



International Labour Organization

iTrack

Evaluation

ILO EVALUATION

- **Evaluation Title:** Promoting and building social protection in Asia: Extending social security coverage in ASEAN (ESSA)
- **ILO TC/SYMBOL:** RAS/16/03/JPN
- **Type of Evaluation:** Independent Final Project Evaluation
- **Country(ies):** ASEAN, Indonesia, Viet Nam
- **Date of the evaluation:** July 2019
- **Name of consultant(s):** Mel Cousins
- **ILO Administrative Office:** ILO Regional Office for Asia and Pacific
- **ILO Technical Backstopping Office:** ILO Decent Work Technical Support Team for East and South East Asia and the Pacific
- **Other agencies involved in joint evaluation:** None
- **Date project ends:** July 2019
- **Donor: country and budget:** Japan, US\$ 2,007,076
- **Evaluation Manager:** Huyen Pham Thi Thanh
- **Key Words:** Social protection; Social insurance; ASEAN; South-east Asia

This evaluation has been conducted according to ILO's evaluation policies and procedures. It has not been professionally edited, but has undergone quality control by the ILO Evaluation Office

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List of acronyms

ACE	ASEAN Confederation of Employers
ADB	Asian Development Bank
ASEAN	Association of Southeast Asian Nations
ATUC	ASEAN Trade Union Congress
CTA	Chief Technical Advisor
ESSA	Extending Social Security Coverage in ASEAN
GDP	Gross Domestic Product
GoJ	Government of Japan
ILO	International Labor Organization
JICA	Japan International Cooperation Agency
MAPS	Mongolia-ASEAN Social Protection and Employment Support
MSME	Micro, Small & Medium Enterprises
MOLISA	Ministry of Labour, Invalids and Social Affairs
MPSIR	Master Plan for Social Insurance Reform (Viet Nam)
SDG	Sustainable Development Goal
SLOM	Senior Labour Officials Meeting
SOMSWD	Senior Officials Meeting on Social Welfare and Development
TPAC	Tripartite Project Advisory Committee
UNICEF	United Nations Children's Fund
VN	Viet Nam
VCCI	Vietnam Chamber of Commerce and Industry
VGCL	Vietnam General Confederation of Labour
VSS	Viet Nam Social Security
WFP	World Food Program
WHO	World Health Organisation

Executive Summary

Project background and objectives

This project is the third phase of the ILO/Japan Project on Promoting and Building Social Protection in Asia. Building on the achievements of the past two phases of the ILO/Japan Project (2011-2013 and 2014-2016), the new phase aimed to increase social security coverage in ASEAN by improving application of social security laws. The project intended to generate better knowledge, understanding and expertise on extension of social security, and stimulate South-South cooperation across ASEAN Member States. The project provided direct support to Indonesia and Viet Nam for increasing social protection coverage.

The project has three immediate objectives:

Immediate objective 1: Knowledge and expertise are increased among ASEAN Member States to extend social protection to all and as a result, measures are proposed at national level to extend social security coverage in ASEAN, emphasizing on self-employed, informal and MSMEs workers.

Immediate objective 2: More workers are covered by social security schemes, through improved policy, legal framework, and enforcement and delivery mechanisms in Viet Nam.

Immediate objective 3: More workers are covered by social security schemes, through improved implementation arrangements, enforcement measures and support services in Indonesia.

Evaluation background & methodology

The main purposes of this final evaluation are to fulfil the accountability to the donor, to serve internal organizational learning purpose and for improvement of similar projects in the future. The evaluation assesses the extent to which the project has achieved its expected objectives and the effectiveness and efficiency of the implementation. The evaluation also identifies lessons learnt and good practices. The evaluation provides concrete recommendations which should be followed up by the ILO and key implementing partners. Specific objectives of the evaluation are to:

- Give an independent assessment of the progress of the project in achieving its stated objectives; assess the strategies and implementation modalities chosen; partnership arrangements, constraints and opportunities;
- Examine the project management, coordination mechanisms among the implementation partners and effectiveness and efficiency of programme implementation in general;
- Provide recommendations for similar future project for ILO and the Government of Japan.

The evaluation included all activities undertaken by the ILO project during the current project period (2016-2019). ILO's Evaluation Guidelines provides the methodological

framework for the evaluation. The evaluation has been carried out in accordance with ILO standard policies and procedures, and complies with evaluation norms and follows ethical safeguards.

Evaluation findings & Conclusions

Relevance and strategic fit of the project

Overall the project (both as planned and implemented) was highly relevant to the needs of ASEAN, the two countries, ILO and the donor. The issue of extending social protection coverage is clearly very relevant to all ASEAN countries which have basic social protection laws but which often have low levels of actual insurance coverage due both to high levels of informal work and limitations in implementation capacity.

Validity of design

The project was well designed, combining strategic activities at ASEAN level with related policy and implantation-related activities in two ASEAN member states. The project activities and outputs of the programme were consistent with the overall goal and the attainment of its objectives. We note that the focus of the project at national level changed somewhat from its original design to address policy issues raised by the national authorities (although no formal change was made to project objectives). In Viet Nam, MOLISA requested support with the development of a Master Plan on Social Insurance Reform which has now been approved by the GoVN. In Indonesia, the Ministry of Manpower requested support with investigating the possibility of introducing an (un)employment insurance scheme. This does not affect the validity of the original design which reflected the needs of the countries at the time it was drafted.

Project effectiveness

The project has made a major contribution to extending social protection cover both at ASEAN level (through its study of the issue), in Viet Nam through its contribution to the development and adoption of the Master Plan for Social Insurance Reform and in Indonesia through its support for the proposals on employment insurance. It has also carried out significant work both at ASEAN and national level in relation to identifying issues concerning low social protection cover and how this can be addressed.

If the Master Plan and employment insurance were formal objectives of the project, it could be classified as highly satisfactory. However, in relation to the formal objectives it can be classified as satisfactory as some of the original outcomes were not fully implemented.

Efficiency of resource use

The total budget of the three-year project was US\$ 2,007,076. It is anticipated that this will be almost entirely expended by the end of the project. Based on the findings in this report in relation to the achievement of project activities, it would appear that resources (funds, human resources, time, expertise etc.) been allocated strategically to achieve outcomes and have been used efficiently. Activities supporting the strategy have, in general, been

cost-effective. No significant examples of wasted or misused resources were identified during the course of the evaluation.

Effectiveness of management arrangements

In general management capacities and arrangements provided the appropriate support to achieve results and project governance and management facilitated good results and efficient implementation. No significant issues in relation to project implementation were identified in the course of this evaluation.

Impact and sustainability

The ESSA project has had a significant impact. ILO support has contributed significantly to improving awareness of key policy issues (in particular social protection coverage) and how to address them both at ASEAN level and at national level and to improving capacity amongst the tripartite partners. In Viet Nam, the Ministry of Labour, Invalids and Social Affairs acknowledged the significant role which ILO played in supporting the development of the Master Plan for Social Insurance Reform. Overtime, these may lead to the development of (further) outputs such as social protection laws (e.g. an employment insurance law in Indonesia) and improved social protection planning and implementation.

The key stakeholders were very happy with the project and very positive about the quality of ILO technical assistance.

The planned focus on implementation at country level should have led to a situation where project activities could be sustained at national level. However, the fact that such activities were not fully implemented and the shift to more focus on policy development means that the sustainability of the project is highly dependent on further ILO involvement in Viet Nam and Indonesia. This issue is being addressed by ILO which has secured further ILO-Japan funding for work in Viet Nam until the end of 2019 and which is in discussions with potential funders in relation to further work in both countries.

At ASEAN level, over the course of the three ILO-Japan projects, ILO has developed close links with ASEAN and the work of the ILO has been more integrated into the work of ASEAN bodies, thereby creating a greater sense of ownership (and sustainability) at ASEAN level. However, as at national level, sustainability of ILO social protection work is dependent on future activities at ASEAN level. It is recommended (below) that this should be a priority for funding.

Cross-cutting issues

The PRODOC includes a specific section on gender issues. It specifies a number of particular actions in relation to gender (e.g. activity 2.1.2; 2.1.4). In its implementation, the project also addressed a range of issues of specific relevance to gender. However, one could not say that gender equality had been mainstreamed in terms of project

implementation.¹ It is not realistic to expect that gender issues will be mainstreamed unless ILO staff at all levels are provided with the tools and resources to do so.

The project has considered relevant Sustainable Development Goals (SDG) targets and indicators. For example, the report on extending social protection cover is clearly in line with SDG target 1.3 (as in ESSA as a whole). It is more difficult to say that the intervention made a difference to specific SDGs. The project may have such an impact over time if the Master Plan is implemented in Viet Nam and if an employment insurance scheme is implemented in Indonesia. It is unrealistic to expect that a relatively small policy-focused project would have an identifiable impact in a three-year period.

The project has, in a general sense, promoted the ratification and implementation of ILO core labour standards in ASEAN and in Indonesia and Vietnam. In Viet Nam, the recent Action Plan to implement the Master Plan calls on the Ministry of Labour, Invalids and Social Affairs to develop a plan to approve conventions and recommendations of the ILO on social insurance.

Lessons learned

The key lesson identified is that a long-term funding commitment like the ILO-Japan partnership (which has covered three phases dating back to 2010) is very advantageous in building long-term relationships with key stakeholders (such as ASEAN) and in establishing ILO as a key social protection agency in specific countries. The regional approach adopted in these projects is also very useful in allowing ILO to cover a range of countries which share common issues (such as low formal coverage) in a flexible manner.

Emerging good practices

In terms of good practices, the project design is an example of good practice. It was based on and learnt from the experience of two previous ILO-Japan projects. It identified specific related activities at ASEAN and country level. It integrated gender issues to a greater extent than had previous ILO-Japan projects and carried out a more thorough risk-assessment.

A second example of good practice, in terms of implementation, is the approach adopted by the Ministry of Labour, Invalids and Social Affairs in relation to capacity building events. The Ministry of Labour, Invalids and Social Affairs set specific objectives for participants attending capacity-building events supported by the project (e.g. in ILO Turin) and based with its participants during their attendance. On their return, the Ministry organised specific debriefing events so that other staff would benefit from the learning. This is an approach which might well be adopted in other countries who are participating in ILO capacity-building events, and one which might be encouraged by ILO to ensure maximum effectiveness.

¹ Equally, one could not say that the project integrated gender equality as a cross-cutting concern throughout its methodology and all deliverables.

Recommendations

We highlight the following recommendations:

- 1) **Continuation of work at regional level.** As highlighted in the lessons learned, the opportunity for ILO to work with ASEAN at regional level over a period of almost 10 years has been very valuable and has allowed ILO to build strong relationships. Continuation of this activity should be a priority. Decisions as to provision of funding are obviously a matter for the GoJ but it may be relevant to note that the support of the GoJ is very much appreciated by ASEAN and its involvement in the project provides Japan with a 'seat at the table' in relation to regional social protection events and considerable visibility. **ILO and GoJ** should explore this further. (Short-medium term)
- 2) **Advance the findings of the regional study on expansion of social protection.** Given the timing of the launch of the report (July 2019), it was not possible for the project itself to make full use of this very detailed and innovative study. ILO should ensure that this report is disseminated widely and make use of its findings at national level. For example, ATUC suggested that (in addition to the regional launch) the reports be launched nationally with the tripartite constituents. **ILO should explore this further with ASEAN.** (Short term)
- 3) **Extension of social insurance coverage.** The focus of the project shifted somewhat to the MPSIR (VN) and employment insurance (Indonesia). However, the issue of low social insurance coverage remains an important issue in Viet Nam and Indonesia and (at least some) constituents are interested in taking forward the work of the 'gap' studies and studies of inspection. **ILO should take this into account in terms of future work priorities** to maximize the sustainability of the work which has been carried out. (Short-medium term)
- 4) **Mainstreaming gender requires further support.** Finally, while the PRODOC highlighted gender issues and while ESSA did address some gender issues in its work, it is clear that ILO projects need specific support if gender is to be adequately mainstreamed. The ILO-Irish Aid project is currently taking steps to address this issue (e.g. hiring a gender expert to review project reports) and the outcome of this should be monitored. However, more systematic support will also be required, e.g. capacity-building for ILO staff, specific focus on gender in training events, requirements for external consultants to have regard to gender issues, etc. **ILO should consider how best to provide this** (Short-medium term).

1. Project background

Background and Objectives

Despite significant progress in expanding social protection during the last decades with the introduction of new social protection schemes in all ASEAN Member States, a large portion of their population still remains excluded from social protection coverage. Almost half of the workforce in the region, about 150 million workers, is still in informal and vulnerable employment, and the large majority of these people face a lack of access to social protection. In many countries, social protection benefits are often only accessible for those working in the formal economy who contribute to social insurance, as well as for those poor households that receive some social assistance benefits. This means that a large share of workers, sometimes known as the ‘missing middle’, are effectively excluded from social protection coverage. This lack of social protection is a significant source of vulnerability for these workers.

The project is the third phase of the ILO/Japan Project on Promoting and Building Social Protection in Asia. Building on the achievements of the past two phases of the ILO/Japan Project (2011-2013 and 2014-2016), the new phase aimed to increase social security coverage in ASEAN by improving application of social security laws.. The project intended to generate better knowledge, understanding and expertise on extension of social security, and stimulate South-South cooperation across ASEAN Member States. The project provided direct support to Indonesia and Viet Nam for increasing social protection coverage.

The project has three immediate objectives:²

Immediate objective 1: Knowledge and expertise are increased among ASEAN Member States to extend social protection to all and as a result, measures are proposed at national level to extend social security coverage in ASEAN, emphasizing on self-employed, informal and MSMEs workers.

Immediate objective 2: More workers are covered by social security schemes, through improved policy, legal framework, and enforcement and delivery mechanisms in Viet Nam.

Immediate objective 3: More workers are covered by social security schemes, through improved implementation arrangements, enforcement measures and support services in Indonesia.

Key collaborators

The project was implemented by the ILO. The external stakeholders of the project included the following institutions:

² There was also an immediate objective 4: ‘Social protection coverage is extended, through improved policies, laws, implementation arrangements and delivery services in Myanmar’. Activities of this outcome are funded by the ILO/Korea Programme (RAS/15/51/ROK) and did not form part of this evaluation.

ASEAN Secretariat, ASEAN SLOM and SOMSWD

Indonesia: Ministry of Manpower and Transmigration, BPJS Ketenagakerjaan, Bappenas, Indonesian workers and employers' organizations;

Viet Nam: Ministry of Labour, Invalids and Social Affairs of Viet Nam, Viet Nam Social Security, Viet Nam workers and employers' organizations.

Management set-up

The project operates under the Regional Office for Asia and the Pacific and is overseen by the Chief Technical Advisor (CTA) of the project located in Bangkok who is responsible for regional coordination as well as country-level activities in Indonesia and Viet Nam. Country-level activities for Viet Nam and Indonesia are implemented by a national project officer and support staff based in Hanoi and Jakarta, and reporting to the CTA. Technical backstopping of the project is the responsibility of the Social Protection Specialists of the DWT-Bangkok.³

In the case of the ASEAN component the project has established a Tripartite Project Advisory Committee (TPAC). The TPAC is composed of representatives of the ASEAN Senior Labour Official Meeting (SLOM), ASEAN Senior Officials Meeting on Social Welfare and Development (SOMSWD), ASEAN Trade Union Congress, ASEAN Confederation of Employers, workers and employers of the ASEAN Member States, and of the ASEAN Secretariat. The TPAC meets roughly annually to discuss the progress of the project implementation. The project is also in ongoing contact with the ASEAN secretariat and reports annually to the ASEAN Senior Labour Official Meeting (SLOM).

The management arrangements overall appear to have worked well. The only difficulties reported were a gap between the departure of the original CTA (who transferred to another post in ILO) and the appointment of a new CTA (from November 2017 to March 2018); and the turnover of national officers in Indonesia where there were three project officers over the lifetime of the project.⁴ It would appear that these issues were largely conjunctural and arose from a combination of unpredictable events (e.g. initial CTA interviews did not lead to an appointment) and the general lack of agility of bureaucratic UN agencies.

³ Initially the Bangkok-based social protection specialist was responsible for both countries. During the course of the project an additional social protection specialist was appointed and he took over responsibility for Indonesia.

⁴ The original project officer was promoted to a new post in ILO Geneva.

2. Evaluation Background & Methodology

Background

The main purposes of this final evaluation are to fulfil the accountability to the donor, to serve internal organizational learning purpose and for improvement of similar projects in the future. The evaluation assesses the extent to which the project has achieved its expected objectives and the effectiveness and efficiency of the implementation. The evaluation also identifies lessons learnt and good practices. The evaluation provides concrete recommendations which should be followed up by the ILO and key implementing partners. Specific objectives of the evaluation are to:

- Give an independent assessment of the progress of the project in achieving its stated objectives; assess the strategies and implementation modalities chosen; partnership arrangements, constraints and opportunities;
- Examine the project management, coordination mechanisms among the implementation partners and effectiveness and efficiency of programme implementation in general;
- Provide recommendations for similar future project for ILO and the Government of Japan.

The ToRs require that gender equality and non-discrimination, promotion of international labour standards, tripartite processes and constituent capacity development are to be considered in this evaluation throughout its methodology and deliverables.

The evaluation included all activities undertaken by the ILO project during the current project period (2016-2019). The evaluation is also required to assess the implementation of the recommendations of the mid-term evaluation that conducted in November 2017 by the project team (see section 4).

The primary clients of this final evaluation include: ILO project management based in Bangkok, Jakarta and Hanoi and key implementing partners of the project, in particular the ASEAN Secretariat and the tripartite constituents in Indonesia and Viet Nam, management of the ILO/Japan Programme. The secondary clients are the ILO Regional Office for Asia and the Pacific (ROAP), relevant technical units at the ILO HQ, and the Government of Japan.

The evaluation was carried out by Dr. Mel Cousins. The evaluation manager was Ms Pham Thi Thanh Huyen.

Evaluation Criteria and Questions

The following evaluation criteria and questions were addressed in the evaluation:

<i>Relevance and strategic fit of the project</i>	<p>1. To what extent is the intervention relevant to the needs of the ASEAN countries, of two recipient countries Indonesia and Viet Nam, ILO and the Government of Japan?</p> <p>2. To what extent has the project contributed to the ASEAN and national development framework, DWCP Outcomes, and UN Development Assistance Framework (UNDAF) of Indonesia and Viet Nam?</p> <p>3. How important is the intervention for the target beneficiaries of the project (“middle missing” workers)? And to what extent has the project responded to their needs?</p>
<i>Validity of the intervention design</i>	<p>4. To what extent were the project activities and outputs of the programme consistent with the overall goal and the attainment of its objectives?</p> <p>5. To what extent did the project design identify and integrate specific targets and indicators to capture:</p> <ul style="list-style-type: none"> i. Gender equality and non-discrimination concerns? ii. Concerns regarding people with disabilities?
<i>Effectiveness</i>	<p>6. To what extent has the project achieved its objectives? In which component the project has the greatest achievement towards the objectives? In which component the project has the lowest level of achievement?</p> <p>7. What are the major factors that can explain for the achievement or non-achievement of each component?</p> <p>8. Within its overall objectives and strategies, what specific measures were taken by the project to address issues relating to:</p> <ul style="list-style-type: none"> i. Gender equality and non-discrimination? ii. Inclusion of people with disabilities? <p>9. The extent to which the tripartite constituents have been engaged and involved in the project design and implementations of the projects. Assess also the initiatives and contributions made by the Project towards capacity building of social partners?</p>
<i>Efficiency of resource use</i>	<p>10. Were resources (funds, human resources, time, expertise, etc.) allocated and used strategically to achieve its outcomes? How should the resource be allocated or used more effectively?</p> <p>11. Were the outputs delivered timely? If not, what were the factors that hindered the delivery of the outputs? Any measures to mitigate the delays were taken?</p>

<p><i>Effectiveness of management arrangements</i></p>	<p>12. To what extent did management capacities and arrangements put in place support the achievement of results? Did the project governance and management facilitate good results and efficient implementation? What are the key factors that can explain for such situation?</p> <p>13. How effective has been the communication between the project team, the ILO and the implementing partners, in particular the ASEAN Secretariat and partners in Indonesia and Viet Nam, as well as the donor in project management and implementation?</p> <p>14. To what extent did the project budget factor-in the cost of specific activities, outputs and outcomes to address:</p> <p>i. Gender equality and non-discrimination?</p> <p>ii. Inclusion of people with disabilities?</p>
<p><i>Impact and sustainability</i></p>	<p>15. What have been impacts (intended or unintended, positive or negative) produced by the project so far? What real difference has the project made at the country (Indonesia and Vietnam) and ASEAN levels?</p> <p>16. To what extent do the results of the project continue after the funding ceased?</p> <p>17. To what extent did the project bring lasting changes in norms and policies that favour/promote:</p> <p>i. Gender equality and non-discrimination?</p> <p>ii. Inclusion of people with disabilities?</p>
<p>Cross-cutting issues</p> <p><i>Gender equality</i></p> <p><i>SDGs</i></p> <p><i>International Labour Standards</i></p>	<p>18. To what extent has gender equality has been mainstreamed in the project design and implementation? Has the project integrated gender equality as a cross-cutting concern throughout its methodology and all deliverables?</p> <p>19. To what extent the project considered relevant SDG targets and indicators?</p> <p>20. Has the intervention made a difference to specific SDGs the project is linked to? If so, how has the intervention made a difference? (explicitly or implicitly)</p> <p>21. To what extend has the project promoted the ratification and implementation of ILO core labour standards in ASEAN, as general, and in Indonesia and Vietnam, in particular?</p>

In general, the evaluation questions appear to be appropriate. In contrast to previous ILO-Japan projects, gender issues are specifically addressed in the PRODOC and, therefore, it is possible to address these questions.

In terms of the impact assessment, it is difficult, in many cases, to measure the impact which ILO work (and indeed much development work) has at a macro level. While it is easy to measure the *outputs* of ILO work (in terms of reports, training, actuarial studies, etc.) it is much more difficult to measure *outcomes*.⁵ Given the 'end of project' nature of the evaluation, it has been necessary to rely on available data and interviews to assess the impact and it is not possible to adopt more sophisticated methodology, e.g. to trace any causal relationship between project activities and outcomes.

In general, it is also difficult to measure efficiency in a concrete manner as ILO does not have any specific measure of efficiency and, even if it did, there is often a lack of comprehensive data in relation to inputs and outputs. However, this is a general constraint and an assessment has been made on the basis of the available data.

Methodology

The evaluation adopts the ILO's Evaluation Guidelines as the basic evaluation framework. It was carried out in accordance with ILO standard policies and procedures, and complies with evaluation norms and follows ethical safeguards.

The evaluation methodology included:

- Desk review and analysis of documents related to the project.
- Desk review of other relevant documents such as the Decent Work Country Programmes, ASEAN and national documents on Social Protection, etc.
- Interviews with key stakeholders including at regional level and in Indonesia, Viet Nam and Thailand (see Appendix 8). The countries visited have been selected as these are the main countries in which activities have been implemented.
- Consultations with ASEAN Secretariat, and ASEAN social partners
- Meetings with key ILO Specialists, CTAs and Management in Bangkok.

Fieldwork to Vietnam, Indonesia and ILO Regional Office for Asia and the Pacific in Thailand took place in 8-17 May 2019. A draft of the evaluation report has been shared with key stakeholders and their comments have been incorporated into the final draft.

The data obtained from interviews has been triangulated, insofar as possible, with data as to indicators and other available data (e.g. training evaluations). However, due to the limitations on data discussed above, the evaluation relies heavily on the views of key stakeholders.

⁵ Most of the project indicators also referred to outputs rather than outcomes.

3. Project implementation

This section describes the implementation of the project at ASEAN and country level.

Focus of project activities

Before discussing the extent to which the project was implemented, it should be noted that, as discussed in more detail below, there was some refocusing of activities at national level in response to the needs of the national authorities. This was fully in line with the overall project objective of ‘promot[ing] the implementation of nationally defined social protection floors aiming at providing income security to vulnerable workers and those in informal employment, and progressively covering them under more comprehensive social security systems comprised of social insurance and social assistance schemes’.⁶ It was also in line with the specific project outputs 2 and 3 for Viet Nam and Indonesia.

The original project strategy to extend social protection coverage was ‘through *tackling the low enforcement* of social security laws’ (my emphasis). Thus, in both Viet Nam and Indonesia, specific activities were set out to identify barriers to enforcing social insurance coverage, to develop the policy and legal framework, build capacity, etc. These activities were implemented in substantial part. However, in both countries, the respective authorities requested additional assistance with specific activities which became the focus of the project’s work in its later period. In Viet Nam, MOLISA requested support with the development of a Master Plan on Social Insurance Reform which has now been approved by the GoVN. In Indonesia, the Ministry of Manpower requested support with investigating the possibility of introducing an (un)employment insurance scheme. Again, considerable activities (as discussed below) were carried out in advancing this.

In both cases, the new activities are fully in line with the objective of expanding social protection coverage, were made at the request of the respective national authorities, and with the agreement of ILO management. The donor was also very flexible in responding to these requests. While the new activities can be recorded under some of the broadly-worded specific activities,⁷ it is clear that the focus of these new activities was on policy to broaden the scope of the existing social protection schemes rather than on *enforcement* of the existing laws. No change was made to the PRODOC and there was no formal record of a changed focus. From an evaluation perspective, it would have been preferable had there been some formal way of recording the shift in focus which, as noted above, was agreed by all key constituents and was in line with the overall objective of the project.

This shift in focus is flagged here because it is necessary, to a certain extent, in assessing project implementation at national level, to distinguish between the project as originally designed and the project as implemented.

⁶ PRODOC, p. 19.

⁷ Such as ‘Activity 2.2.2: Support the government to improve policy framework, draft amendments to legal texts ...’.

ASEAN

At ASEAN level, Immediate **objective 1** was

Knowledge and expertise are increased among ASEAN Member States to extend social protection to all and as a result, measures are proposed at national level to extend social security coverage in ASEAN, emphasizing on self-employed, informal and MSMEs workers.

There were then two outputs with five activities.

Output 1.1: Knowledge and expertise on strategies and practices to improve coverage of self-employed, informal and MSMEs workers, and compliance of social security laws

- Activity 1.1.1: Support, coordinate with and report to the Tripartite Project Committee and ASEAN SLOM and SOMSWD;
- Activity 1.1.2: Conduct research on country experiences extending coverage to self-employed, informal economy and MSMEs workers, including enforcement mechanisms, draw lessons learnt and recommendations for possible application in ASEAN and worldwide through the multiplier effect of the Flagship Programme on SPFs (see box 4) ; this activity also contributes to the development of the guide the global campaign (by INWORK) on the extension of social protection to workers of the informal economy;
- Activity 1.1.3: Organize a tripartite ASEAN seminar to present the country experiences, discuss the lessons learnt and recommendations for ASEAN (at mid-term of the project implementation).

Under this output, the project participated as a partner of the ASEAN SLOM in the conduct of a regional study on expansion of social security to workers in informal employment. This was led by the Thailand Social Security Office and included studies in Cambodia, Lao PDR, Malaysia, Myanmar, Philippines and Thailand (in addition to national studies in Viet Nam and Indonesia discussed below). The results of these studies and other relevant data have now been synthesised by ILO experts into an overall study – *Expansion of Social Security to Workers in Informal Employment* – which was launched at a tripartite seminar in July 2019. The report benefited from inputs from a tripartite Committee of Experts which convened twice to review key outputs of the research and provide technical inputs. This consisted of representatives from SLOM, SOMSWD, the Government of Thailand, ACE, ATUC, and the ASEAN Secretariat. The project also arranged a Joint regional consultation of workers and employers.

In order to maximise the available information for the ASEAN-ILO study with limited resources, the project collaborated with and learned from the regional study on social protection and new forms of work and its regional meeting (Bangkok), jointly funded by ADB and China, including background studies conducted in the context of the Philippines, Indonesia, Malaysia and Singapore.

The project also prepared a Technical Note on indicators for the monitoring framework to measure extension of social protection in ASEAN which was presented the ASEAN High-Level Conference on Social Protection August 2017 in Manila. It proposed that SDGs be taken into account in choosing indicators. However, it does not appear that this framework has yet been adopted.

In addition, the project published *Unemployment Protection: a good practices guide and training package*. This is based on work carried out under phase 1 of the ILO-Japan project.

Output 1.2: Capacity of ASEAN policy makers, practitioners and social partners to design and implement social protection policies strengthened and pool of experts are available to be deployed for South-South cooperation.

- Activity 1.2.1: Train key stakeholders among the Ministries, social security offices, and research institutes of selected countries on measures for improving social security coverage (design, enforcement, institutional arrangements).
- Activity 1.2.2: Improve capacity and knowledge of workers and employers' organizations to better engage in policy discussions and decisions for reforming social protection.

Under this heading, the project has organised a number of capacity building events for ASEAN partners. In particular, a regional course on the extension of social protection was organised in October 2017 (attended by 29 policy makers) co-organized with the International Training Centre of the ILO. This included capacity building and information sessions. Other capacity-building activities included:

- Sep 2018: Academy on social security (Turin)
- Oct 2018: Regional training on employment insurance (Seoul)
- Oct 2018: Regional training on social security inquiry (Bangkok)
- Oct 2018: Annual meeting of ILO flagship programme and multi stakeholder partnership for SDG 1.3 (Geneva)
- Dec 2018: Regional training on pension (Malaysia)

In addition, in relation to the coverage research discussed above, the project organised a Joint Consultation of Workers and Employers on the Expansion of social security in December 2018 (Bangkok).

Overall, it can be said that activities have been fully implemented at ASEAN level.

Viet Nam

In Viet Nam, Immediate **objective 2** was

More workers are covered by social security schemes, through improved policy, legal framework, and enforcement and delivery mechanisms in Viet Nam.

There were then five outputs and 15 activities:

Output 2.1: Analysis of impediments and recommendations for extending social insurance coverage (review of legal/design and implementation aspects)

- Activity 2.1.1: Establish a tripartite project steering committee (building on the one of the ILO project on social insurance) and organize regular meetings to discuss progress and orientation of the project; as well as meetings with National Assembly when needed; Discuss with the tripartite committee the relevance of a sectoral approach to the project;

- Activity 2.1.2: Conduct a legal and institutional assessment (including governance gaps), analysis of social protection risks, needs and obstacles in particular among informal economy and MSMEs workers, short-term contract workers, and self-employed; a value chain for identifying social protection gaps in one specific sector (if relevant); and bring international experiences and evidence based recommendations, policy options and institutional reforms for increasing social insurance coverage in Viet Nam (with gender considerations); this activity may contribute to the development of the guide the global campaign (by INWORK) on the extension of social protection to workers of the informal economy;
- Activity 2.1.3: After two years of implementation of the reformed social insurance laws, conduct an evaluation of the impact of the recently reformed social security laws on the level of coverage; lessons learnt from this activity may nourish the global measurement and monitoring tool developed under the Flagship Programme on SPFs;
- Activity 2.1.4: Conduct assessment of the financial sustainability of the funds, including in view of extending social security coverage (population and benefits); the assessment looks at gender considerations;
- Activity 2.1.5: Conduct separate consultations and tripartite workshops for identifying gaps and recommendations for improving social insurance coverage. The workshops disseminate and discuss the findings of the review of country experiences (act. 1.1.1). In particular, the project explores barriers in the institutional set-up that hamper effective implementation of social security laws.

Under this output, the project has produced studies of coverage extension in relation to the bamboo and construction sectors, two areas where there is a high level of informal work and/or undercoverage.⁸ In addition, the project prepared a series of technical notes including on options for the extension of social insurance coverage in Viet Nam, including to migrant workers. The project also carried out an actuarial assessment of policy options for extending social protection. (See also below re work on the MPSIR).

Output 2.2: Improved policy and legal frameworks for a better enforcement of the social security laws

- Activity 2.2.1: Based on the recommendations of the assessment, develop training material and train MOLISA-SID, VSS (including social security inspection), VGCL, VCCI, NAC-SA for drafting legal texts for the implementation of the reform of the Social Insurance Law, and other laws related to social security (unemployment insurance and employment injury laws for instance), based on ILO social security standards; this activity as well as 2.2.2 are conducted in close coordination with the development of the global guide on how to draft social protection laws;
- Activity 2.2.2: Support the government to improve policy framework, draft amendments to legal texts, in particular texts for the implementation of the voluntary scheme, based on ILO social security standards and international experiences;
- Activity 2.2.3: Facilitate separate (for employers and workers' organizations) and

⁸ *Social security gaps report*, 2018.

tripartite workshops for endorsing the legal amendments for an improved enforcement of the Social Insurance Law and other social security laws.

The 2014 reform of the Law on Social Insurance extends coverage to the non-national workers. The project supported two consultations to build capacity and explain international standards related to this matter and provided comments on the draft Decree on social insurance for migrant workers which was adopted in 2018. This decree promotes the principles of equality of treatment between nationals and non-nationals in terms of coverage and entitlement to social security benefits, in line with the International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families (1990). In addition, as discussed below, the project provided significant support to MOLISA in developing the MPSIR.

Output 2.3: Enhanced functions and capacity of social insurance/labour inspection

- Activity 2.3.1: Based on the recommendations of the legal and institutional assessment (including governance gaps), training needs assessment, and review of international experiences, identify strategies, measures and propose legal and institutional amendments for the reinforcement of the role of and linkages between social insurance, social assistance and labour inspection, if relevant in one proposed sector of the economy;
- Activity 2.3.2: Develop training material and train social insurance (MOLISA and VSS), social assistance and labour inspectors improving social security compliance; If relevant, the training may invite resource persons from Japan and other countries to share their experience with regards social security inspection and labour dispute settlement administration;

A review of social security inspection system was carried out and the recommendations were endorsed by tripartite constituents during a workshop in March 2017. In addition, a range of capacity-building activities have been carried out with the VN authorities. However, in line with the requests from MOLISA, these have focused more on the general development of social insurance than on the inspection function. These included actuarial training for MOLISA staff and training on short-term benefits and informal economy (2019).

Output 2.4: Support to Viet Nam Social Security for public administration reforms (streamlining procedures and services for social insurance registration, payment of contributions, benefits claims and appeals), if relevant in one proposed sector of the economy

- Activity 2.4.1: Review processes and propose a list of legal, institutional and operational amendments for improving PSI services and procedures (notably information/counselling, registration, contribution payments, benefits claims, appeals, monitoring), as well for enhancing linkages with social health insurance, social assistance programmes and public employment services;
- Activity 2.4.2: Support the design of new mechanisms and tools for streamlined social insurance procedures and services.

Again, the focus on the MPSIR appears to have resulted in less emphasis being provided to this output. However, the project is currently working on a technical note on satisfaction index to measure VSS's performance and a social insurance stocktaking survey to measure satisfaction of VSS members.

Output 2.5: Awareness and understanding raised on benefits of social security and rights and obligations of employers and workers

- Activity 2.5.1. Conduct and discuss among workers and employers' organizations a cost/benefits and return analysis of social protection to convince employers and workers, as well as local government agencies, and mass organizations on the benefits of contributing to social insurance;
- Activity 2.5.2: Prepare and conduct awareness activities specifically defined to reach out workers of the rural areas and informal economy;
- Activity 2.5.3: Guide employers and workers' organizations in the preparation of awareness material; this activity and 2.5.1 may contribute to the global campaign to mobilize workers' support to SPFs, Get In global campaign and the Global Business Network.

The project supported a study on 'Social security and firm performance: an analysis of Vietnamese SMEs during 2012-16' followed by a validation workshop with employers (Hanoi, November 2018). The project also supported the development of a range of public information activities and materials:

- May 2018: Media information session on retirement age and social insurance (Hanoi)
- May 2018: Present in a Vietnam Television programme on retirement age and social insurance (Hanoi)
- Video production 'How social insurance helped me'
- Video production 'Old-age pension'
- Video production 'Maternity benefit'
- Video production 'Informal worker'
- Video production 'Unemployment insurance'

It is currently working with MOLISA on a communication strategy to implement social insurance reform

In addition to the above work, during the course of the project MOLISA requested ILO's support with the development of a Master Plan on Social Insurance Reform (MPSIR). This has now been adopted by the GoVN (as Resolution 28) and an Action Plan for implementation has also been approved. The work carried out above was obviously very relevant to supporting this development in many cases. In addition, the project provided a range of supports to MOLISA. These included over 10 major technical notes and papers and 10 technical meetings/trainings/media briefings with close collaboration with the senior technical specialist on social protection (DWT-Bangkok). Full details of the studies and technical notes are set out at Appendix 2.

In addition, the project supported the organization of the two high-level events related to the extension of social security, chaired by the Deputy Prime Minister and Minister of Labour, with large coverage in the media.

ILO acted as chair of the UN Social Protection Results Group in recent years and co-ordinated with other UN agencies on these issues.

Overall there was full implementation of output 2.1; some activity in relation to output 2.2 (with the focus shifting to the development of the MPSIR); partial implementation of outputs 2.3 and 2.4; and in the case of output 2.5, there has been significant development of materials although, at the time of writing, these have yet to be released publicly. In addition, very significant work was carried out which supported the adoption of the MPSIR and Action Plan which should lead, over time, to an expansion in social security coverage in Viet Nam. The VN stakeholders, in particular MOLISA and also the trade unions and employers, expressed their strong satisfaction with the project work. MOLISA were very happy with the close level of co-operation and the working methods adopted and wish to continue this approach in order to implement the MPSIR.

Indonesia

In Indonesia, immediate **objective 3** was similarly that

More workers are covered by social security schemes, through improved implementation arrangements, enforcement measures and support services in Indonesia.

There were then four outputs and nine activities:

Output 3.1: Analysis of impediments and evidence-based recommendations for extending social insurance coverage (review of legal/design and implementation aspects)

- Activity 3.1.1: Constitute a tripartite project steering committee and organize regular meetings to discuss progress and orientation of the project;
- Activity 3.1.2: Conduct a legal and institutional assessment; analysis of social protection risks, needs and obstacles in particular among informal economy and MSMEs workers, short-term contract workers, and self-employed; value chain analysis for identifying social protection gaps in one sector (if relevant); and bring evidence based recommendations, policy options and institutional reforms for increasing social insurance coverage in Indonesia (with gender considerations); this activity may contribute to the development of the guide the global campaign (by INWORK) on the extension of social protection to workers of the informal economy;
- Activity 3.1.3: Conduct separate consultations and tripartite workshops for identifying gaps and recommendations for improving social insurance coverage. The workshops disseminate and discuss the findings of the review of country experiences (act. 1.1.1). If relevant, the tripartite workshop may invite resource persons from Japan to share their experience with regards social security inspection and labour dispute settlement administration.

Studies on social security coverage have been carried out in the coffee and motorcycle sectors.⁹ A review of the social security inspection system was also completed. These studies included recommendations for actions to increase coverage and improve inspection. These studies have been shared with the social partners and discussed at a

⁹ *Social security gap in the coffee sector in Indonesia*, 2019.

national workshop in December 2018.

Output 3.2: Enhanced role of the social security inspection, learning from different countries' experiences including the *Sharoushi* system of Japan.

- Activity 3.2.1: Based on the recommendations of the legal and institutional assessment, training needs assessment, and review of international experiences, identify strategies, measures and propose legal and institutional amendments for the reinforcement of the role of and linkages between social insurance, social assistance and labour inspection, if relevant in one proposed sector of the economy;
- Activity 3.2.2: Develop training material and train social insurance (MOM and BPJS), social assistance and labour inspector/labour dispute mediator for improving social security compliance; If relevant, the training may invite resource persons from the Social Security and Labour Attorney System of Japan (*Sharoushi*) and other countries to share their experience with regards social security inspection and labour dispute settlement administration;

A review of social security inspection system was carried out and the recommendations were endorsed by tripartite constituents during a workshop in March 2017. In addition, the overall study of social security coverage includes examples of good practice in relation to social security inspection. Training of social security inspectors were conducted in March 2017. In addition, the BPJS have pursued the issue of the *Sharoushi* system with support from JICA (this is not directly related to the ILO project). The limited implementation of output 3.2 was mainly due to the fact that JICA delayed the implementation of *Sharoushi* project and therefore, BPJS did not require ILO's active involvement.

Output 3.3: Support to BPJS-Employment for streamlining procedures and services for social insurance registration, payment of contributions, benefits claims and appeals, if relevant in one proposed sector of the economy.

- Activity 3.3.1: Review processes and propose a list of legal, institutional and operational amendments for improving BPJS-Employment services and procedures (notably information/counselling, registration, contribution payments, benefits claims, appeals, monitoring), as well for enhancing linkages with BPJS-Health and Bappenas' Single Referral System;
- Activity 3.3.2: Support the design of new mechanisms and tools for streamlined social insurance procedures and services.

It does not appear that there have been significant activities in relation to this planned output. BPJS expressed a need for further support in this area to follow up the recommendations of the studies completed under output 3.1.

Output 3.4: Awareness and understanding raised on benefits of social security and rights and obligations of employers and workers

- Activity 3.4.1. Conduct and discuss among workers and employers' organizations a cost/benefits and return analysis of social protection to convince employers and workers on the benefits of contributing to social insurance;
- Activity 3.4.2: Guide employers and workers' organizations in the preparation of awareness material; this activity and 2.5.1 may contribute to the global campaign to mobilize workers' support to SPFs, Get In global campaign and the Global

Business Network.

The project produced a report on how increasing social security spending budgets can lead to better performance in small and medium-sized Indonesian enterprises. In addition, representatives of workers and employers participated in events at ASEAN level as outlined above. However, this output was largely overtaken by the request for support with the development of employment insurance proposals (discussed below) and awareness' raising activities have largely focused on this issue.

As in Viet Nam, in Indonesia also the project provided a range of additional supports to the key stakeholders. This arose when the Ministry of Manpower requested assistance with the development of proposals for an (un)employment insurance scheme. This does not currently exist in Indonesia (or only in the form of severance payments). The supports provided included four major technical reports and the facilitation of 9 technical consultations/workshops on employment insurance. The project team shared initial findings and recommendations at a national tripartite committee meeting on employment insurance in December 2018.

Overall, there has been full implementation of output 3.1; limited implementation of output 3.2; little activity in relation to output 3.3; and the focus of output 3.4 has shifted to awareness raising on employment insurance where there has been significant activity. In addition, the project has carried out a range of activities to develop awareness of employment insurance with the Ministry of Manpower; the trade unions and employers. These agencies all expressed strong satisfaction with the activities of the project.

4. Main evaluation findings

This section of the report sets out the main findings in relation to the evaluation questions set out in section 2 under the headings of relevance, etc.

Relevance and strategic fit of the project

Overall the project (both as planned and implemented) was highly relevant to the needs of ASEAN, the two countries, ILO and the donor. The issue of extending social protection coverage is clearly very relevant to all ASEAN countries which have basic social protection laws but which often have low levels of actual insurance coverage due both to high levels of informal work and limitations in implementation capacity. It is fully in line with the ASEAN Declaration on Strengthening Social Protection and the SLOM Work Programme for 2016-20.

In terms of relevance to the ILO, the project was very relevant to the ILO Social Protection Floors Recommendation, No. 202 (2012) and Recommendation on the Transition from the Informal to the Formal Economy, No. 204 (2015). Indonesia and Viet Nam are target countries in the ILO Global Flagship Programme on Building Social Protection Floors for All. The project was fully in line with Outcome 03 - Creating and extending social protection floors and Outcome 06 – Formalization of the informal economy.

The intervention in Indonesia contributes to the achievement of the Decent Work Country Programme outcome IDN103: 'Government and social partners have greater capacity in designing and implementing social protection policies and programmes' and UNPFD (2016-20) Outcome 2: Equitable Access to Social Services and Social Protection. It also contributes to the VN DWCP Outcome 2.1 'Social protection is extended and delivered to larger targeted population (men and women) through a more efficient and effective system' and to the UNDAF (2017-21) Outcome 1.1: Poverty and Vulnerability Reduction 'By 2021, all people benefit from inclusive and equitable social protection systems and poverty reduction services, which will reduce multidimensional poverty and vulnerabilities'.

In terms of the target beneficiaries of the project ("middle missing" workers), the project was very relevant to their needs. The extent to which it has responded to these needs is discussed below.

Validity of design

Overall, learning from the lessons of previous ILO-Japan projects (e.g. MAPS), the project was well designed, combining strategic activities at ASEAN level with related policy and implantation-related activities in two ASEAN member states.¹⁰ The project activities and outputs of the programme were consistent with the overall goal and the attainment of its objectives. In terms of project design, of the three ILO-Japan projects, the

¹⁰ Given that the Myanmar element is not covered by this evaluation, it is not within our remit to make an assessment as to whether the addition of a third country was realistic.

complementarity is strongest between the three components in this project in the sense that all activities are inter-related.

In contrast to previous ILO-Japan projects, the project design did identify and integrate specific targets and indicators to capture gender equality and non-discrimination concerns. The need to implement activities having regard to gender issues is mentioned frequently in the PRODOC (e.g. activities 2.1.2.; 2.1.4; 3.1.2) and gender-related indicators are included in the logframe.¹¹

The evaluation question concerning the extent to which project design reflected the concerns of people with disabilities did not appear in previous ILO-Japan evaluations and is presumably a new addition. The term 'disability' is only mentioned three times in passing in the PRODOC and the project design did not 'identify and integrate specific targets and indicators' to capture specific issues concerning people with disabilities. However, it is not clear that this was a requirement at the time the PRODOC was drafted and, unless it was, it would be unfair to evaluate project design against this criterion.¹²

The addition of new activities does not affect the validity of the original design which reflected the needs of the countries at the time it was drafted.

Project effectiveness

As discussed in more detail in section 3, the project has made a major contribution to extending social protection cover both at ASEAN level (through its study of the issue), in Viet Nam through its contribution to the development and adoption of the MPSIR and in Indonesia through its support for the proposals on employment insurance. It has also carried out significant work both at ASEAN and national level in relation to identifying issues concerning low social protection cover and how this can be addressed.

If the MPSIR and employment insurance were formal objectives of the project, it could be classified as highly satisfactory. However, in relation to the formal objectives it can be classified as satisfactory¹³ as some of the original outcomes were not fully implemented.

The project has been most successful in its support for the development of the MPSIR in VN and its work at ASEAN level. This was due to the high level of interest from MOLISA, the high quality of technical assistance provided by ESSA and the good relationship between the two. At ASEAN level, success was supported by the close links with the ASEAN secretariat (built now over almost a decade), the co-ordination with SLOM and again the high quality of ILO work. It has the lowest level of achievement in relation to the implementation of proposals and work with the relevant social insurance inspectorates. This is due to the shift in focus and the fact that social insurance inspection is the role of

¹¹ These tend to focus on the participation of men and women in capacity-building activities rather than on policy outcomes. Admittedly, it is more difficult to set such indicators for policy outcomes. A target could, for example, have been set for the gender breakdown of persons to be covered (Outcomes 2 & 3 in the logframe).

¹² The answer to the remaining evaluation questions concerning disability is the same, i.e. that disability issues did not explicitly form part of the project plan or activities.

¹³ 'Satisfactory' is when the findings related to the evaluation criterion show that the objectives have been mostly attained and the expected level of performance can be considered coherent with the expectations of the national tripartite constituents, beneficiaries and of the ILO itself.

executive agencies rather than the Ministries (whose priorities were the MPSIR and employment insurance respectively).

The key stakeholders were very happy with the project and very positive about the quality of ILO technical assistance. In general, the targets set out in the PRODOC have been achieved. However, these are largely process-based, e.g. number of recommendations, reports, meetings, persons trained, etc. These do indicate that the project implemented activities as planned but do not show the impact of these activities. Insofar as the targets are more outcome-focussed (increase in insurance coverage and number of countries extending social security) again these targets have been achieved. It is not, however, possible in the context of this evaluation to identify a causal relationship between the project's activities and these outcomes in all cases.

Within the project's overall objectives and strategies, issues relating to gender equality and non-discrimination were certainly addressed. For example, the project discussed issues of retirement age and of maternity. However, one could not say that gender issues were mainstreamed in project implementation.¹⁴

The tripartite constituents have been closely engaged and involved in the project implementations. ESSA has also made a significant contribution to capacity building of social partners. Internal evaluations of individual training events showed satisfaction rates of about 90%.

Efficiency of resource use

The total budget of the three-year project was US\$ 2,007,076. The budget breakdown by objective as at 10 June 2019 is as follows:

Item	Total expenditure (US\$)	Encumbrance (US\$)	Balance (US\$)
Objective 1	163,131.95	190.95	57,421.02
Objective 2	314,060.43	9,872.52	26,624.17
Objective 3	160,750.56	20,113.26	4,862.23
Project management	1,137,296.07	36,387.83	76,365.19
Total	1,775,239.01	66,564.55	165,272.62

Based on the findings in this report in relation to the achievement of project activities, it would appear that resources (funds, human resources, time, expertise etc.) been allocated strategically to achieve outcomes and have been used efficiently. Activities supporting the strategy have, in general, been cost-effective. No significant examples of wasted or misused resources were identified during the course of the evaluation. It is expected that much of the current balance will be used in the remaining period of the project. The project has also shared resources with other ILO projects such as the Irish Aid project in Viet Nam.

¹⁴ A gender breakdown in relation to persons trained was not available.

In relation to the timely delivery of outputs,¹⁵ no major delays were reported. There were, as would be normal, some delays in finalising project outputs which related in part to the delay in replacing the CTA (and staff turnover in Indonesia) and to ILO's normal practice of taking on far more work than it can possibly implement.

Effectiveness of management arrangements

In general management capacities and arrangements provided the appropriate support to achieve results and project governance and management facilitated good results and efficient implementation. No significant issues in relation to project implementation were identified in the course of this evaluation. The CTAs and national co-ordinators have kept in close contact with key stakeholders and this has facilitated smooth management of the project.

Communication between the project team, the ILO and the implementing partners, including the ASEAN Secretariat and partners in Indonesia and Viet Nam, as well as the donor in project management and implementation appears to have been effective. No significant issues in relation to communication were identified in the course of the evaluation.¹⁶

As noted above, the PRODOC did not identify issues concerning disability and so there was no specific budget for such issues. In relation to gender equality and non-discrimination, although such issues were addressed in the course of the project it is not clear that the budget explicitly factored in these costs.

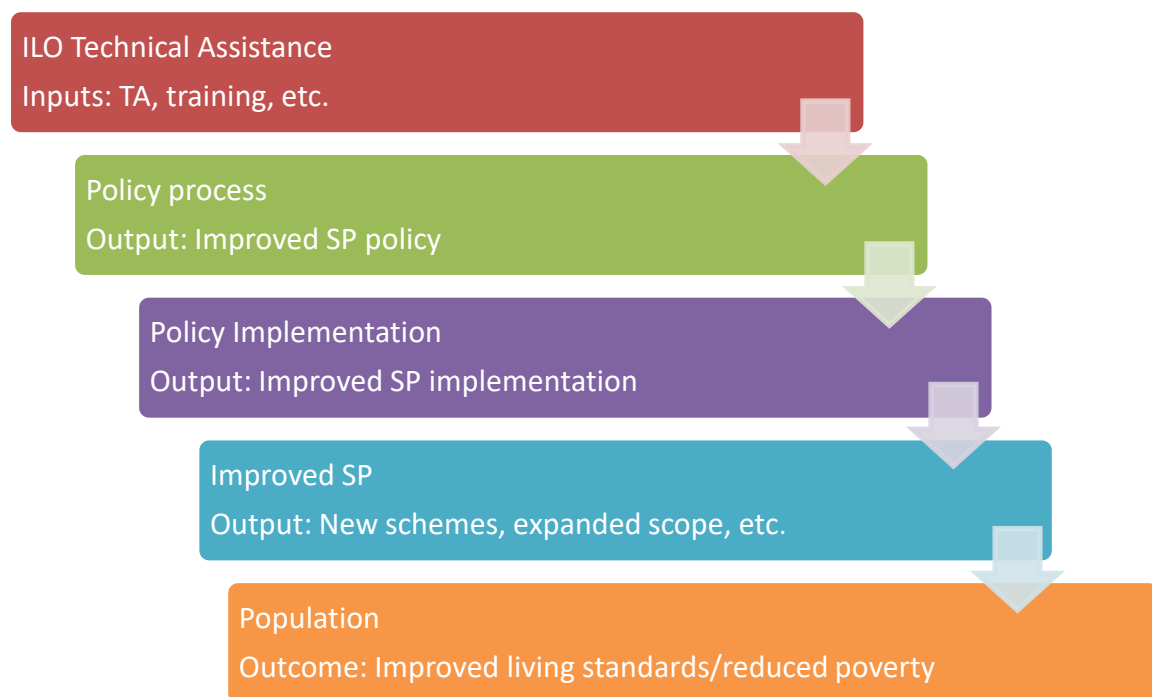
Impact and Sustainability

A simple theory of change (ToC) for the project approach is set out below.¹⁷ This is based on the assumption that the provision of technical assistance by ILO (advice, capacity building, etc.) will lead to improved social protection policies (new strategies, laws, etc.) and to improved implementation of social protection policies leading to improved social protection (e.g. broader scope of social protection, higher level of coverage, higher benefits) which will, in turn, lead to better living standards/reduced poverty.

¹⁵ It is not clear that this is an efficiency issue rather than an issue to be addressed under effectiveness of management.

¹⁶ ASEAN secretariat suggested that communication with SOMSWD could be improved but this appears to relate to ASEAN internal processes rather than the project's approach.

¹⁷ The ToC approach is not used in the PRODOC and no explicit ToC was developed by the project.



Clearly, it would be preferable to evaluate projects on the basis of *outcomes* (or at least outputs). In reality, given the small scale and short duration of ILO projects (and limited data availability) it is never possible to prove the final outcome (improved living standards). Indeed, it may often be difficult (due to issues of causation, time lag and data limitations) to show that ILO support has led directly to improved social protection. Thus, much of the focus of evaluation tends to be on inputs and outputs, both TA inputs (reports, training sessions, etc.), policy outputs (strategies, laws) and implementation outputs (e.g. improved procedures).

While the data provided indicate an increase in social insurance coverage in Viet Nam and Indonesia over the life-time of the project, it is not possible to identify whether there is a causal relationship attributable to project work. Therefore, the impact of the project must be assessed on the basis of inputs; implementation outputs (such as improved capacity and knowledge) and, in Viet Nam, policy outputs such as the MPSIR.

On that basis, the ESSA project has had a significant impact. The interviews and documentation review indicate that ILO support has contributed significantly to improving awareness of key policy issues (in particular social protection coverage) and how to address them both at ASEAN level and at national level and to improving capacity amongst the tripartite partners. In Viet Nam, MOLISA acknowledged the significant role which ILO played in supporting the development of the MPSIR. Overtime, these may lead to the development of (further) outputs such as social protection laws (e.g. an employment insurance law in Indonesia) and improved social protection planning and implementation. This would also contribute to responding to the needs of the target group.

In addition to the direct impact of the project, the project has also created synergies with other ILO activities including the Irish Aid project in Viet Nam, the Triangle Migration Project and the work of the Social Protection Experts based in Bangkok.

The planned focus on implementation at country level should have led to a situation where project activities could be sustained at national level. However, the fact that such activities were not fully implemented and the shift to more focus on policy development means that the sustainability of the project is highly dependent on further ILO involvement in Viet Nam and Indonesia. This issue is being addressed by ILO which has secured further ILO-Japan funding for work in VN until the end of 2019 and which is in discussions with potential funders re further work in both countries.

At ASEAN level, over the course of the three ILO-Japan projects, ILO has developed close links with ASEAN and the work of the ILO has been more integrated into the work of ASEAN bodies (such as SLOM),¹⁸ thereby creating a greater sense of ownership (and sustainability) at ASEAN level. The ASEAN secretariat and social partners are keen to follow up on the study on extending social protection. However, as at national level, sustainability of ILO social protection work is dependent on future activities at ASEAN level. It is recommended (below) that this should be a priority for funding.

The project did not bring lasting changes in norms and policies that favour/promote gender equality and non-discrimination or the inclusion of people with disabilities. Any expectation that a relatively small project would achieve this would be unrealistic.

Cross-cutting issues

The PRODOC includes a specific section on gender issues.¹⁹ It specifies a number of particular actions in relation to gender (e.g. activity 2.1.2; 2.1.4). In its implementation, the project also addressed a range of issues of specific relevance to gender. However, one could not say that gender equality had been mainstreamed in terms of project implementation.²⁰ It is not realistic to expect that gender issues will be mainstreamed unless ILO staff at all levels are provided with the tools and resources to do so.

The project has considered relevant SDG targets and indicators. For example, the report on extending social protection cover is clearly in line with SDG target 1.3 (as in ESSA as a whole). This is because the SDG issues were, one assumes, designed to reflect activities which the UN supported and they are, therefore, generally in line with ILO activities. ILO, as an institution, does not, in contrast, mainstream gender equality and neither do its projects.

It is more difficult to say that the intervention made a difference to specific SDGs. The project may have such an impact over time if the MPSIR is implemented in VN and if an employment insurance scheme is implemented in Indonesia. It is unrealistic to expect that a relatively small policy-focused project would have an identifiable impact in a three-year period.

The project has, in a general sense, promoted the ratification and implementation of ILO core labour standards in ASEAN and in Indonesia and Vietnam. In Viet Nam, the recent Action Plan to implement the MPSIR calls on MOLISA to develop a plan to approve

¹⁸ See, for example, the synergy between the project activities at ASEAN level and the SLOM work plan.

¹⁹ At pp. 28-9.

²⁰ Equally, one could not say that the project integrated gender equality as a cross-cutting concern throughout its methodology and all deliverables.

conventions and recommendations of the ILO on social insurance. The issue is not currently on the agenda in Indonesia. It is the case that few countries in East Asia have ratified Convention 102 which was, of course first adopted almost 70 years ago in a rather different socio-economic context.

Implementation of Midterm Evaluation recommendations

The ToRs required an assessment of the implementation of the recommendations of the mid-term evaluation that conducted in November 2017 by the project team. These are set out in detail below with comments as to the state of implementation. The report made six main recommendations:

[1] Start exploring funding possibilities for an extension of the project (time and countries).

Comment: ILO has discussed the possibility of future funding with the Japanese Government and continues to explore possibilities.

[2] Discuss with the ASEAN Member States the modalities for the establishment a capacity programme for the achievement of the social protection related SDGs, starting with capacity building for the compilation and reporting of the SDGs indicator 1.3.1.

Comment: Not clear that action was taken on this issue.

[3] For preparing the ASEAN Study on expanding social security coverage to workers informal employment, build synergies with other technical assistance projects working in this field in the region, including projects implemented by the ILO.

Comment: In order to maximise the available information for the study, the project collaborated with and learned from the regional study on social protection and new forms of work and its regional meeting (Bangkok), jointly funded by ADB and China, including background studies conducted in the context of the Philippines, Indonesia, Malaysia and Singapore. The final study on expanding social security covered a wide range of countries.

[4] Establish a mechanism to ensure sharing of information and collaboration with other ILO's development cooperation projects working on the same topic in other countries, on a more systematic manner.

Comment; In Viet Nam close collaboration between the ESSA project and the Irish Aid project on social assistance has been established and the office has established a social protection lead.

[5] Explore funding and partnership opportunities for continuation of the project for the implementation of the social insurance reform in Viet Nam in the years to come.

Comment: Implemented. Funding has been secured for continuation of work to end 2019 and further funding is under discussion.

[6] For a potential next phase of the project, explore pros and cons of decentralizing the project management to one of the focus countries, in order to reinforce the ILO's presence at country level.

Comment: Does not arise at this time. Pros and cons of this approach should be assessed in the light of experience with the ILO-Japan projects and the current Luxembourg-funded regional health project (which has a nationally-based CTA).

5. Lessons learned & good practices

This section looks at the lessons learned and emerging good practices in line with ILO guidance (see also Appendices 4 and 5).²¹

Lessons learned

In the case of this evaluation, the key lesson identified is that a long-term funding commitment like the ILO-Japan partnership (which has covered three phases dating back to 2010) is very advantageous in building long-term relationships with key stakeholders (such as ASEAN) and in establishing ILO as a key social protection agency in specific countries. The regional approach adopted in these projects is also very useful in allowing ILO to cover a range of countries which share common issues (such as low formal coverage) in a flexible manner.

Emerging good practices

In terms of good practices, the project design is an example of good practice. It was based on and learnt from the experience of two previous ILO-Japan projects. It identified specific related activities at ASEAN and country level. It integrated gender issues to a greater extent than had previous ILO-Japan projects and carried out a more thorough risk-assessment.

A second example of good practice, in terms of implementation, is the approach adopted by MOLISA in relation to capacity building events. MOLISA set specific objectives for participants attending capacity-building events supported by the project (e.g. in ILO Turin) and based with its participants during their attendance. On their return, MOLISA organised specific debriefing events so that other MOLISA staff would benefit from the learning. This is an approach which might well be adopted in other countries who are participating in ILO capacity-building events, and one which might be encouraged by ILO to ensure maximum effectiveness.

²¹ See http://www.ilo.org/global/docs/WCMS_165981/lang--en/index.htm

6. Conclusions & recommendations

Conclusions

Overall, we can conclude that the project was very relevant to the needs of the stakeholders, the ILO and the donor and it was well designed with high complementarity between the different components.²²

ESSA has made a major contribution to extending social protection cover both at ASEAN and country levels (through its study of the issue), in Viet Nam through its contribution to the development and adoption of the MPSIR and in Indonesia through its support for the proposals on employment insurance. If the MPSIR and employment insurance were formal objectives of the project, it could be classified as highly satisfactory. However, in relation to the formal objectives, it can be classified as satisfactory as some of the original outcomes were not fully implemented.

Project management and use of resources has been effective. The key stakeholders were very happy with the project and very positive about the quality of ILO technical assistance.

Sustainability of the project work is heavily dependent on further ILO work both at regional level and at national level. ILO is seeking to address this by seeking further support for its work both at national and regional level.

Recommendations

In the short-medium term, we highlight the following recommendations:

- 1) **Continuation of work at regional level.** As highlighted in the lessons learned, the opportunity for ILO to work with ASEAN at regional level over a period of almost 10 years has been very valuable and has allowed ILO to build strong relationships. Continuation of this activity should be a priority. Decisions as to provision of funding are obviously a matter for the GoJ but it may be relevant to note that the support of the GoJ is very much appreciated by ASEAN and its involvement in the project provides Japan with a 'seat at the table' in relation to regional social protection events and considerable visibility. **ILO and GoJ** should explore this further. (Short-medium term)
- 2) **Advance the findings of the regional study on expansion of social protection.** Given the timing of the launch of the report (July 2019), it was not possible for the project itself to make full use of this very detailed and innovative study. ILO should ensure that this report is disseminated widely and make use of its findings at national level. For example, ATUC suggested that (in addition to the regional launch) the reports be launched nationally with the tripartite constituents. **ILO should explore this further with ASEAN.** (Short term)
- 3) **Extension of social insurance coverage.** As noted, the focus of the project shifted somewhat to the MPSIR (VN) and employment insurance (Indonesia). However, the issue of low social insurance coverage remains an important issue in Viet Nam and

²² As noted, the Myanmar component is not included in this evaluation.

Indonesia and (at least some) constituents are interested in taking forward the work of the 'gap' studies and studies of inspection. **ILO should take this into account in terms of future work priorities** to maximize the sustainability of the work which has been carried out. (Short-medium term)

- 4) **Mainstreaming gender requires further support.** Finally, while the PRODOC highlighted gender issues and while ESSA did address some gender issues in its work, it is clear that ILO projects need specific support if gender is to be adequately mainstreamed. The ILO-Irish Aid project is currently taking steps to address this issue (e.g. hiring a gender expert to review project reports) and the outcome of this should be monitored. However, more systematic support will also be required, e.g. capacity-building for ILO staff, specific focus on gender in training events, requirements for external consultants to have regard to gender issues, etc. **ILO should consider how best to provide this** (Short-medium term)

Appendices

Appendix 1. Objectives, outputs, activities and related indicators

Indicator	Baseline	Achieved	Target (end-of-project total)	Immediate Objective summary
Development Objectives/Expected Impact: The project aims at increasing social security coverage by improving application of social security laws				
Increase in the number of contributors to social security schemes	VNM: 12.23 million (2014) IND: 16 million (2015)	VNM: 14.72 million (2018) IND: 26.2 million (2017)	VNM: 15 million IND: 20 million	Target has been achieved or exceeded.
Immediate Objective 1: Knowledge and expertise are increased among ASEAN Member States to extend social protection to all and as a result, measures are proposed at national level to extend social security coverage in ASEAN, emphasizing on self-employed, informal and MSMEs workers.				
Number of countries that have improved legal and institutional frameworks to extend social security coverage to self-employed, informal and MSMEs workers.	0	4	3	Viet Nam promulgated MPSIR to improve the social insurance system. Indonesia launched an outreach services called PERISAI (social security agent) to extend coverage to workers in the informal economy. Malaysia launched an unemployment insurance programme on Jan 2018. The Philippines passed the law on unemployment insurance.
Output 1.1: Knowledge and expertise on strategies and practices to improve coverage of self-employed, informal and MSMEs workers, and compliance of social security laws				

Number of recommendations to extend social protection coverage adopted by the ILO-ASEAN seminar, in line with ILS	0	21	8	21 recommendations will be shortly endorsed by ASEAN-SLOM, included in the report 'ILO. 2019. Extension of social security to workers in informal employment in ASEAN'.
Number of copies of the report on country experiences and recommendations to relevant government agencies and social partners distributed	0	107	60	At the final seminar on July 2019, the project disseminated the following reports. ILO. 2019. How to extend social protection to workers in informal employment in the ASEAN region (47). After the seminar, the project shipped the following report to the stakeholders: ILO. 2019. Extension of social security to workers in informal employment in ASEAN (60)
Number of inputs shared with the technical team preparing the global guide on extension of social protection to the workers of the informal economy	0	5	5	One Headquarter staff in charge of drafting the global guide attended the Experts' Meeting on extension of social protection, May 2017, Bangkok. The course in Jakarta, October 2017, tested the trainers' modules. The Modules A and C including 5 major inputs were amended following the project's recommendations.
Output 1.2: Capacity of ASEAN policy makers, practitioners and social partners to design and implement social protection policies strengthened				
Number of female and male policy makers and practitioners trained on measures for improving social security coverage (design, enforcement, institutional arrangements)	0	96	25	Jun 2017: Social security deficit, Thailand (18) Oct 2017: Regional training on extending social protection coverage, Indonesia (18) Jun 2018: 1st committee of experts for the regional study, Thailand (8) Jun 2018: 2nd tripartite project advisory committee, Thailand (4) Sep 2018: Academy on Social Security, Italy (1) Oct 2018: Regional training on employment insurance, Seoul (3) Dec 2018: 2nd committee of experts for the regional study, Bangkok (10) Dec 2018: Regional training on pension policy, Malaysia (4)

				<p>Jul 2019: ILO-ASEAN seminar on the future of social protection, Thailand (30)</p> <p>M/F breakdown not available in data provided</p>
Number of male and female workers' and employers' representatives who are trained and informed for better engaging in policy discussions for reforming social protection	0	72	40	<p>Jun 2017: Social security deficit, Thailand (26)</p> <p>Oct 2017: Regional training on extending social protection coverage, Indonesia (7)</p> <p>Jun 2018: 1st committee of experts for the regional study, Thailand (2)</p> <p>Jun 2018: 2nd tripartite project advisory committee, Thailand (2)</p> <p>Dec 2018: Joint regional consultation of workers and employers, Thailand (16)</p> <p>Dec 2018: 2nd committee of experts for the regional study, Thailand (2)</p> <p>Jul 2019: ILO-ASEAN seminar on the future of social protection, Thailand (17)</p> <p>M/F breakdown not available in data provided</p>
Immediate Objective 2: More workers are covered by social security schemes, through improved policy, legal framework, and enforcement and delivery mechanisms in Viet Nam.				
Number of people previously excluded that are now covered	12.23 million (2014)	14.72 million (2018)	15 million	Target has almost been reached based on 2018 data
Output 2.1: Analysis of impediments and recommendations for extending social insurance coverage (review of legal/design and implementation aspects)				
Number of meetings for identifying gaps and recommendations for improving social insurance coverage	0	17	3	<p>Feb 2017: National tripartite meeting and information session (16)</p> <p>Mar 2017: 1st fact-finding meetings on social security deficits (93)</p>

				<p>Mar 2018: Consultation on multi-tier social insurance system (27)</p> <p>Mar 2018: Consultation on Retirement age (17)</p> <p>Mar 2018: Consultation on insurable earning (21)</p> <p>Mar 2018: Consultation on redistributive factors, lump sum (22)</p> <p>Apr 2018: UN brown bag lunch on social insurance reforms (0)</p> <p>Apr 2018: Consultation on multi-tier social insurance system and retirement age (15)</p> <p>Apr 2018: Policy dialogue on extension of social insurance coverage (45)</p> <p>Jun 2018: 2nd fact-finding meetings on social security deficits (42)</p> <p>Jun 2018: Consultation on MPSIR government action plan (83)</p> <p>Jul 2018: Consultation on MPSIR government action plan (72)</p> <p>Dec 2018: Consultation on multi-tiered social security system (15)</p> <p>May 2019: Consultation on Short-term benefit packages (25)</p> <p>Jul 2019: Consultation on short-term benefit packages (39)</p> <p>Jul 2019: Consultation on short-term benefit packages (38)</p>
Number of female and male participants, and workers and employers' representatives, attending the consultation workshops	0	570	30	<p>See the numbers in bracket above.</p> <p>M/F breakdown not available in data provided</p>
Number of recommendations aimed at extending social insurance coverage endorsed by tripartite constituents	0	26	5	Government of Viet Nam. Decree on Social Insurance for migrant workers. (5)

				<p>ILO. Unpublished. Recommendations for improving the social security inspection in Viet Nam and Indonesia and lessons for the ASEAN member states (10)</p> <p>Viet Nam Communist Party. 2018. Resolution 28/NQ-TW on Master Plan on Social Insurance Reforms. (11)</p>
Output 2.2: Improved decrees and circulars for a better enforcement of the social security laws				
Number of legal documents revised and reflecting the ILO position	0	3	2	<p>Government of Viet Nam. Decree on Social Insurance for migrant workers.</p> <p>Viet Nam Communist Party. 2018. Resolution 28/NQ-TW on Master Plan on Social Insurance Reforms.</p> <p>Government of Viet Nam. 2018. Government Resolution 125/ NQ-CP on the Government Action Plan to implement the Resolution 28/NQ-TW.</p>
Number of consultations conducted to discuss the revisions and improve understanding of ILO's position	0	10	3	<p>Nov 2017: High-level dialogue on social insurance reforms</p> <p>Mar 2018: Consultation on multi-tier social insurance system</p> <p>Mar 2018: Consultation on Retirement age</p> <p>Mar 2018: Consultation on insurable earning</p> <p>Mar 2018: Consultation on redistributive factors, lump sum</p> <p>Apr 2018: Consultation on multi-tier social insurance system and retirement age</p> <p>Apr 2018: Policy dialogue on extension of social insurance coverage</p> <p>Jun 2018: Consultation on MPSIR government action plan</p> <p>Jul 2018: Consultation on MPSIR government action plan</p> <p>Dec 2018: Consultation on multi-tiered social security system</p>

Output 2.3: Enhanced functions and capacity of social insurance/labour inspection				
Number of measures and training material for improving role of social insurance/labour inspectors endorsed by tripartite constituents	0	41	4	<p>The workshops below included the following number of sessions/modules.</p> <p>1 session</p> <p>32 sessions</p> <p>8 sessions</p>
Number of male and female social insurance/labour inspectors trained	0	98	0	<p>Jun 2017: Workshop on social security inspection (54)</p> <p>Aug 2018: Training on social insurance (22)</p> <p>Jan 2019: Workshop on extension of short-term benefit packages (22)</p> <p>M/F breakdown not available in data provided</p>
Output 2.4: Support to Viet Nam Social Security for streamlining procedures and services for social insurance registration, payment of contributions, benefits claims and appeals, if relevant in one proposed sector of the economy.				
Number of meetings for discussing the amendments to procedures and possible new mechanisms	0	4	3	<p>Nov 2017: Consultation with National Steering Committee on social insurance reforms (20)</p> <p>Nov 2017: High-level dialogue on social insurance reforms (79)</p> <p>Mar 2019: Training on actuarial analysis (47)</p> <p>Apr 2019: Technical meeting on social insurance communication strategy (16)</p>
Number of male and female participants, workers' and employers' representatives participating to the meetings	0	162	30	<p>See the numbers in bracket above.</p> <p>M/F breakdown not available in data provided</p>

Number of amendments to procedures and possible new mechanisms endorsed by tripartite constituents	0	10	4	ILO. Unpublished. Recommendations for improving the social security inspection in Viet Nam and Indonesia and lessons for the ASEAN member states (10)
Output 2.5: Awareness and understanding raised on benefits of social security and rights and obligations of employers and workers				
Number of male and female workers' and employers' representatives attending the workshops	0	74	40	<p>Apr 2017: Media information session on social security (3)</p> <p>Feb 2018: Information session on multi-tier social protection system and MPSIR (5)</p> <p>May 2018: Media information session on retirement age and social insurance (14)</p> <p>Nov 2018: Workshop on social security and firm performance (52)</p> <p>M/F breakdown not available in data provided</p>
Number of supports prepared to help raising awareness on social protection	0	13	2	<p>4 workshops above</p> <p>2 replies for media inquiry about pension reform and social insurance for migrant workers</p> <p>1 Viet Nam Television programme in April 2018</p> <p>6 video productions</p>
Immediate Objective 3: More workers are covered by social security schemes, through improved implementation arrangements, enforcement measures and support services in Indonesia				
Number of people previously excluded that are now covered	16 million (2015)	26.2 million (2017)	20 million	Target has been exceeded based on 2017 data
Output 3.1: Analysis of impediments and evidence-based recommendations for extending social insurance coverage (review of legal/design and implementation aspects)				
Number of meetings for identifying gaps and recommendations for improving social	0	12	3	Sep 2016: Workshop on informal employment and unemployment insurance (32)

insurance coverage				<p>Mar 2017: Dialogue on social security (39)</p> <p>May 2017: Workshop on social security deficits (22)</p> <p>May 2018: Planning meetings with stakeholders on employment insurance (24)</p> <p>Sep 2018: 1st National consultation of workers on employment insurance (39)</p> <p>Sep 2018: 1st National consultation of employers on employment insurance (41)</p> <p>Sep 2018: Interministerial consultation on employment insurance (25)</p> <p>Dec 2018: National tripartite committee meeting on employment insurance (9)</p> <p>Jan 2019: Discussion on employment insurance (3)</p> <p>Feb 2019: Discussion on employment insurance (24)</p> <p>Mar 2019: Discussion on follow-up activities on employment insurance (15)</p> <p>May 2019: Discussion on follow-up activities on employment insurance (24)</p>
Number of female and male participants, and workers and employers' representatives, attending the consultation workshops	0	297	30	<p>See the numbers in bracket above.</p> <p>M/F breakdown not available in data provided</p>
Number of recommendations aimed at extending social insurance coverage endorsed by tripartite constituents	0	7	5	<p>ILO. 2018. Social security gap in the coffee sector in Indonesia. (3)</p> <p>ILO. 2018. Discussion on the design of employment insurance in Indonesia (Presentation). (4)</p>
Output 3.2: Enhanced role of the social security inspection, learning from different countries' experiences including the Sharoushi system of Japan.				

Number of measures and training material for improving role of social insurance/labour inspectors endorsed by tripartite constituents	0	10	4	ILO. Unpublished. Recommendations for improving the social security inspection in Viet Nam and Indonesia and lessons for the ASEAN member states (10)
Number of male and female social insurance/labour inspectors trained	0	29	0	Mar 2017: Training on social security inspection (29) M/F breakdown not available in data provided
Output 3.3: Support to BPJS-Employment for streamlining procedures and services for social insurance registration, payment of contributions, benefits claims and appeals, if relevant in one proposed sector of the economy.				
Number of meetings for discussing the amendments to procedures and possible new mechanisms	0	3	3	Mar 2017: Training for BPJS Employment (27) May 2018: Workshop on social security gap in the coffee sector (49) Aug 2018: Fact-finding meetings with stakeholders on employment insurance (22)
Number of male and female participants, workers' and employers' representatives participating to the meetings	0	98	40	See the numbers in bracket above. M/F breakdown not available in data provided
Number of amendments to procedures and possible new mechanisms endorsed by tripartite constituents	0	7	4	The recommendations made in Output 3.1 were adopted by BPJS Employment for its operations.
Output 3.4: Awareness and understanding raised on benefits of social security and rights and obligations of employers and workers				
Number of male and female workers' and employers' representatives attending the workshops	0	66	50	Mar 2017: Capacity development workshop for trade unions representatives (31) Dec 2017: Workshop on social security and firm performance (6) Oct 2018: 2nd consultation of workers on employment insurance (12) Nov 2018: 2nd employers / 3rd workers consultation on employment insurance (17)

				M/F breakdown not available in data provided
Number of supports prepared to help raising awareness on social protection	0	2	2	<p>ILO. 2018. Social security gap in the coffee sector in Indonesia.</p> <p>ILO. 2019. To what extent is social protection associated with better firm level performance?</p>

Appendix 2. Studies and reports

Output 1: ASEAN

- Country background studies on expanding social security to workers in informal employment in Laos (September 2018)
- Country background studies on expanding social security to workers in informal employment in the Philippines (September 2018)
- Country background studies on expanding social security to workers in informal employment in Myanmar (September 2018)
- Regional study on expanding social security to workers in informal employment in Myanmar (July 2019)

Output 2: Viet Nam

- Regional trends on international trends of social security (February 2017)
- International experiences for extending social insurance to migrant workers and recommendations for Viet Nam (March 2017)
- Assessment of social security deficits in selected sectors of the economy (Phase 1, May 2017)
- Policy options for the social insurance reform of Viet Nam (May 2017)
- Review of social security inspection and recommendations (June 2017)
- Comments on the draft decree on social insurance for migrant workers (July 2017)
- Discussion on options to the extension of social insurance coverage in Viet Nam (August 2017)
- Technical note on Comparative review of the contribution rates of different social insurance systems (August 2017)
- Actuarial assessment of policy options for the reform of the social insurance system (May 2018)
- Technical note on rationale for increasing retirement age (May 2018)
- Technical note on the contribution rate (May 2018)
- Technical note on rationale for flexible retirement age (May 2018)
- Technical note on redistributive elements in pension systems (May 2018)
- Technical note on minimum participation time for receiving pension benefits (May 2018)
- Technical note on insurable earnings for social insurance (May 2018)
- Technical note on a new mindset for social insurance policy formulation and development (May 2018)
- Technical note on exploring reform options for a multi-tier pension system (May 2018)
- Technical note on lump-sum payment (May 2018)
- Comments on the action plan of MPSIR (June 2018)
- Technical note on exploring reform options for a multi-tier pension system (Long, ongoing)
- Technical note on maternity benefits (ongoing)
- Technical note on sickness benefits (ongoing)

- Social security and firm performance (ongoing)
- Assessment of social security deficits in selected sectors of the economy (Phase 2, ongoing)

Output 3: Indonesia

- Report on enhanced role of the social security inspection (December 2017)
- Report on social security deficit in the coffee sector (ongoing)
- Report on social security and performance of small and medium enterprises (ongoing)
- Inputs on a government regulation on migrant workers (BPJS Employment)
- Report on the latest information of legislation and rules (October 2018)
- Report on fact-finding and consultation missions on employment insurance system (October 2018)
- International practices of income protection for unemployed persons and implications for Indonesia (October 2018)
- Legal, financial and administrative considerations for an unemployment insurance system for Indonesia (November 2018)

Appendix 3. Meetings and training workshops

Output 1: ASEAN

- Experts' meeting to discuss challenges and strategies for extending social protection coverage to the informal economy (Bangkok, May 2017)
- Regional training on extending social protection coverage to the informal economy (Jakarta, October 2017)
- 1st committee of experts' meeting on the regional report on expanding social security to workers in informal employment (Bangkok, June 2018)
- 2nd committee of experts' meeting on the regional report on expanding social security to workers in informal employment (Bangkok, December 2018)
- Joint consultation of workers and employers on the regional report on expanding social security to workers in informal employment (Bangkok, December 2018)
- Tripartite seminar on the regional report on expanding social security to workers in informal employment (Bangkok, July 2019)

Output 2: Viet Nam

- High-level policy dialogue: diagnosis and sharing international experiences (March 2017)
- High level consultation with DPM, steering committee of wage and social insurance reform (November 2017)
- High level policy dialogue on reform options (November 2017)
- Fact-finding meeting on actuarial assessment (March 2018)
- Technical meeting with MOLISA on extension of social security coverage – international experiences and policy options (April 2018)
- Policy dialogue with VGCL on social insurance reform and retirement age (April 2018)
- Technical meeting with MOLISA on retirement age and contribution rate (May 2018)
- Media information session on retirement age and social insurance (May 2018)
- Vietnam Television on retirement age and social insurance (May 2018)
- National consultation on government action plan to implement MPSIR for the northern region (June 2018)
- National consultation on government action plan to implement MPSIR for the southern region (July 2018)
- High-level policy dialogue: diagnosis and sharing international experiences (March 2017)
- High level consultation with DPM, steering committee of wage and social insurance reform (November 2017)
- High level policy dialogue on reform options (November 2017)
- Fact-finding meeting on actuarial assessment (March 2018)
- Technical meeting with MOLISA on extension of social security coverage – international experiences and policy options (April 2018)
- Policy dialogue with VGCL on social insurance reform and retirement age (April 2018)
- Technical meeting with MOLISA on retirement age and contribution rate (May 2018)

- Media information session on retirement age and social insurance (May 2018)
- Vietnam Television on retirement age and social insurance (May 2018)
- National consultation on government action plan to implement MPSIR for the northern region (June 2018)
- National consultation on government action plan to implement MPSIR for the southern region (July 2018)

Output 3: Indonesia

- Training for social security inspectors (March 2017)
- Workshop on social security gaps on motorcycle and coffee sectors (2017)
- Training for tripartite constituents on pension (March 2017)
- Training for tripartite constituents on pension unemployment insurance (March 2017)
- Training for tripartite constituents on maternity and sickness benefits (May 2017)
- Training for tripartite constituents on employment injury insurance (September 2017)
- Workshop on social security gap in the coffee sector (May 2018)
- Inter-ministerial consultations on employment insurance (September 2018)
- 1st consultation with workers on employment insurance (September 2018)
- 2nd consultation with workers on employment insurance (October 2018)
- 3rd consultation with workers on employment insurance (November 2018)
- 1st consultation with employers on employment insurance (September 2018)
- 2nd consultation with employers on employment insurance (November 2018)
- National tripartite meeting on employment insurance (December 2018)

Appendix 4. Lessons learned

ILO Lesson Learned Template

Project Title: Promoting and building social protection in Asia: Extending social security coverage in ASEAN (ESSA)

Project TC/SYMBOL: RAS/16/03/JPN

Name of Evaluator: Mel Cousins

Date: 14 June 2019

The following lesson learned has been identified during the course of the evaluation. Further text explaining the lesson may be included in the full evaluation report.

LL Element	Text
Brief description of lesson learned (link to specific action or task)	A long-term funding commitment like the ILO-Japan partnership (which has covered three phases dating back to 2010) is very advantageous in building long-term relationships with key stakeholders (such as ASEAN) and in establishing ILO as a key social protection agency in specific countries. The regional approach adopted in these projects is also very useful in allowing ILO to cover a range of countries which share common issues (such as low formal coverage) in a flexible manner.
Context and any related preconditions	This approach is obviously dependent on a funder being willing to commit funds on a long-term basis. Otherwise the only precondition is the need for support
Targeted users / Beneficiaries	The targeted users in this case were all those SAEAN countries and their social protection ministries and social partners.
Challenges /negative lessons - Causal factors	None (other than donor commitment)
Success / Positive Issues - Causal factors	The long-term nature allowed ILO to build relationships with ASEAN at a key time and also to strengthen relationships with individual countries. Outcomes include the ASEAN Declarations on Social Protection and at a national level the Viet Nam Master Plan on Social Insurance Reform.
ILO Administrative Issues (staff, resources, design, implementation)	The approach does call for good project design and realistic targets, both of which can be a challenge. It also requires good staff and expert inputs (but this has not been an issue over the almost 10 years of the project).

Appendix 5. Emerging good practice

ILO Emerging Good Practice Template

Project Title: Promoting and building social protection in Asia: Extending social security coverage in ASEAN (ESSA)

Project TC/SYMBOL: RAS/16/03/JPN

Name of Evaluator: Mel Cousins

Date: 14 June 2019

The following emerging good practice has been identified during the course of the evaluation. Further text can be found in the full evaluation report.

GP Element	Text
Brief summary of the good practice (link to project goal or specific deliverable, background, purpose, etc.)	The project design is an example of good practice. It was based on and learnt from the experience of two previous ILO-Japan projects. It identified specific related activities at ASEAN and country level. It integrated gender issues to a greater extent than had previous ILO-Japan projects and carried out a more thorough risk-assessment.
Relevant conditions and Context: limitations or advice in terms of applicability and replicability	Good project design should be replicable.
Establish a clear cause-effect relationship	The improved design led to a more cohesive project with higher complementarity
Indicate measurable impact and targeted beneficiaries	The design impacted all beneficiaries and led to a more closely integrated project
Potential for replication and by whom	Should be replicated for similar regional projects
Upward links to higher ILO Goals (DWCPs, Country Programme Outcomes or ILO's Strategic Programme Framework)	Extending social security and creating and extending social protection floors is one of the key priorities of the ILO and the ILO Regional Office for Asia Pacific.
Other documents or relevant comments	None

ILO Emerging Good Practice Template

Project Title: Promoting and building social protection in Asia: Extending social security coverage in ASEAN (ESSA)

Project TC/SYMBOL: RAS/16/03/JPN

Name of Evaluator: Mel Cousins

Date: 14 June 2019

The following emerging good practice has been identified during the course of the evaluation. Further text can be found in the full evaluation report.

GP Element	Text
Brief summary of the good practice (link to project goal or specific deliverable, background, purpose, etc.)	A second example of good practice is the approach adopted by MOLISA in relation to capacity building events. MOLISA set specific objectives for participants attending capacity-building events supported by the project (e.g. in ILO Turin) and based with its participants during their attendance. On their return, MOLISA organised specific debriefing events so that other MOLISA staff would benefit from the learning.
Relevant conditions and Context: limitations or advice in terms of applicability and replicability	Practice simply requires good management. No significant cost and should be easily replicable. This is an approach which might well be adopted in other countries who are participating in ILO capacity-building events, and one which might be encouraged by ILO to ensure maximum effectiveness.
Establish a clear cause-effect relationship	The practice increased the dissemination of knowledge acquired
Indicate measurable impact and targeted beneficiaries	The practice focused on increasing the capacity of staff members of the national administration. No measurable impact available but management assessment is that it led to improved capacity
Potential for replication and by whom	Should be easily replicated for all training
Upward links to higher ILO Goals (DWCPs, Country Programme Outcomes or ILO's Strategic Programme Framework)	Extending social security and creating and extending social protection floors is one of the key priorities of the ILO and the ILO Regional Office for Asia Pacific.
Other documents or relevant comments	None

Appendix 6. Terms of Reference



TERMS OF REFERENCE

INDEPENDENT FINAL PROJECT EVALUATION

Project Title	Promoting and building social protection in Asia (3rd phase): Extending social security coverage in ASEAN (ILO/Japan-ESSA Project)
ILO Project Code	RAS/16/03/JPN
Funding Agency	Government of Japan
Administrative Office	ILO ROAP
Technical Unit	SOCPRO
Type of Evaluation	Independent Final Project Evaluation
Time of Evaluation	January 2019 – March 2019
Evaluation Manager	Huyen Pham Thi Thanh
Project Period	May 2016 to 31 March 2019
Total Project Budget	US\$ 2,007,076
Locations	ASEAN (Thailand) Target countries: Indonesia and Viet Nam

1. Background and Justification

1.1. Introduction and Rationale

This Term of Reference covers the final evaluation of the project RAS/16/03/JPN. In March 2016, the Government of Japan and the ILO signed a cooperation agreement in which the Government of Japan provided US\$ 2,007,076 to the ILO to implement the project “Expanding Social Security in ASEAN” (ILO/Japan-ESSA project) in ASEAN with focus in Indonesia and Viet Nam. The project has been implemented since March 2016, and is expected to accomplish in March 2019. As per ILO standards and the agreement with the Government of Japan, the project conducts the final project evaluation to assess the project’s achievement of its expected objectives, and to identify and document lesson learnt and potential good practices which can be useful for the ILO and the project stakeholders.

1.2. Project context

Despite significant progress in expanding social protection during the last decades marked by the introduction of new social insurance and tax-funded social protection schemes across all ten ASEAN Member States, still a large portion of their population remains excluded from social protection coverage. Almost half of the workforce in the region, equivalent to 149.7 million workers, is still in informal and vulnerable employment, and the large majority of these people face serious decent work gaps, including a lack of access to social protection. In many countries, social protection benefits are often only accessible for those working in the formal economy who contribute to social insurance, as well as for those poor households that receive some social assistance benefits. This means that a large share of workers, also called the “missing middle”, are effectively excluded from social protection coverage. Such lack of social protection is a significant source of vulnerability as these workers do not even have a basic level of income security and access to health care.

Social protection, as part of the Sustainable Development Agenda, will play a crucial role in ensuring that no one is left behind by guaranteeing income security and facilitating access to health, education, skills, and decent employment, and ultimately increasing economic growth. In October 2013, in Brunei Darussalam, ASEAN Heads of State adopted a Declaration on Strengthening Social Protection as one of the key priority areas to achieve growth with equity. It specifically states: “Extending coverage, availability, quality, equitability and sustainability of social protection should be gradually promoted to ensure optimal benefits to the beneficiaries”. The Regional Framework for Strengthening Social Protection and its Plan of Action, adopted by the ASEAN Heads of State in November 2015, includes among its priorities the extension of social security coverage among informal economy workers, self-employed and micro, small and medium enterprises (MSME) workers.

There is globally and in the Asia Pacific region a growing consensus that the establishment of social protection floors is a key element of the policy framework to reduce poverty and inequalities and achieve inclusive and sustainable development. It is at the core of the Sustainable Development Goals by 2030. During the past decade, ASEAN countries have made progress in extending social protection, with the emergence of statutory schemes in all ASEAN countries. However, coverage and level of protection across the population and across countries remain unequal and insufficient. There is still a need for improving policy and institutional framework for the effective and efficient delivery of social protection.

In Vietnam

The Party Central Committee’s Resolution No. 15-NQ/TW dated 1 June 2012 sets a target of 50 per cent of the workforce covered by social insurance by 2020. Despite a rapid expansion of the social insurance coverage in the last decade, as of June 2017, at most 13,17 million and 0.24 million workers are respectively covered by the compulsory and voluntary social insurance schemes, which accounts for a merely 24 per cent of the total labour force. The coverage remains particularly low among small and medium enterprises and workers with short-term contracts. Informal economy workers, administratively identified as those holding a contract of less than three months (one month from 1 January 2018), self-employed and rural workers, are still largely excluded from social insurance coverage except for the voluntary retirement and survivor pension scheme introduced in January

2008. Out of 53.4 million workers in 2017, 29.4 million are either own-account or unpaid family workers.²³ It means nearly six out of ten jobs in Viet Nam are vulnerable or informal; that is without or very limited social protection. Even among enterprises due to register on a mandatory basis, enforcement of the social security laws remains a challenge, especially among the small and medium enterprises representing the large majority of establishments. Among all enterprises with employment size less than 200 (classified as small and medium)²⁴, 64% registered to the Viet Nam Social Security fund (VSS) in 2010. 33.7% of wage workers in the formal sector (5.4 million people) are not covered by social insurance and thus are classified as informal workers²⁵

To achieve the target on social security coverage and increase financial sustainability in light of an ageing population and economic slowdown, Vietnam reformed its Social Insurance Law in November 2014. The first amendments came into effect as of 1 January 2016 until 1 January 2018. Furthermore, aligned with the vision of achieving universal social protection coverage by 2030, in April 2017, the Government adopted a Master Plan on Social Assistance Reform (MPSAR) (2016-2025). To complement the MPSAR and reach the “missing middle” composed of those not poor but not in formal employment, the Government is now preparing the Master Plan on Social Insurance Reform (MPSIR).

In Indonesia

The social security reform, entered into effect mid-2015, showcases the government’s determination to increase social insurance coverage as an alternative to social assistance for those self-employed and informal workers (Askesos programme) who have the capacity to contribute. The Minister of Manpower and Transmigration has committed to the extension of coverage among informal worker with subsidized contributions with the adoption of the Decree No.24/MEN/VII/2006 on the guideline of technical procedure in implementing the social security for the informal worker and the more recent Decree No.5/2013 on technical guidance for the nonwage-earners workers. In its recently issued National Medium-term Development Plan (RPJMN 2015-2019), the government of Indonesia reaffirms its commitment to reach universal coverage of the National Health Insurance Scheme by 2019. Regarding the workers’ insurance schemes, the RPJMN targets 3.5 million informal sector workers (from a baseline of 1.3 million members in October 2014) and 62.4 million formal sector workers (from a baseline of 29.5 million members in 2014).

To address those issues, ILO has implemented several initiatives on promoting social protection in the region. One of those is “Promoting and building social protection in Asia (3rd phase): Extending social security coverage in ASEAN (ILO/Japan-ESSA Project), which has built on the achievements of the past two phases of the ILO/Japan Project on Promoting and Building Social Protection in Asia (2011-2013 and 2014-2016) and a component of the ILO’s Global Flagship Programme on Building Social Protection Floors for All.

The project promotes the implementation of nationally defined social protection floors aiming at providing income security to vulnerable workers and those in informal employment, and

²³ ILO and ILSSA 2017 (upcoming); Labour and social trends in Viet Nam 2012-2017

²⁴ Viet Nam Law on Supporting SMEs (2017)

²⁵ GSO, 2016 (upcoming); Report on informal employment

progressively covering them under more comprehensive social security systems comprised of social insurance and social assistance schemes. Also, an increased registration to social protection systems already constitutes an initial step towards more formalization of the informal economy and definitely towards more protection of informal economy workers.

The project's strategy to extend social protection coverage is through tackling the low enforcement of social security laws, in particular among the micro, small and medium enterprises, self-employed and informal workers. In general, and in Indonesia and Viet Nam in particular, social insurance laws and the institutional framework of social insurance institutions are more adapted to the coverage of the formal economy. The project promotes the extension of social security benefits for all through the search for innovative measures, administrative "adaptations" and incentives to increase social insurance coverage among informal economy workers and self-employed, towards higher level of social protection. The project also intends to provide information and improve understanding of government officials, but also as importantly, workers and employers' representatives on social protection issues to more actively engage in dialogues around social policy reforms and take informed decisions.

Therefore, the overall objective of the project is to improve performance (e.g extension of coverage and enforcement) of the social security systems in ASEAN, with a focus on Indonesia and Viet Nam towards the implementation of nationally defined SPFs, and progressively more comprehensive social security systems. By increasing participation to social protection systems, also, the project also aims at providing better protection to and gradually formalizing the situation of those working informally. The project strategy builds on achievements, expertise and good practices generated over the past five years of the ILO/Japan Project on Promoting and Building Social Protection.

The selection of focus countries that receive additional support to expand social security coverage through the project gave due consideration to regional and national priorities, as well as donor's recommendations. Therefore, the project focuses its national intervention mainly on Indonesia and Viet Nam.

1.3. The project description

Building on the achievements of the past two phases of the ILO/Japan Project on Promoting and Building Social Protection in Asia (2011-2013 and 2014-2016), the new phase aims specifically at fostering knowledge, capacity and expertise for extending social security coverage in ASEAN. The project intends to generate better knowledge, understanding and expertise on extension of social security, and stimulate South-South cooperation across ASEAN Member States. The project provides direct support to Indonesia and Viet Nam for increasing social protection coverage. Lessons learnt, experiences and good practices from the two countries will be disseminated across the ASEAN Member States and worldwide.

As a component of ILO Flagship Programme on Social Protection Floors, the project contribute directly to SDG target 1.3 on creating social protection floors (Implement nationally appropriate social protection systems and measures for all, including floors, and by 2030 achieve substantial coverage of the poor and the vulnerable, and SDG target 8.3 to promote formalization of the

informal economy.

The project is also expected to contribute to the achievement of two outcomes in the Decent Work Country Programme of ILO in Vietnam and Indonesia. In Vietnam, the project is part of a comprehensive intervention aimed at support the improvement of social protection under different angles, towards the achievement of the Outcome VNM151: *Strengthened national capacities and knowledge base for the effective implementation of social security policies and strategies*. In Indonesia, the project contributes to the achievement of the Outcome IDN103: *Government and social partners have greater capacity in designing and implementing social protection policies and programmes*.

About gender, across ASEAN Member States, gender inequality still exists in many areas, such as, low or non-participation in the labour market of women, which limits these women's rights to social security benefits, gender gaps in pension coverage. At each stage of the project, specific attention is given to address gender disparities. Assessment and surveys to understand obstacles to social security participation, legal and institutional recommendations for setting up new or improving existing mechanisms for increasing social security compliance takes into account access to social benefits and services of both men and women. In addition, special attention is paid to the analysis of whether maternity and the unequal sharing of family responsibilities affect the accessibility of women to social protection, and propose remedies. The project ensures that awareness raising materials and media campaign are gender sensitive and reach both male and female audience. The project also attaches importance in promoting equal male and female participation to the sub-regional capacity building and knowledge sharing activities.

The Project's Logical Framework

Development Objectives/Expected Impact: The project aims at increasing social security coverage by improving application of social security laws
Immediate Objective / Outcome 1: Knowledge and expertise are increased among ASEAN Member States to extend social protection to all and as a result, measures are proposed at national level to extend social security coverage in ASEAN, emphasizing on self-employed, informal and MSMEs workers.
Output 1.1: Knowledge and expertise on strategies and practices to improve coverage of self-employed, informal and MSMEs workers, and compliance of social security laws
Output 1.2: Capacity of ASEAN policy makers, practitioners and social partners to design and implement social protection policies strengthened
Immediate objective 2 / Outcome 2: More workers are covered by social security schemes, through improved policy, legal framework, and enforcement and delivery mechanisms in Viet Nam.
Output 2.1: Analysis of impediments and recommendations for extending social insurance coverage (review of legal/design and implementation aspects)
Output 2.2: Improved decrees and circulars for a better enforcement of the social security laws

Output 2.3: Enhanced functions and capacity of social insurance/labour inspection
Output 2.4: Support to Viet Nam Social Security for streamlining procedures and services for social insurance registration, payment of contributions, benefits claims and appeals, if relevant in one proposed sector of the economy.
Output 2.5: Awareness and understanding raised on benefits of social security and rights and obligations of employers and workers
Immediate objective 3/Outcome 3: More workers are covered by social security schemes, through improved implementation arrangements, enforcement measures and support services in Indonesia.
Output 3.1: Analysis of impediments and evidence-based recommendations for extending social insurance coverage (review of legal/design and implementation aspects)
Output 3.2: Enhanced role of the social security inspection, learning from different countries' experiences including the <i>Sharoushi</i> system of Japan.
Output 3.3: Support to PBJs-Employment for streamlining procedures and services for social insurance registration, payment of contributions, benefits claims and appeals, if relevant in one proposed sector of the economy.
Output 3.4: Awareness and understanding raised on benefits of social security and rights and obligations of employers and workers
Immediate objective 4: Social protection coverage is extended, through improved policies, laws, implementation arrangements and delivery services in Myanmar [Activities of this outcome are funded by the ILO/Korea Programme- RAS/15/51/ROK]
Output 4.1: Policies for extension of social protection discussed among tripartite constituents
Output 4.2: New and improved design of social protection schemes endorsed with the view to facilitate access to social protection for uncovered groups
Output 4.3: Capacities of social security policy makers, social protection practitioners and staff, as well as social partners built through hands on training sessions

Project management organization

One Chief Technical Advisor (CTA) in ILO/ROAP. He/she is in charge of the daily management of the project, of the direct implementation and / or supervision of most activities. He/she supervises consultants (hired for specific research tasks); he/she backstops the activities in Viet Nam and Indonesia, provides technical inputs, supervises the two national project coordinators (NPC). He/she is responsible for the technical reporting to all parties involved;

One Administrative and Programme Assistant in ILO/ROAP. He/she is responsible for monitoring the budget commitments and expenses, preparing supporting document to process financial operations, issue external collaborators' contracts and services contracts, supporting publications of report and studies, organizing workshops and missions, among other tasks.

One full time National Project Coordinator (NPC) in Hanoi Office and one full time NPC in Jakarta Office: Each NPC is in charge of project implementation overall on a daily basis and also providing technical expertise in social protection. He/She represents the project in meetings with Government, social partners, and development partners, at the demand of the country office. NPC is in charge of the reporting of the project's implementation and visibility of the project in his/her respective country.

One part-time (50 per cent) Administrative Assistant in Hanoi Office and Jakarta Office: Each administrative assistant provides all the administrative support required in the project, including preparation of contracts, recording of the project budget expenditures and support for incoming missions by ILO staff and consultants, as requested by NPC and CTA.

The project also counts with technical inputs by a pool of international and national consultants for specific tasks. The Social Security Specialists of the ILO Decent Work Team (DWT) in Bangkok provide technical backstopping. Certain project's outputs mainly in the legal and actuarial areas, are prepared in close collaboration with the SOCPRO Department in Geneva.

Ultimate beneficiaries:

Women and men in the working age. A special attention will be given to own-account workers and unpaid contributing family workers; wage earners working in micro, small and medium enterprises; employees without contract and sub-contracted workers; casual, seasonal and short-term workers; and migrant workers (undeclared by their employees or falling into the gaps of the system).

Direct recipients:

- The ASEAN Secretariat, Ministries of Labour and other line ministries dealing with social protection, ASEAN Trade Unions Council (ATUC), ASEAN Confederation of Employers (ACE), and relevant Civil society organizations of ASEAN countries;
- In Vietnam: Ministry of Labour, Invalids and Social Affairs (MOLISA) (in particular Social Insurance Department (SID); Viet Nam Social Security (VSS); Viet Nam General Confederation of Labour (VGCL), Viet Nam Chamber of Commerce and Industry (VCCI), and National Assembly Commission on Social Affairs (NAC-SA).
- Indonesia - Ministry of Manpower and Transmigration, Ministry of Social Affairs, Ministry of National Planning and Development (BAPPENAS), BPJS Ketenagakerjaan- Employment, National Social Security Council (DJSN), Employers association (APINDO), The Confederation of Indonesian Prosperity Trade Unions (KSBI), The Indonesian Trade Union Confederation (KSPI), The Congress Alliance of Indonesian Labour Unions (KASBI), All-Indonesian Workers' Union Confederation (KSPSI);

2. Purpose, Scope and Clients of the Evaluation

2.1. Purpose

The main purposes of this final evaluation are to fulfil the accountability to the donor, to serve internal organizational learning purpose and for improvement of similar projects in the future. The evaluation will assess the extent to which the project has achieved its expected objectives as per the project logical framework, the effectiveness and efficiency of the implementation. The evaluation also aims

to identify lessons learnt and possible good practices. The evaluation will provide concrete recommendations which should be followed up by the ILO and key implementing partners.

Specific objectives of the evaluation are to:

- Give an independent assessment of the progress of the project in achieving its stated objectives; assess the strategies and implementation modalities chosen; partnership arrangements, constraints and opportunities;
- Examine the project management, coordination mechanisms among the implementation partners and effectiveness and efficiency of programme implementation in general;
- Provide recommendations for similar future project for ILO and the Government of Japan.

Scope

The final evaluation examines the period of project implementation since project inception in March 2016 until the time of evaluation. It covers activities in Indonesia, Viet Nam and at the ASEAN level. Except the Outcome 4, the other three Outcomes of the project are addressed in this evaluation, i.e Outcome 1: Increased knowledge and expertise among ASEAN Member; Outcome 2: extension of social security coverage in Viet Nam, and Outcome 3: extension of social security coverage in Indonesia. In terms of the geographic areas, the evaluation will cover Thailand (for ASEAN related activities), Indonesia and Viet Nam.

Gender equality and non-discrimination, promotion of international labour standards, tripartite processes and constituent capacity development should also be considered in this evaluation throughout its methodology and deliverables, including the final report.

The evaluation should also give attention to how the intervention is relevant to the ILO's programme and policy frameworks at the national and global levels, United Nations Development Assistance Framework (UNDAF) and Decent Work Country Programmes.

The evaluation will also assess the implementation of the recommendations of the mid-term evaluation that conducted in November 2017 by the project team.

Clients

The primary clients of this final evaluation include: ILO project management based in Bangkok, Jakarta and Hanoi and key implementing partners of the project, in particular the ASEAN Secretariat and the tripartite constituents in Indonesia and Viet Nam, management of the ILO/Japan Multi-bilateral Programme. The secondary clients are the ILO Regional Office for Asia and the Pacific (ROAP), relevant technical units at the ILO HQ, and the Government of Japan.

3. Evaluation Criteria and Questions

Below are suggested evaluation criteria and evaluation questions. It is expected that the evaluation address all of the questions detailed above to the extent possible. The evaluation and criteria can be adapted but any fundamental changes should be agreed upon between the ILO Project Manager,

evaluation manager and the evaluator, and reflected in the inception report and evaluation report.

Relevance and strategic fit of the project

1. To what extent is the intervention relevant to the needs of the ASEAN countries, of two recipient countries Indonesia and Viet Nam, ILO and the Government of Japan?
2. To what extent has the project contributed to the ASEAN and national development framework, DWCP Outcomes, and UN Development Assistance Framework (UNDAF) of Indonesia and Viet Nam?
3. How important is the intervention for the target beneficiaries of the project (“middle missing” workers)? And to what extent has the project responded to their needs?

Validity of the intervention design

4. To what extent were the project activities and outputs of the programme consistent with the overall goal and the attainment of its objectives?
5. To what extent did the project design identify and integrate specific targets and indicators to capture:
 - i. Gender equality and non-discrimination concerns?
 - ii. Concerns regarding people with disabilities?

Effectiveness

6. To what extent has the project achieved its objectives? In which component the project has the greatest achievement towards the objectives? In which component the project has the lowest level of achievement?
7. What are the major factors that can explain for the achievement or non-achievement of each component?
8. Within its overall objectives and strategies, what specific measures were taken by the project to address issues relating to :
 - i. Gender equality and non-discrimination?
 - ii. Inclusion of people with disabilities?
9. The extent to which the tripartite constituents have been engaged and involved in the project design and implementations of the projects. Assess also the initiatives and contributions made by the Project towards capacity building of social partners?

Efficiency of resource use

10. Were resources (funds, human resources, time, expertise, etc.) allocated and used strategically to achieve its outcomes? How should the resource be allocated or used more effectively?
11. Were the outputs delivered timely? If not, what were the factors that hindered the delivery of the outputs? Any measures to mitigate the delays were taken?

Effectiveness of management arrangements

12. To what extent did management capacities and arrangements put in place support the achievement of results? Did the project governance and management facilitate good results and efficient implementation? What are the key factors that can explain for such situation?
13. How effective has been the communication between the project team, the ILO and the implementing partners, in particular the ASEAN Secretariat and partners in Indonesia and Viet Nam, as well as the donor in project management and implementation?
14. To what extent did the project budget factor-in the cost of specific activities, outputs and outcomes to address:
 - i. Gender equality and non-discrimination?
 - ii. Inclusion of people with disabilities?

Impact and sustainability

15. What have been impacts (intended or unintended, positive or negative) produced by the project so far? What are the real difference has the project made at the country (Indonesia and Vietnam) and ASEAN levels?
16. To what extent do the results of the project continue after the funding ceased?
17. To what extent did the project bring lasting changes in norms and policies that favour/promote:
 - i. Gender equality and non-discrimination?
 - ii. Inclusion of people with disabilities?

Cross-cutting issues

Gender equality

18. To what extent has gender equality has been mainstreamed in the project design and implementation? Has the project integrated gender equality as a cross-cutting concern throughout its methodology and all deliverables?

SDGs

19. To what extent the project considered relevant SDG targets and indicators?
20. Has the intervention made a difference to specific SDGs the project is linked to? If so, how has the intervention made a difference? (explicitly or implicitly)

International Labour Standards

21. To what extend has the project promoted the ratification and implementation of ILO core labour standards in ASEAN, as general, and in Indonesia and Vietnam, in particular?

Methodology

1. The evaluation will comply with evaluation norms, standards and follow ethical safeguards, as specified in the ILO's evaluation procedures. The ILO adheres to the United Nations system of evaluation norms and standards as well as to the OECD/DAC Evaluation Quality Standards.
2. Both qualitative and quantitative evaluation approaches should be considered for this evaluation. Data shall be disaggregated by sex where possible and appropriate.
3. An inception report will be developed by the evaluator(s), which will elaborate evaluation methodology. The methodology should include key and sub-question(s), methods, sampling, data collection instruments and data analysis plans.
4. The methodology for data collection should be implemented in three phases (1) an inception phase based on a review of existing documents to produce inception report; (2) a fieldwork phase to collect and analyse primary data; and (3) a data analysis and reporting phase to produce the final evaluation report.
5. The gender dimension should be considered as a cross-cutting concern throughout the methodology, deliverables and final report of the evaluation. In terms of this evaluation, this implies involving both male and females in data collection, analyses and if possible within the evaluation team.

Main Deliverables

1. The evaluators will provide the following deliverables and tasks:
Deliverable 1: Inception report. The inception report will include among other elements the evaluation questions, evaluation design, data collection methodologies and techniques, and the list of evaluation tools (interview guides, questionnaires, etc.). The instrument needs to make provision for the triangulation of data where possible.
Deliverable 2: First draft evaluation report. Evaluation report should include action-oriented, practical and specific recommendations assigned to audiences/implementers/users. The draft evaluation report should be prepared as per the ILO Checklist 5: Preparing the Evaluation Report which will be provided to the evaluator(s)
Deliverable 3: Final evaluation report, together with the evaluation summary: The evaluator(s) will incorporate comments received from ILO and other key stakeholders for the draft evaluation report into the final version. The evaluation report should be prepared as per the ILO Checklist 5: Preparing the Evaluation Report which will be provided to the evaluator(s). The quality of the report and evaluation summary will be assessed against the ILO Checklists 5, 6, 7, and 8 which will be provided to the evaluators.
The report should be prepared in the structure agreed with the ILO and should not exceed 50 pages (350-400 words per page) exclusive of annexes.
2. The reports and all other outputs of the evaluation must be produced in English. All draft and

final reports including other supporting documents, analytical reports, and raw data should be provided in electronic version compatible with Word for Windows. Ownership of the data from the evaluation is with the ILO. The copy rights of the evaluation report rests exclusively with the ILO.

Management Arrangement and Work plan

1. A designated ILO staff Ms. Huyen Pham – Monitoring and Evaluation Officer of ILO Hanoi who has no prior involvement in the project will manage this independent evaluation with oversight provided by the ILO Evaluation Office.
2. The evaluation manager is responsible for the follows:
 - Drafting and finalizing the evaluation TOR upon receiving inputs from key stakeholders;
 - Reviewing CV and proposals of the proposed evaluators;
 - Coordinate with the project team on the field visit agenda of the evaluator(s);
 - Briefing the evaluation consultant on ILO evaluation procedures;
 - Circulating the report to all concerned for their comments;
 - Reviewing and providing comments of the draft evaluation report; and
 - Consolidate comments and send them back to the evaluators.
3. ILO ESSA project team in Regional Office in Thailand and Country Offices for Indonesia and Vietnam will handle administrative contractual arrangements with the evaluator and provide logistical and other assistance as required. In particular, the ESSA project team will be responsible for the following tasks:
 - Provide project background documents to the evaluators;
 - Prepare a list of recommended interviewees;
 - Schedule meetings for field visit and coordinating in-country logistical arrangements;
 - Be interviewed and provided inputs as requested by the evaluator during the evaluation process;
 - Review and provide comments on the draft evaluation report;
 - Organize and participate in the stakeholder workshops; and
 - Provide logistical and administrative support to the evaluators, including travel arrangements (e.g. plane and hotel reservations, purchasing plane tickets, providing per diem) and all materials needed for the evaluators to provide all deliverables.

The evaluator(s) is responsible for conducting the evaluation according to the Terms of Reference. He/she will also:

- Report to the ILO Evaluation Manager during the evaluation;
 - Deliver the key aforementioned deliverables to the ILO project manager at the timing agreed and with the quality level at ILO's satisfaction.
 - Respect ILO's policy and [Codes of Conducts](#) when conducting this evaluation
4. Indicative timeframe and responsibilities

	Tasks		Timeline (by end)
1	Approving the TOR	Regional M&E Officer	By 31 Dec. 2018
2	TOR advertisement and consultant selection	Evaluation manager/Regional M&E Officer	By 11 Feb. 2019
3	Issuance of contract(s) with the evaluator	Project Manager	By 22 Feb. 2019
4	Briefing evaluator on the project, and ILO evaluation policy	CTA and the evaluation manager	By 28 Feb . 2019
5	Reviewing project documents, develop and submit inception report. And finalize the inception report	Evaluator	By 31 March. 2019
6	Evaluation missions in Indonesia, Vietnam and Thailand	Evaluator	5 – 15 May. 2019
7	Draft report submitted to the Evaluation manager	Evaluator	By 31 May h 2019
8	Commenting on the draft report	Project team, stakeholders, and evaluation manager	By 15 June 2019
9	Finalizing the report and submit it to evaluation manager	Evaluator	By 25 June 2019
10	Reviewing and approving the report	ILO Evaluation Department	By 30 June 2019

5. Below are indicative inputs and tasks to be completed, and estimated numbers of working days foreseen for evaluator(s). Numbers of days foreseen for experts in one task can be reallocated to another task where justified and in consultation with the evaluation manager.

	Key tasks	Number of working days (estimated)	Timeline
1	Desk review of project related documents; Skype briefing with the project's CTA, evaluation manager; Prepare inception report	5	By 31 March . 2019
3	Evaluation missions in Vietnam and Indonesia, and Thailand	10	5 – 15 May 2019
4	Analysing data and drafting report	7	By 31 May 2019
5	Finalizing the report in consideration of comments from ILO and key stakeholders, including explanation why comments were not included	2	By 25 June 2019
	Total	24	

Qualification requirement for evaluator(s)

- No previous involvement in the delivery of the ESSA project;
- Undergraduate Degree with minimum 10 years of strong and substantial experience in project /programme evaluation or research;
- An evaluation expert in development field with proven demonstrated technical expertise in evaluation methodologies, proven experience in undertaking evaluations of similar projects;
- Knowledge of ILO's roles and mandate and its tripartite structure as well as UN evaluation norms and its programming is desirable;
- Excellent analytical skills and communication skills;
- Demonstrated excellent report writing skills in English;
- Experience in social protection and/or working experience in Viet Nam or Indonesia will be an advantage;
- Commit to be available to deliver this evaluation at highest level of quality during the contract time;

Legal and Ethical Matters

The evaluation will comply with UN Norms and Standards. The evaluator will abide by the EVAL's Code of Conduct for carrying out the evaluations. The UNEG ethical guidelines will be followed. The evaluation team should have not any links to project management, or any other conflict of interest that would interfere with the independence of the evaluation.

ANNEX

ILO Policy Guidelines for results-based evaluation, 2017

https://www.ilo.org/eval/Evaluationpolicy/WCMS_571339/lang--en/index.htm

Code of conduct form (To be signed by the evaluators)

<https://drive.google.com/file/d/1-NpaNRVRL05WECSYA02IDinjtDhPTY42/view?usp=sharing>

Checklist No. 3 Writing the inception report

http://www.ilo.org/eval/Evaluationguidance/WCMS_165972/lang--en/index.htm

Checklist 5 preparing the evaluation report

http://www.ilo.org/eval/Evaluationguidance/WCMS_165967/lang--en/index.htm

Checklist 6 rating the quality of evaluation report

http://www.ilo.org/eval/Evaluationguidance/WCMS_165968/lang--en/index.htm

Template for lessons learnt and Emerging Good Practices

http://www.ilo.org/eval/Evaluationguidance/WCMS_206158/lang--en/index.htm

http://www.ilo.org/eval/Evaluationguidance/WCMS_206159/lang--en/index.htm

Guidance note 4 Integrating gender equality in M&E of projects

http://www.ilo.org/eval/Evaluationguidance/WCMS_165986/lang--en/index.htm

Template for evaluation title page

http://www.ilo.org/eval/Evaluationguidance/WCMS_166357/lang--en/index.htm

Template for evaluation summary

https://drive.google.com/open?id=1-gaaxODcN2v-VL5GCIfnqIOIncU9i_0PHqPaSZ1JwM

Appendix 7. Inception Report

Inception Report **Final Independent Evaluation**

Project Title	Promoting and building social protection in Asia: Extending social security coverage in ASEAN (ESSA). Hereafter ILO/Japan ESSA Project
Technical Cooperation code	RAS/16/03/JPN
Administrative Unit	ILO Regional Office for Asia and the Pacific
Technical Backstopping Unit	Social Security specialist, ILO Decent Work Team for East Asia, South-East Asia and the Pacific, Bangkok
Donor agency	Government of Japan
Project duration	March 2016 to July 2019
Budget	US\$ 2,007,076
Period covered by the evaluation	March 2016 to July 2019
Date of Evaluation	March – May 2019

1. TERMS OF REFERENCE

The Terms of Reference (ToRs) for the Final Evaluation provide that the first output (Deliverable 1) shall be

Inception report. The inception report will include among other elements the evaluation questions, evaluation design, data collection methodologies and techniques, and the list of evaluation tools (interview guides, questionnaires, etc.).

The Inception Report is structured in line with ILO Guidelines (Checklist No. 3 Writing the inception report).

2. ADHERENCE TO THE TOR

The purpose of the evaluation is to assess the achievement of the project against its plan, identify challenges and any external factors that may have affected the project and its implementation.

The evaluation will examine the period of project implementation since project inception until July 2019. The evaluation will integrate gender equality as a crosscutting concern throughout its methodology and all deliverables, including some recommendations in the final report.

The conceptual framework used in this evaluation is one that is consistent with results-based Management (RBM) and addresses the following criteria proposed by OECD: relevance, validity, efficiency, effectiveness, sustainability and impact (as specified in the ToRs). The detailed questions addressed in this evaluation are:

<i>Relevance and strategic fit of the project</i>	<ol style="list-style-type: none"> 1. To what extent is the intervention relevant to the needs of the ASEAN countries, of two recipient countries Indonesia and Viet Nam, ILO and the Government of Japan? 2. To what extent has the project contributed to the ASEAN and national development framework, DWCP Outcomes, and UN Development Assistance Framework (UNDAF) of Indonesia and Viet Nam? 3. How important is the intervention for the target beneficiaries of the project (“middle missing” workers)? And to what extent has the project responded to their needs?
<i>Validity of the intervention design</i>	<ol style="list-style-type: none"> 4. To what extent were the project activities and outputs of the programme consistent with the overall goal and the attainment of its objectives? 5. To what extent did the project design identify and integrate specific targets and indicators to capture: <ol style="list-style-type: none"> i. Gender equality and non-discrimination concerns? ii. Concerns regarding people with disabilities?
<i>Effectiveness</i>	<ol style="list-style-type: none"> 6. To what extent has the project achieved its objectives? In which component the project has the greatest achievement towards the objectives? In which component the project has the lowest level of achievement? 7. What are the major factors that can explain for the achievement or non-achievement of each component? 8. Within its overall objectives and strategies, what specific measures were taken by the project to address issues relating to : <ol style="list-style-type: none"> i. Gender equality and non-discrimination? ii. Inclusion of people with disabilities? 9. The extent to which the tripartite constituents have been engaged and involved in the project design and implementations of the projects. Assess also the initiatives and contributions made by the Project towards capacity building of social partners?

<i>Efficiency of resource use</i>	<p>10. Were resources (funds, human resources, time, expertise, etc.) allocated and used strategically to achieve its outcomes? How should the resource be allocated or used more effectively?</p> <p>11. Were the outputs delivered timely? If not, what were the factors that hindered the delivery of the outputs? Any measures to mitigate the delays were taken?</p>
<i>Effectiveness of management arrangements</i>	<p>12. To what extent did management capacities and arrangements put in place support the achievement of results? Did the project governance and management facilitate good results and efficient implementation? What are the key factors that can explain for such situation?</p> <p>13. How effective has been the communication between the project team, the ILO and the implementing partners, in particular the ASEAN Secretariat and partners in Indonesia and Viet Nam, as well as the donor in project management and implementation?</p> <p>14. To what extent did the project budget factor-in the cost of specific activities, outputs and outcomes to address:</p> <ul style="list-style-type: none"> i. Gender equality and non-discrimination? ii. Inclusion of people with disabilities?
<i>Impact and sustainability</i>	<p>15. What have been impacts (intended or unintended, positive or negative) produced by the project so far? What are the real difference has the project made at the country (Indonesia and Vietnam) and ASEAN levels?</p> <p>16. To what extent do the results of the project continue after the funding ceased?</p> <p>17. To what extent did the project bring lasting changes in norms and policies that favour/promote:</p> <ul style="list-style-type: none"> i. Gender equality and non-discrimination? ii. Inclusion of people with disabilities?
<p>Cross-cutting issues</p> <p><i>Gender equality</i></p> <p><i>SDGs</i></p> <p><i>International Labour Standards</i></p>	<p>18. To what extent has gender equality has been mainstreamed in the project design and implementation? Has the project integrated gender equality as a cross-cutting concern throughout its methodology and all deliverables?</p> <p>19. To what extent the project considered relevant SDG targets and indicators?</p> <p>20. Has the intervention made a difference to specific SDGs the project is linked to? If so, how has the intervention made a difference? (explicitly or implicitly)</p> <p>21. To what extent has the project promoted the ratification and implementation of ILO core labour standards in ASEAN, as general, and in Indonesia and Vietnam, in particular?</p>

In general, the evaluation questions appear to be appropriate. In contrast to previous ILO-Japan projects, gender issues are specifically addressed in the PRODOC and, therefore, it should be possible to address these questions.

In terms of the impact assessment, it is difficult, in many cases, to measure the impact which ILO work (and indeed much development work) has at a macro level. While it is easy to measure the *outputs* of ILO work (in terms of reports, training, actuarial studies, etc.) it is much more difficult to measure *outcomes*. Given the ex-post nature of the evaluation, it will be necessary to rely on available data and interviews to assess the impact and it is not possible to adopt more sophisticated methodology.

In general, it is also difficult to measure efficiency in a concrete manner as ILO does not have any specific measure of efficiency and, even if it did, there is often a lack of comprehensive data in relation to inputs and outputs. However, this is a general constraint and an assessment will be made on the basis of the available data.

Given that a wide range of stakeholders will be interviewed, there does not appear to be any real risk of bias.

2. EVALUATION METHODOLOGY

The evaluation adopts the ILO's Evaluation Guidelines as the basic evaluation framework. It will be carried out in accordance with ILO standard policies and procedures, and complies with evaluation norms and follows ethical safeguards.

The evaluation methodology will include:

- Desk review and analysis of documents related to the project.
- Desk review of other relevant documents such as the Decent Work Country Programmes, ASEAN and national documents on Social Protection, etc.
- Interviews with key stakeholders including at regional level and in Indonesia and Viet Nam (draft mission plan attached as Annex III). The countries proposed for visits have been selected as these are the main countries in which activities have been implemented.
- Consultations with ASEAN Secretariat, and ASEAN social partners
- Meetings with key ILO Specialists, CTAs and Management in Bangkok and presentation of the findings to the regional management

The data collection worksheet is attached as Annex I.

3. WORK PLAN

The detailed work plan is set out below:

Task	Responsible person	Time frame
Briefing call with key ILO staff	Evaluator	13 March 2019
Desk review of project documentation	Evaluator	13-31 March 2019
Inception report (Deliverable 1) submitted to Evaluation Manager	Evaluator	31 March 2019
Evaluation Mission	Evaluator	7-18 May 2019
Draft report submitted to the Evaluation manager	Evaluator	By 31 May 2019
Commenting on the draft report	Project team, stakeholders, and evaluation manager	By 15 June 2019
Finalizing the report and submit it to evaluation manager	Evaluator	By 25 June 2019
Reviewing and approving the report	ILO Evaluation Department	By 30 June 2019

4. FINAL REPORT OUTLINE

A proposed outline for the final report is as follows.

1. Introduction
2. Main Findings
 - Relevance
 - Validity of design
 - Effectiveness
 - Efficiency
 - Management
 - Impact & Sustainability
 - Cross-cutting issues

3. Conclusions and Recommendations.

This may be revised somewhat in the course of the evaluation.

5. ADHERENCE TO ILO GUIDANCE AND FORMATTING REQUIREMENTS

The consultant acknowledges the ILO formatting requirements, especially with regard to:

- Formulating and presenting recommendations;
- Identifying and presenting lessons learned, and filling in the lesson learned templates; and
- Identifying and presenting emerging good practices, and filling in the relevant template.

Checklist 10 (Documents for the evaluator) finalized and signed by the evaluation consultant, is attached below confirming that all necessary documentation has been received.

The consultant confirms acceptance of the terms of Checklist 5: Preparing the evaluation report.

Checklist 10 - DOCUMENTS FOR THE EVALUATOR

This checklist is for the evaluation manager to ensure that all documents are presented to the evaluator when presenting the contract for signature.

KEY CONTRACT DOCUMENTS

- Evaluation Contract; which includes the payment schedule.
- Terms of Reference; which includes the WBS, Calendar and Evaluation Budget
- List of individuals pertinent to the evaluation with contact details
- Code of Conduct for Evaluation in the ILO (signed and returned by evaluator)
- Checklist 10: List of supplemental documentation, supplied by links or cloud services.
- Project Documents
 - Project Document
 - Annual project progress reports
 - Mid-term Evaluation
 - Meeting and seminar reports
- ILO or National documentation
 - UNDAF Strategic Plan 2017-2020 (VN)
 - VN DWCP 2017-2021
 - Resolution 28/NQ-TW about the Master Plan on Social Insurance Reform (VN)
 - Viet Nam Master Plan on Social Assistance Reform (MPSAR)
 - Indonesian National Mid-Term Development Plan
 - UN Partnership for Development Framework (Indonesia)
 - Indonesia DWCP 2018-22 (draft)
 - ASEAN Declaration on Social Protection and Action Plan
 - Social Protection Floor
- EVAL Guidance documents for the evaluator
 - Guidance Note 7 Stakeholder participation in ILO evaluations
 - Checklist No. 3 Writing the inception report plus the templates
 - Checklist No. 5 Preparing the evaluation report
 - Checklist No. 6 Rating the quality of evaluation reports
 - Templates for Lessons Learned and Emerging Good Practices

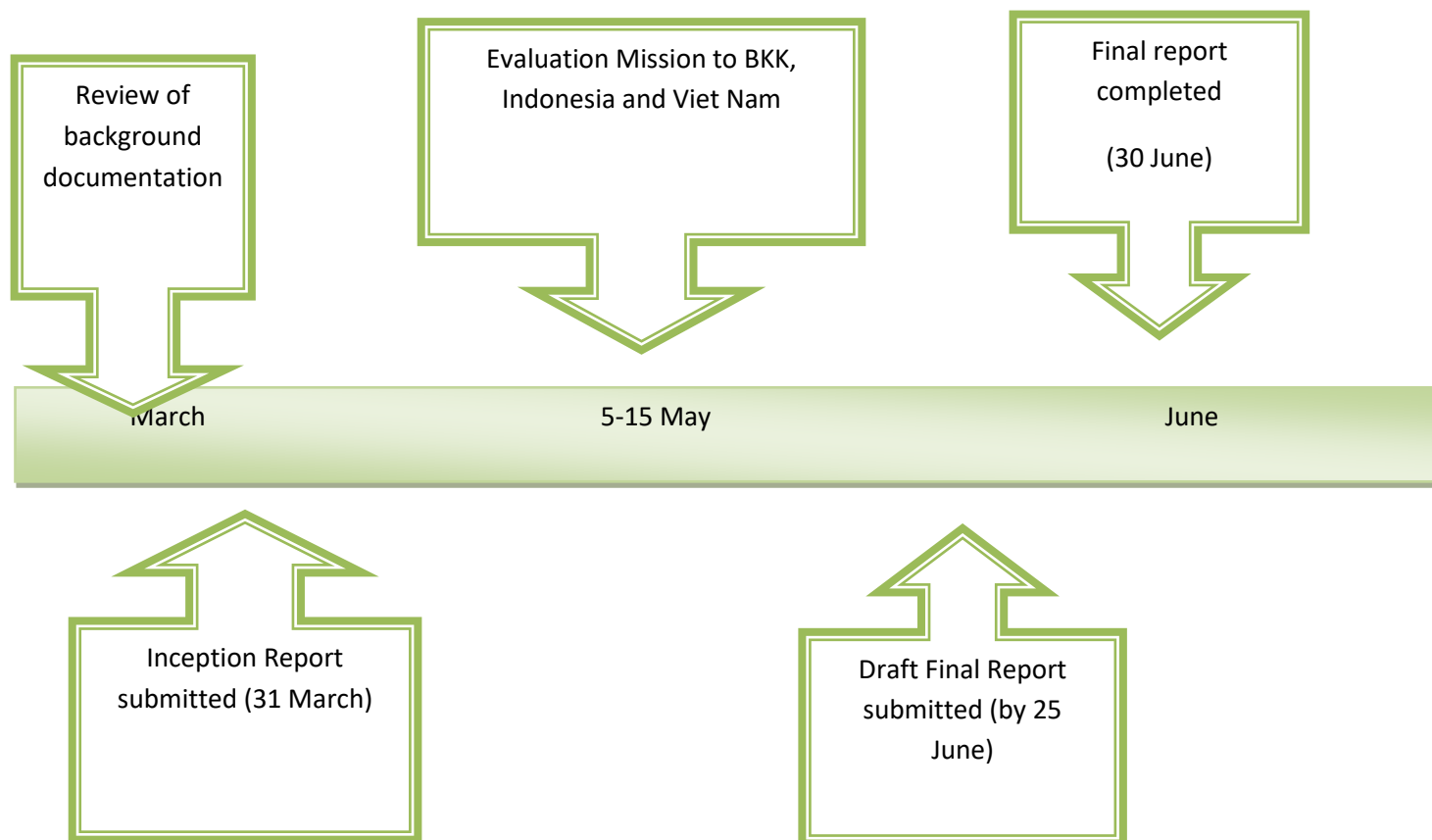
Mel Cousins

Consultant Acknowledges receipt

Annex I - DATA COLLECTION PLAN WORKSHEET for the inception report

Evaluation Questions	Indicator	Sources of Data?	Method?	Who Will Collect?	How Often?	Who will analyze?
1 RELEVANCE of the project and strategic fit	Views of key stakeholders	Interviews with ILO, ASEAN, national agencies, social partners, donor Review of national and ASEAN policies	Interview & document review	Evaluator	Once off	Evaluator
2 VALIDITY of Design	Views of key stakeholders	Interviews with ILO, ASEAN, national agencies, social partners	Interview	Evaluator	Once off	Evaluator
3 Project PROGRESS and EFFECTIVENESS	Implementation of project plan	Review of documentation/interviews with ILO, ASEAN, national agencies, social partners, donor	Document review/interviews	Evaluator	Once off	Evaluator
4 EFFICIENCY of resource use	Expenditure data	ILO financial data & interviews with ILO, ASEAN, national agencies, social partners, donor	Interviews & document review	Evaluator	Once off	Evaluator
5 EFFECTIVENESS of management arrangements	Views of project staff and stakeholders	Interviews with ILO, social partners, and national agencies	Interview	Evaluator	Once off	Evaluator
6 SUSTAINABILITY and IMPACT of the project	Views of key stakeholders	Interviews with ILO, ASEAN, social partners, national agencies	Interview	Evaluator	Once off	Evaluator

Annex II - Timeline



Annex III: EVALUATION MISSION ITINERARY

Period: 7- 18 May 2019

Time	Activities/Appointments	Venue and address
	Monday 6/5/2019	
15:00	Depart Dublin	
VIETNAM		
DAY 1	Tuesday 7/5/2019	
13:30	Arrive Hanoi	
DAY 2	Wednesday 8/5/2019	
	Preparation Day	
DAY 3	Thursday 9/5/2019	
09:00	Meeting with Dat Nguyen - ILO/ESSA project	ILO CO Hanoi 48-50 Nguyen Thai Hoc
10:30 - 11:30	Meeting with Chang-Hee Lee - ILO CO VN	ILO CO Hanoi 48-50 Nguyen Thai Hoc
14:00 - 15:00	Meeting with Mr..... Vietnam Social Security	VSS Office 7 Trang Thi St., Hoan Kiem, Hanoi
15:30- 16:30	Meeting with Ms/Mr.....- VCCI	VCCI Office in Hanoi 9 Dao Duy Anh St., Dong Da district, Hanoi

DAY 4	Friday 10/5/2019	
8:30 -09:30	Meeting with Ms/Mr.... MoLISA - Dept. of Social Protection	MoLISA - 2 Dinh Le street, Hoan Kiem District, Hanoi
10:00 - 11:00	Meeting with Mr..... Dept. of IR/VGCL	VGCL Office 1A Yet Kieu St., Hoan Kiem district, Hanoi
13:00 - 14:00	Meeting with Ms..... UN Women	One UN House 304 Kim Ma St., Ba Dinh district, Hanoi
14:00 - 15:00	Meeting with Mr..... UNICEF	One UN House 304 Kim Ma St., Ba Dinh district, Hanoi
DAY 5	Saturday 11/5/2019	
DAY 6	Sunday 12/5/2019	
10:35	Taking flight to Bangkok, Thailand	
THAILAND		
DAY 7	Monday 13/5/2019	
9:00 - 10:00	Meeting with Mr Ippei Tsuruga - ESSA team	ILO Regional Office (Room 1036) UN Building 10th Floor, Block B, Rajdamnern Nok Avenue, Bangkok
10.00 - 10.30	Meeting with Ms Pamornrat Pringsulaka, Monitoring and Evaluation Officer	ILO Regional Office UN Building 11th Floor, Block B, Rajdamnern Nok Avenue, Bangkok

10.30 - 11.00	Meeting with Ms Panudda Boonpala, Deputy Regional Director	ILO Regional Office UN Building 11th Floor, Block B, Rajdamnern Nok Avenue, Bangkok
11.00 - 12.00	Meeting with Mr Sho Sudo, CTA of ILO- Japan Programme	ILO Regional Office UN Building 10th Floor, Block B, Rajdamnern Nok Avenue, Bangkok
13.15 - 14.15	Meeting with Mr Nuno Meira Simoes Cunha, Sr. Technical Spec, Social Protection	ILO Regional Office UN Building 10th Floor, Block B, Rajdamnern Nok Avenue, Bangkok
14.15 - 15.15	Meeting with Mr Markus Ruck, Sr. Technical Spec, Social Protection	ILO Regional Office UN Building 10th Floor, Block B, Rajdamnern Nok Avenue, Bangkok
DAY 8	Tuesday 14/5/2019	
10.00 - 12.00	Meeting with Social Security Officer, Social Security Office, Thailand	Social Security Office (TBC) 88/28 Tiwanon Road, Talat Kwan, Mueang Nonthaburi, Nonthaburi 11000 Thailand
DAY 9	Wednesday 15/05/2019	
	Taking flight to Jakarta, Indonesia	
INDONESIA		
DAY 10	Thursday 16/05/2019	

09:00 - 09:30	Meeting with Christianus PANJAITAN	ILO CO - Jakarta Menara Thamrin, 22nd Fl., Jl. M.H. Thamrin Kav. 3
09:30 - 10:30	Meeting with Michiko MIYAMOTO ILO Country Director for Indonesia and Timor Leste, and Kazutoshi CHATANI, Employment Specialist	ILO CO - Jakarta Menara Thamrin, 22nd Fl., Jl. M.H. Thamrin Kav. 3
11:00 - 12:00	Meeting with Haiyani RUMONDANG, Director General for Industrial Relations and Manpower Social Security, MOM	Ministry of Manpower Jl.Gatot Subroto Kav. 51
12:00 - 13:00	Lunch	
13:30 - 14:30	Meeting with Sumarjono, Director of Strategic Planning and IT, BPJS	BPJS Ketenagakerjaan (Manpower Social Security Administrative Body) Jl. Gatot Subroto No. 79
15:00 - 16:00		
DAY 11	Friday 17/05/2019	
09:00 - 10:00		
10:30 - 11:00	Meeting with Myra HANARTANI, APINDO	DPN APINDO Permata Kuningan, 10th Fl. Jl. Kuningan Mulia Kav. 5C
11:30 - 12:30	Meeting with Trade Union Confederations	ILO CO - Jakarta Menara Thamrin 22nd Fl. Jl. M.H. Thamrin Kav. 3
12:30 -13:30	Lunch	
13:30 - 14:00	Meeting with Maliki, Director of Population Planning and Social Protection, BAPPENAS	BAPPENAS (Ministry of National Development Planning) Jl. Taman Suropati No. 2

DAY 12	Saturday 18/05/2019	
00:00	MISSION COMPLETED Taking return flight to Dublin	

Appendix 8. List of persons interviewed

Name	Organisation	Title
Nuno Cunha	ILO	Senior Social Protection Specialist, ILO Decent Work Team for Asia & Pacific
Markus Ruck	ILO	Senior Social Protection Specialist, ILO Decent Work Team for Asia & Pacific
Celine Peyron Bista	ILO	Original CTA, ESSA Project
Ippei Tsuruga	ILO	CTA, ESSA Project
Pringsulaka Pamornrat	ILO	Evaluation Officer, ILO Regional Office for Asia & Pacific
Michiko Miyamoto	ILO	Country Director, Indonesia
Chang-Hee Lee	ILO	Country Director, Viet Nam
Bettina Ramirez Lopez	ILO	CTA, Irish Aid Project (VN)
Nguyen Hai Dat	ILO	National Coordinator, ESAA (Viet Nam)
Chadapa Krailassuwan	ILO	ESSA project
Christianus PANJAITAN	ILO	National Coordinator, ESAA (Indonesia)
Kazutoshi Chatani	ILO	Employment Specialist (Indonesia)
Sho Sudo	ILO	Overall Coordinator of ILO-Japan Programme
Mega Irena	ASEAN Secretariat	Assistant Director, Poverty, Eradication & Gender Division
Cedric Batgas	ATUC	Deputy General Secretary
Haiyani Rumondang	Ministry of Manpower	Director General for Industrial Relations and Social Security
Sartika Kooshanafiah Eldest Augustin Nanda Anthony Lubis Achmad Septian Adi Putra Woro Ariyandirni Viki Fauzi Akbar	BPJS Ketenagakerjaan	Deputy director and staff of Strategic Planning Dept; staff of Actuarial Department
Mr. Rendra	Bappenas	Assistant Director of Population Planning and Social Protection
Mr. Helmy Salim (KSPSI) Ms. Sulistri (KSBSI) Mr. Tony Pangaribuan (KSPSI) Mr. Kahar (KSPI) Mr. Freddy (KSPI)	Trade Union Confederation	
Myra Hanartani	APINDO	
Truong Pham Giang	MoLISA	Director General, Dept. of Social Security
Vi This Hong Minh	VCCI	Deputy Director
Khang Nguyen	VSS	Deputy Director General
Long, Phan Nghiem	VGCL	Expert, Department of Employment Relation
Nguyen Thi Van Anh	UNICEF (VN)	Social Policy Specialist
Tran Thuy Anh	UN Women (VN)	Programme Officer
Tanodom Jariyapan	Social Security Office (Thailand)	Labour Officer, Policy and Planning Division

