented OSH management system in place after having taken part in the project.

Furthermore, the project planned the development of an international guideline for OSH management in the supply chain, which should become a source of information for multinational companies.²⁷

Appendix 8 provides a full overview of the Project Planning Matrix developed in 2004. Some of the planned objectives and activities will be only referred to in the country reports.

Results & Outcomes

The international level results in the first phase of the project are specifically relating to Results 1, 2 and 11 of the Project Planning Matrix (PPM; see Appendix 8).²⁸ Further results and outcomes will be discussed at country level, as most of the aims were targeted there. Here, the international level results can be briefly summarised.

Result 1: The three partners have agreed on a detailed project planning and implementation process. This task was finalised. While the initial idea needed to be developed by the core group, it is questionable whether the detailed planning should not have involved further stakeholders. The PPM clearly states that the project needed to be clearly defined and detailed from the onset, including roles and activities of all partners, participants in the steering committees, the approach at enterprise level and the knowledge management approach.²⁹ This approach to project planning clearly inhibited a higher level of participation and ownership from the other partners of the tripartite alliance as well as national levels. It also became impossible to locally adjust the project at national level, since the project results were already clearly defined.

Result 2: The participating countries are defined. The countries were selected, which had to be countries in which VW operates. Country contracts are not known to us and were not available at country level (as specified in the PPM). The planned extension of the project into China was not considered after the project began facing challenges in the three selected countries already.

The partners also established an OSC at international level, which meant to oversee the country activities and guide the overall process. Further, this committee together with the project manager at international level should have taken the role of translating the learning from the country experiences onto an international level and making it available to other stakeholders, e.g. from the automotive industry and other industries.³⁰

²⁷ Frommann 2008b: 5

²⁸ GTZ 2004a: 7-8

²⁹ GTZ 2004a: 7

³⁰ GTZ 2004a: 5-6

There were several conferences where a presenting and sharing of the project approach took place.³¹ What was missing, however, was a more in-depth learning of the project process and outcomes, which would have led to a more substantial sharing of best practices as well as critical issues arising from the project implementation. For this to happen, more engagement would have been necessary at international level, which was hampered by the gap in project management, and the relatively weak involvement of the OSC through few meetings, in which there was often not enough information available to fruitfully engage with.³² It was also questioned whether the institutional arrangement with the ILO holding project management responsibility was suitable, since the ILO usually works in a normative way, providing technical advice. It could, however, on the other hand have been beneficial to combine technical assistance and project management in one institution, if the capacity had been in place.

Result 11: The evaluation was undertaken by an independent consultant team. Its results are published in this report. Although it was agreed upon all project partners that GTZ is responsible for the valuation some interviewees questioned why GTZ was solely responsible for the evaluation and for setting the evaluation focus, while this could have been a collective task planned and undertaken by the three partners.³³ This might be a result of the weak partnership as described in the following partnership assessment.

4.1.2 Partnership Assessment

Phase 1: Exploration and Consultation

The first core group of the three PPP partners ILO, VW and GTZ engaged in a planning process and country missions took place to consult local stakeholders. However, it is questionable whether this phase was given enough attention, as both at international level (IMF and IOE) and at National level, the degree of engagement of future partners was seen as insufficient.

The letter from the IMF (see above), complaining about not having been included in the initial process, already points to a process, where core decisions were taken and strategic plans designed, before other main stakeholders were involved.³⁴ This may mean that others were rather co-opted than invited as equal partners who can co-create the design.

This can in return also lead to a lack of full engagement and support from such stakeholders, as their degree of influence is minimised and they feel that the project design is imposed by the main

³¹ Toronto Conference 4/07; Duesseldorf Conference 9/07; UN Global Compact annual review 2007; IALI Conference in Adelaide 3/2004; OECD-ILO Conference in Paris 6/08; see also ILO 2007, ILO 2008a&b

³² Interview Scholz 25.08.08

³³ Interview Henry 26.08.08, Interview Wissing 21.08.08

³⁴ GTZ 2005.



partners. The same may count for the country level, which will be discussed in chapters 4.2 and 4.3.

Phase 2: Building the Stakeholder Partnership

In this phase, a strategic design was finalised with the help of GTZ, and contracts formalised between GTZ and the other two partners in order to clarify roles and responsibilities including financial commitments.

What may have been insufficient is the level of formalisation and clarification of roles and responsibilities towards the national levels. This is particularly clear in the lack of local contracts, strategic documents and local ownership regarding the future of the project. Hence, it seems that the setting up of national steering committees was guided by assumptions regarding local ownership and commitment, rather than clear agreements and formal embeddedness of the project in local structures. While there was an expectation that the responsibility for implementation lay with the country partners, the necessary authority was not handed over from the international level, leading to an imbalance between authority and responsibility (as they rested in two different places).

The lack of support towards the project within SafeWork after the initial coordinator left also points towards a missing institutional commitment within SafeWork. Here, it is possible that the project was carried by individuals who initiated it, but was not integrated to a degree of being supported beyond their presence in the organisation.

The project initiators most probably missed the opportunity to create a committed core group of partners (internally within organisations as well as externally amongst the stakeholders) who could work towards the success of the project collectively.

Phase 3: Implementation Phase

The project partners understandably focussed on the implementation of the project activities which had been planned. Nonetheless, in such a PPP process, attention could also have been given to the partnership itself in order to monitor the degree of coordination and collaboration. Clearly, this was attempted through the OSC and through the role of an overall project coordinator. However, when the project was not running smoothly and proper reports were missing due to the lack of project coordination from ILO SafeWork, it was difficult for the other project partners to identify an appropriate staff at ILO to address the problematic situation. This lack of project steering capacity translated down to country levels, where the lack of guidance was felt.³⁵ It finally led to a loss of motivation in all partners involved at international and national levels, as the initial excitement for

³⁵ Interviews ILO 5.09.08



the project diminished with the increased disappointment about the way it was managed and implemented, including the lack of communication between the partners.³⁶

Phase 4: Scaling-up or Institutionalisation Phase

The lack of proper reporting at the OSC level also inhibited a learning process from the project at international level, which could have informed cross country learning and scaling up as initially envisaged.³⁷

4.1.3 Assessment according to DAC criteria

The assessment according to DAC will be mainly described at the national levels only, as most are more applicable there. However, the following will be briefly established at international level:

Impact: The impact can be measured at national level only.

Effectiveness: The project has reached many of the milestones in the two countries, but has all in all not been implemented to the degree in which those were envisaged in the PPM (see country reports). Especially the envisaged outcome to implement national policy strategy at macro level could not be achieved.

Efficiency: It turned out to be rather difficult for the evaluation team to obtain an overview of the final budget and expenditure over the period of the project implementation. Finally, ILO Geneva provided a budget statement until December 2007.³⁸ Here it is listed that the ILO received €369.000 over the whole project period until December 07, amounting to US\$508.548 including interest. Of those, \$313.909 was spent, leaving a balance of \$194.639 open in December 2007. It was requested with the same statement to extend the project until December 2008. It is not clear whether the amount will be spent by the end of the project period in November 2008. There is, however, the remaining €131.000 of the overall budget available to ILO, which seem to be unspent. There were no budgets or expenditures available to us in which the planned in-kind contributions of VW and ILO were specified.

It appears that the project under-spent at least €131.000 from GTZ despite the three extensions in time. This points towards the issue of “in kind” contribution from the ILO, where the lack of internal time and resources hindered an adequate management of the project, including the implementation of activities and budget expenditure within timeframes. Ironically, at national level it was mentioned in several interviews that the budget available was not known, and that generally there was an impression that not enough money was available for more in-depth processes.³⁹

³⁶ According to several interviews at national and international levels

³⁷ GTZ 2004a: 6

³⁸ ILO 2008d

³⁹ Interviews ILO 5.09.08; Ncube 4.09.08 & Cawse 4.09.08



Relevance: All interviewees unanimously stressed the relevance of the project and their interest and motivation in supporting it. The issue of OSH is seen as a high priority both at the international OSC level, as well as in the country interviews. However, it is questionable whether the project was sufficiently integrated in national initiatives in the same field in order to achieve a higher degree of support.

Sustainability at this point in time is questionable beyond some of the changes that were implemented at micro level (in the companies), and capacities imparted to labour inspectors. At a policy level, the project has not reached the degree of integration in order to be sustainable. And due to the externally driven approach, it is questionable whether further collaboration between the stakeholders will take place at country level to further the project objectives, although motivation to do so was expressed by national partners such as labour departments.

Nonetheless, changes in awareness and in some of the local practices may persist (see country reports).

4.1.4 Recommendations

It is recommended for future projects that more attention should be given to the **establishment of a stakeholder core group** (network) through the development of trust and good relationships. This includes the early involvement of alliance partners (IMF and IOE), other relevant stakeholders and country representatives. Since the success of such an initiative depends on the strong support from the relevant partners at country level, those should have had a much higher degree of ownership over the planning process, resources and learning from the project. **Opening up the visions and strategies of the initial core partners** to be further shaped and owned by the relevant partners could have given the project a stronger foundation to be carried further than what was achieved in the time frames, as well as be sustained beyond the project lifespan. This involves the **decentralisation of the project** to enable partners at country level to design and tailor the local strategies and control budgets. It could have also **involved the national partners in the overall strategic planning**, so that **cross country collaboration** would have begun at that level.

Clear contracts or memoranda of understanding should have been developed at country level in order to ensure that expectations are clarified and understood, and stakeholders can be held accountable at later stages. **Clarifying roles and responsibilities** and upholding those (or holding others accountable) could have remained part of the process over time, in order to monitor **and assess the success of the partnership**.

Clear **leadership and management capacity** needs to be ensured at international level. From the side of the ILO SafeWork, the commitment to provide in kind contributions needs to be further examined. Ideally, the organisation needs to **free enough time and resources** internally in order



to ensure proper project management. Alternatively, SafeWork needs to improve its **ability to project manage.** High turnover and vacant positions over long stretches of time, while partners had to rely on one's contributions, need to be avoided through **clear financial commitments** to support such a project at an institutional level.

Finally, the **harvesting of learning** from the country projects, including **knowledge transfer and feedback mechanisms** from micro to macro at national level and from national to international level and beyond need to be ensured, in order to meet the high targets of this project and make the learning available to others. This however means going beyond the reporting at conferences, and involved **action learning at project level** in order to develop the approach over time into a **variety of "best practices" in different contexts.** Given the scope of the project as it was initially planned and its potential impact, if managed well, one would have expected the appointment of a (possibly) **cross-sector secretariat** coordinating and supporting implementation, communication between international and national level as well as cross-country learning.

4.2 South Africa

4.2.1 Context for Project Implementation

OSH is understood as a high priority in South Africa, and the project was welcomed and seen as relevant by the stakeholders. Although the Department of Labour (DoL) focuses more on other sectors regarding OSH, such as mining and farming, the automotive industry also plays a significant role in South Africa.⁴⁰

Southern African countries lack "comprehensively structured OSH institutions that operate under a rationalised integrated structure."⁴¹ OSH structures mainly operate as inspectorates, are often fragmented and implement a purely legalistic approach.

ILO conventions have not been domesticated to enable a systematic approach, which can provide guidelines to government, employers and workers organisations. This has in turn led to a lack of comprehensive and operational OSH programmes at national level, and a need was seen for the benchmarking of operational programmes for labour inspection, HIV/AIDS and OSH through an integrated structured approach.⁴² However, the labour inspectorate in South Africa was, as the project began, in the process of integrating the labour inspection system through the merging of two relevant acts.⁴³

⁴⁰ Interview DoL 4.09.08

⁴¹ Ncube 2005: 4

⁴² Ncube 2005: 10

⁴³ Treichel 2004: 2

A further challenge in South Africa is posed by the lack of staff in the labour inspectorates and their often limited capacity in OSH inspection.⁴⁴

The project therefore aimed at reaching both the level of labour inspectors by developing their capacity, as well as developing an OSH approach for SMEs that can inform national policy and enable the development of suitable structures for implementation.

4.2.2 Process management

Stakeholder setup

The national project was comprised by the stakeholders that represented the national counterparts of ILO, VW and GTZ, as well as the tripartite alliance partners of the ILO – the relevant trade unions and a business association, the Business Unity South Africa (BUSA). Trade unions included the Coalition of South African Trade Unions (COSATU), the Federation of Unions South Africa (FEDUSA), the National Council of Trade Unions (NACTU) and the National Union of Metalworkers South Africa (NUMSA).

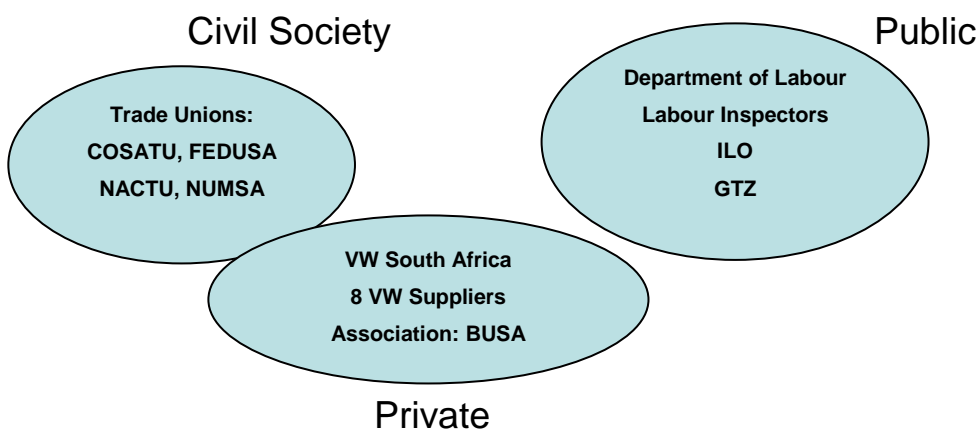


Figure 2: Stakeholder Setup in South Africa

In a country mission by the ILO representatives to South Africa in 2004, further stakeholders were consulted, of which not all became part of the initiative. A letter stating the commitment to this project by the Minister of Labour ensured the support from the DoL. In initial conversations with the Labour Ministry and trade unions, it was suggested to house the Project Steering Committee (PSC) within the structure of the National Economic Development and Labour Council (NEDLAC), the South African tripartite body for trade unions. According to the mission report, it was

⁴⁴ Interview Labour Inspectors 2.09.08

subsequently decided to house the project within the DoL or as a separate project committee within the ILO offices.⁴⁵ The latter solution was finally implemented. This decision to create a separate project committee, which is not integrated in a local structure probably gave the body more freedom to act, but through that also remained disconnected from local structures which would subsequently be responsible for the sustainability of the project.

The PSC was created, with representatives from ILO, GTZ, VW, DoL, BUSA, COSATU, FEDUSA, NACTU and NUMSA. A National Project Coordinator (NPC) was appointed, who was housed by the national ILO office. The PSC was meant to oversee and guide the project implementation, which the NPC managed on a daily basis. Furthermore, the NPC would develop annual work plans and budgets, which the PSC would approve of, to then be sent to ILO Geneva for final approval.

Through this setup, the ILO in Pretoria took over main responsibility for project management and the appointment of the NPC. VW took responsibility for project implementation at local level and the selection of 10 supplier companies, of which 8 participated in the POC process. They ranged in size from 21-1200 employees⁴⁶, and supplied VW and other companies in the automotive industries, working in the production of parts (metal, rubber), logistics, as well as cleaning. GTZ, according to interviews⁴⁷, played no prominent role at country level implementation and hardly participated in PSC meetings. For the implementation of the POC at supplier company level, POTs were developed with participants from

- VW OSH experts (from South Africa and Germany),
- Labour Inspectors, and the
- NPC.

Further than that, consultants were invited to guide the POC process (Matthew Ncube, OSH expert) and a later HIV/AIDS programme (Jill Cawse, HIV/AIDS expert).

When asked about the beginnings of the project and stakeholder setup, several interviewees felt that the project was presented to them, and that they had agreed to participate due to its relevance. When asked about their level of participation in the design of the project, it came clear that the degree of stakeholder involvement did not include their co-designing of the project. In this way, stakeholders were initially consulted in meetings, but no process followed, in which local stakeholders could have influenced the design properly. Local partners were given the mandate to support this project by their superiors or their international structures, but could not co-create what had been brought to them. In this way, the project was seen by several interviewees as top-down

⁴⁵ Treichel 2004: 2

⁴⁶ Cawse 2007

⁴⁷ Interview Kallinowski 20.08.08



and donor-driven, inhibiting a more in-depth stakeholder and context analysis and consultation, which could have resulted in higher local ownership.

Reporting and accountability was expected to happen upwards to the international structure, but no feedback loops were built in to inform the national structures about the international level or other countries. Several interviewees asked the external evaluator whether she had seen the budget, as they had not, and whether she could give them an overview of what was happening in the other two countries Mexico and Brazil. This clearly points to the lack of communication and accountability towards the national structures.

The project further suffered from the lack of a NPC between 2006 and 2007. The first NPC resigned from her post, and it took the ILO office in Pretoria about one year to find a replacement. This is at first glance a neglect of the ILO office in Pretoria, but in interviews it was also clarified that the lack of support and approval for appointing a new NPC from ILO Geneva unnecessarily delayed the process. This points to the disabled leadership of the NPCs and PSC at country level, who could not oversee and use their budget as needed in the process.

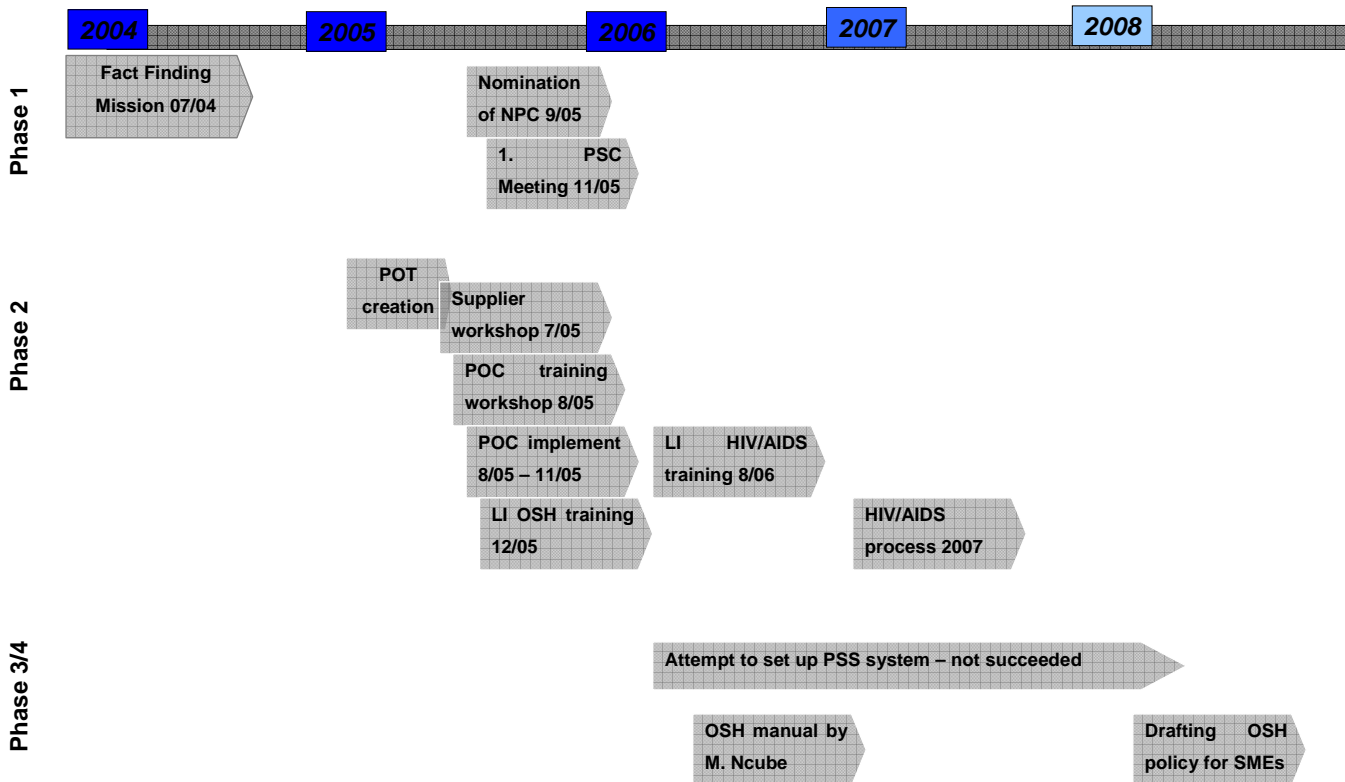
Similarly, many interviewees point to the lack of project management from the NPCs that were appointed, and frustrations were expressed about dragging processes and unprofessional conduct. Those complaints are valid, but need to also be seen in the context of a disabling environment, where the NPCs were in fact not given the authority needed in order to fulfil their responsibilities. This was increased through the direct interventions from the Geneva ILO office at several stages, where project partners were met at country level or consultants assigned, without involving the national ILO office.⁴⁸ The bypassing of local structures was a further sign of them not being in charge of the project.

Project implementation

Since the project implementation phase was described in the report of Frommann (2008b) and report by Loselo (2008b), it will not be listed here again. The timeline below shows the various activities, which will be commented upon regarding the evaluation findings.

⁴⁸ Interviews ILO 5.09.08

Project Activities South Africa



After the fact finding mission in 2004, the project took off in 2005 with the implementation of the POC activities in Port Elisabeth, including the

- selection of suppliers and an information workshop for them;
- the setting up of the POT and training workshops for the team,
- the POC process in 8 supplier companies and follow-up visits, and
- training for 30 labour inspectors in OSH.

VW drove the implementation of the POCs successfully with 8 supplier companies with the help of the OSH consultant Matthew Ncube and VW staff from Germany, and the involvement of provincial labour inspectors (LI). All parties involved in the POC, the labour inspectors, VW specialists and the companies, felt that the POT was excellent and collaborated extremely well. Interviewees explain this as partly due to the excellent facilitation, partly because the individuals involved were open to collaborating and learning. Both VW and LI commended the cooperation as very positive. It appears that the external facilitator had to guide and take responsibility for the process, as the PSC was only set up later in the year, as well as the appointment of the NPC.

The HIV/AIDS project in 2006/07 was initiated and run by VW at a later stage, when ILO was facing issues in managing the project in the period of not having a NPC. A budget for training was provided from ILO upon request by VW, while the South African Business Coalition for HIV and

AIDS (SABCOHA) and VW were co-funding the initiative, and the Department of Health provided voluntary counselling and testing (VCT) kits. The HIV/AIDS expert was responsible for the implementation of the programme. Here, the question arises whether this project still had to do with the initial partnership at all in its implementation. The expert explained in the interview that she was never given any process objectives, and had to develop them herself. Neither did any party show any interest in the learning drawn from the implementation. She also wondered why the HIV/AIDS component had not been facilitated as an integral part of the POC process, instead of returning to the companies after 18 months. She also mentioned that several companies were resistant to participate, as they had assumed that the project had ended.⁴⁹

Similarly, the training of 30 labour inspectors in OSH, and later in HIV standards were separate activities. From the 30 LI trained, 10 are still working as government LI, others have left into the private sector or other positions. The issue of retaining staff was mentioned by the LI, as with training received, individuals choose to rather seek better paid work opportunities.

The PSS system was initiated in 2006, but lost momentum when the NPC left. In consultations it had been decided to implement a system that is not only internet-based, as internet access is not widely spread in South Africa, but to combine it with a call centre where one can access expert advice and best practices in OSH management in SMEs. Up until 2008 it was attempted to implement the system without success. Reasons given for failure are the DoL at national level not responding to the request to house the PSS. The DoL in return commented by confirming commitment to the project, but that it still needed to internally clarify the implications of housing the PSS system, and that such implications had not been discussed or clarified with the project partners at the onset. In this way, assumptions had been made about the sustainability of the PSS system within the DoL without having verified those in time.

As a last step, an OSH sample policy for SMEs was developed in a workshop with the NPC and LIs. The OSH manual developed by an external consultant⁵⁰ is seen as excellent by VW staff, but it is not self-explanatory and cannot necessarily be used by people or companies who have not been part of the training process (which the facilitator himself mentioned as well).⁵¹

Results & Outcomes

In the following, the results of the PPM will be listed and achievements commented on⁵²:

Result 3: The project framework is in place (1. High level tripartite PSC; 2. NPC assigned; 3. international consultants assigned). Result 3 was fulfilled in that the NPC, PSC and consultants

⁴⁹ Interview Cawse, 3.09.08

⁵⁰ Matthew Ncube

⁵¹ Interviews VW 1.09.08; Ncube 3.09.08

⁵² Summarised from GTZ 2004a: 8-11; see Appendix 8

were assigned; however, with the establishment of the PSC and assignment of NPC after the POC process.

Result 4: Methodology for an initial, holistic inventory of a labour system created. A methodology was developed as stated in the GTZ report from 2006⁵³, however, this methodology refers to the POC process implemented with 8 supplier companies and not an overall inventory at national level.

Result 5: Inventories and analyses took place. In South Africa a mini-OSH profile was established, identifying a deficit in the field of SMEs. According to interviewees, a proper inventory is still outstanding.⁵⁴

Result 6: LIs have received training and trainers have been trained. 30 LIs have been trained in OSH measures including HIV/AIDS; and a separate HIV/AIDS training was provided in 2006 for the same LIs. Both facilitators complained about having to conduct the training over about 1 week only. The OSH trainer felt that 3 weeks would have been more adequate in order to train trainers in all the relevant fields. This request was rejected by the first NPC.⁵⁵

The Labour Inspectorate in the Eastern Cape is continuing to train LI and is looking at raising salary levels to retain staff. The Labour Inspectorate has taken responsibility for changing its approach towards becoming more consultative, although enforcement is still seen as important in serious cases. Consultations on HIV/AIDS have also continued. It was mentioned though, that such in-depth consultations over one or two full days, as they had been implemented in the POC, were only possible because the supplier companies obliged to VW. General labour inspections are only allowed for a few hours, and can never have such an in-depth engagement. Furthermore, what the LI understood as a factor helping the success of the POC is the participation of top-management levels. Once those are convinced of the benefits of sound OSH systems, the company will invest in those. Generally, LI do not get to talk to top managers, although they are now trying to reach them as they understand the importance. One issue mentioned, however, was the difficulty of LIs returning to the supplier companies, as they had promised a consultative approach in the POC process and were not expected to return with legal enforcement.⁵⁶

Result 7: An audit system to analyse risks at the workplace for a quantitative and qualitative survey of work-related accidents and illnesses is developed, covering HIV/AIDS The most successful and commended aspect were the POCs in the supplier companies, which were seen as very positive and helpful by all parties involved. Supplier companies benefited from the process, if they were open towards improving their standards and the process took place at a good time for them. One company (S&N Rubber) was not open to changes and claimed to already have had

⁵³ GTZ 2006b: 7

⁵⁴ Interview Mathlodi 5.09.08

⁵⁵ Interview Ncube 3.09.08

⁵⁶ Interview Labour Inspectors 2.09.08

good enough OSH-standards (a view which was not shared by the labour inspectors).⁵⁷ The POC team was not allowed to return for the follow-up visit. The same company was not very successful with the HIV/AIDS programme although it was implemented (the VCT turnout was very low), which the HIV/AIDS facilitator explained as due to a lack of support towards and facilitation of the process from management.⁵⁸ Other companies welcomed the POC approach and were positively surprised by the efficiency and supportiveness of the POT. Here, two companies implemented huge changes in a short period of time (Accoustix and ZEUS). Another company (Univel) was already having high standards and in the process of getting OSH 18000 registration, when VW approached them. The process did therefore not initiate OSH measures, but was seen as helpful in that the company could access more advice and support in how to improve things. The mentioned company is part of a multi-national corporation and therefore obliged to implement a high level of OSH standards.⁵⁹

Result 8: National SafeWork Programmes are created and/or further developed, specifically addressing labour inspection and OSH. For the Department of Labour (DoL) at Provincial level the project was seen as very useful, and the new approach appreciated. A new OSH act for SMEs has been drafted. It is however open how the approach will be further developed, as so far the learnings have not had any substantial impact at national level.

A recommendation made by the Eastern Cape (EC) DoL to include HIV/AIDS into the labour inspection policy is still pending, as the provincial DoL does not have the influence needed to change legislation at a national level. The changes in the approach of the EC Labour Inspectorate are specific to the EC, and have not influenced general South African labour inspection practises, as it has initially been planned. Hence, there was no real transfer onto National Level as initially hoped, and LI-interviewees felt that the absence of the National Labour Inspectorate in the PSC is part of the reason.

Result 9: A health and safety recording/reporting system is created. An OSH supply chain management policy for VW suppliers is created. The PSS was never implemented, which was seen as a failure by many interviewees, who felt that it would have been relevant.

The manual by the external consultant Matthew Ncube has been reworked⁶⁰, although it was not possible for the evaluators to receive the new version.

Result 10: The OSH performance of VW suppliers is improved in a sustainable manner. ILO Guidelines for suppliers in OSH are developed. According to the supplier companies, the implemented standards from the POC process were maintained. VW or ILO never did any follow up after the 2005 POC process and had no information about whether standards had been

⁵⁷ Interview S&N Rubber 1.09.08

⁵⁸ Interview Cawse 3.09.08

⁵⁹ Interviews Accoustix, Zeus 1.09.08; Univel 2.09.08; Labour Inspectors 2.09.08

⁶⁰ Interview Ncube 3.09.08



maintained, and LIs did not return either. This evaluation could only verify the statements of the companies to the degree of being shown some of the changes implemented. However, this cannot be counted as a proper assessment, and standards would have to be measured against the POC outcomes from 2005.

The OSH policy document was developed as a final result, although not with the involvement of supplier companies.

Result 11: An evaluation of the programme makes statements of the success of the project and describes the impact of the project. The result is being implemented with this evaluation. The project had begun with high aims, which over time were reduced and minimised. In this way, the project had some successful activities at micro level, while at macro level not much could be achieved (and there were no meso-level initiatives).

4.2.3 Partnership Assessment

Phase 1: Exploration and Consultation

Although an initial country mission took place, there was no proper stakeholder engagement, nor a thorough situational analysis done. Several interviewees from various stakeholder groups confirmed that this project was externally designed and driven, and therefore could not be rooted and owned locally or be tailored in a way that responds to specific needs.

Although the project was implemented in a fairly top-down way, by planning it at an international level between the three main partners, and then introducing it to the national organisations, it was seen as relevant and useful by all involved, as well as suitable in the local context. Therefore, there was general support from all sides.

Several interviewees felt that the initial lack of stakeholder engagement led to the lack of ownership thereafter. There was a country mission, where the SafeWork project manager consulted different stakeholders, but there was no process that actually brought the stakeholders together at the beginning of the project to ensure they would co-create as well as co-own it. Through this, there was not enough support locally, which finally hampered the sustainability of the project. This is particularly unfortunate regarding the translation of project learnings onto a National or policy level. Interviewees suggested that trade unions, BUSA, and other relevant government departments such as Department of Health and Department of Environment, as well as the National Labour Inspectorate should have been involved at the beginning in a consultative process. It was also suggested that higher level officials should have been invited who could influence policy change.⁶¹

⁶¹ Interviews Ncube 3.09.08; Loselo 4.09.08



Phase 2: Building the Stakeholder Partnership

Little awareness and resources went in building a stable partnership on national level. The PSC is seen as a positive aspect where roles were generally clear to everyone. However, interviewees felt, that the PSC did not have true decision making powers, and the role of oversight was disempowered by the actual oversight from Geneva. In this sense, while members of the PSC stated that their roles were clear to them as giving guidance to the NPC and overseeing the project, no-one felt that there was real space to influence the project in its design.

It is criticised from different actors that ILO did not play their role of coordination well. There is a general disappointment with the ILO for not being more proactive. According to several interviewees, the first NPC was not contributing sufficiently to project implementation, reasons for which are described by interviewees as the lack of time and resources. When after one year, the new NPC⁶² was appointed, she had the difficult task to take over a project that had not been managed well. However, even now several interviewees perceive a lack of professional project management from the side of the ILO office.

This point, however, is given a different angle by the South African ILO office. The perception is that the national office had been disempowered from the onset in their ability to meaningfully manage the project, because it was planned in a centralised manner, and so was also the execution thereof. It was stated that the National ILO office did not have any insight nor control of the budget, and that there was no national strategic plan, that could have tailored the project to local needs. As a result, every little budget item like stationery had to be requested from Geneva. Annual work-plans had to be developed by the NPC with the approval of the PSC without any knowledge about how much money was available. In this way, the national level never knew whether the activities could have been increased and the budget extended. There was generally only feedback if expenses were costed too high.⁶³

Phase 3: Implementation Phase

The PPP was implemented by the different partners, but not necessarily as a partnership. On a local level, it seems that each partner played its role more or less satisfactorily, but without trying to integrate the different activities.

In this way, VW implemented the POC before the PSC was established or NPC appointed. At a micro (supplier and labour inspector) level, there were positive results without necessarily connecting to the macro (national, policy) level. Linkages between the activities were not utilised, and much of the learning not harvested. Generally, most interviewees did not have written

⁶² Mathlodi Loselo

⁶³ Interviews ILO 5.09.08



materials or information about project activities and outcomes, and it was difficult for the evaluator to get reports.

According to several interviewees the SafeWork project manager⁶⁴ often bypassed the national ILO office and directly interacted with VW SA and hired consultants for the project. This may have facilitated project implementation but also led to the national ILO office questioning their role in general. They also criticised that all consultants came from Germany/Europe, and no local consultants could be sourced who would rather understand the local context.⁶⁵

Centralised planning and budgeting (as mentioned in the international level chapter) inhibited a smooth implementation of the project and the ability to locally shape and adapt the project needs. ILO SA also explained their difficulty in sourcing co-funding for certain activities, if they did not know what their own budget was. The DoL often requested to know the available budget for planned activities before it could commit to co-fund, but the South Africa ILO office failed to provide it as it had not been handed down.

The project relied heavily on the expertise of the two external facilitators/experts who were both concerned with the quality of the process and therefore decided to take on more responsibility in a situation where national coordination was insufficient. Their impression was that recommendations for implementation adjustments were not taken forward. Both facilitators felt that the project could have been implemented more effectively. They had, for example, suggested to implement a more in-depth and longer training course to achieve more sustainable results, but were told that there was not enough funding available. Both facilitators had the impressions that there was a lack of interest in translating learnings into future processes.⁶⁶

The separation of the POC and HIV/AIDS process was seen as problematic, as it caused resentment in the supplier companies, and points towards the lack of an integrated approach. Towards the end, it seemed that it was rather attempted to quickly implement outstanding activities.

Phase 4: Scaling-up or Institutionalisation Phase

The lack of integration of the NPC and PSC into local structures such as the DoL (or NEDLAC), separated the project from those who were subsequently responsible for the sustainability of it.

The approach was perceived as externally-driven and therefore may have undermined the proper involvement of the DoL. Although the Minister of Labour had signed an initial agreement of support, and the DoL was in the task of supporting this project, there had not been a proper clarification as to how far the role of the DoL would go in ensuring the success of it. There were

⁶⁴ Bernd Treichel

⁶⁵ Interviews ILO 5.09.08

⁶⁶ Interviews Cawse & Ncube 3.09.08

assumptions by the project that the DoL would house and finance the PSS system. However, the evaluators doubt that the implications of such a commitment were sufficiently clarified from the onset with DoL. Hence, the support was there, and DoL interviewees also expressed their Department's interest in supporting such a relevant project, but the financial and logistical commitments were never clarified.

The failure of the PSS aspect is seen as a disappointment particularly by the labour inspectors, who felt the need for an advisory system. Currently, it is hard to find the right source for OSH information, and the DoL website also does not provide any. The Eastern Cape Labour Inspectorate even suggested hosting the call centre in their department if the national DoL would decline. Similarly, in the first meetings of the country mission in 2004, both BUSA and the Chamber of Commerce and Industry South Africa (CHAMSA) had offered to host the internet platform, and it remains open whether this offer could have been taken up again.

It is questionable that – after only few project activities through the POT - there can be talk of best practices for the PSS system. VW interviewees also suggested that at least three companies from every supplier sector in the automotive industry should have been audited by the POT, to have a better sample of cases. This would then still have to be extended into other supply chains.

4.2.4 Assessment according to DAC criteria

Impact: On a systemic level, the PPP process initiated various activities that were not well integrated. Nonetheless, they had an impact in as such as various stakeholders at micro-level took the opportunity that was provided and further developed activities or maintained standards on their own behalf. In this sense, the process was initiated at a time when it was relevant to and needed by various stakeholders, who then committed their own time and resources in taking it further.

Effectiveness: The project has achieved its milestones at a micro level, although it is questionable whether more supplier companies could have been reached (it was agreed in the beginning to reduce the initial goal of 80% of the supplier companies in the country, but it is questioned whether 8 companies can provide enough data for best practices). On a macro level, the scaling up of the project onto a policy level, and the PSS system were not achieved.

Efficiency: Since the evaluators were not given proper financial documents for country level budgets and expenditures, it was close to impossible to measure the efficiency. The centralisation of the budget is however seen as leading towards more inefficiency, as budgets could not be utilised or accessed as needed.

Relevance: all interviewees at national level stressed the relevance and necessity of the project. Any failures in implementation can therefore not be connected to a lack of relevance.



Sustainability: since the project was not fully owned at a national level, its sustainability is questionable. It therefore could not be scaled up to a macro level. At a micro level, several changes were perceived that could remain sustainable. The initiated activities therefore became several self-organising systems:

- The Labour Inspectorate of the EC increased internal capacity and changed its approach,
- VW carried the process forward as planned although the partners were not supportive,
- The facilitators took personal responsibility for the project, and
- Some supplier companies took the opportunity to better their OSH standards.

The project functioned as a catalyst. The opportunity to be part of the project is seen as very valuable, and new approaches were eagerly absorbed.

4.2.5 Recommendations

As on the international level, the establishment of the partnership itself needs to be given enough attention in order to ensure a smooth running of the project. This runs through the different phases of partnership management, such as the initial stakeholder consultation and the setting up of a core group, through to monitoring and evaluating the partnership over time. The lessons learnt from the project implementation in South Africa lead to the following recommendations:

- As mentioned at the international level, in future projects the **degree of local stakeholder consultation and context analysis needs to be increased** in order to ensure local ownership and sustainability of the project beyond the project period.
- This entails holding the **initial project concept flexible enough to enable local partners to create a locally suitable implementation strategy**.
- This also includes a more in-depth context analysis to **ensure all relevant stakeholders are involved**, such as other government departments, e.g. the Department of Health with its National Institute for Occupational Safety and Health.
- **Utilising local consultants** would also help in better understanding the local context and potential sensitivities.

One question that this project raises is whether the **institutional arrangements** were tailored in a suitable manner. The ILO itself focuses on normative work and technical assistance. It needs to be questioned why the organisation was chosen to project manage. This counts for the international level, where SafeWork is overburdened already. But even more so it is relevant at the National level.

- If the project aims included the **transfer of project outcomes onto a National level** as well as policy changes, then the National DoL could have been more suitable as the host and driver of the project than the ILO.

- In any case, if the project set-up requires an international organisation to project manage a national project, clearer strategies need to be developed how to create a sufficient level of ownership in the DoL for taking the outcomes forward. One possibility could be to give a stronger role in project implementation to the national partners, as e.g. in this case the DoL with the ILO more in a role of providing **technical assistance** to the process (with the help of local consultants). It, however, needs to be understood that within a government authority the project may have faced issues such as the lack of flexibility and ability to respond to changes more quickly, forcing a higher level of bureaucracy on the project⁶⁷.
- Resources provided, and given the expertise in the area, the project could have integrated the expertise of **GTZ in facilitating PPPs at a national level from the start**.
- A more **transparent and decentralised utilisation of the budget** would ease project implementation.

4.3 Mexico

4.3.1 Context for Project Implementation

Occupational Health and Safety (OSH) is an important issue for Mexico. According to data from the Mexican Institute for Social Security IMSS⁶⁸ in 2005 more than 1.000 workers lost their life due to working accidents or diseases. More than 7.000 were affected due to working diseases and more than 1.000 are not capable to work due to risks at the daily working space. For the IMSS, costs resulting from occupational risks sum up to a total of approximately 8.200 million Mexican Peso.⁶⁹ The International Labour Organisation (ILO) estimates that the costs resulting from missing OSH in companies sum up to 1: 5, meaning one Peso spent for prevention in the company equals 5 Pesos in aftercare⁷⁰.

The current implementation state of OSH standards is limited as the responsibilities within the different government authorities are not determined clearly enough.⁷¹ The framework conditions are generally normative and complex and are subject to interpretation. A culture of correction rather than prevention is widely spread. Available information about occupational risks is limited and consultative mechanisms and prevention approaches are disapproved of. Furthermore, apart from the restrictive obligation to fulfil normative aspects, a shortage of human resource capacity hinders the implementation by the government authorities.

⁶⁷ This hints to a country specific context analysis as to how best involve national stakeholders. See also findings in Mexico.

⁶⁸ Instituto Mexicano del Seguro Social Seguridad y Salud

⁶⁹ STPS 2008.

⁷⁰ Interview with Thomas Wissing, ILO.

⁷¹ STPS 2008.

In order to strengthen the institutional capacity to prevent occupational risks, facilitate the knowledge about norms and develop a preventive culture at national level, the institutionalized participation of workers and employees shall be enabled.⁷² Therefore the STPS Department of Seguridad y Salud seeks to establish a national system of Occupational Health and Safety. Part of this is the programme for self-management (*Programa de Autogestión en Seguridad y Salud en el Trabajo - PASST*). The PPP VW/GTZ/ILO is part of this national strategy, as the automobile sector in which it takes place is one of the key sectors for the Mexican industry.

During the project implementation the political background changed. At the beginning of the project in 2004 the governmental bodies were reserved towards the topic. However, due to a severe mining accident at Pasta de Concho in February 2006, where 65 people died,⁷³ the political awareness and need to address the issue of OSH changed. Furthermore, due to political changes in 2006 a new head of the STPS Department of Security and Health took up the OSH topic with highest priority. The multi-stakeholder commission COCONSHAT⁷⁴ was reanimated to unite the various stakeholders involved in OSH.

4.3.2 Process Management

Stakeholder Set Up

As agreed upon in the overall project document the stakeholders involved in Mexico include the tripartite system required by ILO and GTZ with different actors involved (see figure 3):

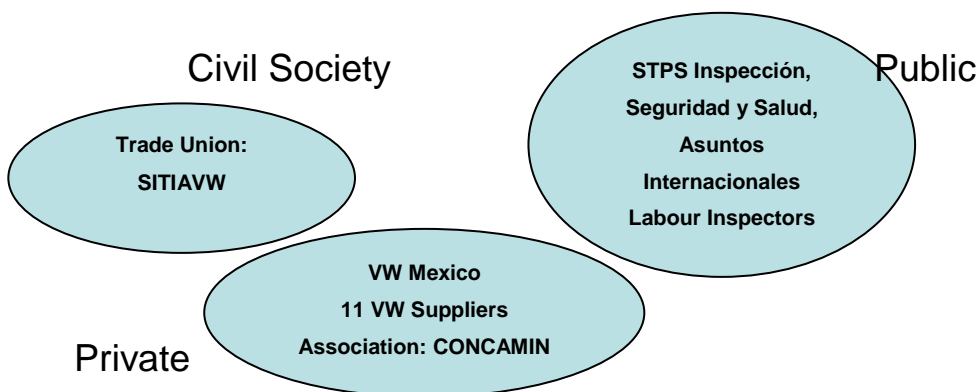


Figure 3: Stakeholder setup in Mexico

⁷² STPS 2008.

⁷³ El Universal Online, Mexico City February 26th, 2006: Todos están muertos. <http://www.eluniversal.com.mx/primer/26312.html>

⁷⁴ Comisión Consultiva Nacional de Seguridad e Higiene en el Trabajo (COCONASHT) is a tripartied consultive national comision of OSH in Mexico. Their objective is to study and suggest the adoption of preventive ways to combat occupational risks.



Official project partners are **ILO Mexico**, **GTZ Mexico** and **Volkswagen Mexico**. During a Country Mission in 2004⁷⁵ the additional key stakeholders, namely the Ministry of Labour (STPS), the Association CONCAMIN⁷⁶ and the Volkswagen trade union SITIAVW were identified from the international team to participate in the project.

The participating **supplier companies** were selected by Volkswagen Mexico according to a criteria list which was made transparent to the other project partners after the selection process had been finished. Notwithstanding the project guidelines, the participating supplier companies cannot be categorized as small and medium sized companies as their employee and workers size ranges in between 500 to 1.500 people. The selection was justified with the special situation in Mexico⁷⁷, as well as the interest of VW to also gain experiences with OSH measures in larger supplier companies. The eleven participating supplier companies operate along the automobile supply chain from metal working industry, logistics to seating construction. For a detailed list of the supplier companies see Appendix 4.

Within the **Ministry of Labour** the **Department of International Affairs** as contact point for ILO was informed at first, to then remit the implementation to the **Department of Inspection** who is in charge for labour inspection at national and federal level. The Department of Inspection also filled the position of the president of the National Steering Committee. Additionally, the **Department of Security and Hygiene** was included, as they dispose of the widest experience and new approaches within the topic of OSH. Until that point, collaboration between the department of inspection and security & hygiene did not take place. As a result of the project the departments converged a little closer on staff level. However, differences in the approach of control and compliance of normative criteria versus prevention through learning systems lie within the structural set up of the departments.

To fulfil the tripartite constitution required for ILO, **trade unions** were integrated from the beginning. The Volkswagen Trade Union **SITIAVW** was nominated by the OSC to send representatives to the respective NSC. In Mexico the situation of trade unions is seen as very sensitive as independent critics doubt their independence and legitimacy to advocate for workers.⁷⁸ Corruption is widely spread and Mexican trade unions are known for negotiating trade agreements without involving workers.⁷⁹ Furthermore, various trade unions coexist. In this regard the Volkswagen trade union SITIAVW is rated as rather modest. However, after having chosen the participating supplier companies it turned out that only one of those was member of SITIAVW. The legitimacy of the SITIAVW trade union representative within the NSC was highly questioned from

⁷⁵ Treichel 2004a.

⁷⁶ CONCAMIN is the Confederación de Cámaras Industriales de los Estados Unidos Mexicanos.

⁷⁷ Interview with VW Wolfsburg, Elke Seebold-Tanski and VW Mexico, Noel Curiel, Luiz Raúl Martínez

⁷⁸ Interview ILO, NPC, STPS

⁷⁹ Interview, Mr. Steiert IMF.



all parties including the trade unions themselves.⁸⁰ As a result, SITIAVW was involved rather passively.

The **employer's association CONCAMIN** was nominated within the OSH to take part in the process. Their participation was seen as helpful for the project as CONCAMIN felt committed due to their representative who advocated for the project within the association and took actively part in the NPC meetings.⁸¹

A stakeholder exchange was aimed for in the framework of the **National Steering Committee (NSC)** that met twice a year and planned the project on a national basis. The NSC and its activities were coordinated through the **National Project Coordinator (NPC)** that was nominated through the Ministry of Labour (Department of Inspection) in the case of Mexico.

GTZ was involved through their methodological competency, especially at the beginning of the project until 2006. After change in staff and due to the late invitations to the NSC meetings GTZ was not directly involved later on.⁸² As the focus of GTZ in Mexico is related to environmental issues, the topic of OSH did not relate directly to other programs; therefore synergy effects could not be used.

Within the official project partners it was the responsibility of **VW** to select the participating companies and facilitate the logistics for them. VW staff also took part in the implementation process, preparing, conducting and evaluating the suppliers' visits and taking part in the project specific workshops.

ILO played a very active role in implementing the project at national level. They coordinated activities, consulted the NPC, and contributed with their OSH expertise in the EOPs, thus supporting the set up of the first audit and review. ILO worked closely with the NPC to stimulate the activities needed by external consultants in order to train the EOP Committee to be able to conduct the audits, as well as workshops for suppliers and inspectors concerning the identified needs within the OSH implementation.

Project Implementation

From the fact finding mission in Mexico between July 28th-30th 2004 it took until January 18th 2006 to form a National Steering Committee (NSC) and meet for the first time. Before the meeting the National Project Coordinator (NPC), Alberto Aguilar, was nominated by the STPS and approved by the official project partners. Within the elaborated project design the NPC was designated to manage the project on a national level and coordinate the different activities. A core group that

⁸⁰ The legitimacy of SITIAVW was independently mentioned by every interviewee from all stakeholders. Due to recent trade union election and a change in leadership the participating representative of SITIAVW could not be interviewed.

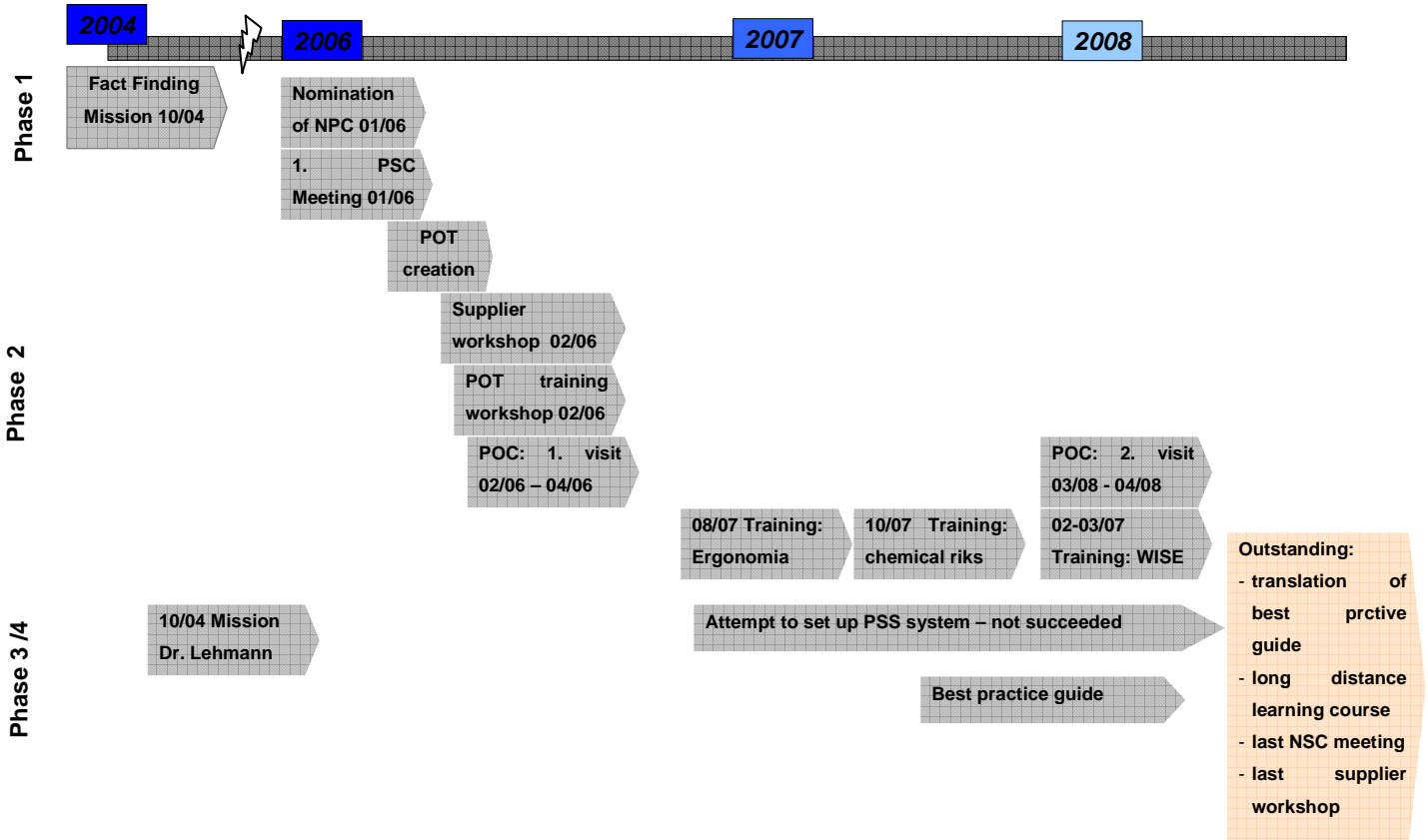
⁸¹ Interview with CONCAMIN, Oscar López Vernis and ILO representative.

⁸² Interview GTZ: Boesl & von Bertrab.

would carry out the Process Optimization Consultation (POC)⁸³ within the suppliers was discussed and created. Since the project implementation phase was described in the report of Frommann (2008b) and report by Loselo (2008), it will not be listed here again. The timeline below shows the various activities, which will be commented upon regarding the evaluation findings.

Activities:

Project Activities Mexico



The project implementation was financed on the one hand through ILO and VWs' in kind contribution in terms of existing staff, who additionally took up project related activities. Through the public funding from the German BMZ/GTZ the project infrastructure, NPC salary, logistics for NSC meetings, external consultant as well as project activities were financed. According to the project budgets in 2006 out of the estimated \$ 71.316,00 only \$ 56.579,91 were spend due to the change of the NPC, purchased equipment and cancellation of activities. The project budget for 2007 was not available for the evaluation team. In 2008 a similar budget of \$ 74.867 was provided for project activities.⁸⁴ The centralized control of project finances in Geneva delayed and complicated the national implementation, as the detailed plans required by ILO Geneva for

⁸³ POC members: STPS Inspección Federal del Trabajo (4), STPS Dirección de Políticas y Prevención de Riesgos Laborales (1), STPS Delegación Federal en Puebla (3), VW México (2), ILO Mexico (1), NPC (1)

⁸⁴ Refer to project budgets „Mexico“ 2006 & 2008.



imbursement of the money did not necessarily meet the real project situation once the money arrived, resulting in not enough flexibility when plans were implemented. Furthermore, the time needed for financial transactions to Mexico took longer than expected, which caused problems with potential implementation partners and weakened the credibility of the project.

Outstanding Activities

Until the official end of the project at the end of October 2008 the following activities are still to be finalised:

Best Practice Guide: During the project period in Mexico a best practice guide was established through an external consultant. The guide is in its last revision of the translation into English and will be presented at the conference in South Africa at the end of September 2008.

Long Distance Learning Course: In cooperation with the STPS, the ILO has established an online distance learning course for labour inspectors. The seminar outline is established and a consultancy is contracted to create the virtual portal for implementation at the STPS website. As the content was established through the ILO, the intellectual property rights stay within ILO, although STPS will be the implementing organization. The course is anticipated to start beginning of 2009.

Promotion Video: For a better publicity of the outcomes of the project and possibilities to engage in the sector of OSH, a 10-minute video is being produced. During the evaluation mission the material was taped. The video will be finished for the conference in South Africa at the end of September 2008.

Last Meeting of National Steering Committee: In the first week of October 2008 the NSC will meet in its constitution for the last time. Feedback will be captured and the outlook and further proceedings will be discussed.

Final Seminar: October 16th-17th, 2008 a final seminar of the project is planned with the objective to create a new seed for ongoing activities. Possible activities might be a mutual exchange on OSH questions within suppliers accompanied by professional support through the ILO.

Results & Outcomes

Considering the above mentioned stakeholder set-up, activities and financial resources, the project results according to the project planning matrix⁸⁵ could be achieved as follows:

Result 3: The project-framework is in place In January 2006 the first tripartite National Project Steering Committee (NSC) was held.⁸⁶ The NPC was in charge of organizing the meetings,

⁸⁵ Summarised from GTZ 2004a: 8-11; see Appendix 8

⁸⁶ Please see Annex 6 for List of Members.

activities and ensure the communication between the different stakeholders. In January 2007 a change of the NPC took place.⁸⁷ For implementing the activities ILO Mexico contracted an external consultant who was in charge for designing the POC related workshops as well as drawing the conclusions of the POC into a “best practice guide”.⁸⁸

Result 4: A methodology for an initial, holistic inventory of a labour system is created (system analysis); methods for implementing health and safety in the SME sector are created in each partner country. During the evaluation this result was highly questioned by all interviewees. The first part “creating a methodology” was stated as ambitious but yet achievable.⁸⁹ The second part of implementing this methodology within the whole SME sector in each country was too ambitious from the start. During the preparation phase ILO Mexico and its senior expert on OSH issues commented in detail on the project report, recommending the adjustment of its results and indicators to fit the Mexican framework conditions, which would ultimately have led to a more realistic and suitable project implementation.⁹⁰ However, those recommendations were not taken up by the OSC, and no reasons were given.⁹¹

Result 5: Inventories and analyses in three participating countries took place. The international consultant Ms Lehmann has carried out the inventory in Mexico in October 2006, and has identified the needs for improvement, as described in her mission.⁹²

Result 6: Labour inspectors have received training; trainers have been trained and can carry out training for labour inspectors. A training needs analysis was conducted by the POT and the external consultant after the first POC visit of the suppliers. Out of the identified needs, a training course was designed for labour inspectors as well as suppliers. In Mexico three workshops for labour inspectors (LIs) were conducted in line with the ILO WISE method, chemical risks as well as ergonomic issues at the work place.⁹³ The outcome of the trainings can only be measured for those who participated in the trainings which were 35 out of 218 labour inspectors in Mexico. Although there is no formal change in the inspection approach, the new consultative methodology, and especially the ILO WISE approach, were mentioned as helpful in the LIs’ and supplier’s daily work.⁹⁴ Due to participation in the POC as well as spending more time with suppliers, the exchange between inspectors and other stakeholders increased and improved.⁹⁵

⁸⁷ In January 2007 Rodolf Arias replaced the former NPS Alberto Aguilar who was in charge as NPC during 2006.

⁸⁸ The external consultant Edgar Ruvalcaba was contracted by the project via ILO Mexico. An interview with him was not possible due to his situation leaving the project now working for VW Mexico.

⁸⁹ E.g. Interview ILO Thomas Wissing. Interview NPC Rodolfo Arias. Interview STPS – Inspection / STPS – Seguridad.

⁹⁰ Interview with ILO Valentina Forastieri.

⁹¹ All stakeholders interviewed stated this too ambitious goal.

⁹² Lehmann 2007.

⁹³ Please see Workshop documents ILO 2007a+b.

⁹⁴ Interview labour inspectors Juan José Pérez, Ernesto Cervantes: Interviews with Johnson Control, DHL, Refa.

⁹⁵ Interview labour inspector and suppliers.

Result 7: Audit system. Twelve suppliers from Mexico with 75 to 1,550 workers were selected to take part in the project. Between February and April 2006 the initial audits of the suppliers were undertaken by the POT. The suppliers were already well positioned as the audit scores ranged from 62% to 97%, showing a management system in place and already existing documentation on occupational accidents and diseases.⁹⁶ For each supplier a needs analysis was undertaken with specific recommendations for improvement. Out of all recommendations the POT elaborated a workshop concept for suppliers and LIs to perform OSH standards in a better way. The suppliers showed a willingness to implement the recommendations made on the basis of the audit's results. During the second visit the suppliers had implemented 121 (63%) had already been implemented of the 192 recommendations made and, 54 (28%) were in the process of being implemented. 17 (9%) were not yet in the process of being implemented.⁹⁷ The interviewed companies stated that the introduced audit method which is based on improving the performance and having time for implementation as well as learning a new method helped gave the topic of OSH a new awareness in the company.⁹⁸ Supplier companies benefited from the process, if they were open towards improving their standards and the process took place at a good time for them.

Result 8: National Safe Work Programmes. This highly ambitious result was very much questioned by every stakeholder interviewed. The project contributed towards a higher sensibility of the topic within the Ministry of Labour regarding the automobile sector which is a national key sector for Mexico. However, for scaling up the lessons learned within 11 VW supplier companies to the Mexican automobile sector the activities were not sufficient. Thus a generalization process to establish a National Safe Work Programme ratified by the government was not achievable within the project and given time frame.

Result 9: A health and safety recording reporting system is created. An OSH supply chain management policy for VW-suppliers is created. A best practice guide has been elaborated by an external consultant based on the POC outcomes. The guide is valued and seen as helpful, as it provides practical information how to successfully improve OSH performance.⁹⁹ A planned internet-based reporting system could not be established. However, the Ministry of Labour has created a web portal for long distance courses which could be extended in the long for an information system, covering a broader thematic spectrum including OSH.

Result 10: OSH performance of VW suppliers. Activities focused on participating VW suppliers. According to POC results, the 11 participating suppliers were already performing well at the start of the project. The analysed lacks in OSH were taken up by the suppliers and suggestions for

⁹⁶ Refer to GTZ 2006b.

⁹⁷ Refer to GTZ 2006b.

⁹⁸ Interview with ReFA, DHL, Johnson Control.

⁹⁹ Interview ILO Thomas Wissing, Valentina Forastieri, STPS.



improvement implemented until the second visit, showing better results one year later. According to the interviewees this new consultative approach was helpful, as it created awareness for OSH and enabled cost efficient improvements. Participants gained a maximum output with minimum input. OSH issues improved within the companies from management level down to the workers situation.¹⁰⁰ Other suppliers beyond project level could not be reached. However, other VW/automobile suppliers have become aware of the project and will join the final meeting in October 2008 to discuss possible future activities for improving the OSH performance.

4.3.3 Partnership Assessment

Phase 1: Exploration and Consultation

The exploration of the Mexican framework conditions was conducted through the fact finding mission in 2004. As the project design was already highly elaborated, the existing project plan on international level formed the basis of the stakeholder consultations and informed the activities to be implemented within the project. Due to this “top down” approach from the international level, the country specific stakeholder consultation was rather short and lacked the required depth, resulting in contradictions such as a trade union representative not representing the participating suppliers.

As ILO works on a tripartite base, including the trade unions and employers’ associations, the employees association CONCAMIN as well as the VW trade union SITIAVW were nominated from international side with specific staff recommendation. An in depth Mexican stakeholder analysis in the phase of exploring the context was therefore missing. This led to the highly questionable legitimacy of SITIAVW as only one of the suppliers’ employees was organized through them.

Phase 2: Building the Stakeholder Partnership

As the country specific approach was weak the further strengthening of the initial core group could not elaborate well, leaving the partnership more vulnerable for internal and external stress. Despite a solid structure of the partnership (involving all relevant stakeholders, creating a NSC, nominating the NPC) the partnership did not come alive as described in the first phase. The stable core group of partners which were supposed to be the official project partners could not develop.

It seems as if the goals of the project were jointly and formally agreed on, but without true ownership from all partners and without them feeling integral to the process. Therefore, it can be doubted whether the goals formulated in the documents were jointly agreed to an extent of co-creating them with due consideration of the national context. There was a clear lack of thoroughness in involving country stakeholders for the project design and taking local needs into account. No other stakeholders involved thematically on national level were consulted or part of the

¹⁰⁰ Interviews with ReFA Mexico, DHL, Johnson Control.



initial core group. Further stakeholder on meso level, were not considered to be involved in the process.¹⁰¹

In order to include the Ministry of Labour (MoL), which did not appreciate of the project from the start, the NPC had to be nominated via the MoL. This delayed the contracting of a suitable NPC, who had a government stake rather than preferred neutrality. After an initial euphoria about the potential of the project, the internationally led approach resulted in missing ownership especially from the Mexican private partners who did not see specific Mexican needs considered, and thus the interest to participate decreased.¹⁰² Recommendations made by ILO Mexico and the senior expert on OSH, to adjust the project according to Mexican needs, were not taken up by the OSC or even commented on.

Some local stakeholders were further given work on top of their daily tasks¹⁰³. As a result of the lack of stakeholder involvement and relationship management the building of trust was limited and so was the commitment for implementation. A solid base for the stakeholder partnership was missing.

A cross country exchange in how best to build the partnership at national level did not take place, although results from all participating countries were supposed to contribute to the information system.

The top down approach and centralized finances from the international side inhibited feedback loops between national and international level. Thus the national partners did not feel as committed as the international side assumed them to be.

Phase 3: Implementation Phase

Implementation moved forward due to the strong commitment of the regional ILO staff. But the lack of solid partnership building made the partnership vulnerable to interventions. This became visible when the external consultant in charge for implementing the project activities was appointed by the private project partner for other assignments without being replaced, and this put the implementation of the workshops and the finalisation of the best practice guide at risk.

During the implementation phase of the project GTZ Mexico was not very involved, as they had no clear mission in the project and the country focus is different. At the beginning of the project GTZ provided their methodological expertise in supporting the workshops. After a change of the PPP representative and a lack of communication from the NPC about the project activities to the GTZ

¹⁰¹ Interview with CONCAMIN Oscar Lopez Vernis.

¹⁰² Interview VW Raúl Rodríguez Sánchez. It was mentioned that the interesting target group for VW Mexico would have been small suppliers in the automobile sector that do not comply yet to higher international standards in OSH. As they are possible future clients and strategically interesting this target group would have been more interesting to work with from the perspective of VW Mexico. However, this aspect was never mentioned to other project partners (Interview Sebald-Tanski).

¹⁰³ Interview with ILO – Thomas Wissing, STPS – Inspection, VW – Noe Curiel, Raúl Martínez.

office, NSC meetings could not be attended. A clear need to do so could additionally not be seen.¹⁰⁴

The main coordination work for ensuring the implementation was delivered by the NPC as well as ILO, who worked closely with the different STPS departments in order to reach the labour inspectors and the macro level.

Although VW participated in the POT/POC process, a transparent, active exchange of experience about the OSH standards already applied within VW was missing according to interviewees.¹⁰⁵

Main activities were taken up by the POT. The interdisciplinary POT process was welcomed by all participants providing a new collaborated working approach. They created the core team stimulating and implementing the project activities. POCs, workshops for suppliers and labour inspectors as well as two visits were successfully held, bringing benefit to all participants due to

- A new methodological approach
- Creating a new stakeholder exposure
- New content regarding OSH & implementing suggestions

As the activities were hardly ever implemented collaboratively, the impact beyond the expected results was limited and the sustainability of the project outcomes is questionable.

Phase 4: Scaling-up or Institutionalisation Phase

As the project goal was very ambitious in creating a nationally accessible and distributed system on OSH, the project could not establish changes in the larger governmental system. Furthermore, the aimed for national prevention service system on OSH could not be created. However, the last project meeting in October 2008 is meant to consolidate the lessons learnt within the project. Already participating suppliers as well as new ones will be invited to enable an exchange and scaling up, which could not be achieved in the official project period.

4.3.4 Assessment According to DAC Criteria

Impact: As a result of the project the topic of OSH was brought to micro and macro level and a stakeholder dialogue was initiated. Despite difficulties in the project implementation management seeds have been planted from which future activities between ILO and the Ministry of Labour as well as ILO and the supplier companies may arise. The suppliers benefited especially through the improvement method and the capacity building concerning OSH. Furthermore labour inspectors have obtained a new “consultative” approach which has initiated a new way of thinking on how to

¹⁰⁴ Interview GTz: Boesl & van Bertrab.

¹⁰⁵ Interview, NPC, Thomas Wissing.



strengthen capacity of suppliers on micro level in the long run. As the procedures within VW were not sufficiently known to the evaluators the impact for VW can not be assessed.

Effectiveness: On micro level participating suppliers and labour inspectors benefited from the POCs, workshops and stakeholder exposure. However, the linkage between micro and macro level that would have led to a change in national OSH policy could not be achieved. This seems to have been a very ambitious initial goal that could have only been achieved with a broader approach including more companies and other sectors. Bodies from meso level (e.g. associations) were underrepresented and this might be an additional reason for the observed implementation gap between micro and macro level.

Efficiency: With a decentralized budget the project could have achieved more of the planned outcomes within a shorter time period if the project implementation activities had been adjusted more to the local context. The efficiency was hampered as a result of the change in appointment of the NPC, which led to time delays. New management processes and relationships had to be built up with the new coordinator. The one and a half year period of time between the fact finding mission and the actual beginning also of the process hampered the motivation of the participants at the start.

Relevance: All stakeholders commented on the high relevance of the topic. Prior to the project sufficient knowledge was missing in companies and for labour inspectorates. The new consultative methodology created capacity on the side of the labour inspectors and contributed to a new working relationship between inspectors and suppliers with less suspicion and more mutual respect. The project's content also contributed to the awareness raising in the country's needs in improving the deficiency in the work safety situation.

Sustainability: Due to lack of national ownership the sustainability of the project needs to be questioned. Although the activities like the POCs and workshops improved the situation for the participating suppliers as well as labour inspectors, a scaling up as suggested in the project design could not take place due to the missing commitment from the participating parties. However, the strong commitment of ILO Mexico led to a final workshop in which further activities will be elaborated. Furthermore a long distance learning course which includes OSH issues will start through the Ministry of Labour and this was inspired by the project and its outcomes.

4.3.5 Recommendations

A living partnership needs a clear structural set up, as well as legitimacy for their operation from all relevant stakeholders required for smooth implementation. By creating ownership and relationships based on trust and transparency between all stakeholders, it is likely that activities are

implemented jointly and successfully. The lessons learnt from the project implementation in Mexico lead to the following recommendations.

- The **integration of all relevant stakeholders** at national level as early as possible is of utmost importance to ensure successful implementation. Sufficient time and resources, particularly for such an ambitious project, need to be invested in the project finding or exploration phase to enable a jointly created project design owned by international as well as national level.
- A stronger **exchange, cooperation and communication between the international and national level** is helpful to clarify roles, enable commitment and stimulate the cooperation itself.
- A more **deliberate investment in building the partnership** would lead to a stronger commitment of project partners (GTZ, ILO, VW), to implement the project jointly: e.g. give partners concrete responsibilities for enabling a participation where everybody feels needed and important for contributing to the commonly defined goal.
- A project of such scope should create a mutual **cross-country exchange** to enhance learning from Europe, Mexico, Brazil and South Africa. An exchange of approach and experience would support implementation at national level.
- For a sustainable implementation on micro and macro level **the meso level serves as a transmitter and needs to be involved** according to the country-specific context. A more careful selection or nomination of stakeholders (deficient in the case of Mexico) would increase both legitimacy of and commitment to the project.
- To further stimulate the activities on micro level an **exchange between the participating suppliers** could stimulate the outcomes and **enable a more self-sustaining scaling up process** that takes the ownership of the suppliers seriously. Hence, an exchange on “best practices” or on challenges could take place, creating know-how and a dialogic culture towards capacity building for OSH.

Recommendations for the operational level are as follows:

- For a more in depth operationalisation of the national activities, the official project partners should ensure that the selection of the **national coordinator** follows an agreed upon procedure by all project partners
- In order to strengthen ownership it is important to **take up existing initiatives** of the involved stakeholders and integrate them into the process. This way participating stakeholders have more interest to commit to implementation.
- A closer linkage and inclusion of national organizations or activities should be considered like COCONASHT or the governmental programme “*Programa de Autogestión en Seguridad y Salud en el Trabajo*” which seeks to promote the implementation of administrative system into companies to strengthen the capacity in OSH on national and international level.



- To ensure a smooth running of the implementation, and the communication between stakeholders involved, it is important to acknowledge the scope of such a project and appoint a fulltime supportive function such as the NPC
- A professional coordinator needs to **cultivate the network and the implementation partnership**, and combine leadership, continuity and “care” about the activities taking place.
- To enable a smooth running of the implementation in a decentralized project **the resources (budget) need to be decentralized** as well.

5 Overall conclusions and recommendations

From the international as well as two country studies, overall conclusions and recommendations can be drawn which should inform future projects:

<p>1. The project was highly relevant and understood as such from all partners and stakeholders. It is evident that international ILO standards can be implemented nationally if supported by such a project, and implemented within supply chains of multinational companies (who can influence their supplier companies to comply with their standards).</p>	<ul style="list-style-type: none"> • Recommendations: Future projects could further apply the POC approach in order to develop more widely tested best practices which acknowledge the different requirements of each context. • Projects of this scope and potential need to focus on good process management, including the development of multi-stakeholder partnerships (see partnership cycle) and • A project of such scope and potential should more strategically invest into sufficiently linking micro, meso and macro level. • GTZ should decide about the strategic relevance of projects of such kind for its own objectives. If the project is considered important GTZ should play an active part in implementation. • GTZ's competence in managing partnerships should have been given more space in the implementation of the project.
<p>2. Cross-country learning, learning between project partners and learning between national and international level was not sufficiently catered for in the project design and implementation.</p>	<ul style="list-style-type: none"> • Recommendation: A project of this scope and potential should ensure a better integration of lessons learnt between the different countries, and between national and international level

<p>3. A PPP at international and national levels was created without giving time and attention to monitoring the partnership itself, leading to a fragmented approach.</p>	<ul style="list-style-type: none"> • Recommendation: The facilitation of the PPP needs to be given more attention, including the different stages of setting up the cross-sector collaboration, information exchange, accountability and lessons learnt. Collaborative capacity development could provide the awareness and abilities to engage in a more successful and result-oriented partnership. This also includes the appreciation of national partners and their capacity, enabling them to take ownership of the project.
<p>4. The agreed upon in-kind contribution by the ILO led to the lack of internal resources and time to adequately support the project. The project lacked sufficient leadership from within ILO on several levels. There were time lags when staff was not appointed, and this led to an under-spending of the budget. The combination of holding on to central control, while having problems in managing the project at times worsened the situation and disabled the project management at country level.</p>	<ul style="list-style-type: none"> • Recommendation: The actual role of the responsible implementing agency and project partner with all its implications needs to be clarified beforehand, and at first within the respective organisation at all levels. It is important that a project of such strategic relevance is sufficiently rooted in the organization. Resources and financial commitments need to be clarified and adequately supported at institutional level. A timely internal review of the appropriateness of supportive procedures should lead to an adjustment or re-assignment of budget allocations (and if need be a respective communication with the funding partner to re-arrange budget items as needed). In case a situation occurs where in-kind contributions assigned to major project management activities can not be delivered sufficiently, the project finances should have been re-assigned to support project management costs. Decentralisation or part of it and of management responsibility can lessen the burden at ILO Geneva level. The capacity of the designated implementing agency regarding in-country project management in terms of competence, time resources and budget requirements should be sufficiently assessed beforehand. Implementation set-up should be designed accordingly utilizing national competence.
<p>5. Stakeholder and context analyses</p>	<ul style="list-style-type: none"> • Recommendation: In-depth analyses at the

<p>were not conducted to a degree where the projects could have been tailor made for each context.</p>	<p>beginning as well as throughout are relevant implementation phases in order to ensure that all relevant partners are involved or have at least been consulted, and that the local context is sufficiently understood. This involves the work of local researchers and consultants who have better know-how and understanding of the national systems and potential political sensitivities.</p>
<p>6. The project was designed and implemented in a highly centralised manner, which disempowered the national levels.</p>	<ul style="list-style-type: none"> • Recommendation: both at the international level as well as the national levels, the partners should have been involved at a stage where a co-creation of the project design was possible. Decentralisation of planning and financial control can be crucial in ensuring ownership and sustainability. The housing of the project in each country should take place in more suitable structures for up-scaling and long-term sustainability. Clear terms of reference for all partners would clarify expectations and ensure accountability.
<p>7. The POC approach was very successful, leading to a high degree of acceptance by the supplier companies and OSH measures were implemented in a short period of time.</p>	<ul style="list-style-type: none"> • Recommendation: The approach of integrated, in-depth assessment over 1-2 days, with a focus on consultation and prevention, should be further utilised & developed. This should however not lead to a situation where labour inspectors cannot return to the company for general labour inspections, due to a promise to consult only. A proper balance between consultation & legal enforcement needs to be found.
<p>8. Implementation partners at micro level were seen as beneficiaries rather than stakeholders, and therefore not adequately involved.</p>	<ul style="list-style-type: none"> • Recommendation Supplier companies and labour inspectors should be involved and be represented at PSC level. • Learning exchanges between suppliers should be better facilitated.
<p>9. Learnings from micro level were not sufficiently harvested and did not translate adequately to macro level (national as well as cross-country learning). The development of best</p>	<ul style="list-style-type: none"> • Recommendations: Lessons learnt and evaluations should be conducted more often, and documented in a way that is accessible to all partners. More supplier companies could be reached in the given period of time to develop best practices through action learning.



practices would have needed more practical examples.

- The PSC should connect to the micro activities (through representation). Meso level associations should be more strategically involved (e.g. business associations) in order to ensure sustainability of the approach.

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South Africa

Cause 2007. PPT Presentation: SABCOHA, VWSA, ILO HIV/AIDS Programme

ILO /Volkswagen/GTZ Project 2008. Timeline Workplan MEXICO 2008

Loselo, M. 2008a. Workplans 2008 for South Africa (several versions). ILO South Africa

Loselo, M. 2008b. Project Progress Report July 2004 - June 2008. ILO South Africa

Ncube, M. 2005. Occupational safety and health in the supply chain management. Draft – resource manual on the integrated labour inspection system and supply chain based on process optimization consultations experiences gained with the VW-SA suppliers in Port Elizabeth in August 2005.

Shilumani, C. n.a. ILO/VW project on OSH and Supply Chain. HIV/AIDS in the workplace for Small & Medium Enterprises in the Supply Chain. A background document

Treichel, B. 2004b. ILO SafeWork. Report on a Mission to South Africa (21-24/07/2004)

Appendix 2: Evaluation Questions

Crucial Questions:

- **Impacts:** What is the project's contribution to overarching development goals at the enterprise (micro level) and policy level (macro level)? Political level: Are there any impacts on political processes and national programmes which can be attributed to the project? Enterprise level: What are the changes in the VW supplier workplaces due to the project and its audits? What political processes at national level were affected by the project?
- **Effectiveness:** Has the project reached its objective and results/milestones? Has the project reached the in the last status report agreed 11 results? What are the intended and unintended impacts? What (partial) successes were achieved?
- **Efficiency:** What is the relation between the deployed resources and their impacts?
- **Relevance:** Is the project in accordance with the needs of the target group? Did the project contribute to political action at the national level?
- **Sustainability:** Is the project sustainable from a development policy point of view? Enterprise level: To what extent are the introduced audits sustainable in the concerning enterprises and beyond? Political level: To what extent does the project influence the political area beyond its end?
- **Lessons learnt:** What experiences and recommendations can be drawn from the questions above? How did the cooperation between the PPP-Partners work? To what extent did the cooperation with other stakeholders (government, NGOs, other enterprises) take place and how did it work? To what extent did a mutual exchange between operational and political level take place? What are the recommendations regarding design, management and implementation of future projects?

Appendix 3: List of interview partners

List of contacts for interview at international level:

Relevant contacts regarding **International Labour Organization (ILO)**:

ILO	Contact
Malcolm Gifford	Project Manager Development of Inspection Systems
Gerd Albracht	Former project manager
Carla Henry	Senior Evaluation Officer

Relevant contacts regarding **Gesellschaft für Technische Zusammenarbeit (GTZ)**:

GTZ	Contact
Peter Kocks	Project Coordinator
Vera Scholz	Head Programme Bureau

Relevant contacts regarding **Volkswagen**:

Department	Companies e.g.
Elke Sebold-Tanski	Arbeitsschutz Strategie und Koordination
Dr. Göttner	

Relevant contacts regarding **Tripartite Alliance Partners as part of the Overall Steering Committee**:

NPS	Contact
International Organisation of Employers (IOE)	Mr Wilton
International Metalworkers Federation (IMF)	Mr. Steiert

List of Contact Persons for Interviews in Mexico

Relevant contacts regarding **International Labour Organization (ILO)**:

ILO	Contact
Program-Manager for Technical Cooperation	Thomas Wissing
Senior Specialist on Working Conditions and Occupational Safety and Health. Regional Office for Central America	Valentina Forastieri

Relevant contacts regarding **Gesellschaft für Technische Zusammenarbeit (GTZ)**:

GTZ	Contact
General Director	Dr. Bernhard Bösl
Assesor PPP	Alejandro von Bertrab Tamm

Relevant contacts regarding **Volkswagen Mexico**:

Departement	Companies e.g.
Leiter Planung und Werkanlagen	Raúl Rodríguez Sánchez
Gerente de Planeación de la Seguridad	Noe Curiel Corona
Planeación Ambiental y Seguridad	Luiz Raúl Martínez

Relevant contacts regarding **National Project Steering Committee (NPC)**:

NPS	Contact
Coordinator del Comité Nacional	Rodolfo Arias

Relevant contacts regarding **Ministry of Labour (Secretaría del Trabajo y Previsión Social – STPS)**:

Department	Contact
STPS – International Affairs Bureau	Lic. Guadalupe Morones Lara, Head of Under Coordination for International Labour Policy
STPS – International Affairs Bureau	Antonia Javier Rosa, Subdirector para la OIT
STPS – Dirección General de Insepección	Lic. Rafael Adrián Avante Juárez, General Director (President of National Comite)
STPS – Dirección General de Insepección	Ing Víctor Pedro Pérez, Subdirector de Promoción y Vinculaciión Inspectiva
STPS – Dirección General de	Lic. Juan Carlos Sánchez Vargas, Director de Normas de



Department	Contact
Insepección	Trabajo
STPS – Dirección General de Insepección	Daniel Ramiro
STPS – Dirección General de Insepección	Juan Carloz Sanchez
STPS – Dirección Seguridad y Salud	Francisco Tornero
STPS – Dirección Seguridad y Salud	Délia Santiago Gómez, Jefa de Coordinacion y Vinculación de proyectos
STPS – Delegación Federal de la STPS en Puebla	Carlos Ortíz, Delegado Federal
STPS – Delegación Federal de la STPS en Puebla	Horacio Germendia, Director Jurídico
STPS – Delegación Federal de la STPS en Puebla	José Gabriel Fernández, Director de Seguridad y Salud en el Trabajo

Relevant contacts regarding **Labour Inspectors:**

Inspectors	Contact
Inspectora Federal del Trabajo	Anna Maria Maldonado
Inspector Federal del Trabajo	Juan José Pérez
Inspector Federal del Trabajo	ErnestoCervantes

Relevant contacts regarding **Associations:**

Association	Contact
CONCAMIN	Oscar López Vernis

Relevant contacts regarding **Suppliers:**

Company	Contact
ReFa Mexiko	Jorge Amaro Corona, Director General de la Planta
	Israel Cárcamo, Responsable de Seguridad y Salud en el Trabajo
	Gabriel Aguilar Juarez, Médico de la Planta
	Representante de trabajadores, del sindicato
DHL Exel.	Enrique Munoz, Gerente General Operaciones
	Fernando Ayala, Director de Operaciones Sector Auto
	Manuel Cázares Mora, Gerente de Recursos Humanos
	Miriam Bautista Pacheco, Supervisor de Seguridad, Higiene y Ecología



Company	Contact
	Hector Tresos Serrano, representante del Sindicato
Johnson Control	Joaquin Martinez, Plant Manager Puebla JIT Plant
	Juan Leonardo Mirón, Coordinador Comunicación Organizacional Planta JIT Puebla
	Jorge Zambrano M., Director de Operaciones Plant JIT Puebla
	Roberto Castellano, Corte y Costura
	Ignacio Vetz, Production JIT
	Marcelino Tecuapachpo Camacho, representante del Sindicato
	Domingga Xochitiotzin Nava, Enfermera de la Comisión de Higiene y Salud
	Nadine Sanchez Velazco, Enfermera de la Comisión de Higiene y Salud
	Susanna Cruz Palma, Médico
	Médico de la Planta

List of Contact Persons for Interviews in South Africa

Relevant contacts regarding **International Labour Organization (ILO)**:

ILO	Contact
Director	Ms Judica Amri-Makhetha
Deputy Director	Mr Joseph Ajakaye
National Programme Officer	Mr. Siphon Ndlovu
National Programme Assistant	Ms Boshigo Matlou
NPC	Ms Mathlodi Loselo

Relevant contacts regarding **Gesellschaft für Technische Zusammenarbeit (GTZ)**:

GTZ	Contact
General Director	Mr. Peter Conze
PPP Coordinator	Ms Doris Popp
Ellen Kallinowski	Former PPP Coordinator South Africa

Relevant contacts regarding **Volkswagen Mexico**:

VW	Contact
Manager Corporate Health Services VW SA/ Project partner for OSH project	Dr. Alex Govender
Safety Officer VW SA	Mr. Werner Visser



Relevant contacts regarding **Ministry of Labour (Secretaría del Trabajo y Previsión Social – STPS):**

DoL	Contact
Executive Manager: Electrical and Mechanical	JP Malatse
Manager: Electrical Machinery Engineering	Mr. Mohlakola Monyaki

Relevant contacts regarding **Labour Inspectors:**

Inspectors	Contact
Eastern Cape Labour Inspector Coordinator POC	Alfred Cakata
Labour Inspector (POC member)	Sharifa Ahmed
Labour Inspector (POC member)	Zwe Maseti
Labour Inspector (POC member)	Neville Nihiziyotye
Labour Inspector (POC member)	Chuma Toni

Relevant contacts regarding **Associations:**

Association	Contact
FEDUSA	Joseph Sehlabaka
COSATU	Jackie Mpolokeng
NUMSA	Selina Tyikwe (not available for interview)
NACTU	Ms B. Modise (not available for interview)
BUSA	Sitse v/d Wourde

Relevant contacts regarding **Suppliers:**

Institution	Contact
Accoustex	Mr Jackie Barkly
S & N Rubber	Gerry
Zeus Manufacturing	Mr Charles Gillette
Univel Transmission	Laverne Jantjies
BeLEssex	Lucinda Cordier
Sikhona Cleaning	Vincent Daesil

Relevant contacts regarding **Consultants/Facilitators:**

Role	Contact
OSH Consultant	Mr Matthew Ncube
HIV/AIDS Consultant	Jill Cawse



Appendix 4: List of Participating Supplier Companies

Mexico

Item	Proveedor	Consortio	Principales procesos	Piezas que suministran
1	INDUSTRIAS NORM	Nacional	Piezas soldadas	Piezas soldadas A4 y A5
2	ARVIN MERITOR	Arvin Meritor	Piezas soldadas	Esacpes
3	SEGLO	Schneeeler	Servicios Logísticos	Servicios
4	EXEL AUTOMOCION, S.A. DE C.V.	DHL-Exel Contract Logistics	Servicios Logísticos	Servicios
5	CARTEC S.A. DE C.V.	Nacional	Estampado y Punteado	Piezas estampadas y punteadas A4 y A5
6	REFA	Nacional	Estampado y Punteado	Piezas estampadas y punteadas A4 y A5
7	AUTOTEK INDUSTRIAL DE MEXICO, S.A. DE C.V.	MAGNA	Estampado y Punteado	Piezas estampadas y punteadas A4 y A5
8	JOHNSON CONTROLS	Johnson Controls Inc	Costura y ensamble	Asientos
9	LAGERMEX	Nacional	Corte de Platina	Platina
10	FTE MEXICANA, S.A. DE C.V.	FTE Automotive GMBH	Ensamblados	Piezas maquinadas y ensambladas
11	CONCORDE GROUP, S.A. DE C.V.	Acord Inc.	Subensambles de piezas de vestido interior	Tapetes
12	AUXIM DE MEXICO, S.A. DE C.V.	Grupo Auxim	Mecanizados de precision	Tapa de bomba de aceite y guías



Lists of supplier companies South Africa:

Company name	Acoustex (formerly Formax Components and General Upholsterers now combined)
Address	Bennet Road (far down past Parmalat over railway line) Neave Township, Port Elizabeth
Contact person	Jackie Barclay Fatima
Phone no & e-mail address	041 4074138, jackie@acoustex.co.za
Nominated Coordinator	Mr Serge Moss – Facilitator 041 – 407 4100 priscilla@acoustex.co.za
Total Number of employees	270

Company name	S&N Rubber
Components	Rubber components eg. Washers
Address	98 Burman Road, Deal Party, Port Elizabeth
Contact person	Stuart Browning (MD) Diane van Rooyen, Quality Manager
Phone no & e-mail address	0414861505, snrubber@mweb.co.za Diane – 0832550725, diane@snrubber.co.za
Nominated Coordinator	Goodwill
Number of Employees	112 permanent

Company name	Univel Transmission (result of joint venture between Dorbyl and GKN Driveline)
Components	Drive Shafts, Wheel hubs
Address	Bennet St, Neave Township, Port Elizabeth
Senior Management Team	Mr Ron Bartlett (MD of Dorbyl and Univel) Mr Romeo Louw – GM Mr Clive Fisher – HRM
Contact person	Marise Ferreira - Quality Assurance Manager 0836326888 Lizl Muller (Nee: Van Zyl) - Environmental, Health & Safety Site Representative / Laverne Jantjies - HR Officer/
Phone no & e-mail address	041 4086111 041 408 6110 Romeo.Louw@gestroauto.com Marise.Ferreira@gestroauto.com Laverne.Jantjies@gestroauto.com Lizl.VanZyl@gestroauto.com
Nominated Coordinator	Laverne Jantjies – HR Officer
No of employees	274 Permanent 80 Contracts



Company name	Zeus Manufacturing
Components	Press Parts
Address	5 Murdoch St, Deal Party, Port Elizabeth
Contact person	Mr Charles Gillette, MD
Phone no & e-mail address	041 4861744 041 4861027 fax, charlie@zeusmanf.co.za
Nominated Coordinator	TBA
No of employees	48 Permanent 30 Contracts

Company name	Uitenhage Sandblasting/Sikhona Cleaning
Nature of business	Industrial Cleaning/Sandblasting of skids and other equipment/plant based onsite at VWSA
Address	35 Cuyler St, Uitenhage
Contact person	Tanya Schnetler
Phone no & e-mail address	0824666529 041 – 9924159, uic@mweb.co.za
Nominated Coordinator	Frikkie Van Rooyen, 0837105254
Number of Employees	524 permanent employees

Company name	BelEssex
Components	Press Parts
Address	132 Patterson Road, North End, Port Elizabeth
Contact person	Mr Dave Coffey, MD Kristelle Bosch, Credit Controller
Phone no & e-mail address	041 484 5312, ddc@belessex.co.za
Nominated Coordinator	Licinda Cordier, Administration Supervisor
No of employees	140 Permanent

Company name	Schnellecke
Address	Algoa Road Uitenhage
Contact person	Johannes
Phone no. & e-mail address	041 9945164

Company name	Yenza
Components	Press Parts
Address	Comsec Complex, Cnr Patterson Road & Grahamstown Road North End, Port Elizabeth
Contact person	Themba Mtati, Owner and MD
Phone no & e-mail address	041 4871683 yenzaman@iafrica.co.za
Nominated Coordinator	Themba Mtati
Number of Employees	25



Appendix 5: Work Schedules

Mexico

ORGANIZACIÓN INTERNACIONAL DEL TRABAJO - OFICINA PARA MEXICO Y CUBA				
PROYECTO INTER-REGIONAL DE COOPERACION PUBLICO-PRIVADA (VW-OIT-GTZ)				
GESTION DE SEGURIDAD Y SALUD EN EL TRABAJO EN LA CADENA DE PROVEEDORES				
Evaluación final - Agenda preliminar Sra. Vera Fricke				
Día	Hora	Entrevista con ...	Lugar	Tel. de contacto
Lunes, 1 de septiembre	9:00 – 12:00	Thomas Wissing , Oficial de Programas, OIT México y Rodolfo Arias , Coordinador Nacional del Proyecto	Oficina de la OIT, Darwin 31 (entre Goethe y Thiers), Col. Anzures	52.50.32.24, ext.118
	13:00 - 14:30	Bernhard Boels y Alejandro von Bertrab , Director GTZ México y Responsable de Proyectos de Cooperación Público-Privada, GTZ México	Av. Insurgentes Sur 826- Piso 11 (entre Av. Eugenia y Tijuana) Col. Del Valle C.P. 03100 México, D.F.	55362344 – 55237496
	18:00 - 20:00	Lic. Rafael Adrian Avante , Director General de Inspección Federal del Trabajo, Secretaría del Trabajo y Previsión Social y un/a representante de la Unidad de Asuntos Internacionales de la STPS. rafael.avante@stps.gob.mx	Carretera Picacho al Ajusco Num. 714 Torres de Padierna 14209 Tlalpan, Distrito Federal, segundo edificio, primer piso	30.00.27.00, ext.-2935 o 56.45.22.16 (directo)
	18:00 - 20:00	Ing. Victor Pedro Pérez , Subdirector de Asesoría + Ing. Daniel Ramiro , Coordinador de Capacitación, Dirección General de Inspección Federal del Trabajo, STPS. vpedro@stps.gob.mx ; dramiro@stps.gob.mx	Carretera Picacho al Ajusco Num. 714 Torres de Padierna 14209 Tlalpan, Distrito Federal, segundo edificio, primer piso	30.00.27.00, ext.-2943 o 30.00.27.33 (directo)
Martes, 2 de septiembre	9:00 – 11:00	Ing. Oscar López Vernis , Representante de los Empleadores en el Comité Nacional del Proyecto y miembro de la Confederación de Cámaras de la Industria (CONCAMIN). oslov@alove.com.mx	Oficina de la OIT, Darwin 31 (entre Goethe y Thiers), Col. Anzures	54.90.21.00 ext. 14670
	11:30 - 13:30	Representante de la Dirección General de Seguridad y Salud en el Trabajo, STPS (de preferencia Dr. Francisco Tornero , Director de Área e integrante del Comité Nacional del Proyecto). ftornero@stps.gob.mx	Valencia 36, Col. Mixcoac Insurgentes	30.00.32.95



Día	Hora	Entrevista con ...	Lugar	Tel. de contacto
	16:00 - 18:00	Reunión de preparación de la visita a Puebla con Thomas Wissing, Rodolfo Arias, Noe Curiel Corona (Gerente de Planeación de la Seguridad, VW) y Luis Raúl Martínez (Planeación Ambiental y Seguridad, VW). Noe.curiel@vw.com.mx ; luis.martinez@vw.com.mx	Oficina de la OIT, Darwin 31 (entre Goethe y Thiers), Col. Anzures	52.50.32.24, ext.118
Miércoles, 3 de septiembre	7:00 – 9:30	Salida a Puebla	Hotel o Oficina de la OIT Reservación en el Hotel. Rayalti, Portal Hidalgo. No Reservación 12197 Una noche 3 septiembre.	01 222-2424740
	9:30 – 11:30	Visita empresa proveedora ReFa Mexicana, S.A.de C.V. Contactos: CP Jorge Amaro jamaro@refamexicana.com.mx e Ing. Israel Cárcamo icarcamo@refamexicana.com.mx	Km 117 Autopista México-Puebla (Shop 10) Parque Industrial Finsa. 72730 Cuautlancingo, Puebla. México	012222299600 Ext. 2230
	14:30 - 17:30	Visita empresa proveedora DHL Exel. Contactos: Ing. Fernando Ayala, Ing. Luis Maldonado o Sra., Myrian Bautista. Fernando.ayala@dhl.com; luis.maldonadomorelos@dhl.com; myriam.bautista@dhl.com	Km 117 Autopista México-Puebla No. 200 Shop 4A Parque industrial FINSA, 72710 Puebla, Pue.	01 222 3034405 2295814, 3034410
Jueves, 4 de septiembre	9:00 – 11:00	Visita empresa proveedora Johnson Controls; Contactos: Ing. Joaquin Martinez; Dra. Susana Cruz; Lic. Cynthia Pascualli ; joaquin.martinez@jci.com ; susana.p.cruz@jci.com; cynthia.pascualli@jci.com	Calle Patxi 201 Parque Industrial Bralemex, 72008, Puebla, México	012222259400 Ext 4492 ó 012222259492
	14:00 - 15:00	Ing. Raúl Rodríguez Sánchez, Director de Planeación e Ingeniería de Planta, VW. raul.rodriguez@vw.com.mx	Km. 116 Aut. México-Puebla Apartado Postal 875, 72008, Puebla, Puebla	(222) 230.86.88 y 230.84.45
	14:30 - 15:30	Comida	Por confirmar	



Día	Hora	Entrevista con ...	Lugar	Tel. de contacto
	16:00 - 18:30	Reuniones con funcionarios e inspectores de la Delegación Federal de la STPS en Puebla (Lic. Carlos Ortíz , Delegado Federal; Lic. Horacio Garmendia , Director Jurídico; Ing. José Gabriel Fernández , Director de Seguridad y Salud en el Trabajo, Ing. Juan José Pérez e Ing. Ernesto Cervantes Inspectores Federal). cortiz@stps.gob.mx ; pue103@stps.gob.mx .	Hotel Camino Real Puebla	
	18:30 - 21:00	Regreso a la Ciudad de México		
Viernes, 5 de septiembre	9:00 – 11:00	Reunión de retroalimentación con Thomas Wissing , OIT México y Rodolfo Arias , Coordinador Nacional del Proyecto	Oficina de la OIT, Darwin 31 (entre Goethe y Thiers), Col. Anzures	52.50.32.24, ext.118
	11:00 - 12:00	Traslado al aeropuerto		



South Africa

South Africa		Organisation, contact person and telephone number	Venue of the meeting	Address
Monday: 01 .09. 2008	08h00 – 10h00	Travel from Johannesburg – Port Elizabeth		
	10h00-12h00	VWSA Meeting with Dr Alex Govender And Mr Weneer Visser	VWSA Boardroom Port Elizabeth	041 994438 0825759244
	12h00 – 13h00	Accoustex Meeting with Mr Jackie Barkly	Port Elizabeth	0414074138
	13h00- 14h00	LUNCH		
	14h00- 15h00	S & N Rubber Gerry	Port Elizabeth	041 4861505
	15h00- 16h00	Zeus Manufacturing Meeting with Mr Charles Gillette	Port Elizabeth	0414861744
Tuesday 02.09.2008	08h00 – 10h00	Meeting with Mr Alfred Cakata and the Process Optimization Team	Dept of Labour Port Elizabeth	0828098984
	11.00 – 12h00	Univel Transmission Meeting with Laverne Jantjies	Port Elizabeth	041-4086111
	12h00- 13h00	BeLEssex Meeting with Lucinda Cordier	Port Elizabeth	041- 4815312
	13h00 – 14h00	LUNCH	Port Elizabeth	
	14h00 – 15h00	Drive to Uitenhage		



	15h00 – 16h00	Uitenhage Meeting with Vincent Daesil	Uitenhage Sikhona Cleaning	0828861997
Wednesday 03.09.2008	08h00 – 10h00	Telephonic interview with NACTU B Modise		0833209463
	11.00 – 12h00	Telephonic interview With M Ncube		0834694439
	12h00- 13h00	Interview with Jill Cawse		0836743604
Thursday 04.09.2008	09h30 – 10h30	BUSA Meeting with Sitse vd Woude	No 6 Hollard Street Marshalltown Johannesburg	0825659343
	11.00 – 12h00	Fedusa Meeting with Joseph Sehlabaka	ILO Pretoria	0731946359
	12h00- 13h00	Cosatu, Meeting with Jackie Mpolokeng	ILO Pretoria	0824520804
	13h00 – 14h00	GTZ Pretoria Meeting with Mr Conze	GTZ Hatfield Pretoria	
	14h00 – 15h00	Numsa Meeting with Selina Tyikwe	ILO Pretoria	0118336330
	15h00 – 16h00	Dept of Labour Meeting with M. Monyaki	Dept of Labour Pretoria	0825527172
Friday 05.09.2008	08h00 – 10h00	ILO Pretoria Meeting with Mr J Ajakaye, S Ndlovu, B Matlou	347 Hilda Street Hatfield Pretoria	012- 4318824
	10.30 – 11h30	ILO Pretoria Meeting with Director Ms J Amri- Makhetha	347 Hilda Street Hatfield Pretoria	012- 4318839
	11h30- 12h30	ILO Pretoria Meeting with M Loselo	347 Hilda Street Hatfield Pretoria	012- 4318823



Appendix 6: Members of Overall Steering Committee and Project Steering Committees

Organisation	Name	Position/Role	Email
ILO	Malcolm Gifford	Project Manager Development of Inspection Systems	gifford@ilo.org
ILO	Gerd Albracht	Former project manager	gerd.albracht@web.de ,
ILO	Dr. Takala		takala@ilo.org
ILO	Mr. Treichel	Former project manager	treichel@ilo.org
ILO	Carla Henry	Senior Evaluation Officer	
GTZ	Peter Kocks	Project Coordinator	Peter.kocks@gtz.de
GTZ	Vera Scholz	Head Programme Bureau	Vera.scholz@gtz.de
VW	Elke Sebold- Tanski	Arbeitsschutz Strategie und Koordination	Elke.sebold- tanski@volkswagen.de
VW	Dr. Göttner		
IOE	Mr Wilton		wilton@ioe-emp.org
IMF	Mr. Steiert		rsteiert@imfmetal.org



Mexico: Members of National Project Steering Committees

Name	Position	Institution
Lic. Rafael Adrián Avante Juárez	Director General (preside el Comité)	Dirección General de Inspección Federal del Trabajo, STPS
Ing. Victor Pedro Pérez	Subdirector de Asesoría, Análisis y Apoyo Técnico.	Dirección General de Inspección Federal del Trabajo, STPS
Ing. Daniel Ramiro Reyes	Jefe Departamento de Capacitación y Difusión de la Actividad Inspectiva Laboral.	Dirección General de Inspección Federal del Trabajo, STPS
Lic. José Ignacio Villanueva Lagar	Director General	Dirección General de Seguridad y Salud en el Trabajo, STPS
Dr. Francisco Tornero Applebaum Irma Guzmán	Director de Política de Prevención de Riesgos	Dirección General de Seguridad y Salud en el Trabajo, STPS
Lic. Jorge Rodríguez Castañeda	Jefe	Unidad de Asuntos Internacionales, STPS
Lic. Guadalupe Morones Lara	Subcoordinadora de Política Laboral Internacional	Unidad de Asuntos Internacionales, STPS
Lic. Javier Morales Gauzier	Director para la OIT STPS	Unidad de Asuntos Internacionales, STPS
Lic. José Nicolás Carlos Ortiz Rosas	Delegado Federal del Trabajo	Delegación Federal en Puebla, STPS
Lic. Horacio Alberto Garmendia Salmán	Director Jurídico	Delegación Federal en Puebla, STPS
Ing. José Gabriel Fernández Sánchez	Jefe del Departamento de Seguridad y Salud en el Trabajo	Delegación Federal en Puebla, STPS
Lic. Pericles Olivares Flores	Secretario del Trabajo y Competitividad	Secretaría del Trabajo y Competitividad del Estado de Puebla
Ing. Raul Rodríguez Sánchez	Director de Planeación e Ingeniería de Planta	Volkswagen México
Ing. Noe Curiel Corona	Gerente de Planeación de la Seguridad	Volkswagen México
Ing. Luis Raul Martínez Olvera	Planeación Ambiental y Seguridad	Volkswagen México
Ing. Elke Sebold-Tanski	Ingeniera de Seguridad Laboral	Volkswagen Corporativo Alemania (Wolfsburgo)
Dr. Bernhard Boesl	Director	GTZ México
Sr. Alejandro Von Bertrab T.	Representante	GTZ México
Ing. Oscar López Vernis	Representante	Confederación de Cámaras de la Industria, CONCAMIN
Sr. Víctor Cervantes Rosas	Secretario General	Sindicato Independiente de Trabajadores de la Industria Automotriz, Similares y Conexos "Volkswagen de México" SITIAVW
Sr. Raúl Martínez Vazquez	Secretario de Prevención Social	Sindicato Independiente de Trabajadores de la Industria Automotriz, Similares y Conexos "Volkswagen de México" SITIAVW
Sr. Guillermo Rocha Robledo	Secretario de Deportes	Sindicato Independiente de Trabajadores de la Industria Automotriz, Similares y Conexos "Volkswagen de México" SITIAVW



Name	Position	Institution
Sr. Miguel del Cid Molina	Director	Oficina de la OIT para México y Cuba
Sr. Thomas Wissing	Oficial de Programas de Cooperación Técnica	Oficina de la OIT para México y Cuba
Dra. Valentina Forastieri	Especialista Subregional para Condiciones y Medio Ambiente del Trabajo, Seguridad y Salud	Oficina Subregiona de la OIT en San José (Costa Rica)
Ing. Rodolfo Arias	Coordinador del Proyecto	Oficina de la OIT para México y Cuba

Members of the PSC South Africa

NAME	ORGANIZATION
Mr Mhlakola Monyaki	Dept of Labour
Dr Alex Govender	VW South Africa
Ms Selina Tiykwe	NUMSA- National Union of Metal Workers SA
Mr Joseph Sehlabaka	FEDUSA – Federation of Unions SA
Mr Brenda Modise	NACTU – National Council of Trade Unions SA
Mr Siphon Ndlovu	ILO
Mr Sitse v/d Wourde	BUSA
Ms Matlhodi Loselo	ILO

Appendix 7: Members of Process Optimizing Teams

Mexico

Name	Position	Institution
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South Africa

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Appendix 8: Project Planning Matrix

Büro für die Zusammenarbeit mit der Wirtschaft/PPP

Project Planning Matrix

Project Goal

Establishing and implementing a National SafeWork action programme in 3 countries based on ILO standards, focusing on occupational health and safety and a pilot implementation of a prevention culture at enterprise level in each partner country

Indicators:

- Implementation of National SafeWork Programmes at governmental level in at least 3 partner countries till 03/2007
- Implementation of an Audit System at enterprise level (VW) and at least 80% of their suppliers in the selected project countries till 03/2007.
- Establishment of a project-related competency network until 03/2007, disseminating standardized procedures and relevant information to all participating countries.

Results, Indicators, Activities

Result 1:

The three partners have agreed on a detailed project planning and implementation process

Indicators:

- The Status Report which is the base of contract has been adjusted according to the results of the common planning workshop before 04/2004
- The concrete roles and activities of each of the involved partners are defined
- The significance and approach to implement health promotion systems are clarified
- The approach of implementation on enterprise level and the concrete link of activities on government, civil society and enterprise level is defined
- Participants, fields of work and competencies of Steering Committees are agreed upon (including the fit Tripartite and Multistakeholder issue)
- The approach and responsibilities in the field of knowledge management are agreed upon by all partners
- The form and set of standards audits are clarified

Activities:

- Preparation of Planning Workshop
- Delivering workshop
- Adjusting of Project Planning Matrix and Status Report based on workshop results

The exact indicators and activities of the following results will be defined in the planning workshop (result 1)

Result 2:

Participating countries are defined

Indicators:

- Written agreements with 3 governments and VW dependencies in the selected countries are signed till 06/2004 committed till 06/2004
- By x/200y it is defined if and how the PR of China can be the first country of enlargement of the project

Activities:

- VW identifies project countries and discusses project countries with ILO and GTZ
- Signing agreements on pilote countries (ILO, Governments, GTZ and VW)
- Initiating the process of clarifying the possibilities of involving the PR of China into the project context
- Identifying and acquiring resources for further project countries

Result 3:

The project framework is in place -

- 1. High-level Tripartite Project Steering Committees (national strategy groups) are created**
- 2. National Project Coordinators in the respective countries are assigned to the project**
- 3. International Project Consultants are assigned to the project**

Indicators:

- An overall multi-stakeholder Steering Committee of the project is established till x/2004
- In each participating country, National Project Steering Committes are established (representatives from specific steering committees from the countries` Ministries of Labour (e.g. the heads of the Labour Inspectorates), Trade Unions and Employers` Associations, NGOs , VW managers and GTZ) till x/200y
- NPC's and International Consultants obtained contracts and started their work before x/200y

Activities:

- Overall Steering Committee identifies Multi-stakeholder representatives for the project countries
- Defining Terms of References for International Project Consultants and Identifiacation of International Projcet Consultants
- Identify and select NPC

Result 4:

A methodology for an initial, holistic inventory of a labour system is created (system analysis); methods for implementing health and safety in the SME sector are created in each partner country.

Indicators:

- Tools for systematic inventory and monitoring of problems are developed and are delivered in written form till x/200y
- Areas for action and needs of improvement are identified and presented in written form to the overall steering committee till x/200y
- Deficits in policy, legislation, structures, monitoring and other operational issues, and lacking or ineffectively used resources are identified till x/200y

Activities:

- Collecting existing tools for inventory in SafeWork and Health Promotion
- Developing tools for inventory
- Defining a SWOT analysis

Result 5:**Inventories and analyses in three participating countries took place;****Indicators:**

- An initial inventory of the country's basic labour protection elements, including: Policy, a regulatory frame-work, institutions, structures, coverage, resources, organization and management, human resources development, methods of ensuring compliance, relations with social partners and other stakeholders took place till x/200y
- Based on the inventory, a needs assessment and systems analysis is carried out to determine the parameters for systems reform till x/200y; i.e. the need to improve policy, legislation and to advocate labour protection; the need for improved knowledge management, including information collection, analysis and dissemination; the need for capacity building and upgrading of knowledge and skills of the national labour protection system; the need to address specific priority areas, such as most hazardous sectors, and most dangerous forms of child labour; and the need to strengthen labour inspection systems and substantially increase the results they produce;

Activities:

- Identify experts
- Set the time-frame for the inventory
- Gather already existing data
- Carry out the inventory and systems analysis

Result 6:**Labour inspectors have received training; trainers have been trained and can carry out training for labour inspectors****Indicators:**

- A Training Needs Analysis has been undertaken and is documented till x/200y
- An action plan for training of labour inspectors and health and safety experts is established till x/200y
- Train-the trainer manuals and training manuals are developed till x/200y
- In each country at least x Training sessions have taken place till x/200y



- The quality increase in labour inspection activities based on a in the planning workshop defined indicator is measured
- Cooperation of inspectors with other stakeholders

Activities:

- To carry out the training needs analysis
- To develop training manuals
- Trainers and groups of trainees are identified
- To carry out Training programmes

Result 7:

An audit System to analyse risks at the workplace for a quantitative and qualitative survey of work-related accidents and illnesses is developed, covering aspects of manufacturing, construction and the supply chain as well as HIV / AIDS (for the improvement of work processes which result in higher productivity, better products and a better overall economic performance).

Indicators:

- Written Audit Reports for each project country are finished and are presented to the overall steering committee till x/200y

Activities:

- A suitable Audit system will be selected and applied and, if necessary, further developed.

Result 8:

National SafeWork Programmes are created and established and/or further developed in three countries, specifically addressing labour inspection and occupational health and safety.

Indicators:

- National programmes of action are launched or, if already established, further developed for selected industries and hazardous agents till x/200y
- Reorientation of national priorities are committed by the respective government by x/200y
- Determination of parameters for system reform based on data collection, analysis and dissemination of practical approaches

Activities:

- An initial inventory of the country's basic labour protection elements (policy, regulatory frame, institutions, structures, coverage, resources, organization and management, human resources development, methods of ensuring compliance, relations with social partners and other stakeholders) and results;

- Actions are based on the inventory: i.e. the need to improve policy, legislation and to advocate labour protection; the need for improved knowledge management, including information collection, analysis and dissemination; the need for capacity building and for upgrading of knowledge and skills of the national labour protection system; the need to address specific priority areas, such as most hazardous sectors, and most dangerous forms of child labour; and the need to strengthen the inspection system and substantially increase the results it should produce;
- Developing viable monitoring systems, implementing practical solutions and achieving compliance at workplace levels.
- The process of developing National SafeWork Programmes will be undertaken mainly by national authorities and experts, with targeted but limited assistance from international consultants, and can therefore also be considered as a hands-on training method for improved systems management.

Result 9:

A health and safety recording reporting system is created. An OSH supply chain management policy for VW-suppliers is created.

Indicators:

- Internet or e-mail based system for a better knowledge exchange is established till x/200y
- Best practices and project experiences in one country are summarized and made available for all project stakeholders till x/200y
- Additional information on occupational health and safety are accessible to everyone till x/200y
- OSH supply chain management policy for VW suppliers is implemented till x/200y
- Success indicators for a better economic and social performance are defined till x/200y

Activities:

- Development of the structure and system for information dissemination
- Establishment of a competency network
- Definition of Indicators to measure quality increase
- Development of the Database
- Input of initial data
- Maintenance of the database
- Identification of experts
- Promotion of the system
- Experts provide answers to health and safety- related questions

Result 10:

The occupational health and safety performance of VW suppliers is improved in a sustainable manner. ILO Guidelines for suppliers in OSH are developed.

Indicators:

- Coordination of the overall project activities (Project Steering Committee)
- Coordination of country activities
Local health and safety working groups with suppliers and sub contractors created by VW.

Activities:

- Identification of Suppliers
- Meetings with suppliers to inform suppliers about the project
- Implementation of Audits/Assessments
- Supervision of implementation of corrective action plans of suppliers in case audits show that suppliers do not conform with standards
- Consultancy to suppliers how to implement process-oriented health and safety management Systems
- Implementation of the developed Audit system for suppliers to assess their risks at the workplace, resulting in the reduction of occupational accidents and diseases as well as the reduction of absenteeism, improvement in workers' health and safety, quality and productivity
- Development of ILO guidelines for suppliers in OSH are developed in regard to the experiences gained through improving the occupational safety and health performance of VW suppliers.

Targets (intentional):

- Every supplier has a process-oriented occupational health and safety management system in place at the end of the project. (consultancy to suppliers to implement health and safety management systems expresses this intention)

Result 11

An evaluation of the project makes statements on the success of the project and describes the impact of the Project

Indicator:

- Evaluation is presented in a written form to overall Project Steering Committee

Activities:

- Definition of the success criteria (ILO/GTZ/VW)
- Definition of areas of impact; Formulation of Impact Hypothesis; Development of Indicators (GTZ)
- Definition of the Terms of Reference of the Evaluation Team (GTZ)
- Identification of Evaluation Team (GTZ)
- Implementation of Evaluation (GTZ)

Appendix 9: Interview Guidelines

Question guidelines for VW/ILO/GTZ PPP Evaluation

The questions are relatively open and some may have been answered in the documents we have. I suggest using them as a guideline only and not asking all of them. Nonetheless I assume that individuals may have experienced the process differently than it was written in the reports, and therefore I would still ask some questions even if it was written about.

Obviously, each individual has been part of different aspects of the PPP, or have only been involved a certain time, and so we can only ask them about those.

Start with explaining the process of the evaluation and what this interview will cover... ask if they have an hour time (or less if telephonically). Ensure that their views will not be attributed to their name.

International level

Phase 1: exploration & consultation

1. Can you tell me about yourself and your role in your organisation and within this PPP project?
2. How was the project initiated? Who/ which organisations were involved? Who played which role? Who else was consulted?
3. What was the initial problem/situational analysis that led to the development of the PPP project?
4. Was there an initial context and stakeholder analysis to inform the design of the project?
5. What was your personal/organisational motivation to get involved?
6. Which processes took place in the initial phase? What was planned? What happened?
7. What went well in the initial phase? Where did you see challenges?

Phase 2: Building Phase – Establishing the Stakeholder Dialogue

8. What were the processes that defined the nature of the partnership, roles, responsibilities, and ways of working together? Who had which role and responsibility? Was there any plan regarding the partnership development?
9. How were the relationships between the partners? Were there different viewpoints on the project, and how were those differences managed?
10. How often did meetings take place? Was there a core group within the OSC that drove the process? Who was in charge of OSC meetings?
11. How were decisions taken and goals, strategies & activities planned?
12. Which other stakeholders were involved and how?

13. Were there changes or deviations from the initial project idea? If yes, what changed?
14. What went well and where were challenges in this phase?

Phase 3: Implementation phase

15. What was the role of the OSC in ensuring the successful implementation at National levels? What support was given? How often did you communicate?
16. Was there clarity on roles, responsibilities and accountability/communication channels between international and national levels?
17. How were the different phases and activities of the project implemented? Can you describe in an overview what was implemented well and where you faced challenges? How were those addressed?
18. How was the project carried forward as the process unfolded? How were successes celebrated? How did you deal with problems or failures?
19. How did the partners try to achieve the overall goals, while being sensitive to local requirements and possible needs for changing the strategy? What were the feedback mechanisms between the international, national and local levels?
20. How do you see the commitment from the different partners to keep the process running successfully?
21. What went well? Where were challenges? Why?

Phase 4: Institutionalisation phase

22. How was the partnership carried forward over time? What changed in the process?
23. What were the outcomes/learnings of the project that were translated into further processes or outputs of the project (OSH manual/ availability for government authorities or other companies/ lessons learnt from the overall process)?
24. Have the OSH standards improved in the supply chain?
25. Are the OSH standards of VW/ ILO more progressive than national standards in Mexico/SA?
26. Why and how is the project currently being terminated? Was it planned for? What processes are taking place? How will you “harvest” the learning for future projects? Was there any mechanism for cross country learning?
27. In your view, did the project reach the planned goals?
28. What are strengths & challenges in this current phase?
29. If you would do it all over again, what would you do again, and what would you do differently?



Closure

30. Do you have any other comments?Thank you for your time.

National Level

Phase 1: exploration & consultation

1. Can you tell me about yourself and your role in your organisation and within this PPP project?
2. How was the PPP project introduced at national level? What processes took place? Who was involved? Who else was consulted?
3. How was the local PPP initiated?
4. To what degree was there participation in decision making and planning for the national level? What had been decided at OSC level, and where was there room for local planning and decision-making?
5. Was there an initial context and stakeholder analysis at the local level to inform the national design of the project?
6. What was your personal/organisational motivation to get involved?
7. Which processes took place in the initial phase? What was planned? What happened?
8. What went well in the initial phase? Where did you see challenges?

Phase 2: Building Phase – Establishing the Stakeholder Dialogue

9. What were the processes that defined the nature of the partnership, roles, responsibilities, and ways of working together? Who had which role and responsibility? Was there any plan regarding the partnership development?
10. How were the relationships between the partners? Were there different viewpoints on the project, and how were those differences managed?
11. How often did meetings take place? Was there a core group within the PSC that drove the process? Who was in charge of OSC meetings?
12. How were decisions taken and goals, strategies & activities planned?
13. Are there any supplier organisations that could have been involved (local business associations)?
14. How were suppliers involved in the design of the project?
15. Which other stakeholders were involved and how?
16. Were there changes or deviation from the initial project idea? If yes, what changed?
17. What went well and where were challenges in this phase?

Phase 3: Implementation phase

18. What was the role of the PSC in ensuring the successful implementation of project activities? How were activities planned? What support was given to the partners? How often did you communicate?
19. Was there clarity on roles, responsibilities and accountability/communication channels between international and national levels, as well as between the partners at national level? Who was responsible for what? Who had authority over decision making? Who implemented what?
20. How were the different phases and activities of the project implemented? Can you describe in an overview what was implemented well and where you faced challenges? How were those addressed?
21. How was the project carried forward as the process unfolded? How were successes celebrated? How did you deal with problems or failures?
22. How did the partners try to achieve the overall goals, while being sensitive to local requirements and possible needs for changing the strategy? What were the feedback mechanisms between the international, national and local levels?
23. How do you see the commitment from the different partners to keep the process running successfully?
24. Was there any capacity building for suppliers?
25. What were the motivators for the supplier companies to implement the OSH recommendations? Are they still being implemented?
26. How did you address the tension between control and service of the inspectors?
27. Which external consultants were involved? What was their role?
28. What went well? Where were challenges? Why?

Phase 4: Institutionalisation phase

29. How was the partnership carried forward over time? What changed in the process?
30. What were the outcomes/learnings of the project that were translated into further processes or outputs of the project (OSH manual/ availability for government authorities or other companies/ lessons learnt from the overall process)?
31. Have the OSH standards improved in the supply chain?
32. Are the OSH standards of VW/ ILO more progressive than national standards in Mexico/SA?
33. Why and how is the project currently being terminated? Was it planned for? What processes are taking place? How will you “harvest” the learning for future projects?
34. In your view, did the project reach the planned goals?

35. What are strengths & challenges in this current phase?
36. If you would do it all over again, what would you do again, and what would you do differently?

Closure

37. Do you have any other comments?Thank you for your time.

Micro Level (supplier companies, labour inspectors, POT members)

Phase 1: exploration & consultation

1. Can you tell me about yourself and your role in your organisation and within this PPP project?
2. How was the PPP project introduced to you? How did you get involved? Were there any processes (workshops) that you were part of? How did that go?
3. To what degree was there participation for local planning and decision-making? Were you involved in the design of the activities that took place (POC, training workshops, ...)?
4. What was your personal/organisational motivation to get involved?

Phase 2: Building Phase – Establishing the Stakeholder Dialogue

5. In the implementation of the activities, who had which role and responsibility? How were decisions taken and goals, strategies & activities planned? In what ways were you involved in such?
6. How were the relationships between the participants? Were there different viewpoints on the project, and how were those differences managed?
7. How often did meetings take place? Who was in charge of meetings?
8. Are there any supplier organisations that could have been involved (local business associations)?
9. Which other stakeholders were involved and how?
10. What went well and where were challenges in this phase?

Phase 3: Implementation phase

11. What was the role of the POT/supplier companies in ensuring the successful implementation of project activities?
12. How were the different activities of the project implemented? Can you describe in an overview what was implemented well and where you faced challenges? How were those addressed?



13. How was the project carried forward as the process unfolded? How were successes celebrated? How did you deal with problems or failures?
14. Were there changes or deviations from the initial project idea? If yes, what changed? What were the feedback mechanisms between the local and national levels?
15. How do you see the commitment from the different partners to keep the process running successfully?
16. Was there any capacity building for suppliers?
17. What were the motivators for the supplier companies to implement the OSH recommendations? Are they still being implemented?
18. How did you address the tension between control and service of the inspectors?
19. Which external consultants were involved? What was their role?
20. What went well? Where were challenges? Why?

Phase 4: Institutionalisation phase

21. How was the project carried forward over time? What changed in the process?
22. What were the outcomes/learnings that were translated into outputs of the project (OSH manual/ availability for government authorities or other companies/ lessons learnt from the overall process)? Were any of those useful to you?
23. Have the OSH standards improved in the supply chain?
24. Are the OSH standards of VW/ ILO more progressive than national standards in Mexico/SA?
25. In your view, did the project reach the planned goals?
26. If you would do it all over again, what would you do again, and what would you do differently?

Closure

27. Do you have any other comments?Thank you for your time.



Appendix 10: Overall Assessment

DAC Criteria	International Level	South Africa	Mexico	Overall Assessment
Impact	The impact can be measured at national level only	At micro level, impact can be observed. The POC process was seen as highly successful by most partners. At macro level far less impact is visible.	At micro level, impact can be observed. The POC process was seen as highly successful by most partners. Dialogues between the stakeholders could be initiated. At macro level less impact is visible.	At micro level an impact can be observed. On macro level the projects goal was too ambitious not taking the country specific needs into account.
Effectiveness	reached many of the milestones but not implemented all planned outcomes of the PPM	Achieved milestones at a micro level, although more supplier companies could have been reached. On a macro level, the scaling up of the project onto a policy level, and the PSS system were not achieved.	Achieved milestones at a micro level. On a macro level, the scaling up of the project onto a policy level, and the PSS system were not achieved although first results of the project are integrated into a MoL information system for labour inspectors.	Achieved milestones at micro level. Results on macro level could not be achieved due to missing country specific approach.
Efficiency	Project money was underspent. Issue with in-kind contribution and lack of time within ILO	The centralisation of the budget was leading towards more inefficiency, as budgets could not be utilised or accessed as needed.	The centralisation of the budget was leading towards more inefficiency, as budgets could not be utilised or accessed as needed.	Lack of efficiency due to coordination problems at different levels and centralisation of budget. Thus the total budget was not spent although the project was extended.
Relevance	Highly relevant	All interviewees at national level stressed the relevance and necessity of the project	All interviewees at national level stressed the relevance and necessity of the project	All partners and stakeholders state the high relevance of the topic which was formerly not addressed adequately.
Sustainability	Questionable (see national levels)	Since the project was not fully owned at a national level, its sustainability is questionable. It therefore could not be scaled up to a macro level. At a micro level, several changes were perceived that could remain sustainable.	Since the project was not fully owned at a national level, its sustainability is questionable. It therefore could not be scaled up to a macro level. At a micro level, several changes were perceived that could remain sustainable.	The projects lacks sustainability as scaling up remains unclear, no cross-country exchange took place and a strategic approach to continue with results achieved on international level remains unclear. However, VW will transmit the lessons learned to a project starting in China.

Partnership Assessment

	Partnership Criteria	International Level	South Africa	Mexico	Overall Assessment
Phase 1	The degree of stakeholder integration into project design	Core decisions were taken and strategic plans designed, before other main stakeholders were involved.	A country mission took place where stakeholders were consulted, but no proper participation process followed.	A country mission took place where stakeholders were consulted, but no proper participation process followed.	Not sufficiently done as a joined design from international & national level was missing.
	The degree of preparatory context analysis (international, in-country)	See national levels.	The context analysis was done too briefly, a more in-depth national OSH assessment was not implemented.	The context analysis was done too briefly, a national OSH assessment was provided by ILO in a draft version.	Not sufficiently done although the topic was highly relevant for the countries.
Phase 2	Appropriateness and usefulness of structures and formal arrangements	Formally well designed, not well maintained and insufficient core group building.	The core national partners were selected corresponding to the international setup. It is questionable whether the DoL or other stakeholders should have housed the project instead to increase ownership.	The core national partners were selected corresponding to the international setup. The role of the Ministry of Labour in identifying the NPC was too strong.	Basically appropriate, but did not come to life as a result of lack of ownership.
	The degree of clarity of goal and project design for all implementing actors	At an international level there was goal clarity.	Nationally, goal clarity was there in the sense that international goals were provided. Local strategies were not developed.	Nationally, goal clarity was there in the sense that international goals were provided. The suggested local adaptation was not taken up by the international level.	Goal was clearly defined on international level. National strategies were not encouraged to develop (S.A.) respectively suggestions were not taken up (M.).
Phase 3	Degree of coordination and cooperation between project partners (internationally and in-	Initially, the project was well coordinated. Due to difficulties within ILO SafeWork, the coordination	The lack of international coordination filtered down to South African level, where there was no NPC for	The lack of international coordination filtered down to Mexican level, leading to a very strong role of ILO Mexico and GTZ	Lack of coordination from international level. Cross-country learning, learning

	Partnership Criteria	International Level	South Africa	Mexico	Overall Assessment
	country)	suffered over time.	1 year.	Mexico withdrawing out of the process.	between project partners and learning between national and international was not sufficiently catered for in the project design and implementation.
	Degree of integration of partnership approach and content in partnering institutions	VW	It appears that the partners operated separately at times, with VW implementing most local activities and no translation back to national level.	It appears that the partners VW was involved in the POC process and workshops a transparent exchange the proceedings within VW Mexico was missing	The partnership approach was not sufficiently developed leading to coordination and implementation problems at international and national level.
		ILO		ILO took up the partnership approach, holding the communication with the NPC, MoL, VW.	
	Degree of coordination with relevant external stakeholders/actors	The project was presented at various conferences	There were no other stakeholders involved beyond (e.g. Dep. of Health)	Within the MoL different departments were involved. However a deeper integration into e.g. COCONASHT, other trade unions or association did not take place.	Other stakeholders then identified at international level could not participate. A further development did not take place.
	Results and impact (covered by 2.2.2)				
Phase 4	impact on potential structures/bodies for scaling up	The project did not harvest enough “best practices”	Scaling up was hampered by the lack of impact at National level. The project mainly operated at micro level, however.	Scaling up was hampered by the lack of impact at national level. Implementation mainly took place on micro level. On macro level the project provided links on personal level between different MoL departments. Information gained through project is integrated into a governmental information system for labour inspectors. A structural change did not take place.	Project goal was too broadly defined to lead to institutional changes. Thus scaling up was an inherited problem of the project.