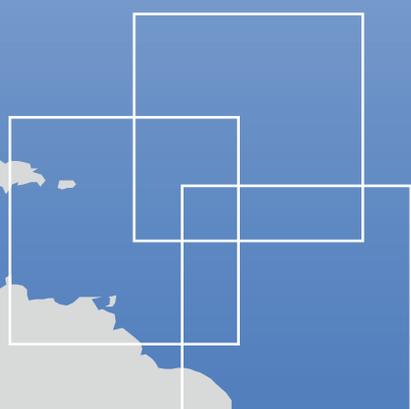




International
Labour
Office
Geneva

Independent evaluation of the ILO's strategy and actions for creating and extending social protection floors, 2012–2017

September 2017



EVALUATION
OFFICE

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LIST OF ABBREVIATIONS

ABND	Assessment Based National Dialogue
ACI	Area of Critical Importance
ADB	Asian Development Bank
ACT/EMP	Bureau for Employers' Activities
ACTRAV	Bureau for Workers' Activities
Convention No. 102	Social Security (Minimum Standards) Convention, 1952 (No. 102)
CPO	Country programme outcome
CTA	Chief Technical Adviser
DAC	Development Assistance Committee (of the OECD)
DFID	Department for International Development
DWCP	Decent Work Country Programme
DWT	Decent Work Team
EMPLOYMENT	Employment Policy Department
EO	Employers Organization
EU	European Union
EVAL	ILO Evaluation Office
GTT	Global Technical Team
HLE	High-level Evaluation
HQ	Headquarters
ILO	International Labour Organization/Office
IMF	International Monetary Fund
ISPA	Inter-agency Social Protection Assessment
ISSA	International Social Security Association
ITC–ILO	International Training Centre of the ILO
MAPS	Promoting and Building Social Protection and Employment Services for Vulnerable Groups
MoLSW	Ministry of Labour and Social Welfare
NHI	National Social Health Insurance Scheme
NHIB	National Health Insurance Bureau
NORMES	International Labour Standards Department
NSSF	National Social Security Fund

NSPP	National Social Protection Policy
OECD	Organisation for Economic Co-operation and Development
OSH	Occupational Safety and Health
P&B	Programme and Budget
PPP	Public-private partnership
PARDEV	Partnerships and Field Support Department
Recommendation No. 202	Social Protection Floors Recommendation, 2012 (No. 202)
RB	Regular budget
RBSA	Regular Budget Supplementary Account
RBTC	Regular Budget Technical Cooperation
PROGRAM	Strategic Programming and Management
SSC	Social Security Corporation
SDGs	Sustainable Development Goals
SEC/SOC	Social Security Department
SOCPRO	Social Protection Department
SOCFAS	Public Finance, Actuarial and Statistics Services
SOC/PFACTS	Public Finance, Actuarial and Statistics Unit
SOCPOL	Social Security Policy Services
SOC/POLICY	Social Policy Unit
SPIAC-B	Social Protection Inter-agency Cooperation Board
SP	Social protection
SPF	Strategic Policy Framework
SPS	Social Protection Systems
TA	Technical Assistance
TC	Technical cooperation
UN	United Nations
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNDG	UN Development Group
UNICEF	United Nations Children's Fund
USP2030	Global Partnership for Universal Social Protection
WFP	World Food Program
WHO	World Health Organization
XBTC	Extra-budgetary technical cooperation

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Any errors or omissions are the responsibility of the Evaluation Office.

EXECUTIVE SUMMARY

INTRODUCTION

Purpose and scope of the evaluation

This high-level evaluation covered the ILO's work on social protection following the adoption of the Social Protection Floors Recommendation, 2012 (No. 202), which had a profound impact on its work. The evaluation focused on the ILO's strategy and work on promoting social protection, including social protection floors, for the 2012–17 period. This comprised:

- (i) ILO's support at country level for the achievement of outcome 4 under the Strategic Policy Framework 2010–15¹ and outcome 3 under the transitional Strategic Plan² and Programme and Budget for 2016–17;
- (ii) the ILO's contribution to global strategies, policies and debates relating to social protection floors and its coordination within the Social Protection Inter-agency Cooperation Board (SPIAC-B) and the Social Protection Floor Initiative (SPF-I) 'One-UN Social Protection Floor Teams', with its multilateral and United Nations (UN) partners;
- (iii) the ILO's work in knowledge management and sharing of experiences through the Social Protection Platform (www.social-protection.org).

During May and June 2017, field visits were conducted in five countries³ while an additional 11 countries⁴ were covered by parallel regional thematic evaluations on social protection in Africa, the Americas and Asia. A total of 167 interviews were conducted for the high-level evaluation, including governments', workers' and employers' representatives in all five case study countries. Responses to two online surveys were received from 80 ILO staff members, 28 constituents and nine other partners⁵ as well as 30 UN partners and donors. A synthesis review of 24 evaluation reports on social protection also provided inputs to the overall understanding of the ILO's work at the country level. The gender dimension and other cross-cutting themes were considered throughout the methodology and all deliverables, including the final evaluation report.

¹ GB.304/PFA/2(Rev.).

² GB.322/PFA/1.

³ The Republic of Colombia, the Hashemite Kingdom of Jordan, the Republic of Mozambique, the Socialist Republic of Viet Nam and the Republic of Zambia.

⁴ The Kingdom of Cambodia, the Republic of El Salvador, the Republic of Ghana, the Republic of Honduras, the Republic of India, the Lao People's Democratic Republic, Mongolia, the Federal Democratic Republic of Nepal, the Republic of the Niger, the Republic of Peru and the Kingdom of Thailand.

⁵ One person did not indicate his organizational or departmental affiliation.

FINDINGS

A. Relevance

The ILO's work on social protection is relevant at both the global and country/regional levels. The strong focus on the global agenda to achieve more outreach and impact is justified and has high strategic relevance, as reflected in the position that universal social protection has assumed in the Sustainable Development Goals (SDGs) and in the Global Partnership on Universal Social Protection (USP 2030). The ILO played an essential role in efforts towards improved donor coordination at the global level, as a leading actor in the creation and coordination of new collaboration platforms (SPF-I, SPIAC-B and USP 2030). With the multiplication of global initiatives, there is a continuous need to clarify internally and externally the comparative advantages, membership and scope of work of the various global platforms, and adjust these to changing needs and realities. The recently launched Global Flagship Programme on Building Social Protection Floors for All⁶ is relevant and well designed, but the working modalities for its implementation at country level need to be further developed.

At the country level, there is appreciation for the demand-driven approach of the ILO, the comprehensive normative framework that guides its work, the expanded tripartite approach, including other civil society organizations, and the provision of flexible technical support in highly specialized areas, enriched by sharing of cross-country experiences. The ILO has developed relevant tools to undertake a systematic and inclusive assessment in support of social protection policy development. Gaps in expertise on how to most effectively support policy implementation remain. Increased documentation of good practice through guides and manuals is a strong area of the programme as it strengthens the institutional memory, both for advocacy purposes and as part of the technical assistance package and support. While the use of manuals and guides in support of capacity-building interventions is appreciated, constituents pointed to the continued importance of facilitating access to other types of knowledge (tacit) and services from experts, individually or in teams, when responding to country demands.

Dividing the scarce resources between global and field work is a balancing act, with competing views about the way forward. The question is how the ILO can simultaneously deliver on the broadened social protection floor agenda and growing demand for country support, and enhance or maintain specialized in-house expertise, while also delivering on the expanding global agenda.

B. Coherence

Recommendation No. 202 and related policy documents provide a coherent and comprehensive framework for ILO operations. The acceptance and uptake of the framework is generally strong, especially within the ILO⁷ and at UN level, but also beyond, through integration in the SDGs, the G20 agenda and in some of the work of the international financial institutions. Within the ILO's strategic frameworks, social protection was one of the main pillars for the 2012–17 period and is also reflected in the Programme and Budget for 2018–19. The narrative covers both country and global work, but the corresponding outcomes and indicators map changes at country level only. Synergies with other ILO departments and the field have improved; however, more can be done to cut across departmental silos and work towards truly integrated approaches.

C. Effectiveness

Effectiveness was assessed against the Strategic Policy Framework and the targets set in the programme and budget documents and based on observations from the country field visits and case studies. The pro-

⁶ <http://www.social-protection.org/gimi/gess/Flagship.action>.

⁷ At the same time, some internal debate persists about the merits of specific terminology and overall strategies (for example, how to extend social protection to informal workers). Continued communication and dialogue are required.

gramme has been highly effective in the period under review, having surpassed its 2010–15 targets and reportedly achieved the 2016–17 targets early. The evaluation reviewed a selection of country programme outcomes (CPOs) in a sample of countries. The reported outcomes were found to be largely in line with the reality on the ground, although the ILO’s specific contribution was not always clearly substantiated. The evaluation documents several examples of effective intervention, especially in policy development, legal reform and technical advice for the reform of social protection schemes.

Efforts to improve UN collaboration on social protection are increasing and found to be mostly effective, especially in harmonizing policy advice to governments and agreeing on future areas of work. More ILO country offices need to go beyond this initial stage of cooperation and develop joint programmes with a wider group of agencies. At the global level, the programme has managed to improve its visibility through the internet, new products and partnerships, and the Global Flagship Programme. The visibility at country level increased clearly in countries with an ILO social protection field staff presence. Inter-agency collaboration through SPIAC-B has been especially effective in facilitating dialogue and exchange with a widening group of agencies, and the World Bank in particular, to arrive at joint strategies in relation to the SDGs, discussing the harmonization of data sets and indicators and building a joint Inter-agency Social Protection Assessment (ISPA) toolbox. It is too early to assess the systematic uptake of ISPA tools by countries and leading donors. Gender integration differs across country programmes, but generally lacks explicit focus and monitoring where there is no specialized gender support capacity.

D. Efficiency

On the basis of field work and existing data sources, including various project evaluations, efficiency⁸ is positively assessed in most ILO interventions. In interviews with constituents and other stakeholders, the ILO is seen as carefully applying its relatively limited resources, for example through the provision of technical policy advice, studies and various capacity-building activities. Survey respondents generally perceived the ILO as cost-effective. Areas of concern are: the ILO’s transaction-intensive internal systems and procedures; under-staffing in some of the countries; challenges in relation to responding to requests in a timely manner; and weak monitoring and evaluation practices at outcome and impact levels. The new impact-assessment tool to be used in the flagship countries has potential. Its roll-out will require substantial effort in terms of awareness-raising, training and support.

E. Impact

The goal of outcome 4 of the Strategic Policy Framework 2010–15 was that “[m]ore people have access to better managed and more gender-equitable social security benefits”, while the goal of outcome 3 of the Strategic Plan 2016–17 was that “Member States implement the Social Protection Floors Recommendation, 2012 (No. 202), and extend social protection systems as a means to accelerate poverty reduction, inclusive growth and social justice”. The available data did not allow a comprehensive assessment of the achievement of these goals.⁹ From interviews and the evaluation surveys, it emerges that constituents and other stakeholders are generally satisfied with the ILO’s contribution to the social protection agenda. Specific examples were documented where ILO interventions contributed to a long-term sustainable change either at country or global levels. New ratifications of Convention No. 102, as a consequence of Recommendation No. 202 and the integration of social protection floors in the SDGs, are examples of the latter.

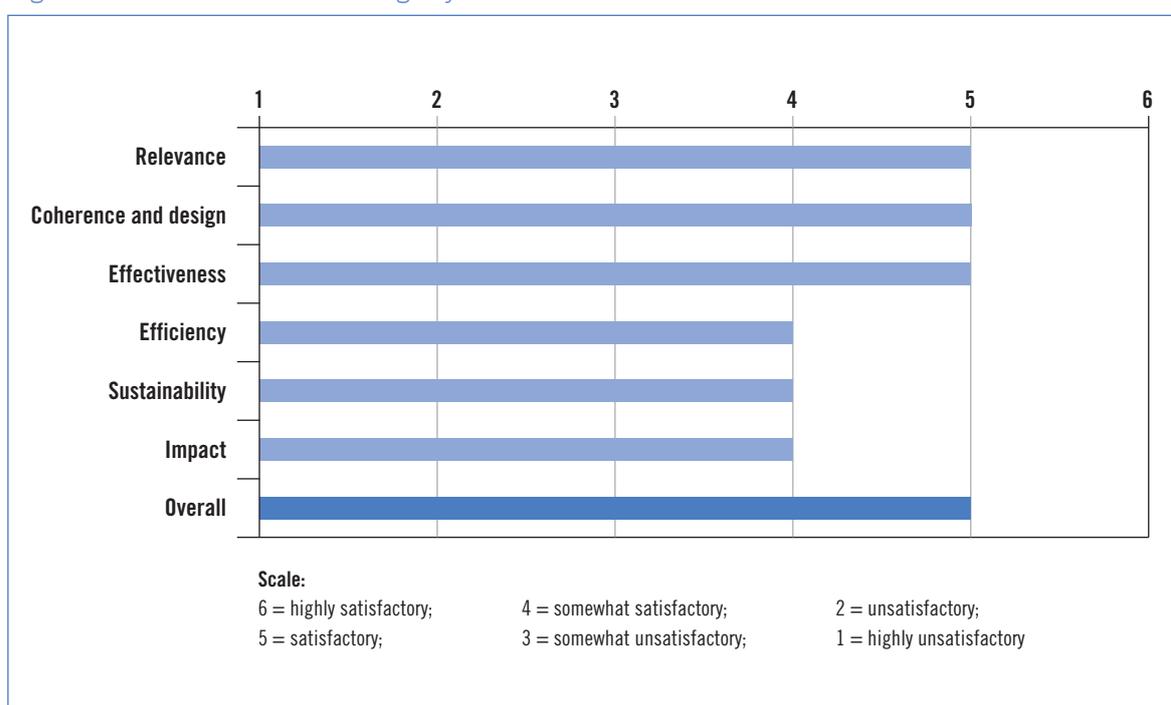
⁸ Institutionally, the ILO does not yet have the capacity to report on detailed regular budget expenditures against results achieved, which complicates assessing efficiency in a comprehensive way.

⁹ Key policy and legal changes, as well as reforms of social protection schemes, are well documented. At beneficiary level, the ILO monitors the coverage of workers, but the data sets often do not allow firm conclusions to be drawn about the ILO’s contribution.

F. Sustainability

The principles underlying the ILO's social protection approach (universal social protection, life-cycle approach, focus on fiscal space, etc.) and the nature of the intervention strategies (improving donor coordination, Assessment Based National Dialogue (ABND) approach, focus on policy and legal reforms) all contribute to sustainability. A main challenge relates to the limited resources for responding to the growing demands at country and global levels. A second issue is the nature and unpredictability of existing donor funding for social protection, which often results in rather small, short projects that are not conducive to supporting long-term processes of change. Finally, in the absence of comprehensive capacity-building strategies and systematic monitoring of progress, combined with high levels of staff turnover in key ministries, gains made in building local social protection capacity are under threat.

Figure 1. Overall evaluation ratings by criterion



LESSONS LEARNED

Global work gained importance within the overall scope of social protection work in the period under review. Evidence-based global advocacy work and awareness-raising, combined with the creation of new spaces for global governance and exchange, have proven to be an effective way to leverage the ILO's limited resources to give the organization more visibility and shape global debates. Moreover, it provides the ILO with the opportunity to influence the agenda of larger agencies (such as the World Bank, regional banks and the International Monetary Fund) and to advocate for the integration of social protection floors in the SDGs.

During periods of fast programmatic change, as was the case with the ILO's global work on social protection in the 2012–17 period, there is a need to continuously communicate and engage with the field to lay the foundations for the roll-out at country level and ensure broad-based internal support for reform.

The country case studies underlined the value of access to other country experiences and the need to build core staff capacity in governmental institutions, while employers' and workers' representatives emphasized building the knowledge and analytical capacity of their constituencies. Social protection agencies

highlighted the need for systemic institutional development addressing internal and external institutional barriers. This requires systemic, locally driven long-term approaches.

Consistent consultation and involvement of all social partners is required to ensure that ILO efforts in policy formulation culminate in policy adoption and implementation. The ILO also needs to continue to extend its work with ministries of finance and facilitate more in-depth inter-ministerial dialogue.

RECOMMENDATIONS

Recommendation 1

Enhance the capacity of tripartite constituents by developing comprehensive long-term capacity-building approaches that respond to constituents' needs at the country level.

Social protection-related capacity building is highlighted by constituents as a priority for ILO engagement. To respond to these calls, there is a need to further systematize the ILO's capacity-building approach with more attention to institutional development, in addition to individual staff-development activities. This can involve producing a strategic document on social protection capacity building, in which the broad spectrum of capacity-building strategies and the different ways they can be combined in a coherent trajectory, including the use of ILO manuals and guides (see recommendation 7), are presented. Monitoring the capacity of key partner institutions should inform progress and review strategies whenever needed.

Responsible units	Priority	Time implication	Resource implication
Social Protection Department (SOCPRO), International Training Centre of the ILO (ITC-ILO), Deputy Director-General for Field Operations and Partnerships (DDG/FOP)	High	December 2018	Medium

Recommendation 2

Further increase coherence and continuity of country work by strengthening the ILO's overall intervention logic at country level.

The programme has undertaken significant efforts to strengthen the theoretical, normative and operational foundations of its work through, among others, the social protection floor framework, the ABND process, and the flagship initiative. This has broadened the ILO's social protection agenda and raised expectations among the ILO's constituents and cooperation partners. However, in several countries, the ILO's potential to respond is still constrained by the limits of working with a set of individual projects which do not form a coherent programme as a whole, thus creating high transaction costs. Explicit theories of change for ILO support for social protection at country level – beyond individual projects – are often missing. The adoption of a more programmatic approach, based on longer time frames and continuity of engagement supported by sound monitoring and evaluation systems, is recommended. This should also include explicit country-level operational plans, supported by multi-country resource mobilization efforts.

Responsible units	Priority	Time implication	Resource implication
SOCPRO, Deputy Director-General for Policy (DDG/P), DDG/FOP	High	December 2018	Medium

Recommendation 3

Enhance internal coherence of the ILO's social protection work by fostering a dialogue to develop a common understanding and vision of the implementation of the social protection agenda across headquarters, regional offices and field offices.

The evaluation team observed divergent views on what type of in-house expertise will be most critical in the future, and how global work and country work should be balanced. This is a genuine and important dialogue in view of the changing context in which the ILO operates. The analysis requires more reflection and dialogue around the ILO's work and Global Technical Team (GTT) members' roles and responsibilities based on their comparative advantages. At the country level, the support mechanisms should distinguish between different types of partner countries (clustered through a relevant typology). For each cluster, the role division for the ILO at different levels (national/regional/global) could be clarified. This could form the basis of an internal "assessment-based institutional dialogue" together with the field to assess the required social protection expertise and resources at different levels/regions, anticipating also new trends in the world of work. Scenarios for graduation of countries from one cluster to another should be considered.

Responsible units	Priority	Time implication	Resource implication
SOCPRO, DDG/P, DDG/FOP	High	June 2018	Low

Recommendation 4

To assert the ILO's role in the 2030 Agenda for Sustainable Development (2030 Agenda), the responsible units should further strengthen their capacity to support integrated social protection reforms and continue to build on the ILO's track record in multi-stakeholder collaboration at national and international levels.

The expanding agenda of Recommendation No. 202 increases demand for support for systemic social protection reforms at the national level. This can be expected to complement an increased demand for expertise on integrated approaches, for example on how different contributory and non-contributory components interact, on how different groups of informal workers can be covered under one scheme, or on the institutional dynamics of inter-ministerial collaboration. It also requires additional collaborative efforts and a search for more synergies with related ILO departments. Concurrently, considering resource limitations, there is also a need to engage in expectations management towards different stakeholders to play out the ILO's strongest comparative advantage.

Responsible units	Priority	Time implication	Resource implication
SOCPRO, DDG/FOP, DDG/P	Medium	December 2019	Medium

Recommendation 5

The responsible units should continue to deepen the use of the ILO's specific strengths, such as tripartism, social dialogue, rights-based approaches and gender equality as the core of its brand.

Country case studies illustrated stakeholder appreciation for ILO technical advice on issues such as tripartism, social dialogue and rights-based approaches. Tripartism and social dialogue were generally strong during the policy development phase, but less systematic in the policy adoption and implementation phases. Regarding gender, although several dimensions of the social protection floors agenda are inhe-

rently gender-sensitive, there is a need for more explicit mainstreaming of gender considerations, from contextual analysis to specific references with indicators and targets.

Responsible units	Priority	Time implication	Resource implication
SOCPRO, DDG/FOP, DDG/P	Medium	June 2018	Low

Recommendation 6

Continue efforts to enhance the ILO's social protection interventions by developing innovative service delivery models and new partnerships, while paying more attention to internal support and risk management, which includes a strong learning component in the pilot phase.

The programme is a frontrunner in the development of new service delivery models and global partnerships to increase the outreach of its work. Some areas of innovation have created internal debate and concerns inside the programme. The successful self-financing pilot with the actuarial unit is acknowledged; however, a strong consultative process with the field could be initiated to discuss how this model could be applied to other services.

The new global business partnership on social protection requires the development of new skills and competencies, and the assessment of risks/benefits before engaging with specific private-sector actors in line with ILO policy and procedure relating to public-private partnerships (PPPs).

Responsible units	Priority	Time implication	Resource implication
SOCPRO, DDG/FOP, DDG/P, Office of the Legal Adviser (JUR), Bureau for Workers' Activities (ACTRAV), Bureau for Employers' Activities (ACT/EMP)	Medium	March 2018	Low

Recommendation 7

Continue efforts to strengthen knowledge management by knowledge sharing and provision of technical advice through guidance materials and manuals. The responsible units should carefully monitor the use of these products and combine them appropriately with other types of support to respond to the needs of users.

The programme is seen as an example of the institutionalization and documenting of knowledge and experiences. To maximize the impact of manuals and guides, their use should, as far as possible, be part of a capacity-building trajectory, which includes informal learning strategies (using the guides when implementing joint projects, or during field visits, and/or supported by coaching). Monitoring and documenting the most effective use of manuals and guides should enhance their outreach.

Responsible units	Priority	Time implication	Resource implication
SOCPRO, ITC-ILO, DDG/P, DDG/FOP	Medium	June 2018	Low

1. INTRODUCTION

1.1. BACKGROUND – SOCIAL PROTECTION AND THE ILO

The ILO has been assisting its tripartite constituents to create, strengthen and manage comprehensive social protection (SP) systems that provide access to adequate SP benefits to all to reduce vulnerability throughout the life cycle. It has actively promoted policies and provided technical assistance (TA) to countries to extend adequate levels of SP to all members of society. The objective is to enhance coverage for all branches of SP (benefits for health, sickness, old-age, survivors, disability, maternity, unemployment, employment injury and family) at least at a minimum level of benefits as stipulated by the Social Security (Minimum Standards) Convention, 1952 (No. 102). On the other hand, ILO aims as well to enhance the effectiveness of SP for all through efficient and sustainable national social protection floors and comprehensive social security systems, in line with the provisions of ILO's standards.

The adoption of the Social Protection Floors Recommendation (No. 202) in 2012 has been a major milestone in the ILO's effort to promote SP. Social protection featured explicitly in ILO's strategic objectives of the Strategic Policy Framework 2010–15 (outcome 4) and in the Transitional Strategic Plan and associated Programme & Budget 2016–17 (outcome 3). Furthermore, in 2016, the ILO launched the global flagship programme for SP "Building Social Protection Floors for All". These developments illustrate the increasing importance of SP in ILO's work.

1.2. PURPOSE AND SCOPE OF THE EVALUATION

The last governance-level evaluation of ILO's work on social security dates back to 2010. In 2014, the rolling workplan of the ILO Evaluation Office (EVAL) identified the topic of "creating and extending social protection floors" as the high-level strategy evaluation for 2017. The evaluation was selected following consultations with management, the Evaluation Advisory Committee (EAC) and the constituents. The ILO's Governing Body (GB) mandated EVAL to evaluate the topic in November 2016.

The purpose of the evaluation is mainly summative with formative aspects. It is to provide insights into the relevance, coherence, effectiveness, efficiency, impact and sustainability of the ILO's strategy, programme approach, and interventions (actions). It is also intended to be forward looking (formative) and provide findings, lessons learned and emerging good practices for improved decision-making within the context of ILO's next strategic framework for 2018–21 and the Sustainable Development Goals (SDGs) as well as for the newly launched social protection flagship programme. The evaluation report will be discussed in the November 2017 GB session together with the Office's response to the evaluation report.

The evaluation covers ILO's work on SP within the time period 2012–2017 and comprises:

- ILO's support at the country level for the achievement of outcome 4 under the Strategic Policy Framework (SPF) for 2010–15¹⁰ and outcome 3 under the transitional Strategic Plan¹¹ and Programme and Budget (P&B) for 2016–17;
- ILO's contribution to global strategies, policies and debates relating to social protection floors and its coordination within the Social Protection Inter-agency Cooperation Board (SPIAC-B) and the Social Protection Floor Initiative (SPF-I) 'One-UN Social Protection Floor Teams', with its multilateral and United Nations (UN) partners;
- ILO's work in knowledge management and sharing of experiences through the Social Protection Platform (www.social-protection.org).

In defining the scope of the evaluation, it was acknowledged that, compared to earlier periods, the global awareness raising and advocacy work has gained importance within the overall scope of the work of ILO's Social Protection Department (SOCPRO). This line of work has been strengthened by SOCPRO as a complementary strategy to the traditional technical support work at country level. The underlying logic of this approach is to leverage the limited ILO resources by working more closely with other, larger agencies, such as the World Bank, regional development banks, bilateral agencies, and the International Monetary Fund (IMF). This starts from the reality of the contested nature of most SP reforms, in which different national and international stakeholders are advocating different agendas. In these arenas, ILO's efforts are guided by its normative framework on universal SP aiming at extending SP to all. Through the increased emphasis on global advocacy and developing global knowledge products, ILO intends to shape the global debate on SP, gradually increasing the coherence between ILO's agenda and that of other UN agencies as well as other bilateral and multilateral international organizations.

Therefore, the scope of the evaluation covers three different levels: (1) the national level, which includes outcome 4 and outcome 3 targets of the Strategic Policy Framework 2010–15 and the Transitional Strategic Plan and Programme & Budget 2016–17, and other country programme outcomes; (2) the global and regional level operations of SOCPRO and other ILO departments; and (3) the ILO institutional level, which includes internal sensitization, mobilization and coordination across different ILO departments and the field offices, and interaction with the constituents on SP.

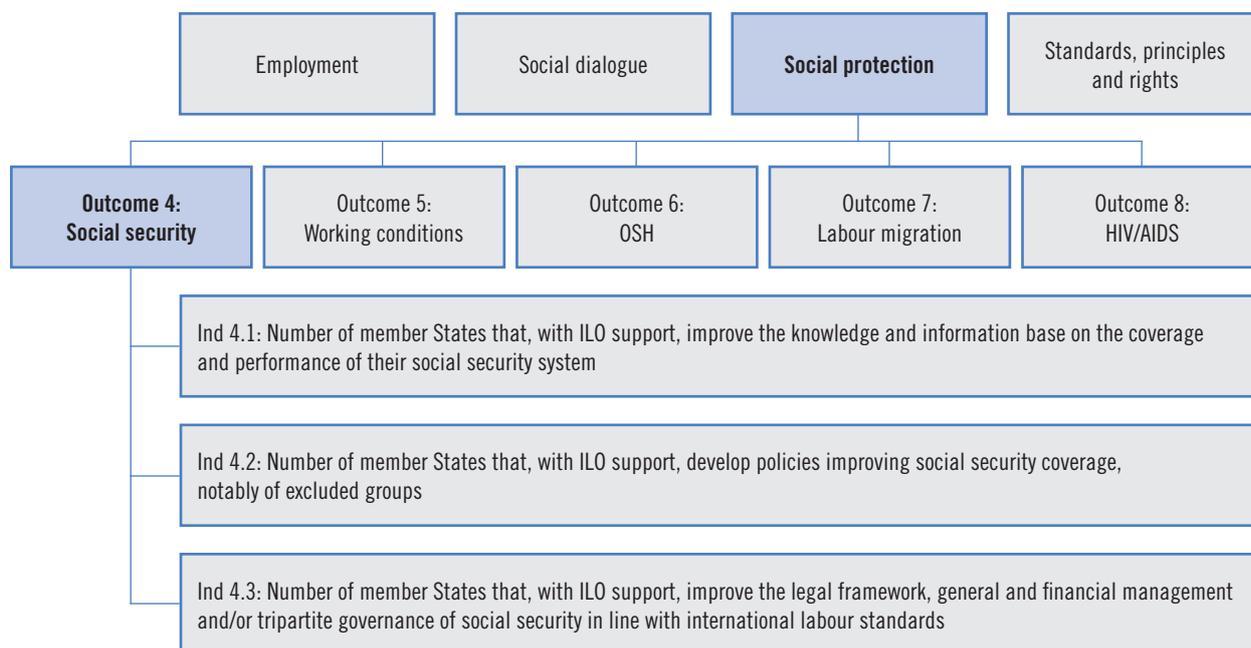
In the period 2012–2017, ILO's work was guided by two different strategic policy frameworks and three biennium cycles. In the Strategic Policy Framework 2010–15, a broad set of outcomes was clustered under the banner of "social protection". Apart from social security (outcome 4), it also included working conditions, occupational safety and health (OSH), migration, and HIV/AIDS. The evaluation focused only on outcome 4 since it was ILO's understanding that the core of its work on SP took place under outcome 4, with only some interaction and synergies with outcomes 5, 6, 7 and 8. Outcome 4 is described as "More people have access to better managed and more gender equitable social security benefits".

Within the framework of the Programme and Budget 2014–15, "Creating and extending social protection floors" was approved as one of the eight Areas of Critical Importance (ACI) reflecting the priorities of constituents and focus of the Office. It was one of the ACIs linked to Outcome 4 on social security benefits and its three indicators. A strategy and workplan were developed to support it.

¹⁰ GB.304/PFA/2(Rev.).

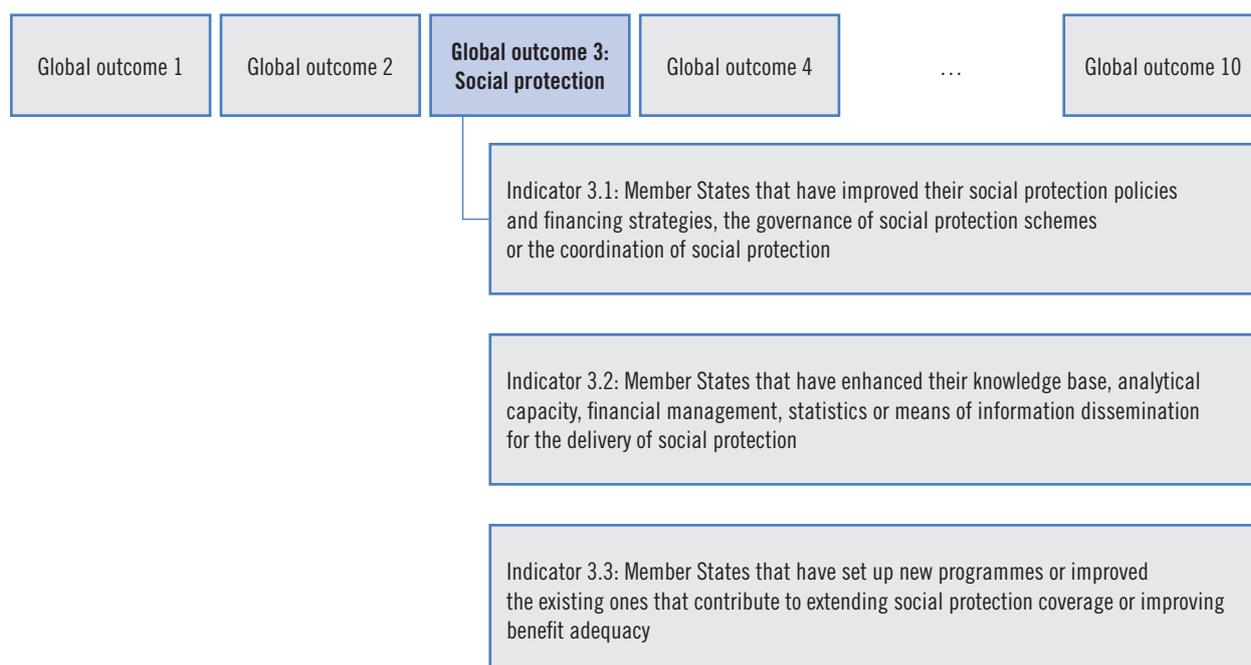
¹¹ GB.322/PFA/1.

Figure 2. ILO's Strategic Policy Framework 2010–15



The format and content of the outcome statement, indicators and targets were changed under the Transitional Strategic Plan 2016–17. In this period, SP was part of a set of 10 global outcomes, more specifically of outcome 3: “creating and extending social protection floors”. In the outcome statement, outcome 3 is described, more in detail as “Member States implement the Social Protection Floors Recommendation, 2012 (No. 202), and extend SP systems as a means to accelerate poverty reduction, inclusive growth and social justice”. Outcome 3 of the 2016–17 strategy builds on the ACI “Creating and extending social protection floors”.

Figure 3. ILO's Transitional Strategic Plan 2016–17



1.3. EVALUATION METHODOLOGY

The scope and approach of the evaluation was fine-tuned in the period from February to April 2017. This was carried out through a wide range of interviews with key clients and stakeholders of the evaluation (e.g. selected tripartite constituents of the ILO, SOCPRO staff at headquarters (HQ) and in the field, EMPLOYMENT, ACT/EMP, ACTRAV, WORKQUALITY, NORMES, SECTOR, ENTERPRISES, PARDEV, PROGRAM, etc.). This phase also included the refining of the evaluation questions based on issues raised during the interviews. An initial screening of the available data was done to determine a realistic and useful scope for this evaluation.

The evaluation was conducted in accordance with EVAL Protocol No 1: High-level Evaluation Protocol for Strategy and Policy Evaluations. Additionally, it was guided by ILO's evaluation policy and procedures which adhere to international standards and best practices, articulated in the Organisation for Economic Co-operation and Development (OECD)/Development Assistance Committee (DAC) Principles and the Norms and Standards for Evaluation in the United Nations System approved by the United Nations Evaluation Group (UNEG) in April 2016.

An effectiveness evaluation approach was used (also known as outcome evaluation or summative evaluation), which determines whether an initiative has achieved the intended outcome. To this end, the evaluation sought to determine the degree to which the ILO strategy for outcome 4 (2012–15) and outcome 3 (2016–17) and the results framework had actually translated into creating and expanding SP, including social protection floors.

The evaluation was set-up as a participatory exercise with key stakeholders to discuss the scope and focus of the evaluation in all phases starting with consultations with SOCPRO on the concept note and the terms of reference (ToR) in the last quarter of 2016. The department was similarly involved in the identification of the case study countries and provided comments on the inception report in May 2017. A stakeholders' workshop was organized on 24 July 2017 in order to gather comments on the draft report and make corrections. Primary data were collected through interviews, meetings, focus groups, and electronic communications with member States, international and national representatives of workers' and employers' organizations, ILO staff at HQ and in the field, UN partners, donors and other stakeholders.

Existing cross-cutting themes were integrated into the evaluation methodology. The gender dimension was considered at all times during the evaluation process including the final evaluation report. At operational level, both men and women were involved in consultations, during evaluation analysis and in evaluation teams. Moreover, the evaluators reviewed data and information disaggregated by sex and assessed the relevance and effectiveness of gender-related strategies and outcomes to create and extend SP for women and men. Other cross-cutting themes, such as youth employment, capacity development, social dialogue, international labour standards, and transition to formality were considered where possible and relevant.

The evaluation adopted a mixed methods approach including both qualitative and quantitative methods. It included the triangulation of results by comparing findings obtained from different methods and data sources.

Country case studies. The evaluation focused on five countries for the field work. Field missions were undertaken between May and June 2017. The selection of interview partners included representatives of governments, and workers' and employers' organizations in all five case study countries. Suitable country cases were selected with inputs from key stakeholders. The criteria for selection of the cases studies were informed by the results of the desk review, interviews and an analysis of quantitative data. This analysis enabled the evaluation team to determine relevant cases with significant learning potential in terms of specific good practices or important gaps and challenges related to ILO strategies (e.g. technical advice, capacity development, knowledge sharing, etc.) or to other contextual factors. One-day visits in ILO's regional office in Bangkok and the DWT/CO Pretoria were included as part of the field missions to Viet Nam and Zambia.

High-level evaluation (HLE) case study countries by region

Africa	Mozambique, Zambia, ILO Office Pretoria
Asia	Viet Nam, ILO Regional Office Bangkok
Americas	Colombia
Arab States	Jordan

Regional thematic evaluations on SP. Three regions conducted thematic evaluations on SP in this biennium. As far as possible, the evaluation team worked with the regional thematic evaluation processes to leverage resources and to create synergies for data collection and analysis. Using this approach, additional data were collected in the following countries.

Regional thematic evaluations case study countries by region

Africa	Ghana, Niger, Zambia
Asia	Cambodia, India, the Lao People's Democratic Republic, Mongolia, Nepal, Thailand, Viet Nam
Americas	El Salvador, Honduras, Peru

Case studies on global work. In addition to the country case studies, the evaluation team also undertook three desk reviews on specific thematic topics. This included ILO's work and partnerships on in three specific areas:

- ▶ Creation and implementation of the inter-agency mechanism SPIAC-B, including the Inter-agency Social Protection Assessment (ISPA) tools.
- ▶ Integration of SP in the SDGs.
- ▶ Extension of SP for migrants and refugees.

These case studies applied a similar methodology as the overall cases studies including desk reviews and interviews with key stakeholders.

Figure 4 provides an overview of all the countries covered by the different evaluations.

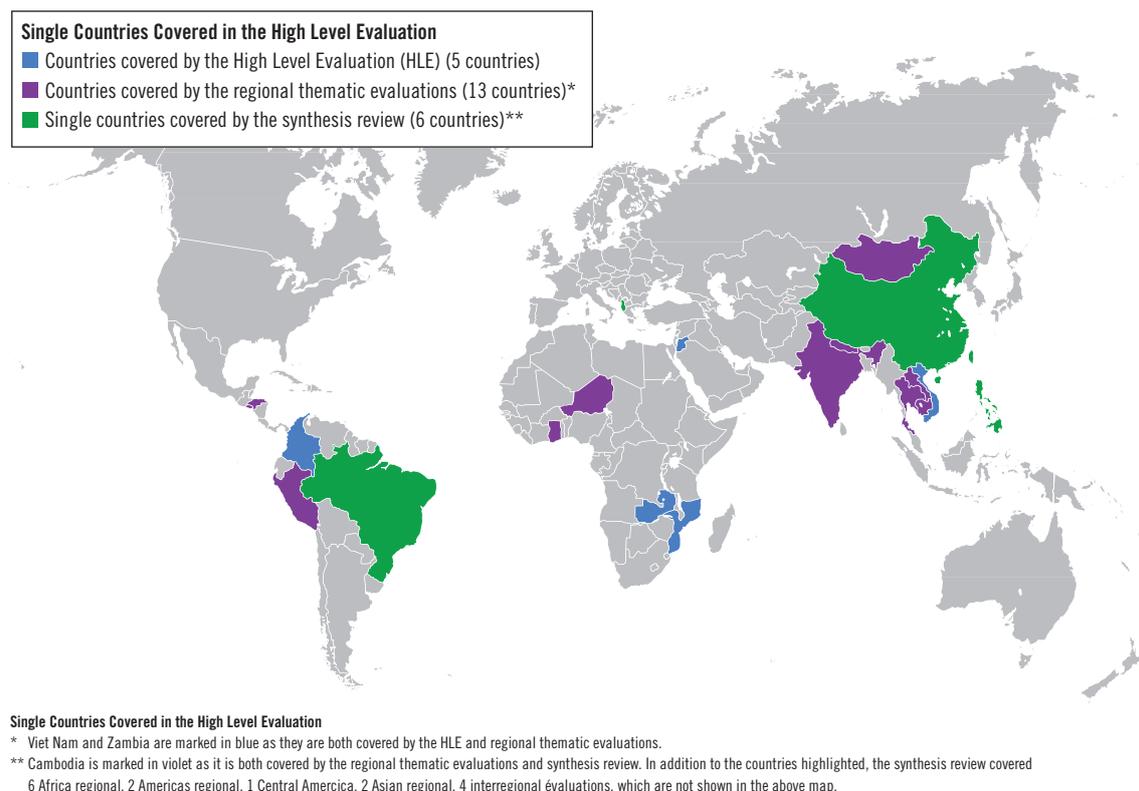
Surveys. In line with the High-level Evaluation Protocol, two online surveys were sent out to different groups of recipients soliciting their overall appreciation of ILO's work on SP in relation to specific criteria of the evaluation framework. Responses were as follows:

- ILO staff, constituents and other partners survey: 118 responses from HQ staff working on SP, SP specialists, Decent Work Team (DWT) directors, country directors and development cooperation staff working on SP, constituents, the International Trade Union Confederation (ITUC), the International Organisation of Employers (IOE) and other partners who were interviewed as part of data collection during the field visits.
- ILO's UN partner agencies and donors survey: 30 responses including staff from different UN agencies working on SP and donors interviewed throughout the field visits,

The list of constituents was extracted from the list of stakeholders interviewed during the field visits, as an overall ILO list of constituents' contacts did not exist. The response rate for the surveys was: 40.3 per cent for ILO staff, constituents and other partners, and 40.0 per cent for UN partner agencies and donors. The evaluation team notes that this is a very high response rate for surveys of strategic evaluations.

Participation in the Global Technical Team (GTT) retreat of SOCPRO (3-day event from 15–17 March 2017). The evaluation team participated in the GTT retreat in Geneva in March 2017. The retreat was well attended by SP specialists and other relevant ILO staff from the different regions and countries who

Figure 4. Overview of countries covered by the HLE and regional thematic evaluations



Source: EVAL, 2017.

were meeting HQ staff to exchange ideas on areas of interest and on internal organizational issues. It was a unique opportunity for the evaluation team to meet a good number of ILO staff working on SP, observe exchanges on new trends and challenges, and learn about organizational dynamics.

Synthesis study of TC evaluation reports. EVAL conducted a synthesis study of all TC project evaluation reports in the period of 2012–2016 focusing on SP. A consultant was hired separately to carry out the synthesis work prior to the commencement of the fieldwork. The consultant reviewed 24 reports of which 22 were independent and two were internal evaluations. The evaluation reports covered six individual countries, a number of regional project evaluations in Africa, Americas, Central America and Asia, and four interregional projects.

Ratings. The report provides a rating of the OECD/DAC evaluation criteria relevance, coherence, effectiveness, efficiency, impact and sustainability to provide an overall appreciation of ILO's work on SP in the period of 2012–16. These figures in the rating table are based on six points of data, including ratings by EVAL, HIVA-KU in Leven, the synthesis study and the survey results.

1.4. METHODOLOGICAL LIMITATIONS

Attributing contributions. The creation and expansion of social protection floors is a rather complex development endeavour that involves sustained action by a variety of different actors at a number of policy and implementation levels. The change process is also highly dependent on a large number of, sometimes very unpredictable, contextual factors. The methodological problems in isolating the particular role or

influence of ILO in such complex multi-stakeholder processes can be considerable. The evaluation team decided to use elements of contribution analysis¹² to assess causal relations by first re-constructing the underlying theories of change, examining key assumptions, and exploring rival explanations.

Multiple evaluation processes leading to evaluation fatigue. Like many other international organizations, over the last few years, ILO has stepped up its efforts in systematic evaluation. At the time of the HLE, many ILO country staff had recently been or were simultaneously exposed to multiple evaluations. In addition, due to the existing work pressure on the ILO SP staff as a consequence of chronic under-staffing, the availability of key informants was not obvious. These issues created unease on some occasions, but generally the evaluation teams were very well accommodated. From the side of the HLE, unnecessary pressure was prevented by synchronizing the regional thematic evaluations on SP with the HLE, and avoiding overlapping field visit locations with other EVAL evaluations whenever feasible.

Coverage of ILO's work on SP. The HLE process and reporting does not allow for in-depth coverage of all of ILO's SP work. During the scoping phase, choices had to be made on case studies and areas of focus. As a consequence, ILO's work on specific topics (health, pensions, unemployment insurance, etc.) is not discussed in detail, neither are other technical programmes that are contributing to SP (e.g. employment and public works programmes) and which are located in other departments. However, the fieldwork in 16 countries involved the assessment of TC projects and other types of support for most of the branches and thematic areas, including interaction with other ILO outcomes. These findings were taken into account when developing the overall findings and recommendations.

Country case studies. In the selection of country case studies, there is a bias towards ILO partner countries, which have been receiving substantial¹³ or moderate amounts of development cooperation funding (XBTC, RBSA and RBTC). A majority of ILO partner countries, do not have or hardly have access to this kind of funding, and rely mainly on ad-hoc support from regional ILO SP specialists. The HLE team acknowledges that important work has been carried out in this second group of countries, which requires recognition and attention. Where possible, the team has incorporated relevant findings for this group through the interviews with the regional ILO offices and through a review of secondary information.

Country-specific challenges. The evaluation team was also confronted with some country-specific challenges. For example, in Colombia, there had been a new round of staff turnover at key positions at the Ministry of Labour a few weeks before the arrival of the evaluator. To a lesser extent this also happened in Jordan. Furthermore, for the regional evaluation field work in Ghana and Niger, time constraints and some clashes in agendas, meant the field visits were too short to do full justice to ILO's work on the ground.

¹² The timeframe and resources of the evaluation only allowed for a pragmatic application of contribution analysis.

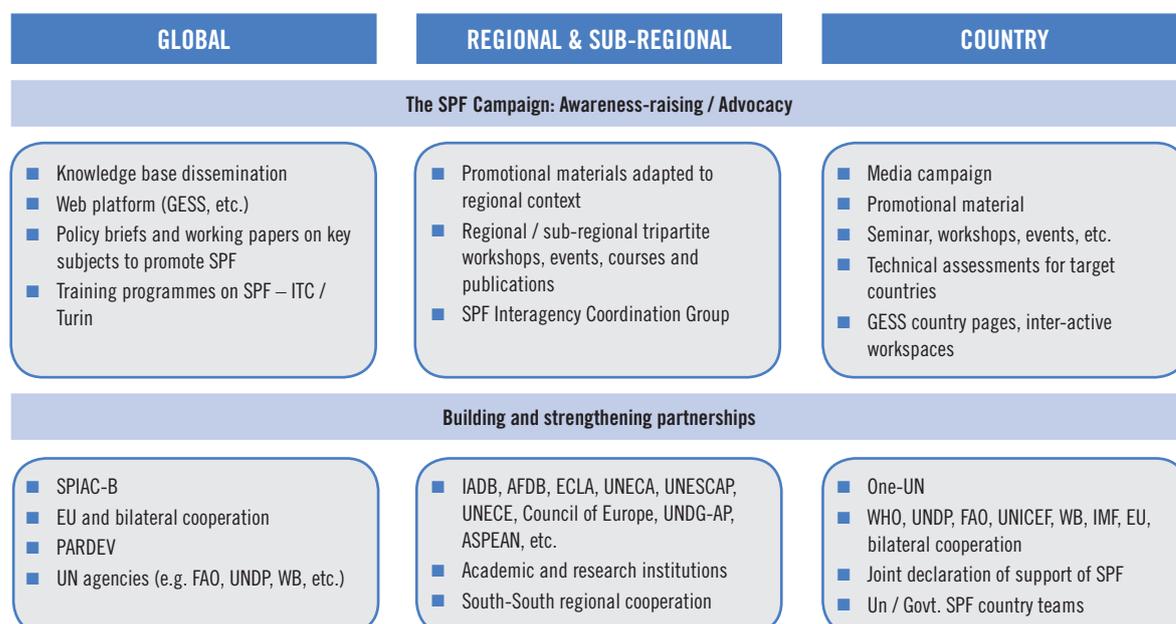
¹³ Although in most cases, evaluators argued that most countries were somehow under-resourced in terms of stable long-term funding.

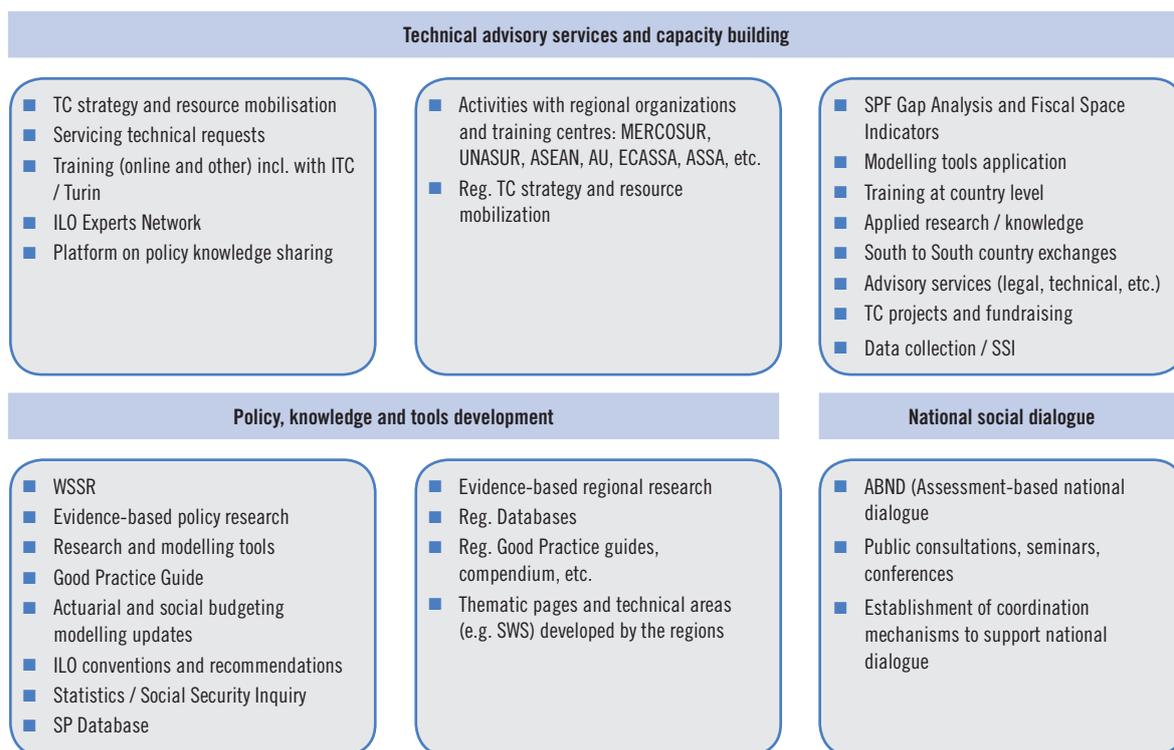
2. THE ILO'S WORK ON SOCIAL PROTECTION: 2012–2017

This section provides insights into the range, nature and rationale of ILO's SP-related activities and interventions in the period under review. It considers the wide range of developmental challenges that ILO's work on SP is intended to address. It begins by outlining the ILO's allocation of resources in the period and the extent of activities supported by TC funds. It then examines the broad focus areas of this work, describes the types of interventions that these areas include and provides examples drawn from the evaluation field visits.

Figure 5 provides an overview of the type of strategies and interventions that have been designed by SOCPRO at global, regional and country levels. They are clustered in five main areas: (1) awareness raising and advocacy work around the social protection floors campaign; (2) building and strengthening partnerships with a wide range of actors; (3) technical advisory services and capacity building; (4) policy, knowledge and tools development; and (5) national social dialogue.

Figure 5. ILO's ACI/Strategic Policy Framework (SPF) strategic vision on social protection floors implementation





Source: ILO. 2015. *Areas of Critical Importance, Creating and Extending Social Protection Floors. Workplan 2014–2015* (Geneva).

2.1. ALLOCATION OF RESOURCES TO THE ILO'S SOCIAL PROTECTION WORK

ILO's work on social protection has a global outreach but in financial terms it is the smallest pillar, representing less than five per cent of the overall development cooperation portfolio

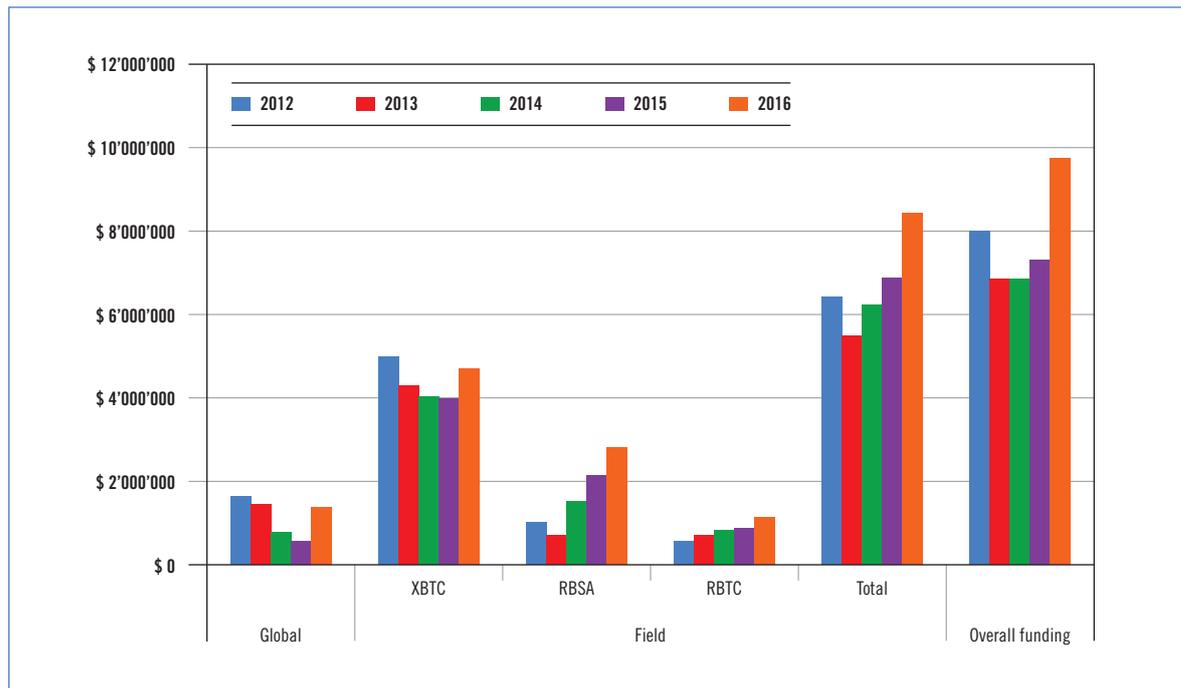
Two main groups of resources can be distinguished when assessing the ILO's financial situation. First, the regular budget (RB) comes through an internationally agreed-upon system of assessed contributions of member States to the operational budget of the ILO. The RB budgets are used mainly for personnel costs at HQ and for a limited number of permanent specialist positions in at regional and country offices. ILO could not provide detailed RB expenditure for outcome 4 and outcome 3, but from the planning and budget documents, it can be determined that the biennial RB budget ranged from around US\$41.9 million in 2012–2013 to US\$50.5 million in 2016–2017, or approximately US\$20–25 million per year. Compared with the available RB budgets for outcomes of other departments, outcome 3 on social protection floors (2016–2017) received slightly below the average allocation. Outcome 1 on employment promotion received by far the biggest allocation (US\$133.2 million), and outcomes 5 and 9 received the smallest allocation (around US\$34 million).

The differences between SOCPRO and other departments are larger for the second stream of funding, which consists of a range of voluntary contributions for TC (now called development cooperation) from member States and other donors with different levels of earmarking.¹⁴ Figure 6 shows the evolution of the three main budget lines (XBTC, RBSA and RBTC) for this type of funding for SP¹⁵ for the period 2012–2016, sub-divided between the expenditures for global-level work (global advocacy, knowledge products,

¹⁴ RBSA (Regular Budget Supplementary Account) is un-earmarked core-funding to the ILO in support of ODA-eligible countries; RBTC (Regular Budget for Technical Cooperation) is lightly earmarked outcomes-based funding; and XBTC (Extra-Budgetary Resources for Technical Cooperation) is earmarked funding for project-based interventions.

¹⁵ This does not include XBTC projects where SOCPRO has been identified as a collaborating unit.

Figure 6. Expenditures on social protection (outcome 4 in 2012–2015 and outcome 3 in 2016)



Source: ILO Financial Management (FINANCE) Department, 2017.

coordination, etc.),¹⁶ and field-level work. The figure shows that total funding allocated to outcome 3 and outcome 4 over the three biennia exceeds US\$38 million. There was a decline in the main channel of funding (XBTC) in the period 2012–2015, which is remarkable considering that this was the period just after the adoption of Recommendation No. 202 on social protection floors. In 2016, the volume has picked-up again (2017 figures were not available during the period under review).

While it is one of the longest established areas of work, the social protection TC portfolio¹⁷ is small in volume compared with other ILO departments: 10 times smaller than that of EMPLOYMENT; two times smaller than that of NORMS; four times smaller than that of ENTERPRISES; and almost three times smaller than MIGRANT. Part of this difference can be explained by the capital-intensive nature of, for example, public works programmes (EMPLOYMENT). However, several of the key informants who were interviewed explained that SOCPRO is still facing an outdated understanding of its work and services. For example, while Recommendation No. 202 has broadened ILO's agenda on SP to include the informal sector, some donors still believe that ILO primarily deals with social security in the formal sector (especially for civil servants), and does not sufficiently focus on the poor in society. Similarly, in some parts of the ILO, there is a perception that SP is mainly about actuarial studies and, therefore, does not require substantial RBSA funding.

Current ILO management and reporting systems do not easily allow the tracking of social protection-related project investments across other outcome areas

Compared to other outcome areas, which are managed by multiple ILO departments, SP has the advantage of being strongly anchored in one department (SOCPRO).¹⁸ This simplifies governance and coordination.

¹⁶ This includes all expenditures coded with the label 'GLO*'.

¹⁷ This section compares the second stream of funding (technical cooperation: XBTC, RBSA and RBTC), not RB funding.

¹⁸ With the exception of the topic of employment injury insurance which was re-allocated under the Enterprise Department after a range of reforms in the period 2016–2017.

At the same time, with ILO's growing recognition of the importance of integrated approaches, SP components are increasingly emerging in the work of other departments and outcomes, such as employment promotion, the formalization of the informal economy, labour migration policies, and OSH. While it is important to map the efforts towards more integrated approaches, current tracking systems do not allow for this. These issues complicate the achievement of moving towards more programmatic approaches as those outlined in the ILO Development Cooperation Strategy 2015–17: Report on progress.¹⁹

Technical (development) cooperation funding (XBTC) for social protection activities at country level is largely concentrated in Africa and Asia, while funding in the Americas has decreased

Table 1 sets out the geographical allocation²⁰ of projects between 2012 and 2016 for which SOCPRO, the Social Security Department (SEC/SOC), the Public Finance, Actuarial and Statistics Services (SOCFAS), the Public Finance, Actuarial and Statistics Unit (SOC/PFACTS), Social Security Policy Services (SOCPOL) or the Social Policy Unit (SOC/POLICY) were recorded as the responsible technical unit. Most of the development cooperation funding went to Africa and Asia.

The amount of XBTC funding allocated to Africa and Asia during the reporting period was almost the same. However, while XBTC funding for Asia has declined over the reporting period, the allocation for Africa remained at about the same level. Considering the number of CPO demands per continent, which were almost double those for Africa, a higher amount of XBTC funding in Africa could be expected. Possible explanations for the comparable amount of XBTC funding in the regions could be that efforts to raise funds are rather similar across continents and XBTC funding is probably more a reflection of donor interests than of deliberate choices by the SP programme.

Table 1. Expenditure 2012–16 on XBTC projects

Admin unit	Projects with SOCPRO as technical unit (US\$)				
	2012–2013	2014–2015	2016	Total	%
Africa	2 744 841	3 322 806	2 444 228	8 511 876	31.66
Asia	3 699 428	2 721 404	1 137 898	7 558 729	28.11
Americas	1 079 754	565 364	368 636	2 013 754	7.49
Arab States	346 104	324 147	34 774	705 025	2.62
Europe	4 746	0	0	4 746	0.02
Global/HQ	3 770 900	2 188 290	1 902 300	7 861 491	29.24
ITC-ILO/Turin ¹	189 951	39 926	0	229 877	0.86
Total	11 835 725	9 161 937	5 887 835	26 885 498	100.00

¹ International Training Centre of the ILO.

Source: ILO FINANCE Department (2017).

Over the last decade, XBTC funding for the Americas has gradually declined, possibly an illustration of a wider trend of donors gradually withdrawing from the continent. This trend was also witnessed in three of the four case studies undertaken in Latin American countries. Overall, the withdrawal process is perceived by ILO's constituents as being too fast, with many of the reforms that were initiated with ILO over the last

¹⁹ GB.329/POL/5.

²⁰ To provide insight into the geographic focus of these projects, the projects were segmented by administrative sector, which included projects implemented in specific regions as well as global/HQ-administered projects.

six years only just reaching the adoption phase or initial implementation phase, while domestic capacities are still too weak to support ongoing reforms.

Various organizational reforms were implemented between 2012 and 2017, but the number of SOCPRO staff at HQ and in the field has remained stable

The organizational set-up of ILO's work on SP changed in several ways in the period under review, especially at HQ. Aside from bringing the name of the department in line with the terminology²¹ used in the main policy documents since Recommendation No. 202, the department was restructured in 2013 and then again in 2017. With the 2013 reforms, the development of global knowledge products gained a more prominent place in the department. This was followed shortly afterwards by an increase in focus on global advocacy. Starting from 2016–2017, a deputy director position was created which also included the management of the new Flagship initiative (see below), the promotion of different types of institutional partnerships became more prominent, and part of the actuarial work was turned into a self-financing unit. In the same period, the topic of employment injury insurance was moved to the ENTERPRISES department, leading to the internal reassignment of three social security specialists from SOCPRO to that department. These reforms went hand in hand with a strategy to re-orient part of the existing capacity from highly specialized technical positions (P4) to a higher number of less experienced junior profiles (P2) to support the global advocacy efforts and knowledge products development, contributing to a slight increase in HQ staff in the period 2016–2017.

In terms of the field structure, the number of regional specialists and country-based specialists remained largely at the same level (table 2), while constituents' demands continued to grow and the thematic scope of ILO's work expanded due to the adoption of Recommendation No. 202 in 2012. Out of a total of 59 countries, only 10 with a target CPO²² have SP specialists or Chief Technical Advisers (CTAs) on the ground. This means that the SP specialists based in the regions each have to cover between 12 and 23 countries.

The gender balance did not change in the period under review (table 2).

Table 2. Staff (regular budget) core positions SOCPRO

Core positions	2010–11	2012–13	2014–15	2016–17
HQ ¹	21	21	21	24.5
Male ²	13	12	13	13
Female ²	8	8	8	9
Field ³	12	12	13	13

¹ Data from the P&B operational budgets. For 2016–17, the figure of 24.5 also includes the three positions that have been transferred to the ENTERPRISES department. ² Male and female data were provided from a Human Resources Development (HRD) staffing review. The mismatch in the total number of positions is due to the fact that there were vacant positions on the day of the staffing review. ³ Data from HRD as field positions are the responsibility of the regions. Data extracted from the staffing review tables from HRD. For 2010/11 from staffing review of 2011; for 2012/13 from staffing review of 2013; for 2014/15 from staffing review of 2015; for 2016/17 from staffing review of 2016.

When considering the geographical distribution of field staff members of the GTT on SP, the Asia desk has more overall RB positions than Africa (table 3). The Americas has a similar number of RB positions as Africa, but hardly any TC positions. Arab States have the least number of field staff.

²¹ This implied using the term 'social protection' as the umbrella concept rather than social security, which is associated more with the formal sector than the informal sector.

²² In addition to the 59 countries with target CPOs, 56 countries have either pipeline or maintenance CPOs on SP.

Table 3. Geographical distribution of GTT members working on SP (RB and TC)²³

Field staff ^{1,2}	Africa	Asia	Americas	Arab States	Europe	ITC-ILO (Turin)
Regular budget	5	10	6	1	9	–
Development cooperation	15	11	2	0	1	3

¹ Dealing with SP either full-time or part-time. ² Includes offices in New York and Washington.

Source: SOCPRO, 2017.

2.2. THE ILO'S SOCIAL PROTECTION WORK IN THE PERIOD UNDER REVIEW

ILO's work on SP covers more than a hundred countries, added to which new inter-agency initiatives and partnerships at global, regional and country levels were increasingly demanding attention and follow-up. Thematically, ILO's work broadened with the endorsement of Recommendation No. 202 on social protection floors, generating more than 15 thematic work streams focusing particularly on extending SP to informal workers and other vulnerable groups.

The following sections describe many of these areas of work although, due to the constraints of the HLE process and ILO's way of reporting results, their coverage is not as detailed as ILO's work on SP. Furthermore, choices had to be made for case studies and areas of focus during the scoping phase.

At the international level, the ILO coordinated the drafting of the Social Protection Floors Recommendation, 2012 (No. 202) and contributed to the development of new SP policies

In the period 2012–2017, ILO's work had to be framed in a context of follow-up and consolidation work after a period of intense global social policy formulation. The socio-economic impact of the 2008 financial crisis gave the final impetus to the idea of a new round of global social policy in the area of SP. It converged with a counter move that had been building-up for some time in response to the growing global inequality witnessed after decades of unbalanced globalization and deregulation under the economic policies of the Washington Consensus. In parallel, positive experiences with new forms of social policy universalism in the Global South, such as the massive conditional cash transfer programmes in Latin America created a renewed interest in SP. In this context, a group of actors (amongst them, ILO, United Nations Children's Fund (UNICEF), the World Health Organization (WHO), some champion countries, a group of progressive bilateral donors, and civil society groupings) increased their efforts to push the idea of a Global Social Floor.²⁴ After years of negotiations and global advocacy at the level of the G8, G20, the United Nations System Chief Executives Board for Coordination (CEB), the World Bank and many other forums, ILO's constituents adopted the Recommendation No. 202 in June 2012. It is not a binding international legal instrument but it is a clear and strong recommendation for universal SP to 184 countries.

Recommendation No. 202 promotes the extension of SP coverage by establishing, completing and maintaining social protection floors through nationally defined sets of basic guarantees for all residents and children in at least four areas: (i) access to essential health care; (ii) basic income security for children; (iii) basic income security for persons in active age who are unable to earn sufficient income, in particular for the sick, unemployed, and in cases of maternity and disability; and (iv) income security for the elderly. Importantly, aside from the horizontal dimension through the four guarantees, the vertical dimension of the social protection floor implies the progressive realization of a higher level of SP to as many people

²³ The figures include officials working on SP from the following categories: 1. RB core positions, 2. RB temporary positions, 3. national coordinators, 4. Officials from other departments

²⁴ The process leading up to the Recommendation No. 202, and the role played by ILO, is described and analysed in detail by Deacon <http://press.uchicago.edu/ucp/books/book/distributed/G/bo16831098.html>.

as possible, depending on the level of economic development and other factors. The design and implementation of social protection floors is guided by a set of principles, including universality of protection; entitlements to benefits; nondiscrimination, gender equality and responsiveness to special needs; adequacy and predictability of benefits; balanced redistribution mechanisms; coherence with national policies; progressive realization; amongst others.

The preparation and drafting process of Recommendation No. 202 also led to an endorsement of the concept of social protection floors in official policies of other international bodies, first within overall UN policy through its adoption by the UN System Chief Executives Board for Coordination (CEB),²⁵ and later on by the G20 labour and employment ministers, and by the G20 Development Working Group in 2011. The EU Council endorsed the guiding principles for SP in its conclusions “Social Protection in European Union Development Cooperation” adopted on 15 October 2012 (Council of the European Union, 2012a), and different European Union (EU) bodies re-iterated their support for social protection floors in a number of subsequent policies and official communications.²⁶ ILO's role in advocating for social protection floors is documented in these bodies' key policy documents.

High-level dialogue between ILO and the World Bank also led to the adoption of the social protection floors concept in the 2012 World Bank Social Protection Labor Strategy. The IMF never explicitly endorsed the social protection floors concept, but ad hoc collaboration with ILO was established in 2010 around fiscal space to close parts of the social protection floors gaps in El Salvador, Mozambique and Viet Nam. However, the recent IMF policy (2017)²⁷ on SP is seen as deviating from the basic principles of Recommendation No. 202.

The integration of the social protection floors concept in the SDGs framework was a major breakthrough to ensure continued attention for the principles of universal SP at the global level (see case study 1).

ILO also strengthened its partnership with the World Health Organisation (WHO) and OECD in the context of the UN High-level Commission on Health Employment and Economic Growth in 2016, with the aim of developing a five-year implementation plan comprising strategies and activities, responsibilities of agencies and key stakeholders, resource requirements and operational indicators for the implementation of the SDGs for the period 2017–2021. ILO also continued its cooperation with WHO through its contributions in WHO flagship reports.

In 2012, ILO concluded a Memorandum of Understanding (MoU) with the International Social Security Association (ISSA).²⁸ The cooperation agreement built on a long-standing strategic partnership of the two organizations and laid the basis for better coordination of their SP capacities as well as closer programmatic and strategic cooperation in five key areas:

- provision of technical advisory services aimed at building institutional capacities, strengthened governance and management of social security;
- policy development and advocacy to promote the extension of social security coverage;
- collection and dissemination of knowledge and information, including analytical and statistical databases on social security;
- development of professional guidelines for social security administration;
- capacity building and training on social security policy, administration and other areas.

²⁵ UNCEB: *The global financial crisis and its impact on the work of the UN system* (Geneva, United Nations Chief Executives Board for Coordination, 2009).

²⁶ EU: *Parliament resolution on the Millennium Development Goals – defining the post-2015 framework* (Brussels, European Union, 2013); EC: *A decent life for all: Ending poverty and giving the world a sustainable future* (Brussels, European Commission, 2014), COM(2013) 92 final; EC: *Post-2015 agenda – a decent life for all: from vision to collective action* (European Commission, 2014).

²⁷ IMF: *Social safeguards and program design in PRGT and PSI-supported programs* (Washington, DC, International Monetary Fund, 2017) IMF Policy Paper.

²⁸ http://www.ilo.org/global/about-the-ilo/newsroom/news/WCMS_176109/lang--en/index.htm.

CASE STUDY 1

Integration of SP and social protection floors in the Sustainable Development Agenda

Ensuring that universal SP would feature in the leading framework for global development was a main concern of ILO and its partners. This agenda will influence to a large extent the orientation of development-related resources globally and at national level up to 2030. While a coalition of organizations and networks was initially pushing for a separate goal on SP and social protection floors, this was not achieved. However, an alternative solution was identified in the negotiations, leading to consensus that SP-related goals should be integrated into five of the 17 SDGs.

- Goal 1. End poverty in all its forms everywhere.
- Goal 3. Ensure healthy lives and promote well-being for all at all ages.
- Goal 5. Achieve gender equality and empower all women and girls.
- Goal 8. Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all.
- Goal 10. Reduce inequality within and among countries

This was a major achievement when compared to the Millennium Development Goals (MDGs) framework since SP is now a key component of the international development agenda for many years. ILO participated in and even led many of the efforts to put SP onto the SDG agenda. The global indicator framework for the SDGs was adopted by the UN General Assembly on 6 July 2017.¹ At the time of writing the report, there was a consensus that ILO should lead the UN work for the main SDG indicator 1.3, looking both at the coverage and the level of protection.² An adapted version of the Social Security Inquiry (with data dating back to 1940) will be the leading source in collecting data for this indicator. At this stage, a working group led by ILO is looking at the remaining challenges to make indicator 1.3 operational, such as dealing with:

- complexities associated with defining coverage in a comprehensive manner
- diversity of schemes and responsible agencies
- comparability (different national definitions of SP, different classification of schemes/programmes)
- lack of administrative data (low-income countries)
- availability and fragmentation
- data collection process at SOCPRO: complexity of interactions with the field (specialists, governments, SP institutions).

¹ A/RES/71/313. ² Together with the World Bank, ILO was identified as a possible cushion agency for indicator 1.3.1.

Source: SOCPRO during GTT retreat, 2017.

Within the context of the partnership, various guidelines were produced, such as the ILO-ISSA Guidelines on Actuarial Work in Social Security, and the ISSA Guidelines on Administrative Solutions for Coverage Extension and on Communication and Information Technology. The International Training Centre of the ILO (ITC-ILO) and ISSA have developed the ISSA Diploma Programme to foster ISSA members' understanding of the guidelines, thus enhancing their use. Furthermore, ILO and ISSA collaborated on the production of the information database of the ILO's flagship World Social Protection Report.

At the regional level, SOCPRO also fostered a new partnership with the International Association of Economic and Social Councils and Similar Institutions (AICESIS), with the aim of organizing joint conferences on SP at regional and subregional levels.

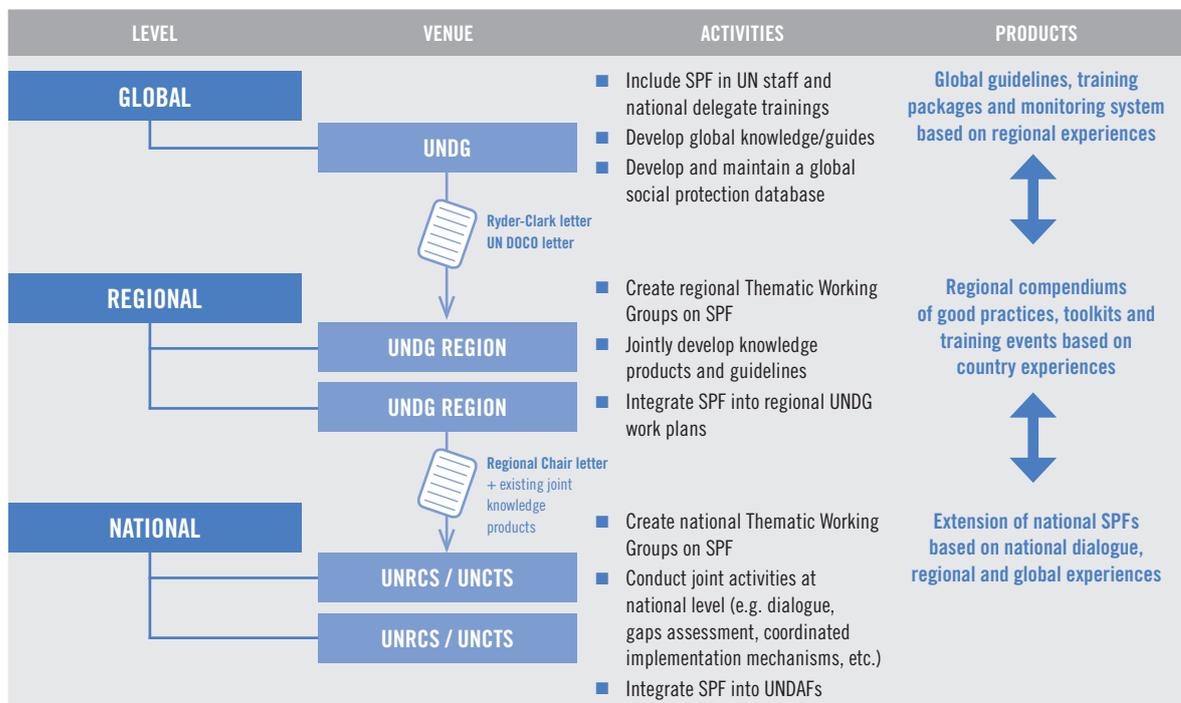
In addition, there were substantial interactions and joint declarations on social protection floors related to various regional initiatives, such as the Association of Southeast Asian Nations (ASEAN) and the African Union (AU).

These developments at the global level had significant impact on ILO's work at country level, leading to a renewed interest in SP reforms and corresponding demands for international support.

The ILO supported the establishment of new global collaboration and governance structures to harmonize the SP efforts of leading international actors

The adoption of Recommendation No. 202 went hand in hand with the creation of new multi-stakeholder partnerships and inter-agency coordination mechanisms at the UN level. Significant efforts have been made to integrate SP and social protection floors in the UN coordination architecture at different levels (see figure 7). At the global level, the UN Social Protection Floor Initiative (UN SPF-I) provided a forum for coordination and exchange in the initial stages, although more recently it seems to be more in the background of other global platforms (see findings section). The UN coordination got an additional impetus through the 2014 joint ILO–UN Development Group (UNDG) declaration (see box 1). It called for the establishment of UNDG Thematic Working Groups at regional level, One-UN National Social Protection Floors Teams (UNCTs) and SP task forces at national level.

Figure 7. UN-level coordination efforts through the social protection floors Initiative



UN DOCO = UN Development Operations Coordination Office; SPF = Strategic Policy Framework; UNRC = UN Resident Coordinator; UNDAF = United Nations Development Assistance Framework.

Source: ILO. 2016. *Social Protection Floor Initiative (SPF-I)* (Geneva).

BOX 1

Institutional incentives to collaborate at UNDG level (2014)

The joint ILO–UNUNDG declaration of 2014 called for UN country teams to consider a number of specific steps to expand SP systems, including floors: (i) building and/or strengthening One-UN national social protection floor teams, working with partners; (ii) supporting national dialogue; (iii) policy advise to support countries analyse social protection needs and gaps, monitor progress, and close these gaps, including financing sources; (iv) inclusion of social protection floors in national development strategies and UNDAFs; and (v) strengthening national statistical capacities and data collection.

This has resulted in the integration of SP components in more than 95 per cent of the Decent Work Country Programmes (DWCPs) and the establishment of a number of thematic working groups in countries with a

DWCP (2011–2017). In some countries, such as in Mozambique and Thailand, this type of UN cooperation dates back to between 2010 and 2012 but, in the majority of countries, intensified collaboration only started after the 2014 UNDG declaration.

ILO has also extended its efforts for inter-agency collaboration outside the UN context in the recent years. Collaboration with the World Bank and other stakeholders took off in 2012 through SPIAC-B (see case study 2), and more recently through the Global Partnership for Universal Social Protection (USP2030), which was launched in September 2016 in an event co-chaired by the World Bank Group and ILO. It brings together 15 international organizations and other development partners to promote universal SP to achieve the SDGs. It is presented as a direct follow-up to earlier global universalism initiatives focusing on universal education (2000) and universal health coverage (2009). One of the first activities of USP2030 was the documentation of 23 country experiences²⁹ in 2016, which demonstrate the major achievements in terms of universal SP in developing countries. ILO played a central role in initiating, designing and coordinating many of these initiatives.

CASE STUDY 2

SPIAC-B collaboration with the World Bank and other stakeholders

SPIAC-B was established in July 2012 following the G20's call for international organizations (providing SP financing and technical advisory services to developing countries) to improve the coordination of their efforts. It is currently working on four main objectives: (i) promotion; (ii) policy coherence; (iii) coordination; and (iv) knowledge sharing. SPIAC-B was set-up to bring the international finance institutions on board. They desired a coordinating body with a scope beyond the social protection floors framework, as it was perceived by the World Bank as not sufficiently covering all dimensions of their work in SP.^a The initial division of work between the two main global governance mechanisms SPF-I and SPIAC-B was defined at the 1st SPIAC-B meeting² as follows: SPF-I would mainly address the horizontal dimension (basic levels of SP), while SPIAC-B would provide “a broader and more inclusive mechanism for sharing of information and coordination between partners, addressing SP systems as a whole (including the vertical dimension)”.^b Over the years, it could be observed that many activities of SPF-I have been overtaken by SPIAC-B.

SPIAC-B is co-chaired by the World Bank and the ILO and includes in its membership several UN agencies, funds and programmes, and international financial institutions and bilateral development agencies.³⁰ The Board has also given observer status to a variety of nongovernmental organizations (NGOs) and think tanks working on SP issues.³¹ According to Deacon (2013),^c Recommendation No. 202 has contributed to broadening the understanding of civil society participation in SPIAC-B, recognizing the opportunity to involve not only social partners but also civil society and NGOs in efforts and initiatives related to social protection floors.

The Board's Secretariat rotates between the two co-chairing organizations – the ILO and the World Bank – and is based in the ILO-New York.

^a <http://press.uchicago.edu/ucp/books/book/distributed/G/bo16831098.html>. ^b Minutes of the 1st Social Protection Inter-Agency Cooperation Board Meeting (SPIAC-B), New York, 2-3 July 2012. ^c <http://press.uchicago.edu/ucp/books/book/distributed/G/bo16831098.html>.

²⁹ <http://www.social-protection.org/gimi/gess/ShowWiki.action?wiki.wikiId=3178>.

³⁰ Asian Development Bank (ADB); Food and Agriculture Organization of the United Nations (FAO); Inter-American Development Bank (IADB); International Fund for Agricultural Development (IFAD); ILO; International Monetary Fund (IMF); ISSA; OECD; United Nations Department of Economic and Social Affairs (UN-DESA); United Nations Development Programme (UNDP); United Nations Educational, Scientific and Cultural Organization (UNESCO); UN-HABITAT; UNICEF; UN Women; World Bank; World Food Program (WFP); WHO; Australian Department of Foreign Affairs and Trade (DFAT); Belgium Ministry of Labour; Family, Social Affairs and Equal Opportunities and Directorate-general Development Cooperation and Humanitarian Aid; European Commission: International Cooperation and Development of the EC (DG DEVCO); European Commission's Director-General for Employment, Ministry of Foreign Affairs; Finland: Ministry of Foreign Affairs (MFA); France: Ministry of Social Affairs and Development (Afd); Germany: Federal Ministry for Economic Cooperation and Development (BMZ), Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ), KfW Bank; Ireland: Irish Aid; Italy: Ministry of Foreign Affairs and International Development (MFA); Sweden: Swedish International Development Cooperation Agency (SIDA); United Kingdom: Department of International Development (DFID); United States of America: Department of Labor.

³¹ Friedrich Ebert Stiftung (FES), HelpAge International, International Council on Social Welfare (ICSW), International Trade Union Confederation (ITUC), Overseas Development Institute (ODI), Save the Children, SOLIDAR, SOLIDARIS and Global Investment Performance Standards (GIPS).

The ILO Social Protection Floors Flagship Initiative aims to promote the support for social protection floors in 21 countries and territories³²

In 2015, the ILO developed a Global Flagship Programme on Building Social Protection Floors for All to support social protection floors in 21 priority countries and territories. The flagship is expected to address the problem of a lack of concentration of resources, to counter the problem of country programmes that consist of too many small, short-term and isolated projects. In this way, ILO aims to deliver on the new post-2015 mandate and support the implementation of the ILO's Recommendation No. 202. The goals are ambitious³³ "... it is estimated that about 130 million people will have better access to SP in the next five years, and 500 million by the end of 2030." The programme targets countries with weak or fragmented SP systems. The country selection was further informed by five enabling factors that needed to be in place: vision, political will and potential at country level, and UN priorities and partnerships.

The programme was launched in 2016 through extensive communication campaigns at global and national levels and has four main pillars: (1) in-country support to implemented nationally defined social protection floors; (2) cross-country policy advice on priority thematic areas; (3) knowledge development; and (4) partnerships at the global, regional and country levels.

For the in-country support (first pillar), a three-step process was designed: first, the programme carries out assessments of SP situations and makes recommendations on building nationally-defined social protection floors; second, it supports the design of new schemes or reform of existing schemes; and third, it supports their implementation and improves the operations of SP systems. Depending on the country context, all three steps, or only one or two are initiated.

The flagship programme has only been operational for about 18 months and is clearly still in its initial stages. ILO had to raise the necessary funds whilst exploring how it could build on existing programmes in the 21 countries and territories. This can also be witnessed in the current funding levels:³⁴ only 12 flagship countries were in the top 20 of technical (development) cooperation funding in 2016.³⁵ Four countries³⁶ had hardly any funding for SP projects in 2016.

The Initiative began operations in 20 countries (eight in Africa, nine in Asia, three in Latin America) and one territory in the Arab region. The ILO was already active in these countries and, given that they are at different stages in the development of their SP systems, ILO has to adapt the initiative to the reality on the ground.

Support to policy development was an essential part of most ILO country programmes

Policy development received a lot of attention across the CPOs in the period under review. The ILO gradually strengthened and systematized its approach to prepare for SP policy reform at country level through the Assessment Based National Dialogue (ABND) approach. Although some components of the approach were already common practice, it was structured, refined and documented in the ILO East and South-East Asia office from 2011 to 2013, and then later rolled out globally. ABND processes have been completed in six countries and are ongoing in another nine countries.

³² 20 countries and the Occupied Palestinian Territory (OPT).

³³ Although the workers' group concluded during GB discussions in 2015 that this is still only a small percentage of the group of vulnerable workers which are not covered by any type of SP.

³⁴ This analysis does not take into account the ad hoc ILO support that is provided through the regional and national SP specialists (RB), which can be instrumental in providing flexible technical support. In addition, the financial volume will be most important in low-income countries. In other countries with more domestic resource capacity, other parameters will determine the leverage of the flagship.

³⁵ The numbers for 2017 were not complete at the time of writing the report.

³⁶ Honduras, Myanmar, Senegal and Timor-Leste.

Table 4 provides an overview of the orientation of the CPOs that focused on policy design in the period 2016–2017 as reported by SOCPRO.³⁷ The most popular types of policy support deal with financing and fiscal assessments and strategies (actuarial and fiscal space studies). A similar number of CPOs are focused on the drafting of national policies and action plans. ABND activities and other studies to map existing social protection schemes and systems have become more central to ILO's work compared with the past. Finally, support for legal drafting was carried out in eight countries.

Table 4. Overview of CPO orientation in the policy design phase (2016–2017)

CPO orientation – policy design phase	Number of target CPOs
Financing/fiscal assessments and strategies	31
National policy/action plan	29
ABND/social protection floors mapping including costing	20
Legal drafting	8

Source: SOCPRO, 2017.

In view of limited resources, key factors for the success of ILO's work in policy development are its long-term relationship of trust with partners on the ground and the specialized technical expertise that it can provide. For example, ILO's work in Viet Nam (box 2) and Jordan (box 3) illustrates that the ability to provide highly specialized technical inputs is, in many cases, ILO's unique strategic advantage which is strongly appreciated by its constituents.

BOX 2

Viet Nam: Increased ILO engagement in policy reforms

Over the last five to seven years, ILO has gradually increased its engagements with the Government of Viet Nam in the area of SP. Prior to 2012–2013, the organization provided technical support on the existing unemployment insurance scheme to the Ministry of Labour, Invalids and Social Affairs (MOLISA) and the National Assembly, following an 18-month review and evaluation. The Law on Employment was adopted in November 2013 and reflects, among other aspects, ILO's recommendation to extend unemployment insurance coverage to all enterprises with at least one employee, and all employees with at least a three-month contract. In the period 2014–2015, ILO provided technical comments on different drafts of the new Social Insurance Law, through technical consultation workshops and meetings with the Government and National Assembly. Relevant government agencies as well as workers' and employers' organizations – the Viet Nam General Confederation of Labour (VGCL) and the Viet Nam Chamber of Commerce and Industry (VCCI) were subsequently consulted on the new law. ILO's recommendations included: the extension of coverage to short-term contracts of under three months' duration (starting in 2018); the inclusion of Vietnamese working abroad; state support for voluntary insurance; and work on equity and sustainability (comprising a roadmap to equalize treatment between civil servants and private sector employees). The National Assembly passed the reformed Social Insurance Law on 20 November 2014. More recently, the ILO Country Office (CO) Viet Nam contributed to a simulation costing in support of the Master Plan for Social Assistance Reforms (MPSAR), which was approved in April 2017. Finally, in 2017, MOLISA will finalize the work on an overall Master Plan for Social Insurance Reform. ILO is providing technical backstopping, supported by high-level inputs, for example, from the former SOCPRO director in March 2017.

³⁷ The categorization of the CPOs was carried out by the ILO making no distinction between large or small programmes, or between interventions with large or small components for a given type of policy support (assessment lacks a marker system with three or four levels which would give insights into the relative importance of a component). The information could not be verified outside of the case study countries.

BOX 3**Jordan: Technical advice for a new Social Security Law that extends social security coverage**

Building on its privileged relationship and close cooperation with the Social Security Corporation (SSC), the key implementing organization for social security, ILO had made a significant contribution to the extension of SP in the country for over a decade.

ILO technical advice and policy support has been key during the development of the new Social Security Law No. 1, adopted by Parliament in 2014. Financed through direct trust funds, mainly from the SSC, and some core voluntary funds (RBSA), ILO delivered: a legal and financial analysis showing the importance of the social security reform to all social stakeholders; an actuarial review and an administrative review of the social security schemes administered by SSC; a series of feasibility studies on the costing of various reform proposals (maternity, unemployment, voluntary second tier pensions, and health care); and legal assistance in drafting the bill. In line with ILO advice, the new law extended coverage to previously excluded categories by including all enterprises that employ one worker or more (instead of the minimum five workers) and by allowing employers and the self-employed to participate. It allowed voluntary affiliation for stay-at home females and students. The law also extended social security programmes to include maternity benefits and unemployment benefits. ILO's contribution has reportedly been vital, especially with regard to the introduction of maternity insurance. Following the implementation of the law, overall social security coverage in 2015 reached 64.5 per cent of the economically active population, an increase of 8.9 per cent since 2011. The success of this strategy demonstrates the power of relationships of trust, and specialized technical and legal advice. It does, however, also show the challenge of balancing privileged relationships with government actors to achieve changes imbedded in law and policy, while maintaining relationships and legitimacy with other social partners and actors in SP.

The ILO support at country level included a mix of technical and advisory services and capacity building, with large differences between partner countries

ILO's capacity-building efforts are supported by: (1) TA through a flexible mix of in-house expertise at country level, regional level and at HQ, combined with short-term external consultancies; (2) national, regional and/or global professional development opportunities; (3) dissemination of studies, manuals and other knowledge products; and (4) South-South exchanges.

Table 5 gives an overview of the types of activities addressed under the different target CPOs (2016–17) in the implementation phase and cross-cutting (design and implementation) phase. Capacity-building activities and tripartite meetings represent the bulk of the activities, followed by awareness raising and advocacy. Other types of activities feature much less.

Table 5. Overview of CPO orientation in the policy implementation phase and cross-cutting activities (2016–2017)

CPO orientation	Activity	Number of target CPOs
Implementation	Actuarial valuation or peer review	11
	Coordination mechanism	12
	Institution building	13
	IT/management information system (MIS)	3
	Monitoring and evaluation (M&E) system	9
Cross-cutting (design and implementation)	Social dialogue/tripartite meetings	39
	Statistical support	10
	Legal assessment or review	5
	Promoting ratification Convention No. 102	8
	Capacity building	41
	Awareness raising or advocacy efforts	29
	South-South and South-North exchanges	16

Source: SOCPRO 2017.

Actual resource allocation through technical support shows large differences across countries. The countries can be clustered largely into three groups in the way they are supported. With 50 per cent of the technical (development) cooperation resources concentrated in only 10 countries, this group stands out in regard to technical support capacity on the ground and access to project funding. Seven of the countries are part of the flagship programme (Cambodia, the Lao People's Democratic Republic, Mozambique, Niger, Togo, Viet Nam and Zambia), three countries are not (Ghana, India and the United Republic of Tanzania). There is a middle group of around 15–20 countries, which are supported through punctual visits from the regional specialists, complemented with small- to medium-sized projects and possibly actuarial reviews. The third group is only serviced through visits from the regional specialist, with the exception of small ad hoc projects.

Box 4 provides an example of support to policy implementation in India. Support for capacity building in Jordan is described in box 5.

BOX 4

Support to policy implementation in India (2014–2015)

One of the major issues in India is the weak implementation of existing laws and policy provisions in the area of SP. In Odisha state, ILO was able to provide TA focusing on establishing the Building and Other Construction Workers Welfare Board, which is a tripartite body by law. Apart from making the Board functional, ILO organized large-scale awareness campaigns on the existence of the Board and the social security/assistance options available to workers. Dedicated focus on supporting the state through quality technical inputs with attention to tripartism, and above all, a responsive state government were key success factors in Odisha. The state government established a dedicated Department of Social Security and Empowerment of Persons with Disabilities while the National Law University in Odisha introduced a credit course on social security. The campaign resulted in 107,000 new members within three months of the pilot period. This led to the expansion of the initiative to three new states. By 2015, 152,000 construction workers were registered with the board across the eight focus states.

BOX 5

Jordan: Policy support and capacity building for a social protection floor

Over the past five years, ILO has been paving the way for a national social protection floor in Jordan by building political support and providing policy support. However, this work has not been without significant setbacks.

Mid-2012, ILO organized a national conference on “the Establishment of a Social Protection Floor in Jordan”. During the conference, Jordanian tripartite stakeholders launched the social protection floors initiative and, subsequently, the Prime Minister of Jordan established the social protection floors Advisory Board. However, subsequent changes in the leadership of the SSC led to modifications to the policy agenda by one of the main supporters of the social protection floors concept. At the same time, the Syrian conflict and the influx of refugees drew political attention, and national and international resources towards the humanitarian crisis. In this context, the ILO Regional Office for Arab States (ILO-ROAS) struggled to keep the social protection floor firmly on the agenda.

It developed a social protection floor costing study, based on the rapid assessment tool developed by ILO-HQ, and continued to invest in awareness raising and capacity building through the organization of South-South cooperation with Mexico, the development of awareness raising materials (policy briefs, videos, etc.), the organization of workshops for tripartite stakeholders, and a regional conference.

As of 2016, the social protection floor is gaining momentum again. The Ministry of Labour has been devoting more human resources to the issue, and ILO has assisted in the activation of the previously established national social protection floors Advisory Board. It has also proceeded with the development of more in-depth and comprehensive studies (i.e. on coverage gaps, fiscal space, costing, delivery, governance and management). With these inputs as a basis for informed policy-making, ILO has launched a series of round table meetings with tripartite stakeholders and international organizations to advance policy discussions on a social protection floor. In April 2017, ILO-ROAS received a request from the Ministry of Planning and the Ministry of Social Development for support in the development of a national strategy on poverty reduction and SP. These recent events indicate that a move towards a more integrated and coordinated social protection system is again gaining importance on the political agenda. With national and international attention shifting back towards structural development, the capacity building efforts and policy support of the past years may start to yield positive results.

There are large differences in how much certain branches, target groups and special topics feature across the CPOs

Support to different social insurance mechanisms remains the main area of work of SOCPRO. In almost half of the CPOs, different social insurance mechanisms are supported although the branches were not specified. For support to individual branches, the focus is mainly on health and pensions featuring in almost one third of the CPOs. Unemployment insurance and maternity/paternity appear in only 16 per cent and 11 per cent of the CPOs, respectively (table 6).

Table 6. Number of target CPOs for given branch (2016–2017)

Branches	No. Of target CPOs	%
Social insurance (several unspecified branches)	29	47
Health	17	27
Pensions	16	26
Unemployment/public employment programmes	10	16
Maternity/paternity	7	11
Long term care	2	3
Disability/survivors	2	3
Child/family benefit	1	2
Total number of CPOs	62*	–

* A given CPO can cover several branches.

Source: SOCPRO, 2017.

In terms of target groups, with 37 per cent of the CPOs dealing with extending coverage to informal workers, the influence of the social protection floors agenda is tangible in the overall scope of ILO's work. One quarter of the CPOs deal with women/gender equality. The top five is concluded with a focus on rural/agricultural workers, migrants and refugees (table 7).

Table 7. Number of target CPOs per target group/special topics (2016–2017)

Groups and special topics	Number of target CPOs	%
Informal economy workers	23	37
Women/gender equality	16	26
Rural/agricultural workers	11	18
Migrants	9	15
Refugees (conflict)	7	11
Link with employment	5	8
Domestic workers	4	6
Persons with disabilities	4	6
Persons living with HIV/AIDS	4	6
Public employment programmes	4	6

Table 7 continued on page 24

Table 7 continued from page 23

Groups and special topics	Number of target CPOs	%
Child/forced labour	3	5
Young persons	2	3
Environment/climate change	2	3
Total number of CPOs	62*	–

* A given CPO can cover several groups/special topics.

Source: SOCPRO, 2017.

Substantial resources were invested in knowledge development and the generation of different global products and communication platforms

Investing in knowledge products and developing new flagship products has been a core strategy of SOCPRO since 2013. Tables 8 and 9 provide an overview of global products (publications and tools) and the launch of new websites in the period 2012–2017.

Several respondents confirmed that the number of global products had increased substantially since 2012. Aside from producing a wide range of short country briefs and different TC reports, the department has invested in what are called ‘flagship’ reports. These are expected to give ILO a leading voice in key debates and issues. The best-known report is the *World Social Protection Report 2014/15: Building economic recovery, inclusive development and social justice*. The report presents the latest social security trends and provides information on SP systems, coverage, benefits and expenditures in more than 190 countries. Other flagship reports have emerged under the social protection floors banner, such as the 2011 Report of the Advisory Group chaired by Michelle Bachelet entitled *Social protection floor for a fair and inclusive globalization*; and reports on different themes such as universal schemes (showcasing experiences in 12 countries), innovations to extend coverage, governance and financing of social protection floors (table 8).

Table 8. Overview of global products produced, 2012–2017

Type of publication	Coverage	Languages	Total number
Country briefs	Short briefs on 26 countries	English/Spanish/ Portuguese /French	47 (59 incl. translations)
ILO flagship reports and other documents	World SP Report + 6 thematic reports related to design and implementation of social protection floors	English	7
Policy briefs	Short briefs on 6 different themes	English	6
Policy papers	In-depth papers on 9 different themes	English	9
Working papers (extension of social security)	Papers on extending social security with different thematic/ geographical focus	English	28
TC reports	Mainly actuarial studies, and other technical areas	English	61
Tools	Manuals/guidelines on ABND, actuarial assessments, and regional UNGD SP briefs	English	5
Total number of publications and tools for period 2012-2017			163

Source: SOCPRO department, 2017.

The department renewed ILO's online strategy on SP, by restructuring and revamping the “Global Extension of Social Security – GESS platform”, which was re-launched in a new format as www.social-protection.org, and hosts various sub-websites for specific campaigns and areas of work. The

department also became more active on social media through accounts on Facebook (2,268 followers) and Twitter (1,684 followers) (table 9).

Table 9. Overview of websites and social media activities, 2012–2017

Theme	Content	Link
Global Social Protection Platform	Overall website of SPF-I	www.social-protection.org
Social Protection & Human Rights Platform	Platform designed to provide expert legal and development resources on how to better align SP and human rights	http://socialprotection-humanrights.org/
Flagship social protection floors	Website of the ILO Global Flagship Programme “Building Social Protection Floors for All”	http://www.social-protection.org/gimi/gess/Flagship.action
Global partnership SP for SDGs	Global Partnership for Universal Social Protection to Achieve the Sustainable Development Goals	http://www.social-protection.org/gimi/gess/NewYork.action?id=34
	Website of the South-South Event “International Conference on Universal Social Protection to Achieve the Sustainable Development Goals”	http://www.social-protection.org/gimi/gess/Conference.action
Campaign SP for All	Social Protection for All: Are You Ready	http://www.social-protection.org/gimi/gess/TimeForAction.action
SPIAC-B: ISPA tools	Website of the Inter-agency Social Protection Assessment tools developed through inter-agency cooperation	http://ispatools.org/
Social media	Facebook and	https://www.facebook.com/Spplatform/
	Twitter	https://twitter.com/soc_protection?lang=fr

Source: SOCPRO, 2017.

New types of global partnerships, service-delivery models, and thematic streams were initiated

New global partnerships. Amongst SOCPRO’s creations is a Global Business Network for social protection floors. The network was launched in October 2015 and aims to be a peer-to-peer information sharing platform and a platform for resource mobilization. Aside from a global forum, which meets once per year, the idea is to develop national and thematic forums. Up to now the network has the support of around 11 multinationals (the majority of which have a French background). Two national forums are in the process of being established. A training package for employers’ organizations has been developed with ITC-ILO and ACT/EMP. A similar global initiative has been launched for workers’ organizations, but it appears from the available information that there is limited activity at this stage.

New service delivery model. SOCPRO has initiated new models to improve service delivery while at the same time optimize resources. A first experience is in the area of actuarial services. The department decided to move regular actuarial services, which are not part of the development phase of SP schemes or systems, into a self-sustaining unit. The Actuarial Services Unit (ASU) began operations in November 2014 (see box 6) with the objective of increasing capacity to respond to constituents’ requests for actuarial valuations in a coherent and timely manner, while at the same time releasing resources for other strategic work.

The department is at an advanced stage of scaling-up this model to other types of services. In the preparatory phase, the different services were listed and documented, and scenarios for making certain services self-sustaining were examined.

BOX 6**New service-delivery model: ASU – Actuarial Services Unit**

Governments pay for the services of the ASU based on ILO cost recovery rates. The unit has three TC staff dedicated to actuarial valuations, two experts and one support position. The unit either works with the support of external consultants or produces the actuarial studies within the unit. This involves taking-up the following roles:

- administrative backstopping
- supervision or conduct of technical work
- peer review and technical clearance before publication.

The unit works together and is supported by the other SOCPRO units (the Public Finance, Actuarial and Statistical Unit on financing policy advice, modelling tools, etc.), the Social Policy Unit (legal experts for compliance with ILO conventions and policy recommendations), and by the Programming, Partnership and Knowledge Sharing Unit. The ASU developed specific project management tools and has uniform templates for various procedures. Since 2014, the unit has embarked on 37 projects, of which 12 projects have been finalized. The unit is self-sustaining if it manages 12 projects per year.

New thematic streams. Upcoming and existing focus areas are integrated through the concept of thematic streams. At this stage, the department manages 15 streams within the framework of the flagship programme: Informal economy; Culture; Migrants; Domestic workers; Climate change; Refugees; Disability; Legal drafting; Standards; Unemployment; ABND; Coordination & administration; Costing social protection floors; Financing; Maternity & paternity; and Pensions. Other thematic streams include, for instance, rural populations with outcome 5, indigenous peoples, and crisis and disaster response.

As an example, the work stream on SP for migrants is described in case study 3.

CASE STUDY 3**Promoting global-level work on social protection for migrant workers**

ILO's traditional approach to enhance migrant workers' social protection has been to promote the ratification and application of ILO standards and to support the conclusion of bilateral or multilateral social security agreements or unilateral measures, mostly through TA and (legal) advice. Since 2012, support for the establishment of national social protection floors has been added. Complementary to this work on country and regional levels, since 2015, ILO has been investing more actively in the work at the global level, including:

- improving the knowledge and information base on the topic (i.e. through a mapping of bilateral and multilateral social security agreements in 120 countries including a review of national legislation with respect to the provisions granting equality of treatment between nationals and non-nationals);
- sharing knowledge and good practices (i.e. through the development of a guide, and a shared workspace on the Social Protection Platform);
- building a global (informal) network that can intensify the message on the importance of social protection for migrant workers and advocate actively (e.g. Global Compact);
- promoting the extension of social protection for migrant workers and ILO's contribution to it (i.e. policy briefs, country briefs and videos).

Organizationally, the topic is located between SOCPRO and the Labour Migration Branch (MIGRANT). Two focal points, one from each department, have been designated to work together in putting ILO on the map as an international actor with clear added value on this topic, and to mobilize additional resources to provide concrete policy development and implementation support to member States. Several outputs have already been published or are near completion (conference papers, working papers, policy papers, ILO guides), and several large projects are ongoing or in the pipeline. ILO specialists and constituents have confirmed the importance of this topic and the relevance of ILO to use its well-recognized expertise (i.e. on labour standards and social security) to provide support. Some interviewees confirmed that no other UN entities are working on this specific issue signaling that this may be a niche area for ILO to expand its work. However, successful outputs at global level may raise awareness and trigger more demand for specialized TA. It is unclear whether current fund-raising efforts will allow ILO to respond to all new demands.

3. EVALUATION CRITERIA – FINDINGS

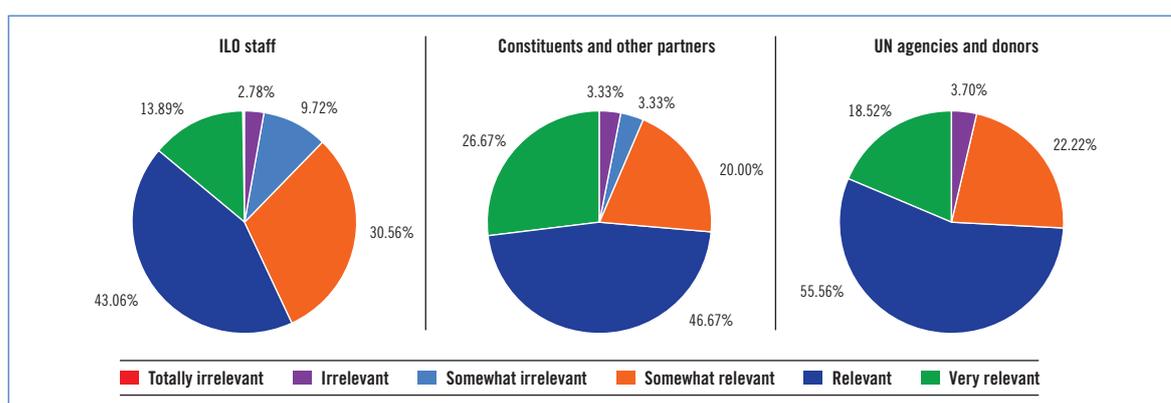
3.1. RELEVANCE

At the global level, the ILO has re-oriented and pooled resources allowing it to take a leading role in advocacy and partnerships to contribute structurally to essential global debates on SP from a social justice perspective

As indicated in the previous chapter, as from 2013–14, SOCPRO decided to re-enforce the momentum of Recommendation No. 202 by leveraging more of its resources towards global awareness raising and advocacy. The main strategies on which it has embarked have already been briefly described. These include developing flagship reports, such as the World Social Protection Report, and leading publications on fiscal space. The online profile of ILO was diversified and brought in line with the broader social protection floors agenda. New types of global partnerships and collaboration platforms were developed to engage with the broader UN family, the G20, international finance institutions and other international bodies.

The strategic value of these global influencing strategies is widely acknowledged. Stakeholders from both within and outside the ILO confirmed the added value of weighing in on global debates, creating global governance structures, and raising awareness about ILO’s normative framework. Stronger support for universal SP at the global level should over time produce new incentives for national governments to create fiscal space for SP initiatives and to launch progressive reforms. This positive assessment can also be found in the results from the HLE surveys (figure 8), showing the appreciation of ILO staff, constituents, and UN partners and donors.

Figure 8. How would you rate the relevance of ILO’s global products on social protection (e.g. websites, manuals, guidelines, policy briefs, etc.) to your daily work or to those of your partners (constituents, other UN partners, etc.)?



Source: EVAL survey, 2017.

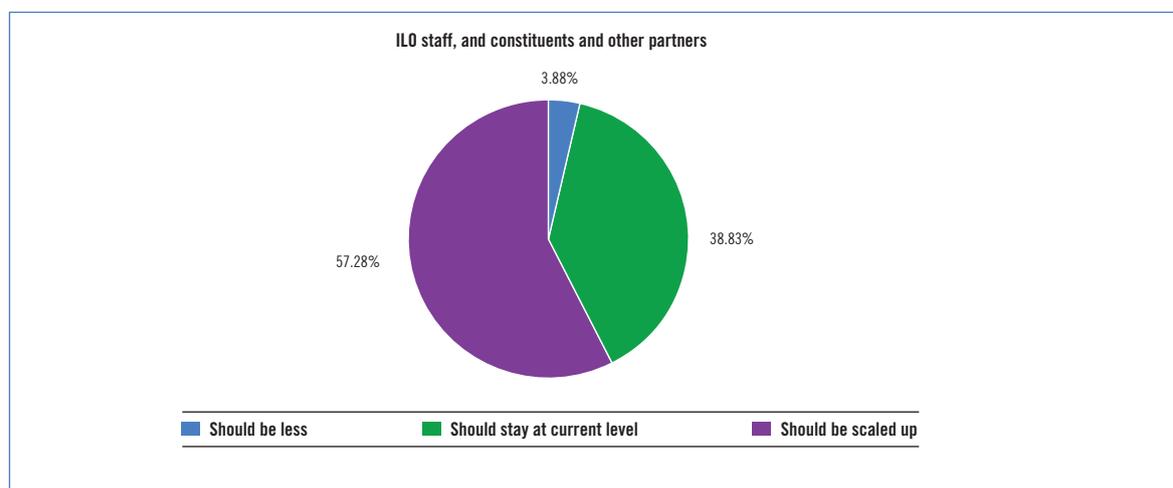
While acknowledging the added value, some interviewees raised concerns about the possible side effects of re-orienting more resources to the global agenda at a time when demand for country support is increasing.

- *Impact on HQ support for country work.* There was a concern that the global agenda came at a cost of having less human resources to do the technical backstopping at country level. This support is especially required for highly specialized areas of work for which local or regional ILO social protection capacity is not sufficient, and the independency of external consultants might not be guaranteed. The internal ILO concerns formulated during the field visits were not completely backed by the survey results (figure 9) where 57 per cent of ILO staff and constituents noted that ILO's work with multilateral organizations at the global level should be scaled up, while 39 per cent stated that it should stay at the current level and only 4 per cent that it should be less.
- *Covering the needs for expertise for all social protection branches.* Along the same lines, several interviewees stated that some of the traditional areas of expertise were not replaced with the same level of expertise once experts retired. In some cases there was no clarity on how this expertise should be sourced in the future. These gaps could partially be filled with external consultants, but there were concerns that these might gradually increase the influence of private sector interests, at the cost of ILO's normative framework.

Between 2012 and 2017, the SP department invested substantially in the development of manuals and guides to support capacity building at the country level. This is key to documenting effective 'ways of working' and sharing good practices within and outside ILO, and increasing outreach in cost-effective ways. The added value of the documentation and systematization of good practices is supported by the findings of the evaluation. In Cambodia and the Lao People's Democratic Republic, for example, the efficiency of DWCP implementation was enhanced by the application of lessons from other countries and the local adaption of proven ILO tools and approaches, with the ABND process and the ILO's actuarial models being outstanding examples. In Zambia, existing ILO manuals and guides were key resources when introducing newly recruited ILO staff to fields about which they were less knowledgeable.

The efforts of the department also need to be commended from the perspective that the documentation and systematization of ways of working was not a strong point in the past and a weakness of the ILO in general as pointed out in previous HLEs. This was leading to a lack of institutional memory when key staff left the organization. SOCPRO's example in this regard is one that other ILO departments should follow.

Figure 9. How do you assess the level of ILO's work on social protection in working with multilateral organizations at the global level?



Source: EVAL survey, 2017.

At the same time, manuals and guides have limitations when used in capacity-building strategies. At a practical level, interviews during the field visits brought to light the fact that, in many cases, there is a lack of awareness of ILO's publications among constituents. However, the issue goes beyond the dissemination challenge. It is vital to the effectiveness and success of guides and manuals that they are part of a holistic capacity-building path. This was also emphasized in the interviews during the field missions. In all of the country case studies, ILO constituents confirmed that they required personalized support first and foremost, which could then be supplemented with guides and manuals. The added value of manuals and guides is most tangible in communicating the basics about different SP topics. For very technical areas, such as actuarial work, the manuals can even be supportive at expert level. However, in most cases, responding to a technical demand from a constituent will require high-level customized expertise in which individuals or small teams mobilize different types of tacit knowledge. This kind of expertise cannot be codified and taught through manuals or books but is acquired through implicit learning during work activities (carrying out joint projects, shadowing during field visits, interacting with beneficiaries,).

The ABND guides are an example of how ILO manuals are used most effectively, by customizing the process in line with local contexts and expectations, and providing TA support. Where ILO cannot provide this technical support, it is much less likely that the guides will be used effectively.

A second point relates to the way the guides and manuals are designed. On the positive side is the systematic integration of country-based experiences from different continents. However, this process and the actual documentation are now largely done by HQ staff. Field staff are mostly consulted and asked to review drafts, but this limits their potential contribution. The current strategy lacks a truly horizontal learning agenda in which the learning processes become more decentralized. It lacks spaces and events for field staff to exchange and document learning experiences with other field staff. If it were decentralized, it would increase the chance to tap into the rich pool of field knowledge, and would at the same time build national and regional capacities.

The social protection floors flagship initiative brings more geographical focus and a clear narrative on ILO's SP activities for different stakeholders. It has yet to further develop clear working modalities at country level

Pushing Recommendation No. 202 and the social protection floors framework required a high-level initiative with sufficient visibility and mobilizing power. SOCPRO's approach created momentum and recognition by introducing an evidence-based framework of the relevance of the flagship programme by developing supportive communication materials, and drawing up a clear set of strategies as well as a three-step process for its implementation. It is currently at the forefront of the group of five flagships of ILO in terms of design and creating visibility.

At this stage, its relevance is most tangible for awareness raising and communication purposes for constituents, the public at large and potential donors. At the country level, the field teams are still exploring optimal ways of implementing the social protection floors flagship programme. Further clarification is needed on what the flagship implies for existing and new programmes in the flagship countries, and in other countries. This is also the case for donors who are in many cases not fully aware of the programme and its implications.

According to the flagship programme's original planning document, it was planned to establish the country-level structures once funding was available:

Thus, when funds become available to initiate country projects, *national tripartite advisory committees* will be installed. These committees will meet at least once per year and will be composed of donors and partners, as well as representatives from governments, workers' and employers' organizations, civil society organizations, relevant UN agencies, and other development partners. The ILO Country Director and the eventual CTA of the projects operating in the country are accountable to the national tripartite committee for the use of resources. These committees will review country projects

achievements and decide on implementation plans. The tripartite advisory committee will be consulted for any strategic decision on the project. National tripartite advisory committees can suggest items on the Global tripartite advisory committee's agenda.³⁸

Furthermore, it was planned to establish specific project teams: "A staff dedicated to the project will be installed in each country. Each country team will be organized according to a similar pattern."³⁹

The question arises if these kind of structures are feasible and desirable in the short term, considering that they might overlap with existing national committees, working groups or tripartite structures. In addition, ILO's soft leadership role in the context of One-UN initiatives or SDG committees at country level might not be fully compatible with overt ILO branding under the social protection floors flagship banner. Alternative country structures, for example, using existing tripartite or other structures, might be explored rather than creating completely new ones. This would bring some visibility to the social protection floors flagship initiative at country level, without creating friction between other agencies collaborating on existing efforts.

ILO's work on SP is highly appreciated for its relevance at the country level, especially for its partnership approach, the comprehensive vision on social protection reforms which is backed-up by a strong normative framework, studies on fiscal space and costing, and the provision of long-term flexible support

There is a positive pattern in how ILO's constituents and other stakeholders assess the relevance of ILO's work on SP. Compared to other organizations, ILO is generally perceived as being more demand-driven and inclusive, more knowledgeable with a deeper understanding of contextual differences, and working more from an integrated and long-term perspective.

The synthesis review of project evaluations (2012–2017) found that most ILO projects (both TC and RBSA funded projects) were highly relevant and were directly related to the broader SP mandate, and ILO's global outcomes, as well as to national priorities. This was especially the case for the provision of assistance aimed at building institutional capacities, imparting skills and training to tripartite constituents as well as developing policies and legislations in line with the needs expressed by constituents.⁴⁰

The ILO staff and constituents survey also showed a high rate of satisfaction with the relevance and level of support provided to constituents (table 10), especially when it comes to: (1) improving their knowledge and information base on the coverage and performance of their SPs systems; and (2) developing policies that improve social security/protection coverage notably of excluded groups. In both categories, more than 50 per cent of the respondents were noted to be either mostly or completely satisfied.

Across the case studies, examples were identified of the importance of the flexibility of ILO's support, especially when it had a long-term perspective. Often this was achieved through relatively small RBSA funds together with ad-hoc support from RB-funded regional specialists. These were particularly important to develop a coherent, responsive and integrated approach by being able to 'connect the dots' between individual projects and activities, and to respond to windows of opportunity when they emerged. Working in an integrative way is most often not possible through individual projects because of their own strict timelines and tight deadlines. Similarly, the synthesis review concluded that the seed funding provided by RBSA funding to support CPOs in regional and national strategies was found to be very relevant and complimentary. In Cambodia, for example, due to the fact that international donors often do not fund ILO staff costs, several of the donor-funded projects listed were successfully supplemented by RBSA funding, although it came with rather high transaction costs (see box 7). In Nepal, ILO not only responded to the government's ad hoc requests for assistance but also worked progressively to establish the needs through continuous discussions, knowledge creation and capacity building. In countries with no ILO specialist on

³⁸ ILO: *PRODOC SPF Flagship Initiative* (Geneva, 2015), p. 37.

³⁹ *Idem*.

⁴⁰ ILO: *Synthesis Review: Creating and Extending Social Protection Floors* (Geneva, 2017), p. 12.

Table 10. How satisfied are you with the relevance and level of support provided by the ILO to constituents

Question	Completely dissatisfied (%)	Mostly dissatisfied (%)	Somewhat dissatisfied (%)	Somewhat satisfied (%)	Mostly satisfied (%)	Completely satisfied (%)
To improve the knowledge and information base on the coverage and performance of their social protections systems?	1.03	3.09	7.22	29.90	47.42	11.34
To develop policies improving social security/ protection coverage notably of excluded groups?	0.00	8.33	6.25	30.21	46.88	8.33
To set up new programmes or improve existing ones that contribute to extending social protection coverage or improving benefit adequacy?	3.09	4.12	13.40	30.93	38.14	10.31
To improve legal frameworks and/or tripartite governance in line with international labour standards on social protection?	4.17	2.08	12.50	32.29	35.42	13.54

Source: EVAL survey, 2017.

the ground, single projects were implemented consecutively with no coherent strategy because of the high workload, limited access to support from the regional expert, and no access to RBSA funding.

In some countries, ILO's work is constrained by systemic gaps in the support mechanisms. A recurrent challenge relates to the systematic under-resourcing of country activities, with too much ILO staff time being devoted on the ground to fund raising. A second issue relates to the missing windows of opportunity during high-level exchanges with policy-makers and in donor forums in cases where there are no senior ILO staff based in the country concerned. Examples of both successes and some of the critical challenges are described in boxes 7 and 8 below.

BOX 7

Cambodia: Success factors and critical challenges for ILO

The ILO is well positioned in Cambodia in terms of its global mandate, proven expertise, track record, its well-regarded in-country SP team and established partnerships to make a major contribution to moving the SP agenda forward in strategic and sustainable ways. Between 2012 and 2017, ILO in Cambodia supported a wide range of reforms in different SP branches, related to both social insurance and social assistance. It was also a key partner in advising the government on systemic reform, codifying the National Social Protection Policy Framework 2016–2025, followed later by a 10-year roadmap, and translating a legal framework (Social Protection Code). Key to the locally acknowledged ILO contributions has been the role of the ILO country SP team. Through its continuous presence, its access to and valorization of local knowledge, and its strong visibility, it has been able to build the necessary trust relationships, ensure relevance, and maintain the momentum of the reforms in the rapidly evolving national SP landscape. It has also been able to leverage the “ILO brand”, which is based on international mandates, by coordinating the necessary expertise both regionally and globally. Of particular value has been the ILO's advocacy of and support for a tripartite governance structure. One of the ILO's comparative advantages in this context was “its ability to provide cross-cutting perspectives and expertise”, also providing perspectives on the relationship between contributory and non-contributory schemes.

A major challenge for the ILO is the lack of resources for the implementation of relevant initiatives. A government representative stated, “ILO is high in expertise, but low in resources”. This also burdens ILO staff who have to assign an estimated 30–40 per cent of in-country staff to donor fund raising. In addition, there are high transaction costs for the activity-by-activity approaches that risk undermining delivery efficiency and momentum. Another challenge relates to the status of the ILO office in Cambodia. Since it is not a full country office, for senior-level engagement with the government and international agency counterparts, the Cambodia office has to rely on the regional office in Bangkok, but this reduces the possibility that windows of opportunity could be used strategically.

BOX 8**High quality partnerships supporting implementation:
Lao People's Democratic Republic**

All stakeholders highlighted the quality of partnerships with the ILO and engagement with staff (both the in-country staff and senior management and specialist staff from Bangkok). The National Health Insurance Bureau (NHIB), for example, emphasized the value of the consistent and highly accessible support provided by the project CTA, while the Ministry of Labour and Social Welfare (MoLSW) commended the openness and responsiveness of the relationship with the ILO National Coordinator on social-protection matters. All stakeholders commended the value of the informal aspects of their relationship with the ILO, particularly the ability to seek advice by telephone or Skype, as necessary. The wider UN community in the country acknowledges and respects the ILO's engagement on SP, pointing to the lead role designated to the ILO on SP under the Lao People's Democratic Republic-UN Partnership Framework (UNPAF), 2017–2021, as evidence of this. The active inputs of the ILO National Coordinator in developing the SP outcome and related elements of the UNPAF were appreciated.

In countries with no ILO specialist on the ground, projects were implemented consecutively with no coherent strategy because of the workload, limited access to support from the regional expert, and no RBSA funding.

The strategies, methodologies and tools guiding ILO's SP support operations at country level are most advanced and explicit for the preparatory phase and the policy design phase. There is less systematization of 'good ways of working' for the policy implementation phase

Through the adoption and rollout of the ABND approach, ILO has developed a comprehensive way to assess the SP situation in a country. The ABND approach is geared towards a shared understanding of the situation and provides systematic reflection on the way forward as a basis for policy development. Although it is currently only applied in approximately 15 countries and is tailored to serve the specific context, the process provides a strong basis to work from and reflects well the underlying principles of the social protection floors and the tripartite (plus) approach of ILO.

Subsequently, in countries where the ABND process has been completed successfully, the reports can provide an effective basis to design policies to reform existing systems and extend new systems (box 9).

BOX 9**Lao People's Democratic Republic: the ABND process provides
a transparent and evidence-based input**

Technical and capacity development support to the ABND process in the Lao People's Democratic Republic over the period 2013–2016 provided the conceptual and analytical basis for the development of a National Social Protection Strategy. The ABND was carried out under the oversight of the government's Drafting Committee for the National Social Protection Strategy, led and facilitated by MoLSW with support from ILO and the involvement of other UN agencies. ILO's direct support to the production of the final report and recommendations for endorsement by the government consisted of a workshop in 2013, two workshops in each in 2014 and 2015 and a final workshop in 2016, supplemented by a series of individual consultations.

Given the deficits in SP coverage in the country, the national health project and associated support to the ABND and legislative developments were clearly relevant to the issues faced by the country. They were further directly linked to: the prioritization of SP in the National Socio-economic Development Plan (2016–2020); meeting the economic vulnerability index (EVI) requirements for eligibility for least developed country (LDC) graduation by 2020; realization of the country's commitment to the SDGs (particularly SDG 1.3); and the achievement of the SP outcome and targets under the Lao People's Democratic Republic-UNPAF 2017–2021. The MoLSW particularly highlighted the value of the ABND exercise to decision-making on the country's long-term SP directions and requested that the ILO prioritize follow-up support under the next 2017–2021 DWCP.

However, in many countries, reform processes get stuck towards the end of the policy design phase, or in the policy implementation phase after the adoption of new policies and laws. Two main challenges were identified in the country case studies related to ILO's operations.

First, while this is a highly political phase during which ILO has limited influence, there are gaps in ILO's approach to respond to emerging windows of opportunity. In this phase, the limits of the project-mode of operations are most tangible, with few means available to monitor and respond to the overall reform process, nurture high-level political contacts, and support those who want to drive the reform in the right direction. The activity-by-activity/stop-start nature of this engagement, combined with the pressure on in-country staff to raise their own resources, prompts questions about long-term relevance. These challenges were encountered in Cambodia, Ghana and the Lao People's Democratic Republic as well as to some extent in Colombia, Nepal and Viet Nam.

Rather than working from an ILO country strategy on social protection floors implementation where different scenarios or pathways of change have been developed and funding strategies designed accordingly, strategies seem to be more re-active and mainly driven by ad hoc demands from the government or specific donor interests.

The approach in Zambia provides an interesting alternative way of working. There is an explicit pillar under the UN Joint Programme framework dedicated to overall coordination and coherence of the SP reform (pillar 5), in which ILO is in the lead (box 10).

A second issue in the implementation phase relates to the role of pilot projects, for example, piloting the extension of coverage for a specific subgroup of informal workers. These projects provide good learning opportunities to navigate new areas of work for ILO, and as a safe opportunity for governments to test the relevance of specific mechanisms. At the same time, the country case studies show that the integration of pilots in wider processes of change is difficult, leading to problems with scaling-up the efforts once pilots are completed. In some cases, social partners at national level felt that they were insufficiently consulted and involved in the design, implementation and follow-up of pilots, which were taking place at local level with local social partners. This highlights some problems in the design and governance of pilot projects.

BOX 10

Zambia: ILO takes lead in coordination pillar

In Zambia, the ILO is one of the cooperating partners within the UN Joint Programme on Social Protection (UNJP). The programme was developed to provide technical and financial support to the Zambian government for the implementation of the National Social Protection Policy (NSPP) in the period 2016–2018. It is set up around six strategic pillars for which specific outputs or deliverables have been formulated: social assistance; social insurance; livelihood and empowerment; protection; disability; and coordination. The UNJP provides a very good framework especially for the collaboration between UNICEF and ILO while the involvement of other UN agencies, i.e. the Food and Agriculture Organization (FAO), United Nations Population Fund (UNFPA) and the UNDP is still less prominent. ILO currently has the lead on the coordination pillar which is intended to develop an integrated framework for SP to support the Zambian government to “coordinate the expansion and phasing out of programmes in response to social protection needs of the country; harmonize systems across social protection programmes; ensure overall coherence in the social protection sector; and maximize developmental impacts of investments in social protection.”¹ In this way, ILO's role in the joint programme is well defined at national level and is in line with its mandate and expertise.

At the same time, it is likely to be a challenging task to ensure that the different agencies will deliver as one, rather than each agency executing its own component with little interaction. It also assumes that the reform process does not backslide on the side of the Zambian government, which, however, can be witnessed currently with the problems in the drafting of the bill on social security/SP.

¹ United Nations Joint Programme Programme on Social Protection Zambia (November 2015), p. 13.

Support to policy implementation is an area that has been defined by both ILO staff and by ILO partners as areas that need further scaling up. The surveys showed that 75 per cent of ILO staff and 81 per cent of constituents and other ILO partners believed that the direct support to policy implementation should be scaled up from its current level of support. This implies the need for further capacity within the ILO to respond to such requests and expectations.

ILO can mobilize a diverse and strong set of TA mechanisms to support the constituents, but its capacity-building efforts lack strategic focus and monitoring

The 2010 HLE was positive about ILO's training and capacity-building initiatives, although issues of absorptive capacity and attrition in Africa were identified. This evaluation acknowledges the broad toolbox of ILO's capacity-building activities and the opportunities it offers. In several case study countries, the role of the ILO as a "platform" for exposure to international thinking and other country experiences, discourse, and standards is valued. For instance, in the Andean region the exchange of good practices via South-South activities is very much appreciated. The ILO Regional Office for Latin America and the Caribbean (RO-Lima) organized these activities. Examples from Brazil and Chile have been inspiring the design of new policies in Colombia.

However, high staff turnover in partner ministries leads to the constant evaporation of acquired skills and organizational capacity. ILO is facing difficulty in continuously re-building capacity amongst national stakeholders because in most cases: (1) there is no strategic plan for capacity building, limited follow-up of those who have been trained, and no systematic monitoring of the constituents' capacity at unit or institutional levels; (2) the domestic capacity to train is thin and therefore expensive external interventions are required; (3) ILO faces resource constraints which hinder the mobilization of technical advice; (4) most of the time, ITC–ILO's training activities are not fully integrated into the capacity-building programmes, which lowers the chance for uptake; and (5) sometimes not enough attention is paid to where traction is in the government, leading to donor driven dynamics.

The survey results show that most ILO partners are somewhat satisfied with the current relevance of capacity-building activities of the ILO (40 per cent) but at the same time about 20 per cent said that they were completely to somewhat dissatisfied with ILO's capacity-building efforts.

Some promising activities were identified in the evaluation: the approach of training of constituents in Mongolia; the new joint capacity-building strategy in the One-UN Programme in Viet Nam; the new TRANSFORM training package in Eastern and Southern Africa (which will be expanded to other regions in the future); and the training and awareness-raising programme in the drafting phase of the national SP law in Honduras. Several illustrations of the capacity-building efforts above-mentioned are provided in boxes 11–14 below.

BOX 11

Jordan: The challenge of building capacity through technical advice

Technical support and advice has been essential to ILO's contribution to the recent extension of SP coverage in Jordan. Stakeholders confirm that the different studies, technical notes, actuarial review and policy recommendations developed by ILO specialists or by ILO consultants have informed and supported recent changes in legislation and policy. However, they are less sure about the gains in terms of capacity building. Although a capacity building component is often included in the technical support, stakeholders point out the limited time with ILO-specialists or consultants as well as language barriers make it difficult to develop capacity at an individual level, while the high staff turnover hinders capacity building at organizational level. A more objective assessment of the success of capacity building efforts in Jordan is difficult, as there is neither an explicit cross-cutting capacity building strategy nor an approach to monitor and evaluate capacity building efforts.

BOX 12**Thailand: Capacity building strategy with a long-term perspective**

An emerging good practice is a new ILO joint initiative, funded by the government of Thailand, to strengthen the Social Security Office (SSO) capacities in policy design with a specific focus on research and actuarial services. The centrality of SSO in the design of schemes under the Thai social protection system gives the agency a key role in providing evidence-based input into discussions on future directions. This focus on building long-term systemic national capacity funded by the government and drawing on ILO technical capacities, demonstrates the maturity of the ILO's partnership with Thailand within a context of local ownership, and has potential benefits for the wider region.

BOX 13**Lao People's Democratic Republic: Building capacity with limited resources**

One of the key challenges in the Lao People's Democratic Republic is the general lack of resources for the necessary policy and capacity development to realize the government's long-term SP goals. Under a ILO-WHO joint project and the ABND process, ILO has been providing important technical and policy support. It has combined this with technical and institutional capacity development over the past five years. This has happened through over 50 workshops, training a cadre of 1,807 officials, supplemented by targeted in-depth educational opportunities at Masters level to develop core staff capacity. For example, the building of the requisite management and institutional capacity at the new NHIB was highlighted in the DWCP review as a challenge of particular concern in the context of the proposed eventual transfer of the National Social Security Fund (NSSF) health insurance branches to the bureau. The ILO's contributions in this regard were well regarded, with the independent evaluation of the ILO/WHO joint project identifying these as representing an emerging good practice. In the case of the merger of public and private sector social security schemes, for example, the ILO's technical advice and training role was described in the DWCP review as being "indispensable". The quality of the mentoring support and technical advice provided across a range of areas by the ILO component of the Joint Project Office as well as by the Senior Technical Specialist in Bangkok was consistently commended.

Stakeholders commended the provision of Masters scholarships to a small core of selected officials as an important use of limited resources to build in-depth knowledge and skills to support the country's long-term social health care agenda. With this strategy, ILO has contributed directly to basic capacity in key ministries and agencies. It will be a challenge to maximize the value and impact of the training and educational investment within a challenging institutional environment.

BOX 14**Mozambique: Adoption of comprehensive approach by ILO team, with challenges to support capacity building in a systemic way**

For more than 10 years, the ILO team has adopted a comprehensive approach to support the government's efforts towards SP. This support has led to significant outcomes (e.g. in terms of legal framework, revised and consolidated SP strategy, support to capacity building development, improved knowledge base, improved management tools, and better donor coordination). Demand-driven and timely effective support has been delivered to the government through multiple strategies. ILO's work in Mozambique is only funded by TC projects (e.g. UN Joint Programme, bilateral programmes, etc.). The ILO team is working beyond the externally funded programmes to provide comprehensive follow-up and support to both contributory and non-contributory systems. At the same time, no overall country strategy exists to support and monitor ILO's work and ensure more continuous financial, technical and human resources. Such strategy would be particularly useful in terms of capacity development in order to clarify the expected changes and provide requested support in the framework of a process instead of through ad hoc activities.

SPIAC-B and other multi-stakeholder initiatives improve ILO's outreach and provide a relevant response to the lack of coordination between donors working on SP

From the ILO's perspective, initiating and co-chairing SPIAC-B with the World Bank has been a relevant way to create an effective forum for discussion with the World Bank and to better align diverging views and agendas. It has also contributed to strengthening ILO's role as one of the main leader(s) on SP. In addition, lack of coordination among donors supporting SP has been an issue for years. Establishing SPIAC-B has been a relevant initiative to start addressing some of these coordination shortcomings. It has provided a platform for donors to exchange information and ideas on a regular basis and initiate joint activities. The SPIAC-B members took the initiative to work on the ISPA tools in response to concerns about a lack of coherence and efficiency in the tool set for the analysis and support of country-level SP systems used by different donors. Finally, through SPIAC-B, the ILO has been able to further promote the ILO normative framework to other UN organizations and national governments. For example, this happened by including specific indicators in monitoring and evaluation (M&E) systems or labour standards, and promoting a life-cycle approach in analytical grids proposed to design SP schemes. The involvement of international NGOs as well as non-development actors from donor countries and Southern countries is particularly relevant because it multiplies the voices on SP reforms and allows to exchange good practices and viewpoints. Considering the capacity deficit that is observed in many countries and donor agencies, the accent put by SPIAC-B (and ISPA in particular) on capacity building is also highly relevant. The main capacity-building mechanisms are webinars, e-learning tools, and face-to-face training activities on specific ISPA tools.

Almost 58 per cent of the surveyed ILO staff feel that the inter-agency coordination and other work with multilateral organizations should be scaled-up. Only a small number noted that it should be scaled-down (table 11).

Table 11. How do you assess the level of ILO's work on SP in the following areas?

ILO staff	Should be less (%)	Should stay at current level (%)	Should be scaled up (%)
UN inter-agency coordination at both country and global level	2.78	38.89	58.33
Work with multilateral organizations at the global level	5.48	36.99	57.53

Source: EVAL survey, 2017.

Social dialogue features in many different ways in ILO's support for SP, ranging from mere consultation to real co-creation, but could be more consistently applied throughout ILO interventions and the policy cycle

Many ILO policy documents refer to the importance of engaging with tripartite constituents in the design and implementation of SP reforms. Employers' and workers' organizations have a key role to play in developing the way forward, but require: (i) support to build the necessary capacities to engage in substantive discussion on options and priorities; and (ii) equal opportunities in participation.

In a majority of the country case studies, tripartite constituents acknowledged ILO's efforts to foster their involvement in the policy reform process, but the level of participation differs substantially between the countries. For example, in a large majority of the case study countries, involving tripartite constituents in the dissemination of studies is a standard practice. In the policy design phase, more than half of case studies showed the active involvement of tripartite stakeholders. The number drops substantially when looking at the policy adoption and policy implementation phase, partially because in several countries the larger reforms get stuck in that phase but also because it seems to be lower down on the ILO agenda at that point. In most country case studies, tripartite constituents stated that ILO should do more in terms

of capacity building, aside from allowing them to participate in ad hoc events. As a consequence, weak capacity also limits their contribution to policy dialogue.

The survey results indicate that ILO is effective in engaging with tripartite constituents and other partners during the process of providing support to strengthening and expanding SP systems and services. However, 82 per cent of ILO constituents and other partners stated that workers' and employers' organizations are regularly consulted ("always", "very often" or "often"). The boxes 15–17 provide examples of alternative spaces that were used for social dialogue on SP.

BOX 15

Peru: Strong tripartite interaction

In Peru, there was a systematic practice of involving the social partners in the different ILO activities. For example, the recommendations resulting from the ILO studies were debated, validated and agreed with representatives of competent public bodies (various directorates of the Ministry of Labor and Employment, the Ministry of Education), as well as with workers' and employers' organizations and other entities, such as the Ombudsman's Office and representatives from the banking and insurance sectors.

BOX 16

Honduras: Promoting tripartite negotiations through the Economic and Social Council

The contribution of the ILO in facilitating tripartite social dialogue in Honduras was important for political debate at a time of great political and social polarization in the country. It facilitated the creation of a consensus on sensitive issues such as minimum wages, fixing the benefit levels, etc. The Economic and Social Council (ECS) acted as an institutionalized space for discussion and tripartite policy agreement (including workers' and 'peasants' centres, the employers' sector represented by The Honduran Council of Private Enterprise and the government), in which the ILO could influence recommendations to define the reforms required for the implementation of the new comprehensive law on SP. In addition, ILO in Honduras managed to build good cooperation with ACTRAV and ACTEMP to support the SP reforms.

Box 17

Honduras: Extending coverage to vendors through local tripartite dialogue

A good practice in Honduras, which could be scaled-up at the national level, is the pilot project for the extension of coverage to the Zonal Belén de Tegucigalpa market workers. This project was part of the project «Promoting respect for the labor rights of informal workers in Costa Rica, El Salvador and Honduras» which was funded by the US Department of State and executed between 2012 and 2016. It sought to facilitate the formalization of informal workers. The pilot plan was carried out jointly with the Ministry of Labor and Social Security, the local government, trade union centres and business organizations. The plan included establishing a Municipal Tripartite Social Dialogue Table for dialogue and consensus building, training participants on labour rights issues, SP, organization of non-union informal workers, and the elaboration of a preliminary draft of a tripartite consensual law for a differentiated insurance model for self-employed and self-employed workers from the local markets. ECS approved it in September 2016.

FROM THE INTERVIEWS

"ILO mostly gives us presentations on what they are doing with other partners" (Constituents)

"The ILO's working relationship with the constituents has been articulated, fluid, close and timely for the development of the demanded products." (Constituents)

3.2. COHERENCE

Recommendation No. 202 on Social Protection Floors provided a new and comprehensive guiding framework for ILO's SP activities at different levels

Recommendation No. 202 gave new impetus to the work of ILO's SP programme. During the interviews, key informants stressed the different ways in which the recommendation furthers ILO's agenda in SP by: ensuring that universalism figures prominently on the global agenda; increasing attention on the need to extend coverage to vulnerable groups; promoting the concept of progressive realization through the vertical dimension of the social protection floor; and by setting more incentives for inter-agency collaboration.

At the time of the 2010 HLE, the expansion of social security to the informal sector was still a source of controversy among ILO constituents, both at the global level (despite the adoption of 2011 ILC resolution on SP)⁴¹ and at national level. This debate lingered for some time within and outside ILO, including SOCPRO, but with the adoption of Recommendation No. 202 in 2012 and the follow-up social protection floors campaigns, the importance of the extension of the agenda is widely supported. This was also reaffirmed by the commitment of ILO constituents to extending SP coverage progressively to the informal economy in the Transition from the Informal to the Formal Economy Recommendation, 2015 (No. 204). The debate seems to have shifted partially to whether ILO has the necessary expertise and capacity to deliver on all the aspects of this extended agenda.

The relevance of Recommendation No. 202 can also be observed through its uptake at different levels. The uptake within SOCPRO is strong. Although some specialists might hold different views about certain aspects of Recommendation No. 202, or the way it is being implemented, overall the social protection floors framework is seen as the main reference framework. In a large majority of the case study countries visited, the normative framework of Recommendation No. 202 was a central component of the work of most of the ILO field staff.

The process and momentum around Recommendation No. 202 has also further strengthened the integration of social protection floors in all of ILO's operations. One important indication is the full attention SP gets in ILO's DWCPs. A mapping of the number of DWCPs that identified SP as a priority in the period 2012–2017, demonstrates that 70 out of 74 DWCPs (active and inactive) have SP as a priority or as a result (see table 12). Looking more closely at the 38 DWCPs active in 2017, 36 have SP as a priority and two as a result (table 13).

Table 12. Total number of DWCPs with SP as a priority or as a secondary result, 2012–2017

Total number of DWCPs (2012–2017):	No.
since 2011	74
with SP as a priority	66
in which SP not identified as a priority	8
in which not identified as a priority but results include SP	4

Source: SOCPRO, 2017.

The long term relevance of Recommendation No. 202 is that it can help to create or protect national policy space for SP policies, as described by the former head of SOCPRO: “The global consensus creates moral legitimacy and thus a political shield for national demands. It provides a political platform for national

⁴¹ The International Labour Conference (ILC) adopted the Resolution concerning the recurrent discussion on social protection (social security) on 17 June 2011, which inter alia paid attention to the extension of social security coverage to the informal sector.

Table 13. Total number of DWCPs (only 2017) with SP as a priority or as a secondary result

Total number of DWCPs (only 2017):	No.
with active DWCPs as of 2017	38
with SP as a priority	36
in which not identified as a priority but results include SP	2

Source: SOCPRO, 2017.

pressure groups that demand more social justice through social protection. ... That is of particular importance when governments turn back towards restrictive social policies.”⁴²

The adoption of Recommendation No. 202 and the subsequent steps taken through the UNDG architecture have facilitated cooperation between ILO and other UN agencies at country level. Although the actual social protection floors framework is not used consistently or adopted to a similar degree by stakeholders, the underlying building blocks and principles did facilitate dialogue and coordination between ILO and different UN agencies. Depending on the region and country, the ILO has established close cooperation with organizations, such as UNICEF, WHO, UNDP, World Food Program (WFP), UNFPA, Office of the United Nations High Commissioner for Refugees (UNHCR) or other UN agencies. There also has been a strong uptake of the Recommendation as reflected by its integration in the SDGs, the G20 agenda and in some areas of the work of international financial institutions.

The approach of Recommendation No. 202 has been recognized as highly complementary to the work of the UN and bilateral agencies by ILO partners. 89 per cent of surveyed ILO partners and donors noted that the work of the ILO is mostly complementary (29 per cent), very complementary (39 per cent) or extremely complementary (21 per cent) to their own approaches in supporting the creation and expansion of SP systems and services.

FROM THE INTERVIEWS

“Recommendation No. 202 created an overall framework to organise the debate and programmes.” (Constituents)

“In 2011 or 2012 more or less, we started to realise the need to transform the social security system. We began to seek international support and, looking at the different reference agencies who know the theme, the World Bank and IDB have their own focus, but we opted for the ILO approach, obviously the technical support of the social protection specialists who knew our situation very well played a role, but we also saw the importance of the social protection floors. The assistance of the ILO through technical support and in the management of the political dialogue, makes the difference, and we begin to see the first glimpses of a reform of the social protection system in the country.” (Constituents)

“From a historical perspective, ILO nearly missed it. But over the last few years they are picking up the ball again, especially since the social protection floors initiative. They have been doing well over the last 5 years. Now ILO is chairing our One UN social protection working group. For example, when we started 5 years ago in this working group we were spending almost 8 months to get a common understanding of what needed to be done, building the consensus... Of course in some areas other UN agencies have a lot of expertise, like on regular cash transfers, short term emergency transfers ... but the intellectual leadership should be with ILO.” (UN agency representative.)

“After an explanation of social protection floors provided by ILO to the ministry of work, the ministry started to realise that collaboration with the ministry of health would be needed, which worried them as the relationships between both ministries are problematic, but it was an important insight.” (ILO specialist.)

⁴² ICWS: *Missing a golden opportunity? Social protection floors as a UN social protection strategy and the post- 2015 development agenda* (Swansea, International College Wales Swansea, 2014).

The ILO strategic frameworks for the period 2012–2017 are in line with Recommendation No. 202 and cover ILO's work on the ground, but the frameworks provided limited guidance to monitor and report on progress on the global work

Indicators of the strategic framework describe key areas of ILO's country level work at the output level and to a lesser extent outcome level. The formulation is broad, making them suitable for all of the work on the ground. Specific indicators of outcome 4 and outcome 3 do not directly cover the global work, but it has been incorporated as one of the eight ACI for the period 2014–2015. The 2016–17 strategy for outcome 3 builds on the ACI on “Creating and extending social protection floors”. Reference to the global work on outcome 3 and 4 is made in the biennial P&B documents of ILO under the heading “Partnerships” or “External partnerships” but is not an explicit indicator in the Strategic Policy Framework or in the P&B. This means that much of ILO's work at global level, while a key aspect of the ILO's strategy, is not fully measured and reported on to the constituents.

Although in guiding documents the vertical dimension of the social protection floors is explicitly mentioned, the indicators related to the extension of coverage are rather vague on issues that look at the quality and equity of the benefits, an area that requires further attention.

Coherence and synergies with other ILO departments and offices are sufficient

As mentioned above, Recommendation No. 202 has provided a framework and strategy for the ILO in taking its work on SP forward. Nevertheless, the evaluation found that at times there are competing schools of thought within the ILO on actual use of terminology and definition of SP versus social security. The programme uses the terms interchangeably but some of the ILO staff members interviewed insisted that there was a clear distinction between the two requiring different approaches and strategies. A second discussion relates to the widening of the scope of ILO's work through the adoption of Recommendation No. 202. The aim of extending coverage to informal workers brought in new topics, mechanisms and actors, as well as more demand for multi-stakeholder approaches. Some interviewees were concerned that ILO did not have enough expertise and capacity to deliver on all these areas. A third area relates to how SOCPRO engages in SP with other ILO departments. Some ILO staff outside SOCPRO feel that their expertise and contribution is less recognized than in the past. There is a need for further communication and advocacy of Recommendation No. 202 and the ILO strategy in taking its work forward in contributing to the SDGs.

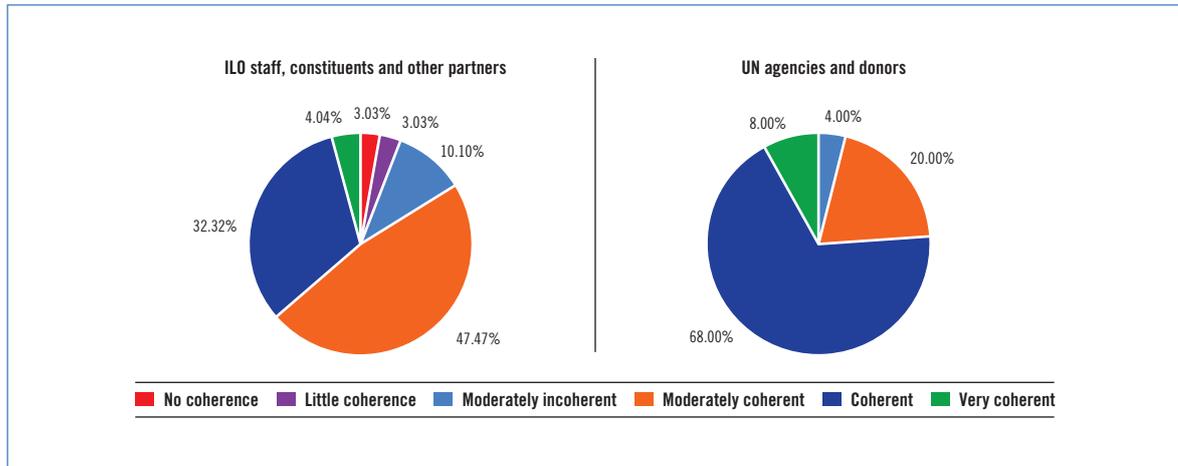
However, these internal differences in perspective of the ILO strategy are not picked up or perceived as a problem by ILO's partners as the survey results below show that ILO's UN partners and donors believe that ILO spoke either very coherently (eight per cent) or coherently (68 per cent) with one voice on issues of SP and social security. ILO staff, constituents and other partners were less positive about the issue with about 36 per cent of staff noting that ILO was very coherent (4 per cent) or coherent (32 per cent) (figure 10).

At country level, the degree of synergies between different ILO departments when implementing SP interventions differs between the case study countries. In some countries, such as Viet Nam and Zambia, synergies were actively explored. In other cases, this was less systematic. In Colombia, synergies with other ILO projects were hampered as every intervention follows a particular project logic and needs to respond to the requirements of each donor. There is not much space for joint initiative and collaboration. The challenges with the specific situation of Jordan are described in box 18.

The synthesis review finds that in most of the project evaluation reports from the period 2012–2017, coherence was rated as sufficient. While project design was theoretically sound, inadequate considerations of assumptions that might limit the effectiveness of strategies (shorter timelines, multiple partners, varied national contexts, political scenarios, etc.) were not sufficiently factored in raising the risk of incoherence and limiting effectiveness.⁴³

⁴³ ILO: Synthesis Review: Creating and Extending Social Protection Floors (Geneva, 2017), p. 13.

Figure 10. In your view, does ILO (HQ, regional offices, country offices) speak coherently with one voice on SP and social security issues?



Source: EVAL survey, 2017.

Box 18

Jordan: Structural SP work eclipsed by humanitarian work

The case of Jordan is of particular interest because it demonstrates the tension between long-term/structural development work and humanitarian work. In addition to a rather stable RBSA-based support mechanism on SP over the last few years, ILO has increased its humanitarian operations drastically in view of the Syrian refugee crisis in Jordan. According to the ILO Dashboard, the budget went up from US\$776,000 in 2012, to almost US\$17 million in 2017. This is mostly due to the upscaling of operations with regard to employment creation for refugees and host communities following the Syrian crisis and the London Conference. This process has also been accompanied by an increase in local and project staff and the changing profile of ILO representation in Amman. Interviews during the evaluation visit revealed that this growth of operations and staff has caused confusion amongst different Jordanian stakeholders on the core business and organization of the ILO. Not all stakeholders are well aware of ILO as a tripartite organization, the status of the ILO presence in Amman is not clear, nor is the mandate of some ILO representatives. To some extent, the structural work on SP seems eclipsed by other recent projects. There are limited indications of attempts to foster synergy between other ILO activities and the SP work, weakening coherence between ILO activities in Jordan. ILO now takes up the role of an implementing agency of one of the many cash-for-work programmes in Jordan, with less attention to its standard setting role with regard to decent work and social protection.

3.3. EFFECTIVENESS

ILO's work on SP has been effective as defined by the Strategic Policy Frameworks and other planning instruments, having surpassed its 2010–15 targets and reportedly achieved the 2016–17 targets early

The CPO tracking system⁴⁴ shows that the programme achieved all of the planned CPOs, and additional CPOs were identified and achieved (table 14). The implementation report for 2014–15 noted that for the indicators under outcome 4 in the period of 2010–15, the ILO had surpassed its planned targets for all three indicators in an impressive manner.

⁴⁴ The evaluation could not validate the reported CPOs in a comprehensive manner, and had to rely largely on existing information. A selection of CPOs in a sample of countries was reviewed. The reported outcomes were found to be largely in line with the reality on the ground, although ILO's contribution was often not clearly substantiated, complicating the assessment.

Table 14. Outcome 4 (Social Security): More people have access to better managed and more gender-equitable social security benefits (2010–15)

Outcome 4 (Social Security): Number of CPO targets planned and achieved 2010–2015			
	Planned targets 2010–15	Total results 2010–15	Percentage achieved
Indicator 4.1	46	49	106
Indicator 4.2	24	46	191
Indicator 4.3	23	47	204

Source: Recreated by EVAL based on Implementation Report 2014–15, p. 70.

Under the transitional Strategic Plan 2016–17, Outcome 4 was translated into Outcome 3 (Creating and extending social protection floors). At the time of the evaluation (March 2017), the outcome for 2016–17 had already surpassed its planned targets for the biennium for all three indicators (table 15).

Table 15. P&B 2016–17: Summary of targets by region and by indicator

Region	Indicator 3.1		Indicator 3.2		Indicator 3.3		Total	
	As per P&B 2016–17	As of March 2017	As per P&B 2016–17	As of March 2017	As per P&B 2016–17	As of March 2017	As per P&B 2016–17	As of March 2017
Africa	5	12	5	7	1	4	11	23
Americas	2	3	4	5	2	4	8	12
Arab States	3	3	3	3	3	1	9	7
Asia-Pacific	6	6	4	3	2	3	12	12
Europe Central-Asia	1	4	2	1	2	1	5	6
Total	17	28	18	19	10	13	45	60

Source: ILO: *P&B proposals for 2016–17*, Governing Body, 323rd Session, Geneva, Mar. 2015 (GB.323/PFA/1).

While the targets for all indicators and geographical areas were achieved, the tables show that the ILO was especially successful in increasing the number of countries which improved: (1) their SP policies (indicator 4.2 and 3.1); and (2) their legal framework, general and financial management and/or tripartite governance of social security (indicator 4.3). Geographically, this was especially the case in Africa where ILO surpassed its targets.

The previous analysis was based on existing ILO reporting documents. The HLE and the regional thematic evaluations reviewed a selection of targets (CPOs) in all 16 case study countries. The reported outcomes were found to be largely in line with the reality on the ground. In most cases interviewees confirmed that ILO contributed to a given outcome, although in some cases opinions about the significance of ILO's contribution differed.

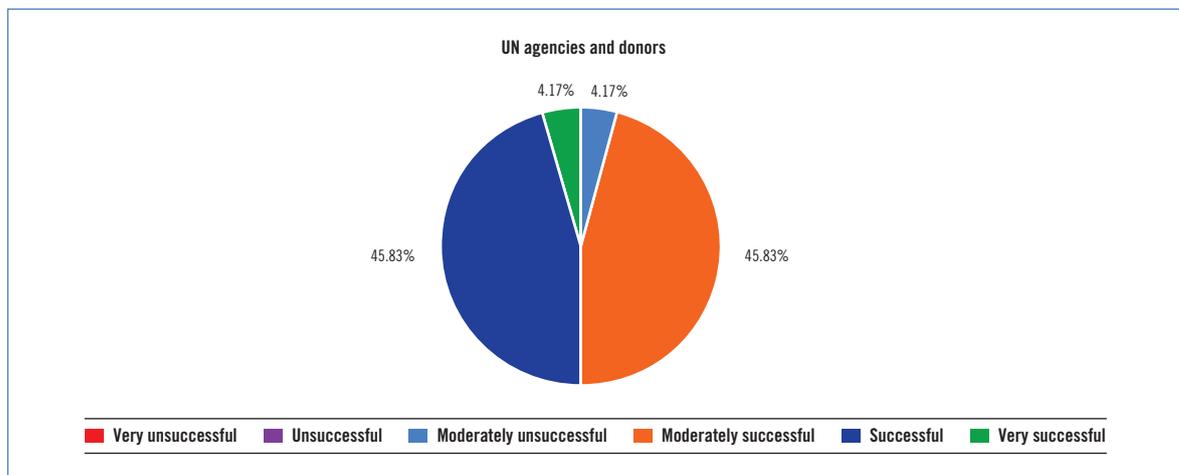
As identified in earlier evaluations, the CPO reporting shows some weaknesses. For example, ILO's specific contribution to reported changes is not always clearly substantiated.⁴⁵ The evaluation also identified some differences across the countries in the level of detail in reporting of how ILO contributed to an

⁴⁵ This is related to the way ILO reports on outcomes, with limited information on the importance of a reported change and how ILO specifically contributed to it (SOCPRO is currently testing a new impact assessment tool to improve the monitoring of changes, and ILO's contribution).

outcome. Finally, the information on which the CPO reporting is based, tends to be scattered across documents or is not systematically documented.⁴⁶

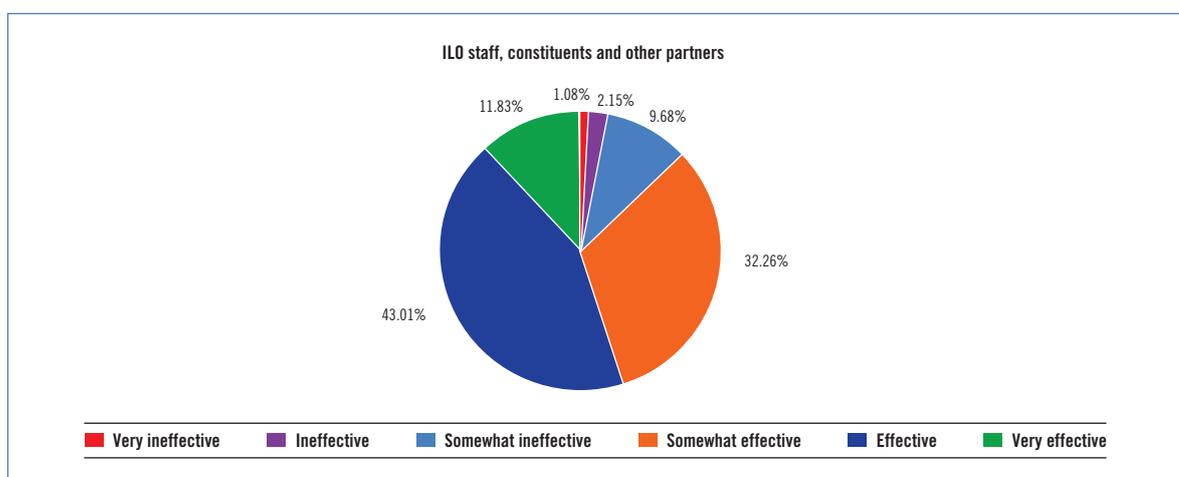
The surveys showed an overall appreciation of the success (UN partner agencies and donors survey, figure 10) and effectiveness (ILO staff, constituents and other partners surveyed, figure 11) of ILO's work. Around half of the ILO respondents felt that ILO was (very) effective, and a similar percentage of the partners stated that ILO was (very) successful. At the same time, on the whole, survey respondents were more critical than might be expected from the CPO analysis above. However, it has to be noted that most of the CPO indicators relate to the policy design phase level, a phase for which it is more likely that results will be achieved, while the survey questions looked at the full cycle, including policy implementation (“... building effective, efficient and inclusive social protection systems and services.”) (figures 11, 12).

Figure 11. In your view, how successful were ILO's support and technical cooperation projects (development cooperation) to building effective, efficient and inclusive social protection systems and services? (Partners survey.)



Source: EVAL survey, 2017.

Figure 12. How effective were ILO support and technical cooperation (TC) projects in developing/improving social protection systems and/or services in 2012-2017? (ILO internal survey.)



Source: EVAL survey, 2017.

⁴⁶ This is due to the fact that ILO has parallel systems for reporting on TC projects, and no systematic reporting of RBSA- and RB-funded activities.

The next section presents a number of findings from the fieldwork in different countries. There are examples of both, interventions that were highly effective as well as interventions that faced internal or external problems. The country case studies confirm the main trends in the overall CPO analysis. ILO managed to be effective especially in interventions that had a policy development component (backed-up by an ABND process), or that deal with legal reforms. The case studies point to the importance of technical advice and services for the reform of SP schemes, and the overall mix of inputs provided in a flexible and integrated way by the three levels of support (national, regional and HQ). Experiences with policy implementation are mixed.

Lao People's Democratic Republic. Since 2012, ILO's SP engagement in the country has focused on the ILO-WHO "Joint Programme Supporting the Establishment of the National Social Health Insurance Scheme (NHI) and the Extension of Coverage in Lao PDR, 2012–2015", aiming for the complete integration of all health insurance schemes. In addition to this programme, ILO also delivered a series of actuarial valuations, technical advice for the drafting of the Social Security Law (2013), associated regulations (2014), the NHI and technical and capacity development support to the Assessment Based National Dialogue on SP.

Although the programme was not fully effective, it did contribute to the integration of both the formal and informal sectors schemes and thus to a less fragmented SP system with only two core players. Key stakeholders confirm that ILO was 'indispensable' for the establishment of the National Social Security Fund (managing the formal sector scheme), and that ILO facilitation, technical inputs, and provision of master scholarships have also been crucial for the establishment of the NHIB (managing the informal sector scheme).

With regard to the joint programme, the effectiveness of delivery was hampered by a difficult policy context but also by weaknesses in project design and administrative arrangements. These include insufficient attention to risk assessment (e.g. the limited capacity of local partners), inadequate resourcing for full implementation, limited coordination mechanism/arrangements between ILO and WHO and too transaction-intensive internal systems and procedures.

ILO managed to involve important stakeholders in the implementation of the programme and was effective in creating national ownership of the reform process. Although only limited participation was envisaged for the social partners, ILO did engaged actively with employers and trade unions. This interaction convinced trade unions to commit to a more active role in the future development of a SP policy and systems and to request capacity-building support to increase their effective input in policy dialogues on the topic. In addition to ownership, ILO also fostered improved coordination between national actors, including relevant international actors, where necessary.

Another factor contributing to the effectiveness of ILO-support, and explicitly confirmed by stakeholders, was the strong engagement and qualitative support of the ILO staff (in-country staff, senior management, and specialists in Bangkok). The consistency, accessibility, responsiveness, and openness of ILO assistance on SP, including the organization's informal advice by phone or Skype when necessary, is highly appreciated by stakeholders. Its role as the organization to go to on SP is also confirmed by the respect accorded to it by the wider UN community. This is demonstrated by ILO's lead role on SP under the Lao People's Democratic Republic-UN Partnership Framework (UNPAF), 2017–2021.

Cambodia. A continuous focus of ILO engagement since 2012 has been TA and capacity development support to the National Social Security Fund (NSSF), established with ILO support in 2007. This has included support to the establishment of the Employment Injury Insurance (2008), the establishment of the Social Health Insurance (2006) and the development of the new central role of the NSSF under the National Social Protection Policy Framework 2016–2025. The funding for these activities was a combination of back-donor support, direct trusts funds and ILO support. In addition, ILO has supported the development or improvement of several other SP components and policies with background, feasibility and costing studies, actuarial reviews, and technical and legal advice.

Despite the relatively small human and financial resource base and efficiency challenges, ILO has contributed significantly to important developments in Cambodia’s SP policies and systems. The country office’s consistent commitment, the strong expertise of the technical experts from Bangkok and Geneva, and senior management’s engagement have all been key to the effectiveness of ILO interventions.

Stakeholders explicitly confirm the high quality and added value of ILO technical expertise, especially in areas such as the interrelationship between contributory and non-contributory schemes and cross-cutting approaches which take the bigger SP system into account.

An area in which the effectiveness of ILO engagement has been less than optimal, also offer lessons for future planning. One example concerns the status of the Social Service Delivery Mechanism (SSDM) pilot, currently suspended due to the lack of available services for the targeted community. A key lesson in this context is the importance of being closely aligned to local contexts and capacities, with careful consideration of the appropriate timing and sequencing of interventions. In retrospect, this initiative would appear to have been out of sync with local “readiness” and service-delivery capacities.

Stakeholders also point to the low capacities of social partners with respect to SP policy analysis and dialogue as a constraint to progress. For example, the employers are reported to feel “left out” and are not yet convinced that SP reform is necessary and would be beneficial. This indicates that a systemic approach to strengthen the knowledge and capacities of the relevant social partners could enhance both the quality of policy dialogue and the ultimate effectiveness of SP reform.

Mongolia. Central to ILO’s SP work in Mongolia has been the ILO/Japan project “Promoting and Building Social Protection and Employment Services for Vulnerable Groups” (MAPS), which was implemented from 2014 to 2016. After its completion, ILO continued to engage with the Government of Mongolia on SP issues (including on the results of the ABND and the affordability of SP in times of economic crisis). However, the focus of national SP policy since the financial crisis in of 2015–2016 has been on sustainability in the light of the IMF bailout.

The activities related to the different components of the MAPS-project in Mongolia have been implemented mostly according to plan. Furthermore, significant advances have been made towards achieving the objectives of the project. In addition, the ILO succeeded in increasing its visibility in Mongolia and in developing its relationship with key ministries.

An important result of the MAPS-project was the delivery of key studies, the provision of capacity-building support and the organization of an extensive consultation, culminating in an ABND-report on SP and employment support published in 2015 and endorsed by the government. Some (minor) recommendations have already been implemented (e.g. contribution arrangements for herders). Stakeholders have provided particularly positive feedback on the capacity-building support.

ILO also engaged with the Ministry of Labour and local governments to work on rural employability in two districts (soums), each situated in a different province (amaigs). With a social and economic rapid assessment, skills training of herders and activities on social security, the project succeeded in improving the livelihoods of herders as well as raising their social insurance coverage. Local data in one district indicated that social insurance coverage in the three participating cooperatives had risen from 20–33 per cent to 40–55 per cent after the project’s intervention.

ILO delivered a detailed financial assessment of a pension scheme for herders and self-employed and provided a foundation for a possible scheme. The tripartite stakeholders have endorsed the report. The ILO completed an assessment report complemented with awareness raising on the ratification of Convention 102. However, so far, no concrete government action has followed on either of these topics. The deterioration of the economic situation of the country is definitely a factor hindering further advances.

Mozambique. ILO has been working on the extension of SP through a patchwork of small- and medium-sized projects financed by different back donors and direct trust funds. Through the different activities

and the (implicit) strategy developed and implemented at national level by national staff, ILO has clearly contributed to outcomes 4 and 3. However, an explicit operational plan or coordination mechanism to align the work at national, regional and global levels is lacking.

When assessing ILO's key contributions, stakeholders seem to agree that ILO's main added value has been in the delivery of technical advice through fiscal space studies, actuarial studies, and the analysis of social action and spending from a national budget perspective (budget brief on social action). Capacity-building efforts (mostly through training, informal coaching, participation in meetings, etc.) were appreciated but ILO's real contribution to change is difficult to assess in objectively because of a lack of monitoring.

Stakeholders point out that the long-term presence and permanent availability of ILO in the country has fostered its deep knowledge of the country's political economy, allowing it to act as an informal coach or sounding board for government representatives reflecting on SP issues.

When assessing weaknesses, slow ILO administrative processes are often mentioned. The time-consuming administrative process hinders the capacity of ILO's country-based staff to respond quickly or adapt project budget and activities in a flexible way. This affects the effectiveness with which they take advantage of opportunities. The interaction with ILO-specialists is mostly at regional or subregional levels, while HQ technical support was perceived to be less easily accessible.

Zambia. Over the last few years Zambia has been experiencing difficult economic times –economic and electricity crises, high inflation, a drop in the price of copper on the world market, and public sector budget cuts. A number of internal and external factors have created incentives for SP reforms and the mobilization of domestic and donor funding. Growing inequality in society has put pressure on the political system to deliver in the area of SP. A second influential factor has been the success of UNICEF's social cash transfer programme. The piloting of this programme went hand in hand with a randomized control trial (RCT)-based impact assessment. The findings provided strong evidence in favour of cash transfers, convincing both the government and donors to invest more in social assistance. In parallel, ILO has been working hard on advocacy for Recommendation No. 202 and through fiscal space studies, paving the way for a new round of SP policy reforms. As a result of these drivers, the government increased the budget for social assistance, and started an ambitious reform programme. The overall economic programme has five pillars, with one of them being SP, a sign that it is high on the government's agenda.

The development and endorsement of the NSPP with the support of ILO in 2014 was an important step: it provided clear guidance on what SP is and all the necessary reforms that were required, looking at both social security and social assistance systems. It also provided help in understanding why SP work should include other ministries than just the ministry of community development or the ministry of labour. A major ILO achievement relates to the increased interest amongst the leading governmental institutions and the social partners in the extension of coverage for informal workers. For instance, the SP entity National Pension Scheme Authority (NAPSA) is now committed to this agenda and has set up a team tasked to coordinate its efforts for the extension of coverage agenda. In addition, innovative mechanisms were tested, such as a shared mobile registration office (NAPSA and the Workers' Compensation Fund Control Board (WCFCB)) through the Green Jobs Programme. ILO also played a major role in several SP reforms, for example, by providing support to an integrated framework for SP, and work in the area of pensions.

The reform process led to the drafting of a new bill on social protection in 2016–2017. A complex and nontransparent drafting process as well as rivalry among different line ministries resulted in draft laws that no longer reflected the basic principles of the NSPP, much to the frustration of various constituents.

Colombia. In the period 2013–2017 three programmes related to SP have been implemented consecutively: project Colempleo (2013–2014) including elements of social protection floors in two of the six intervention areas (related to the formalization of labour and family subsidy system); a regional programme on the promotion of social protection floors (2014–2016) focusing in Colombia on expanding coverage to informal workers (rural and urban area); and a third programme (2016–2017) on the development of a

proposed law on social protection floors. The expansion of the SP system to the rural sector was promoted within the framework of the peace agreement that was signed in 2016.

Two external evaluation reports confirm that all products have been successfully delivered. Effectiveness at output level was considered high, but looking at the actual changes and outcomes achieved, the picture became more nuanced. Stakeholders confirmed that ILO had put the social protection floor on the policy agenda in Colombia (for example in the run-up to the peace agreement) and by doing so had introduced an overall policy framework that provides a place for the different existing social security and social assistance schemes.

ILO has contributed directly to several policy development processes, i.e. on the development of a new law adapting the mechanism for unemployment coverage, which was approved; on alternative affiliation mechanisms of “taxi motos” to social security (principles that were included in the law); policy recommendations to develop a strategy for the promotion of a culture of social security, on complementary social services; and policy recommendation to extend the social security system to the rural sector. At the time of the evaluation, draft proposed legislation on social protection floors was being prepared to present to the congress.

In several instances, these efforts have led to acceleration of the policy discussions (e.g. on coverage for the rural sector), but there are important challenges in Colombia for the implementation of policy. So far, fairly limited evidence can be found for a clear ILO-contribution to the actual improvement of coverage, benefits or management of SP schemes. The question was raised whether fitting the fragmented social security system under one social protection floors denominator would not divert the attention from the need to address the fragmentation and the limited effectiveness of existing systems. Finally, the ministry of finance is not yet convinced by these policy discussions and blocked the first proposal when it was presented through a fast-track process in 2017.

ILO has mainly contributed to improving knowledge and the information base on social security in Colombia, for example, by reviewing the relevance and effectiveness of the well-established but mismanaged social protection family subsidy system; and by mapping complementarity in social services. Due to limited reflection on the actual implications of the findings and lack of political will and consensus, this has not translated into action or reform.

The ILO’s capacity building and knowledge transfer efforts are widely appreciated by the stakeholders. However, because there is no baseline data on the capacity of the social partners, it is hard to assess the capacity gains. Since there is no system for tracking beneficiaries of capacity building, the actual long-term results beyond the individual level also remain unclear. This is especially hard given the very high staff turnover rate at the Ministry of Works and other ministries. ILO plays an important role in ensuring knowledge transfer within this challenging context. Efforts regarding capacity building and knowledge transfer have been targeted mostly at relevant administrations, while workers’ confederations have been less involved and will be less served by the emphasis on social protection floors rather than on their ‘hot topics’ such as minimum wages and living wage.

The Hashemite Kingdom of Jordan. ILO’s technical support in Jordan, mostly in close cooperation with the Social Security Corporation (SSC), has been effective in supporting gradual changes in the legal and policy framework of SP in Jordan. This has led to an extension of coverage (more beneficiaries and benefits) that is embedded in law and policy.

The actuarial reviews and outputs related to the reform of the social security system have also been important in extending the knowledge and information base, specifically of the SSC. However due to an embargo, the accessibility of several of the key outputs (and hence their impact) for social stakeholders other than SSC has been restricted. These activities have also been less effective in fostering better coordination and tripartite governance, in part due to the privileged relationship with SSC and in part due to the general shift in focus away from structural development work towards relief work following the Syrian crisis.

This is different for the outputs related to the social protection floor activities in Jordan (a costing study; a mapping of the social security landscape, a feasibility study of social protection floors and a study on implementation, governance and management) that can be shared. Many stakeholders have confirmed the relevance of these outputs, which are considered a valuable input and impetus for the reflection on the overall SP system. Stakeholders point out the need for more expertise on the inclusion of the informal sector in SP.

The production of most of these outputs has relied strongly on external consultants. There is no explicit capacity-building strategy cutting across these different projects with SSC or with other social partners, and there is no tool in use to keep track of changes in capacity or of ILO's contribution to enhancing it. Hence, evidence for a significant contribution to the analytical capacity of stakeholders is not consistent.

Efforts on awareness raising and capacity building have been effective in putting the social protection floor on the radar of all social stakeholders, but the lack of a strong political 'champion' and the refugee crisis have made it hard to keep the issue on the political agenda.

Overall, stakeholders appreciate the quality of the different types of ILO support. However, they pointed out the slow procedures (i.e. in getting approval for projects and hiring experts) and the high cost of some of the services of the ILO as an issue. The effectiveness of SP work has also been hindered by the recent up scaling of ILO's involvement in providing assistance for Syrian refugees in Jordan. For local partners, ILO's identity has become more diffuse, the status of ILO's representation in Amman and the relationship between the projects managed from Amman and the SP work are unclear (see also box 18 above).

ILO's SP visibility and outreach continued to grow, with substantial progress on digital media, the number of global products, and new partnerships

The 2010 HLE recommended that the ILO should develop innovative approaches to increase ILO visibility at different levels, of course taking into account the necessary sensitivities,⁴⁷ especially at the country level, as the report notes: "However, [ILO]... is precluded from taking overt credit for high-visibility reforms, because its role is advisory and analytical, and based on concrete country requests."

ILO has been effective in improving its visibility at different levels. At the global level, the visibility of ILO's SP work was advanced by many factors, such as the programme's increased presence on the Internet, new products and partnerships, and the Global Flagship Programme. The important role of SOCPRO's digital media campaign for ILO's enhanced visibility is highlighted by the survey results. Over 96 per cent of the ILO's UN partner agencies and donors surveyed noted that they are aware of ILO's global products. The number of downloads of leading publications (table 16) provide another indication of visibility and uptake, with some of the recent publications, such as the World Social Protection Report 2014–2015, receiving the highest number of SP publication downloads since they were first recorded. Many other publications also have good download numbers.

In general, the quality of ILO's SP publications is assessed positively in the survey by ILO staff, constituents and other partners as well as by UN partner agencies and donors (figure 13). In both groups, more than 90 per cent rate the quality between good and very high.

A similar picture arose from the interviews during the field visits. However, a number of criticisms were expressed:

- It was argued that some global publications had not taken sufficiently into account the diversity of different contexts in which ILO is operating. A related remark was that some of the global products were found to be too general, and not sufficiently supported by specific technical expertise.

⁴⁷ With the growing number of joint UN programmes, a similar sensitivity in communication strategies will have to be considered towards other UN partners.

- Global publications tend to be perceived by field staff as being written by HQ staff, rather than through a collaborative effort with the field.
- ILO is no longer systematically sharing hard copies of all of its publications with partner ministries, which, according to constituents, reduces the chance that they will be read.

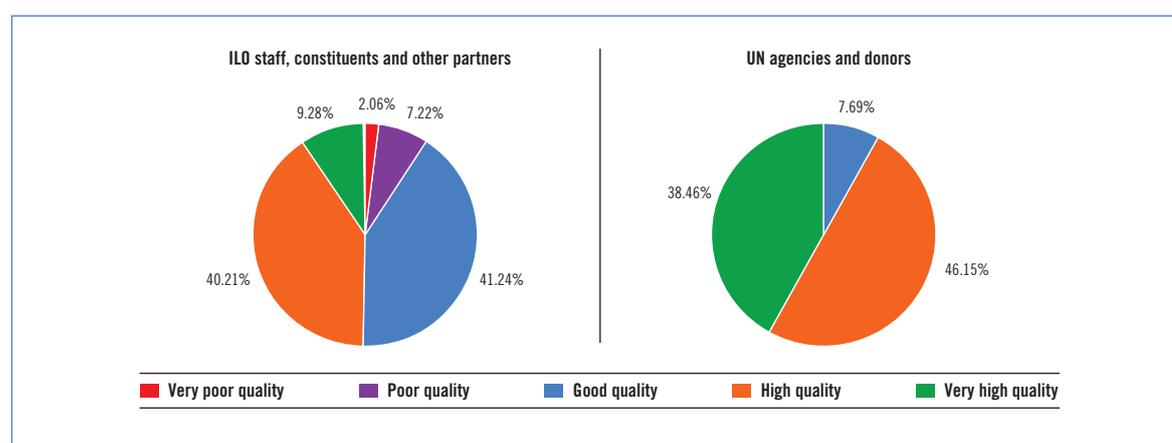
The increased presence on the Internet has also increased the profile and visibility of the ILO. In Google searches resources of SOCPRO are now often featuring in the top five of the results page. This is an important achievement.

Table 16. Social Protection Platform – top 15 downloads of SOCPRO publications published in the period 2013–17 (downloads from ilo.org website are not included)

Title	No. of downloads
World Social Protection Report 2014/2015. Building economic recovery, inclusive development and social justice	30 870
Global evidence on inequities in rural health protection. New data on rural deficits in health coverage for 174 countries	17 436
Social protection for maternity. Key policy trends and statistics	12 242
Fiscal space for social protection. Options to expand social investments in 187 countries	11 375
Trabajadores independientes y protección social en América Latina	8 693
Social protection for children. Key policy trends and statistics	8 378
Cash transfer programmes, poverty reduction and empowerment of women in South Africa	7 996
China: Universal pension coverage	7 683
Innovations in extending social insurance coverage to independent workers	7 440
Social protection for older persons. Key policy trends and statistics	7 386
The decade of adjustment. A review of austerity trends 2010–2020 in 187 countries	7 107
Uruguay: Monotax. Promoting formalization and protection of independent workers	7 106
Long-term care protection for older persons. A review of coverage deficits in 46 countries	7 050
Cabo Verde. Universal pensions for older persons	6 992
Reversing pension privatization. The experience of Argentina, Bolivia, Chile and Hungary	6 634

Source: SOCPRO, 2017.

Figure 13. How would you rate the quality of ILO global products (e.g. websites, manuals, guidelines, policy briefs and other publications) that relate to social protection?



Source: ILO survey, 2017.

The main ILO website www.social-protection.org is positively received by most interviewees. It provides a good overview of ILO's work in the field and has up to date news on new developments on social protection floors and other related fields. In the survey, more than 89 per cent of the ILO's UN partner agencies and donors stated that they were familiar with ILO's social protection online platform and use it mostly to retrieve ILO publications and other knowledge sharing products. The main critique related to the partial overlap in content with the UNDP-managed website www.socialprotection.org, which confuses some users and raises questions about the efficiency of having two similar initiatives. Also, the fact that some of the leading ILO publications on SP cannot be accessed through the website, and the limited user friendliness of the search function are perceived as weaknesses (table 17).

Table 17. How often have you used the Platform in the last six months to search for or participate in any of the following?

	Never (%)	Very rarely (%)	Rarely (%)	Occasionally (%)	Frequently (%)	Very frequently (%)
Data and indicators	16.67	4.17	20.83	45.83	8.33	4.17
Tools	16.67	4.17	16.67	50.00	8.33	4.17
Regional or country specific information	4.17	4.17	12.50	45.83	29.17	4.17
Work Spaces	28.57	9.52	19.05	23.81	14.29	4.76
Publications	4.17	8.33	8.33	37.50	37.50	4.17
Evaluation reports	4.35	8.70	4.35	65.22	13.04	4.35
Case studies and good practices	4.17	8.33	8.33	45.83	25.00	8.33
Latest news	4.55	13.64	22.73	36.36	18.18	4.55
Online discussion	40.91	18.18	22.73	13.64	4.55	0.00

Source: EVAL survey, 2017.

The number of followers on Facebook (2,268 followers) and Twitter (1,684 followers) are a good starting point, but are still modest considering the global outreach of the programme.

UN collaboration at country level is showing strong added value. The level of cooperation is still uneven across countries.

The results of the efforts towards more UN collaboration on SP are judged overall positively. Almost two-thirds of ILO staff, constituents and other partners (64 per cent) surveyed are of the opinion that ILO's cooperation with other UN agencies is good, high or even very high, while the percentage for ILO's UN partner agencies and donors is slightly higher (67 per cent). In some of the case study countries where this type of collaboration does not exist yet, ILO constituents and other stakeholders are asking for more inter-agency collaboration.

The experiences in case study countries that have some form of UN collaboration are good. That includes Mozambique and Thailand where it already started in 2012 and 2010, respectively, but also in more recent examples, such as the Lao People's Democratic Republic, Nepal, Peru, Viet Nam and Zambia.

Thailand is another example of how the ILO has played a key role within broader UN efforts to support the government in the development of a holistic and coherent SP system. In 2010, the UN established a multi-agency SP team chaired by the ILO. This evolved into a UN/government joint team under UNPAF, which was aligned to the Eleventh National Economic and Social Development Plan (NESDP) in "creating justice in society" and one of the key targets, namely "all citizens acquire social protection". In Peru,

the articulation of ILO action with other agencies of the UN system and cooperation had not been planned strategically, and was rather ad hoc, but started improving at the beginning of the period evaluated, through the creation of the inter-agency initiative to promote the social protection floor.

Other examples are described in the boxes below although some operational challenges remain:

- Viet Nam: There is good cooperation with UNDP and UNICEF, but mainly to agree on the policy messages to the government, and determine the focus of the future programmes. Due to poor experiences with joint fund raising, different UN agencies have resorted to individual fund raising.
- Zambia: There is an advanced form of UN cooperation which includes a comprehensive joint programme and a coordination role for ILO. However, key informants indicated that the programme does not sufficiently engage in strategic dialogue with the government to identify areas of work where most impact can be achieved and the government's highest level of commitment can be expected. Also, strategic dialogue with back donors is still missing. In addition, there is strong cooperation between ILO and UNICEF, but much less with other UN organizations. Finally, there is an issue with the absorption capacity of government and trade unions, which creates a risk of donor-driven dynamics.
- Some of the findings from Cambodia (box 19) and Mozambique (box 20) are described below.

BOX 19

Cambodia: reforms constrained by lack of UN coordination

When there is traction within the government for SP reforms, the lack of joint UN initiatives is evident. Coordination within government as well as between international development partners is crucial. A high level of coordination needs to be maintained and further enhanced for the emerging SP agenda within the National SP Council which is being established. Similarly, greater coordination and shared strategies between donors (including within UNDAF) is critical, as ongoing reviews are highlighting the transactional costs for government of the lack of such coordination. Clarity of leadership and priority setting by the Council will be key in providing a strong basis for more coordinated international engagement.

BOX 20

Mozambique: Improving donor coordination

ILO has contributed to improved donor coordination in Mozambique through formal (UNDAF, co-chairing donors working groups, elaboration of UN joint programmes) and informal mechanisms (lobbying other donors). A UN Joint Programme (ILO, UNICEF and WFP) aimed at strengthening the institutional capacity to implement, monitor, evaluate and coordinate the SP programmes, has been ongoing since 2007. A new UN Joint Programme is under discussion. The ILO team has also successfully lobbied for an explicit outcome on SP in UNDAF 2017–2022 (“Outcome 5: Poor and Vulnerable People benefit from a more effective system of social protection”). However, efforts towards donor coordination seems to have less impact than a few years ago. Recent efforts to foster donor coordination seem to be hindered by the financial crisis at national level, which in turn is affecting the design of many SP programmes, especially because support is increasingly directed towards catering to the short-term needs of final beneficiaries rather than long-term institutional capacity building.

ILO collaborated with IMF Mozambique in the period 2010–2013, which resulted in a joint report on the social protection floor.¹ IMF was also supporting ILO's advocacy to increase domestic resources allocated to SP. More recently, the Fund is backtracking on most cooperation with ILO.

¹ Cunha et al., 2013. Towards a Mozambican Social Protection Floor. Consolidating a comprehensive social protection system in Mozambique. Analysis of policy alternatives and costs, ESS Paper Series (SECSOC) – ESS 41. http://www.ilo.org/secsoc/information-resources/publications-and-tools/Workingpapers/WCMS_234576/lang-en/index.htm.

FROM THE INTERVIEWS

"They [UN partners] really try to understand our issues, we now have less fragmented inputs from different donors." (Constituents)

"I was then working on the committee to feed into the NPSP [National Policy on Social Protection]. I remember that ILO was bringing in the idea of making it comprehensive, while UNICEF brought in the transformative dimension. They were really complimentary. We had many joint meetings, and there was no competition, real synergy." (UN agency representative.)

"The overall Joint UN programme is also kind of a shopping list: is there enough strategic reflection on what to push at what stage, is there sufficient appetite for some things, like maternity benefits (?). . . Are they providing sufficient support for the employers and workers? Often government is not really ready to absorb it. Even around disability: the UN is advancing it too far from where government is." (Bilateral donor.)

Recommendation No. 202 and the social protection floors campaign have been effective at policy level, especially in the policy design phase, but Implementation of reforms is slow in most countries

In the section on relevance, it was indicated that the social protection floors campaign was well designed. Examples were provided of how the campaign was picked-up across the ILO and UN as a whole, and at the global level. This positive picture is also emerging in terms of effectiveness.

There has not yet been a systematic review of the extent to which ILO's cooperation partners have taken up references to Recommendation No. 202 and social protection floors in national policy documents. In the case study countries, the situation seemed quite diverse. In most cases there were either explicit references to the social protection floor or at least to important underlying principles and aims (universalism, extension to informal workers, etc.) in the policy documents reviewed.

BOX 21

Asia: Effects of the social protection floors campaign

The ILO has strengthened its communications strategy to inform constituents and the public at large about Recommendation No. 202, the ILO's two-dimensional SP extension strategy and to promote ratification of Convention No. 102. For example, in Indonesia, Convention No. 102 was promoted through the conduct of a comprehensive analysis of Indonesia's social security legislations and practice on the one hand, and Convention No. 102 on the other hand (October–December 2011). In the People's Republic of China, capacity building programmes were undertaken, which included training and briefing government's representatives and social partners on the main principles of the ILO convention on social protection. In Mongolia, at the request of the government, the ILO conducted an assessment of the social security laws in view of the possible ratification of Convention No 102. The report concludes that Mongolia is technically in a position to ratify the Convention and steps towards ratification are now being planned.

The ILO has directed its efforts towards building momentum around social protection floors by raising awareness at regional, sub-regional and national levels through workshops, materials and evidence related to country experience. At regional level, the social protection floors framework was included in a major document by the United Nations Economic and Social Commission for Asia and the Pacific (UNESCAP) entitled "The promise of protection" that was launched at the Sixty-seventh session of the Commission on 19–25 May 2011. The ILO then led the UNDG–Asia Pacific Thematic Working Group on Social Protection and took the lead in drafting the UNDG-AP Issues Brief on Social protection (Nov 2011) that enables UNCTs to explore ways to jointly promote and support the implementation of SP at the country level. Moreover, the level of engagement on SP has increased dramatically as evidenced by the number of UNDAFs that prioritize the development of SP. Several UN agencies have joined forces to promote social protection floors and support countries in designing and implementing their national SP strategies. This is the case in Cambodia, India, Indonesia, the Lao People's Democratic Republic, Mongolia, Myanmar, Nepal, and Thailand, amongst others. Within this framework, the role of the ILO has been prominent.

The adoption of Recommendation No. 202 had a positive effect on the ratification of Convention No. 102. The number of ratifications has increased gradually from 48 in 2012 to 55 in 2017 (up to March). It is likely that the target of 60 ratifications will be achieved by 2019.

Some observers indicated that the social protection floors campaign did not have a sufficiently clear tool-box to implement it at country level (box 21).

Multi-stakeholder partnerships have contributed to ILO's outreach at global and national level.

An overall appreciation of ILO's effectiveness in multi-stakeholder partnerships can be derived from the evaluation surveys. As indicated in table 18, ILO staff, UN partner agencies and donors assess ILO's cooperation on SP with UN partners at global level as mostly positive. The same finding applies for ILO's overall cooperation with multilateral and bilateral donors.

Table 18. How would you rate the effectiveness of ILO's work on social protection in the following areas?

Areas		Very poor (%)	Poor (%)	Satisfying (%)	Good (%)	High (%)	Very high (%)
Cooperation with other UN partners at global level	UN partner agencies and donors	0.00	9.09	31.82	18.18	31.82	9.09
	ILO Staff	1.61	19.35	19.35	27.42	22.58	9.68
Cooperation with multilateral and bilateral donors	UN partner agencies and donors	0.00	4.00	8.00	44.00	36.00	8.00
	ILO Staff	1.61	14.52	22.58	30.65	20.97	9.68

Source: EVAL survey, 2017.

The positive effects of awareness raising of donors on SP could be witnessed in Honduras (see box 22).

BOX 22

Honduras: Effective awareness raising of donors on social protection floor, at the same time creating future funding opportunities

One aspect to be highlighted in the social protection floors campaign in Honduras was the training of technical staff of the diplomatic delegations (G-16 group) on the concept and strategy of the Social Protection Floor, which was organized in 2012. This enabled the development of a common understanding and appropriation of the concepts by the Technical Bureau for Employment and Sustainable Economic Development led by EU and ILO, and other bilateral donors. This is an effort that needs to be strengthened given that, in face of ILO resource constraints, it could enhance the consolidation of the social protection floor through synergies in SP related issues that are of interest to donors (e.g. work education, job placement for women and returnees, training for youth and women work, early childhood care, etc.).

Examples of the added value of joint publications with leading international bodies emerge throughout the period under review, for example where they are feeding into G20 statements (see box 23). Another example has been the documentation of 23 working papers in 2016 with country experiences supporting the new USP2030.

BOX 23

Influence of joint ILO/OECD/World Bank/IMF paper on G20 policy

“So far the G20 [meeting in Turkey] in 2015 is a high watermark in terms of the G20's recognition of inequality, concluding that 'rising inequalities... pose risks to social cohesion and the well-being of our citizens and can also have a negative economic impact and hinder our objective to lift growth'. At the Turkish G20 leaders issued a statement called 'G20 Policy Priorities on Labour Income Share and Inequalities' which was pretty strong, itself based on an excellent paper produced by the ILO, OECD, World Bank and IMF (<https://www.oecd.org/g20/topics/employment-and-social-policy/income-inequality-labour-income-share.pdf>).” (Leading international advocacy NGO, July 2017.)

Source: email of 15th July 2017 distributed via list serv <http://www.recoveryhumanface.org/>.

In previous sections, examples were provided of joint studies supporting governments in their SP reforms, such as the joint study with the IMF in Mozambique on fiscal space in 2013, or joint study work with other UN agencies in the design phase of new social protection policies.

The Social Protection Inter-agency Cooperation Board (SPIAC-B) is the first global structural effort to increase collaboration between ILO, the World Bank and other agencies on SP. Since 2012, nine meetings have been held, with growing interest from the international SP community as witnessed by the increased representation of different agencies.

In terms of effectiveness, SPIAC-B has undertaken a number of important initiatives in working towards more policy coherence and better donor coordination, such as:

- discussing vision and advocacy strategies in order to influence global agendas (e.g. financing for development, SDGs/2030 agenda);
- developing and regularly updating the Social Protection Project Inventory Matrix giving an overview of programmes/funding of SPIAC-B members at country level;
- harmonizing datasets and indicators;
- exchanging information on initiatives, programmes or events undertaken by members (during meetings and through www.socialprotection.org, a gateway developed by UNDP); and
- the establishment of Inter-Agency Social Protection Assessments (ISPA), see box 24.

The recognition by the World Bank of the importance of universal SP systems is seen by several observers as being one of the outcomes of SPIAC-B and the advocacy efforts made by ILO in this framework. Although the USP2030 still has to deliver on its ambitious agenda, the establishment itself can be considered a significant achievement on policy coherence, considering the past and current divergence of views between the World Bank and the ILO.

With the launch of USP2030, some observers expressed concern about the possible confusion around the overlap in the membership of the different global platforms (SPF-I, SPIAC-B and USP2030). At the same time, several observers indicated that the activity level of SPF-I is very low since the start of SPIAC-B, raising the question of whether or not the structure should be retained in its current form.

SPIAC-B has also created formal platforms and informal spaces to discuss the integration of social protection floors in the SDGs, which was successfully achieved.

At the country level, the influence of the SPIAC-B platform is much less visible. The positions and actions of World Bank staff at country level have not changed substantially according to most observers consulted during the country case studies. However, the policy changes of World Bank are still rather new and it will

BOX 24**ISPA tools: Translating collaboration in joint tools**

ISPA is the main operational initiative undertaken within the framework of SPIAC-B. ISPA is working on developing tools to enable governments to improve their SP systems on the basis of a sound analysis of strengths and weaknesses of the SP system, and on certain programmes or implementation/delivery aspects. More than 20 tools are foreseen in different areas, such as a Core Diagnostic Instrument (CODI) for SP systems at country level, a tool for SP public works programmes, SP payment tools, etc. Four are finished, the rest are under development or in the pipeline. A recent proposal has been introduced to add a tool on SP for informal workers.

Capacity building activities have mainly concentrated on implementing eLearning introductory modules, face-to-face training and webinars for three ISPA tools, and strengthening agency experts' understanding of ISPA and how it can facilitate the work they currently do with the countries. At country level, tools are already used in: Senegal, the United Republic of Tanzania (Public Works Programs - PWP); CODI in Belize (UNDP/UNICEF); the Philippines and Viet Nam (with partial applications of CODI in Iraqi Kurdistan, Myanmar, Oman, Saudi Arabia). Other applications are planned.

While this is an important effort to harmonize the tools and frameworks of international donors, a number of challenges remain: at this stage it is not clear to what extent the different partners are willing to mainstream the ISPA tools in their operations. For example, there are no signs yet of uptake by the World Bank. A second issue relates to interaction at national level. Since the development of the tools is a centralized intervention with limited participation of country-level actors, there is limited traction amongst governments to actively start implementing them. This might be partially due to the fact that the dynamics are donor-driven, but could also be a consequence of a problem identifying the right opportunities at country level. Some donors were questioning the relevance of implementing global tools at country level, bearing in mind the efforts needed to adapt and contextualize such tools.

take time to filter down to the country level. The situation is more problematic as regards the IMF. The fact that its recent policy positions⁴⁸ are moving away from rather than converging with ILO's normative framework is also a source of concern. The fact that the IMF does not endorse the SDGs is another sign. The actual outreach of SPIAC-B on the ground is likely to be seriously constrained if the Fund stands by its current position.

In a majority of the social protection programmes reviewed, gender equality is implicitly integrated but it lacks explicit focus and monitoring

By nature, there is a strong link to the dimension of gender equality in ILO's work on SP. Programmes that deal with the extension of coverage to informal workers, are inherently gender-sensitive because they would normally benefit more women than men because of the high representation of women in the informal sector.

There is awareness on the importance of gender mainstreaming amongst the ILO staff. However, this does not always translate into comprehensive programmes or well-developed components in SP programmes. The Latin American case studies demonstrated that gender is more systematically integrated and monitored compared to other regions. The presence of a regional gender specialist seems to have played an important role (see box 25).

However, country case studies indicated limited explicit attention to gender or other rights and discrimination concerns, whether in the contextual analyses or in the formulation of outcomes, indicators and targets, except for a few cases. In many countries a more explicit strategy for gender mainstreaming is lacking.

⁴⁸ See IMF: Social safeguards and program design in PRGT and PSI-supported programs (Washington, DC, International Monetary Fund, 2017); and The IMF and Social Protection, 2017 Evaluation Report (Washington, DC, IMF Independent Evaluation Office, 2017).

BOX 25**Peru: Gender mainstreaming**

The creation of a social security culture focusing on gender and based on a participatory process in a “Technical workshop on social security culture”, supported the design of a multi-sectoral strategy and a plan for its implementation in the regions. This also included the participation of the Regional Councils of Work and Employment Promotion. For this, the ILO programme developed, differentiated and culturally-adapted communication and educational support materials, which enabled the programme to convey the right message on the role of gender in SP reforms to different groups of the population.

3.4. EFFICIENCY**Efficiency and cost-effectiveness are positively assessed in most ILO interventions, with some areas of attention**

As was noted in previous HLEs, the ILO has a limited overview of the efficiency because of in the reporting systems.⁴⁹ The lack of overview data complicated the assessment of efficiency in a comprehensive way. However, the evaluation could rely on interviews, the review of documents, fieldwork, and the surveys to assess the criterion.

Overall, the perception of various groups, as evidenced by survey results shows that the efficiency of TC projects is high (figures 14 and 15). The survey noted that 39 per cent of ILO staff feel that ILO has been very efficient or efficient in supporting the development of SP systems and services while 52 per cent of ILO's constituents and other partners felt that ILO had been very efficient or efficient. However, when it came to ILO's capacity and efficiency in responding to stakeholders' requests in a timely manner, nearly 25 per cent of ILO staff reported that it was not good or very poor. ILO constituents and other partners had a more favorable view with more than 51 per cent reporting that ILO was excellent or good in responding to requests in a timely manner. Contrary to the latter, the notion that this specific issue needs further attention by ILO was also substantiated by the interviews with constituents during the field visits. Several interlocutors identified the lack of ILO capacity to respond to requests in a timely manner as an important area for improvement.

The country case studies and the synthesis review of evaluation reports⁵⁰ came to similar conclusions. Overall, the assessment of efficiency is positive, with an overall image of ILO applying its relatively small pool of resources judiciously.

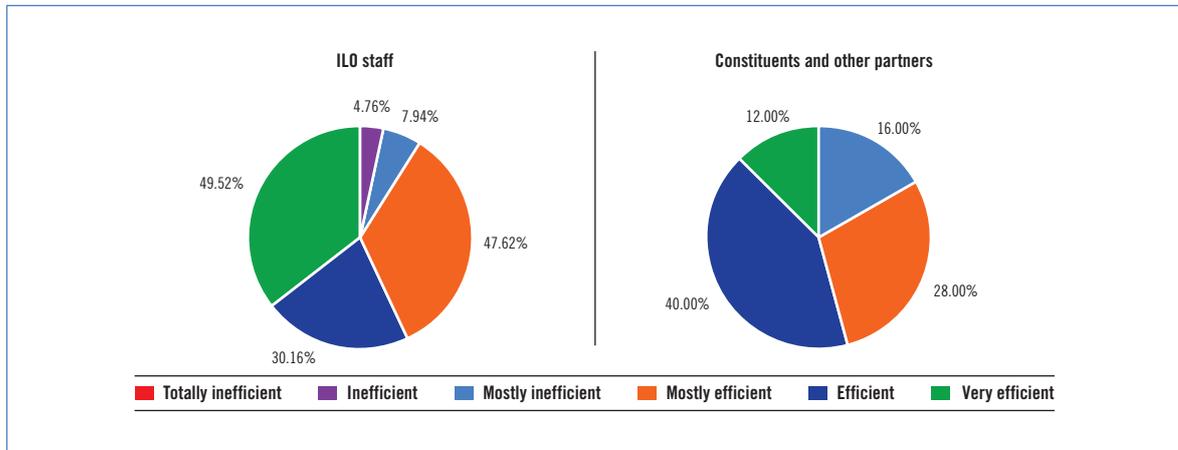
Areas in need of attention have some similarities with those of ILO projects in other sectors, and are related to unrealistic timeframes, the inadequacy of human resources, and transaction-intensive internal systems and procedures, as described below.

Unrealistic timeframes. Original timeframes were seen to be unrealistic in several cases, including in RBSA-funded initiatives. Donor projects tend to have shorter duration than required for the reform of complex SP systems and procedures. In some cases, ILO had to re- start a reform process from scratch with basic assessments and research, before it could begin informed dialogue with stakeholders. Projects of short duration are not suitable in such circumstances. In addition, in some cases, the project concep-

⁴⁹ The ILO still does not have the capacity to capture all RB expenditures to specific activities under specific outcomes and reported results. The evaluation team understands, through interviews with the ILO Finance Department (FINANCE), that this is something the ILO is currently pilot testing and that some preliminary results are not yet available for publication. While difficult, capturing this information is important for the ILO to be able to demonstrate some indication of its overall efficiency.

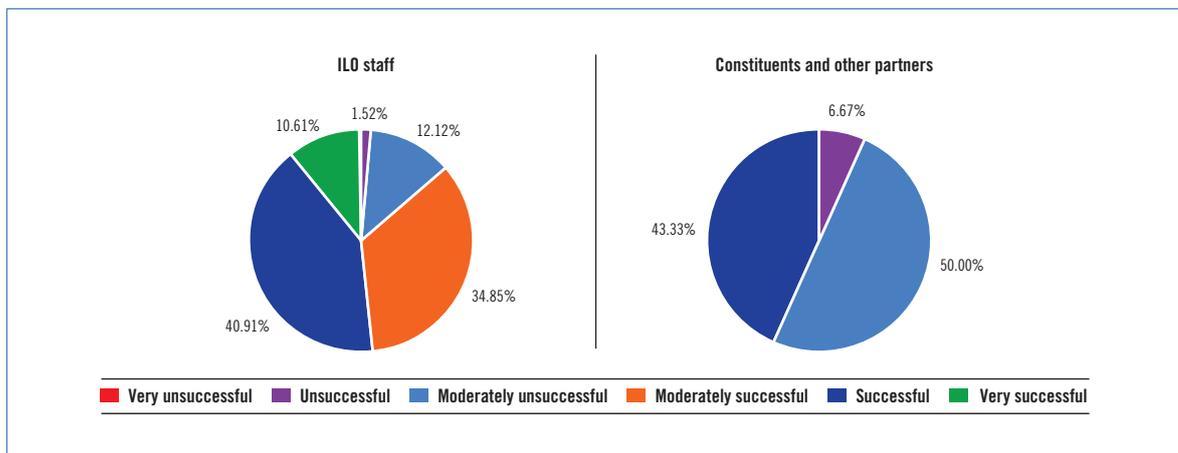
⁵⁰ ILO: Synthesis Review: Creating and Extending Social Protection Floors (Geneva, 2017), p. 21.

Figure 14. How efficient were ILO support and TC projects in supporting the development of social protection systems and/or services?



Source: EVAL survey, 2017.

Figure 15. In your view, how successful were ILO TC projects at addressing the most significant constraints to building effective, efficient and inclusive social protection systems and services?



Source: EVAL survey, 2017.

tualization teams were found to start from a rather linear view of how policy change happens, without anticipating social, economic or political factors such as elections, staff turnover, multiplicity of locations and partners, initial delays in launching the projects, commissioning baseline studies, and setting up management arrangements.

Adequacy of human resources. This is an area of mixed findings, in some cases, the staffing was considered adequate while in other instances evaluators noted that the time demands on project coordinators were not justified. This points to the need for more balanced staffing in countries depending on the demands of the project in terms of scale, multiple locations within a country, multiplicity of stakeholders, etc. Similarly, in projects where a single technical expert (DWT specialist or CTA) provides services to a large number of countries, the time demands on them is not reasonable. This was particularly notable in the Africa and Asia regions. In countries where the ILO does not have country offices and where projects did not have provision for an exclusive project coordinator, human resource support was considered insufficient or not reasonably distributed.

Transaction-intensive internal systems and procedures. This emerges especially in the interaction between the field and HQ. For example, although RBSA funds are appreciated on the grounds of flexibility of use

and availability to fill critical gaps, the approval system is considered long and bureaucratic, especially by partners. This is largely attributed to ILO's internal systems where field-based staff are not authorized to approve expenditures.

SOCPRO and field structure transitioning is creating some unease

In earlier chapters, the ongoing reform processes inside SOCPRO were described. Aside from the impact of those reforms on the content of ILO's work at global and country level, it also had implications for the way interactions between HQ and the field⁵¹ are structured.

In general terms, ILO's service-delivery model with three levels of support (national, regional and global) continues to function well. In the country case studies, mostly positive experiences are documented with the quality and professionalism of field staff at national and regional levels, and in HQ. In most cases, the interaction between national-level staff and regional staff is more regular than with HQ. Several examples were provided of how punctual interventions from regional SP specialists gave new impetus to a reform process at country level. Similarly, there were many illustrations of how staff at HQ provided key support in different thematic areas, such as legal, actuarial work, extension to informal workers, training packages (e.g. TRANSFORM). Support is provided in different ways, such as by pointing to useful resource persons or materials, acting as a sounding board for the design of processes, etc.

While support is mostly of high quality, there are concerns about the response times and bureaucratic procedures, both in the relationships with national staff – regional office and national staff – and HQ. This not only has to do with staff's heavy workload, but also with existing ILO procedures and practices (see previous section).

A substantial amount of remarks related to the prioritization of resources between work being undertaken at global level and fieldwork. This is a rather typical ILO discussion but it seems to be more prevalent in SP work because policy changes are shifting more resources to global awareness raising and advocacy. This also takes up additional time of HQ staff, which leaves less time for country-level support. Dividing the scarce resources between global and fieldwork is a balancing act, with competing views about the way forward. The question is how can the ILO simultaneously deliver on the broadened social protection floors agenda and growing demand for country support, enhance and maintain the specialized in-house expertise, while delivering on the expanding global agenda.

SOCPRO has a strong learning drive, with room for more horizontal learning strategies

M&E practices and respective challenges have been extensively described and assessed in other ILO evaluations. For example, RBSA funding is an enabling factor in the success of ILO's service delivery model, but it is poorly documented and tracked, making it difficult for evaluators to report on its successes. This leads to situations where it is not possible to determine the exact RBSA contribution to the achievement of an outcome of a CPO. While the existing work pressure on SP specialists needs to be taken seriously when reflecting on additional reporting work, there is a need to document the work done through this channel however simple.

Outcome and impact reporting is still weak. The initiative taken by SOCPRO to develop a specific monitoring tool to capture the impact⁵² of its work at the country level is important. The tool has been developed in consultation with other departments and with EVAL and is seen as a good practice in the ILO of a technical department putting in place a tool to monitor and eventually report on impact. The tool has been under development for some time and has been tested in only very limited settings so far. Once it

⁵¹ Another evaluation is currently reviewing the functioning of the field structure throughout the ILO.

⁵² In reality, the changes documented will be more at outcome level, but this can form the basis for impact assessment though approaches such as contribution analysis or process tracing.

is operational, it could contribute to demonstrating tangible impact of ILO's work at the country level. If this initiative were to succeed, the field will need to be extensively involved in the testing phase. It should also be more than another layer of reporting, and remove some of the existing reporting requirements.

Overall, SOCPRO has demonstrated a strong and positive learning curve, for example, through the development of a wide range of knowledge products, which document country experiences, thematic papers, and cross-country comparative papers. Also, in the internal functioning of SOCPRO, there is a lot of attention to good governance, for example, through the design of internal analytical tools and planning instruments to guide operations.

To some extent, the learning agenda is still constrained by being driven too much by a vertical learning strategy, with limited attention to horizontal learning.⁵³ In a vertical learning approach, for example, for the development of a manual or guide, information is collected from the field, then further processed and systematized in HQ. It is disseminated again to the field, once it has been completed. Although this approach has some merits, it does limit the contribution of the field to a rather passive role, and it is less likely to capture deep insights from the field as it reduces opportunities for the direct sharing of tacit knowledge between field experts. In the section on relevance, additional observations were made about the programme's learning agenda, and the continued importance of facilitating constituents' access to tacit knowledge and services from experts, in addition to manuals and guides when responding to country demands.

3.5. IMPACT

There are indications of impact at national and global level, but systematic evidence is lacking

The overall goal expressed in the Strategic Policy Framework 2012–15 was phrased as “More people have access to better managed and more gender equitable social security benefits”, while the main outcome for 2016–17 was “Member States implement the Social Protection Floors Recommendation, 2012 (No. 202), and extend SP systems as a means to accelerate poverty reduction, inclusive growth and social justice.” These refer to tangible impacts of ILO's work on the lives of people in terms of improved access to social security benefits on the one hand, and the implementation of SP systems in line with the principles of the social protection floors on the other hand. However, the available data do not allow a comprehensive assessment of the achievement of these goals. On the positive side, ILO has a comprehensive dataset to monitor trends in SP worldwide. These datasets are of high relevance, but from a methodological perspective, it is often not possible to establish causal relationships between ILO project activities and aggregated datasets at national level. For this, separate impact assessment exercises would have to be set-up to do a causal analysis up to the beneficiary level.⁵⁴ The evaluation used a case study approach to collect illustrations of impact where possible during the fieldwork at country and global levels, in combination with expert opinions, and the perceptions of key stakeholders through the surveys.

Overall, it emerges that constituents and other stakeholders are generally satisfied with ILO's contribution to the SP agenda. A majority of ILO staff surveyed feels that ILO's inter-agency work and coordination result in a sustainable improvement of SP. Less than 10 per cent were of the opinion that it led to either no improvement or minor improvement. More than half (62 per cent) rated it as moderate improvement or improvement, while almost 29 per cent assessed it as leading to high improvement or very high improvement.

Some illustrations are provided where ILO interventions contributed to a long-term sustainable change at country level (boxes 26–28).

⁵³ The GTT retreat with HQ and field staff in March 2017 was an example of a good platform for horizontal learning.

⁵⁴ Scientific outcome-oriented evaluations could be organized more easily, for example, through evaluation approaches such as contribution analysis, process tracing and/or outcome harvesting.

BOX 26**Honduras: Ratification of Convention No. 102 and integration of Recommendation No. 202**

Despite the difficult political and social circumstances in the country, the ratification of Convention No. 102 was achieved as well as the integration of Recommendation No. 202 through the adoption of the new comprehensive social protection law with tripartite participation as a key route to advance the reform of the existing social security scheme. The law also covers the articulation of social assistance programmes as an integral part of the social protection floor.

BOX 27**Mozambique: Support to the new Basic Social Protection Strategy**

The new Basic Social Protection Strategy (ENSSB 2016–2024) in Mozambique was designed with strong support from ILO (drafting of documents). Basic Social Protection covers: non-contributory transfers and other welfare services for the poorest households, elderly, disabled, those who are chronically ill, and households with orphans and vulnerable children. The main improvements in the new policy are: (1) redesign of the PSSB with the gradual introduction of an old-age grant, a disability grant and a three-pronged child grant, and the adoption of a targeting approach aiming at excluding those who are neither poor nor at risk of poverty; (2) the introduction of a dedicated programme for the delivery of multipurpose social welfare services at community level; (3) a gradual increase in the value of social transfers; and (4) the strengthening of the institutional, human, physical, technical and financial capacity of the National Institute of Social Action (INAS) and Ministry of Gender, Children and Social Action (MGCAS), including the decentralization of INAS personnel at district level and the rollout of the recently developed integrated management and information system e-INAS.

BOX 28**Lao People's Democratic Republic: Illustrations of impact**

The following key impacts can be directly linked to ILO's engagement in the country as a result of the ILO/WHO joint project and the ABND process since 2012.

Institutional and systems development: The establishment of NSSF and NHIB; the systemic lessons and demonstration effects of the Vang Vieng pilot; and the potential influence of the actuarial assessments and findings on future policy, institutional and financing decisions. As noted earlier, stakeholders regarded the ILO role and contribution in the establishment of the NSSF and NHIB as crucial.

Legislative: The formulation and adoption of the Social Security Law (2013) and associated regulations (2014) as well as NHI Decree 470. Building on the success of previous inputs, further technical support was requested for the revision of the Law in 2017.

Foundations for future policy and strategy development: The successful conduct of the ABND process has created a basis for the development of a National Social Protection Strategy (a core deliverable in DWCP 2017–2021) and provided an analytical base for future policy development and decisions. The MoLSW's Department of Planning and International Cooperation highlighted the importance and long-term value of the ILO's role and contribution in this regard.

3.6. SUSTAINABILITY**Basic principles underpinning ILO's work on SP contribute positively to sustainability**

Sustainability is inherently present in ILO's work on SP due to the underlying principles, such as, the focus on universalism, making sure that financing of SP is on-budget, advocating for fiscal space, etc. Also the nature of the strategies contributes to sustainability, such as the embedding of SP in relevant legislation, policies, institutional arrangements (as reflected in national budget commitments). Finally,

BOX 29**Peru: Strong indications of sustainable reforms if momentum is retained**

ILO's work on SP in Peru can be seen as an example of sustainable reforms if the momentum can be retained. The sustainability of the strategy's contributions is very likely for the following reasons: (a) the written, validated and consensual recommendations were delivered to the constituents who had requested them and participated in their implementation and/or validation; (b) the products were incorporated into processes, projects, actions and challenges that are being carried out; (c) there are spaces for formalized and/or legitimized strengthening of dialogue and tripartite discussion.

However, as analysis of the context shows, the country requires major structural changes to ensure: significant expansion of SP and social security coverage according to existing social needs; integration of the contributory and subsidized regimes; state financial protection of SP and social security systems and schemes; management models that assure equity and quality of access to systems and schemes in population terms, and at gender and territorial levels in both urban and rural areas aligned with ODS compliance.

In this sense, the future challenge for the development of the ILO strategy is even greater in that it must involve in its intervention in a comprehensive way: (1) the powers of the state, not only the executive on duty; (2) all social forces, not only those of organized labour (formal sector); and (3) joint action decided with UN agencies and cooperation. These actions demand more resources from the ILO both from Geneva and from the donor agencies, and require more robust teams in each country.

within those strategies ILO opts for social dialogue approaches that are likely to create a broader support base and, therefore, more sustainability, such as through the ABND approach.

Information available to the review indicated that resources have been allocated mostly in accordance with the relevant documents in a strategic, economical and transparent manner, with appropriate flexibility as the domestic context changed quite significantly over the past five years.

ILO's efforts in capacity building are a key factor to ensuring the sustainability of ILO's SP work at country level. The importance of capacity-building measures and knowledge transfer was also substantiated by the findings from the field missions, as shown in earlier sections of this report. However, in the absence of a comprehensive capacity-building strategy and systematic monitoring of progress, together with high levels of staff turnover in key ministries, gains made so far in building local SP capacity are being challenged.

Risks of financing long-term processes of change through a series of donor-funded development cooperation projects

In several case study countries, ILO support was delivered through an inter-linked series of development cooperation projects. Key amongst the concerns raised by both external stakeholders and ILO staff were the implications of activity-by-activity approaches which were seen as prevalent in the delivery of ILO technical/development cooperation projects, leading to higher than necessary transaction costs, especially when they go hand in hand with delays in funding allocations and/or provision of the requested technical support. The nature of project-based funding required in achieving SP results beyond what RB resources allow for often, although not exclusively, results in small projects with a short duration. This is not conducive to fostering support for long-term processes of change.

Associated with these concerns were the effects of a "chronic" lack of resources in some countries to back-up the organization's well-recognized technical expertise. The gap between stakeholders' expectations of highly qualified and relevant support on the one hand, and lack of resources for implementation on the other hand, has necessitated in-country staff spending significant amount of their time on obtaining donor funding to support ongoing work in some countries to cover their own salaries and meet government requests for technical support.

BOX 30**Honduras: ILO scaling down at a time when needs are high**

As a result of technical support provided by ILO San José and SOCPRO at HQ, the country managed to establish the Framework Law of the Social Protection System (LMPS) 2015, in line with Convention No. 102 and Recommendation No. 202. The starting point of the LMPS construction process was Honduras' ratification of Convention No. 102 in 2012, and from that moment on, ILO technical support was initiated in compliance with Recommendations 3 and 4 of the strategy. It is considered that the LMPS not only integrates all PS and social security actions into a single system but also unifies their contributory and non-contributory financing as a form of universal and equitable assurance for the entire population. In this way, conditions are created to guarantee an efficient service, with quality and transparency, as well as conditions of sustainability for the system. However, constituents perceive a decline in the ILO's presence and activity especially in the last two years, at a time when it is considered critical to the implementation of the LMPS and when ILO's technical support is required for the formulation of reforms to both regulatory and institutional frameworks. This decrease was due in part to the transfer of the SP specialist to the Andean Subregion in 2015, which meant there was no specialist for about seven months. Also, the termination of the resources for the EU project limited the permanent presence of ILO staff in the country to only two people, when in previous years there had been up to 10 consultants.

CASE STUDY 4**Colombia: Challenges for sustainability**

While the overall sustainability of ILO projects in Colombia was assessed as good in different evaluations, there were two major concerns around sustainability. The first one was the problem of frequent changes in the position of the minister of works and in high-level staff, complicating institutional development. The second was the lack of a country strategy to develop a coherent and consistent set of interventions aimed at short- and long-term changes. Much more time is needed to bring about change and evolve from policy development to policy implementation. However, the interventions are project driven, not guaranteeing follow-up. Without technical support from the ILO the process will slow down.

Internal systems challenges have also contributed to less than optimal efficiency of local engagement, particularly the inability to access financial data on ILO's Integrated Resource Information System (IRIS) for planning purposes and the lack of induction training to enable new staff to effectively and quickly navigate the system they rely on for managing their work.

Such factors affecting day-to-day operations would appear to be in contradiction to references in the *ILO Development Cooperation Strategy 2015–17: Report on progress*⁵⁵ to the development of programmatic approaches and enabling staff access to IRIS.

Risk of a shortfall in funding for SPIAC-B work on ISPA tools

ISPA is a positive example of donor coordination to improve efficiency and coordination by jointly developing and financing assessment tools. The main donors of ISPA are: Australia; the EU's Social Protection Systems (SPS) Programme; Finland; France; Germany; ILO; and the World Bank. Non-financial resources are also provided by: the International Policy Centre for Inclusive Growth (IPC-IG); the Overseas Development Institute (ODI); UNDP; UNICEF; the United Kingdom Department for International Development (DFID); and WFP.

⁵⁵ GB.329/POL/5.

The SPIAC-B partners are experiencing difficulties in finding a stable funding base for ISPA's work. According to the Monitoring Report 2015–2016, costs associated to the development of an ISPA tool varied on average between US\$200,000–250,000. Up to now, funding has been ad hoc and mainly responded to existing interests of the agencies in areas that are associated to their agenda and workplans.

Regular calls to fund ISPA's work are made during SPIAC-B meetings. However, the funding ISPA poses challenges. In September 2016, for example, the total ISPA budget for 2016–2018 (US\$1.277 million) had a shortfall of 70 per cent, which is hampering the implementation of capacity-building activities (representing about 50 per cent of the total budget) and the development of new tools. It is not clear where this funding problem originates, but serious budget constraints at this early stage of ISPA's work risks jeopardizing the initial investment by all of the agencies involved as well as the sustainability of progress so far.

4. FINDINGS, LESSONS LEARNED AND RECOMMENDATIONS

4.1. FINDINGS

Relevance: The ILO's work on social protection is relevant at both the global and country/regional levels. The strong focus on the global agenda to achieve more outreach and impact is justified and has high strategic relevance, as reflected in the position that universal social protection has assumed in the Sustainable Development Goals (SDGs) and in the Global Partnership on Universal Social Protection (USP 2030). The ILO played an essential role in efforts towards improved donor coordination at the global level, as a leading actor in the creation and coordination of new collaboration platforms (SPF-I, SPIAC-B and USP 2030). With the multiplication of global initiatives, there is a continuous need to clarify internally and externally the comparative advantages, membership and scope of work of the various global platforms, and adjust these to changing needs and realities. The recently launched Global Flagship Programme on Building Social Protection Floors for All⁵⁶ is relevant and well designed, but the working modalities for its implementation at country level need to be further developed.

At the country level, there is appreciation for the demand-driven approach of the ILO, the comprehensive normative framework that guides its work, the expanded tripartite approach, including other civil society organizations, and the provision of flexible technical support in highly specialized areas, enriched by sharing of cross-country experiences. The ILO has developed relevant tools to undertake a systematic and inclusive assessment in support of social protection policy development. Gaps in expertise on how to most effectively support policy implementation remain. Increased documentation of good practice through guides and manuals is a strong area of the programme as it strengthens the institutional memory, both for advocacy purposes and as part of the technical assistance package and support. While the use of manuals and guides in support of capacity-building interventions is appreciated, constituents pointed to the continued importance of facilitating access to other types of knowledge (tacit) and services from experts, individually or in teams, when responding to country demands.

Dividing the scarce resources between global and field work is a balancing act, with competing views about the way forward. The question is how the ILO can simultaneously deliver on the broadened social protection floor agenda and growing demand for country support, and enhance or maintain specialized in-house expertise, while also delivering on the expanding global agenda.

Coherence: Recommendation No. 202 and related policy documents provide a coherent and comprehensive framework for ILO operations. The acceptance and uptake of the framework is generally strong,

⁵⁶ <http://www.social-protection.org/gimi/gess/Flagship.action>.

especially within the ILO⁵⁷ and at UN level, but also beyond, through integration in the SDGs, the G20 agenda and in some of the work of the international financial institutions. Within the ILO's strategic frameworks, social protection was one of the main pillars for the 2012–17 period and is also reflected in the Programme and Budget for 2018–19. The narrative covers both country and global work, but the corresponding outcomes and indicators map changes at country level only. Synergies with other ILO departments and the field have improved; however, more can be done to cut across departmental silos and work towards truly integrated approaches.

Effectiveness: Effectiveness was assessed against the Strategic Policy Framework and the targets set in the P&B documents and based on observations from the country field visits and case studies. The programme has been highly effective in the period under review, having surpassed its 2010–15 targets and reportedly achieved the 2016–17 targets early. The evaluation reviewed a selection of CPOs in a sample of countries. The reported outcomes were found to be largely in line with the reality on the ground, although the ILO's specific contribution was not always clearly substantiated. The evaluation documents several examples of effective intervention, especially in policy development, legal reform and technical advice for the reform of social protection schemes.

Efforts to improve UN collaboration on social protection are increasing and found to be mostly effective, especially in harmonizing policy advice to governments and agreeing on future areas of work. More ILO country offices need to go beyond this initial stage of cooperation and develop joint programmes with a wider group of agencies. At the global level, the programme has managed to improve its visibility through the internet, new products and partnerships, and the Global Flagship Programme. The visibility at country level increased clearly in countries with an ILO social protection field staff presence. Inter-agency collaboration through SPIAC-B has been especially effective in facilitating dialogue and exchange with a widening group of agencies, and the World Bank in particular, to arrive at joint strategies in relation to the SDGs, discussing the harmonization of data sets and indicators and building a joint ISPA toolbox. It is too early to assess the systematic uptake of ISPA tools by countries and leading donors. Gender integration differs across country programmes, but generally lacks explicit focus and monitoring where there is no specialized gender support capacity.

Efficiency: On the basis of field work and existing data sources, including various project evaluations, efficiency⁵⁸ is positively assessed in most ILO interventions. In interviews with constituents and other stakeholders, the ILO is seen as carefully applying its relatively limited resources, for example through the provision of technical policy advice, studies and various capacity-building activities. Survey respondents generally perceived the ILO as cost-effective. Areas of concern are: the ILO's transaction-intensive internal systems and procedures; under-staffing in some of the countries; challenges in relation to responding to requests in a timely manner; and weak monitoring and evaluation practices at outcome and impact levels. The new impact-assessment tool to be used in the flagship countries has potential. Its roll-out will require substantial effort in terms of awareness-raising, training and support.

Impact: The goal of outcome 4 of the Strategic Policy Framework 2010–15 was that “[m]ore people have access to better managed and more gender-equitable social security benefits”, while the goal of outcome 3 of the Strategic Plan 2016–17 was that “Member States implement the Social Protection Floors Recommendation, 2012 (No. 202), and extend social protection systems as a means to accelerate poverty reduction, inclusive growth and social justice”. The available data did not allow a comprehensive assessment of the achievement of these goals.⁵⁹ From interviews and the evaluation surveys, it emerges

⁵⁷ At the same time, some internal debate persists about the merits of specific terminology and overall strategies (for example, how to extend social protection to informal workers). Continued communication and dialogue are required.

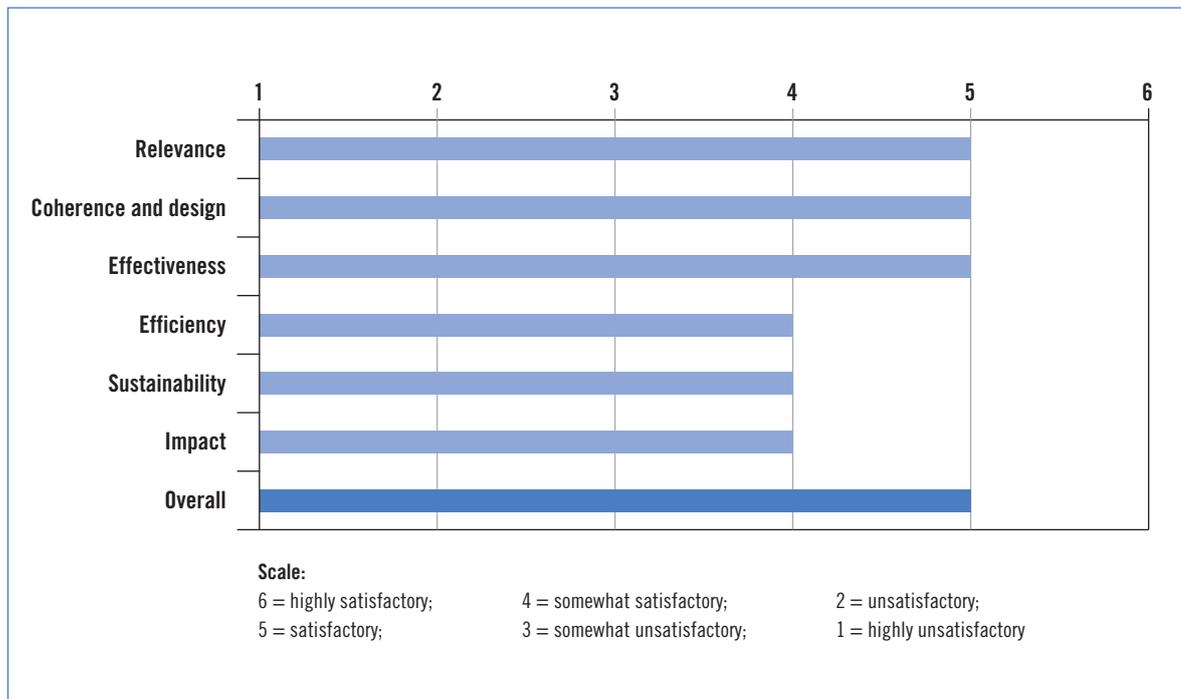
⁵⁸ Institutionally, the ILO does not yet have the capacity to report on detailed regular budget expenditures against results achieved, which complicates assessing efficiency in a comprehensive way.

⁵⁹ Key policy and legal changes, as well as reforms of social protection schemes, are well documented. At beneficiary level, the ILO monitors the coverage of workers, but the data sets often do not allow firm conclusions to be drawn about the ILO's contribution.

that constituents and other stakeholders are generally satisfied with the ILO's contribution to the social protection agenda. Specific examples were documented where ILO interventions contributed to a long-term sustainable change either at country or global levels. New ratifications of Convention No. 102, as a consequence of Recommendation No. 202 and the integration of social protection floors in the SDGs, are examples of the latter.

Sustainability: The principles underlying the ILO's social protection approach (universal social protection, life-cycle approach, focus on fiscal space, etc.) and the nature of the intervention strategies (improving donor coordination, ABND approach, focus on policy and legal reforms) all contribute to sustainability. A main challenge relates to the limited resources for responding to the growing demands at country and global levels. A second issue is the nature and unpredictability of existing donor funding for social protection, which often results in rather small, short projects that are not conducive to supporting long-term processes of change. Finally, in the absence of comprehensive capacity-building strategies and systematic monitoring of progress, combined with high levels of staff turnover in key ministries, gains made in building local social protection capacity are under threat.

Figure 16. Overall evaluation ratings by criterion



4.2. LESSONS LEARNED

Lesson 1: Global work gained importance within the overall scope of social protection work in the period under review. Evidence-based global advocacy work and awareness-raising, combined with the creation of new spaces for global governance and exchange, have proven to be an effective way to leverage the ILO's limited resources to give the organization more visibility and shape global debates. Moreover, it provides the ILO with the opportunity to influence the agenda of larger agencies (such as the World Bank, regional banks and the International Monetary Fund) and to advocate for the integration of social protection floors in the SDGs.

Lesson 2: During periods of fast programmatic change, as was the case with the ILO's global work on social protection in the 2012–17 period, there is a need to continuously communicate and engage with the field to lay the foundations for the roll-out at country level and ensure broad-based internal support for reform.

Lesson 3: The country case studies underlined the value of access to other country experiences and the need to build core staff capacity in governmental institutions, while employers' and workers' representatives emphasized building the knowledge and analytical capacity of their constituencies. Social protection agencies highlighted the need for systemic institutional development addressing internal and external institutional barriers. This requires systemic, locally driven long-term approaches.

Lesson 4: Consistent consultation and involvement of all social partners is required to ensure that ILO efforts in policy formulation culminate in policy adoption and implementation. The ILO also needs to continue to extend its work with ministries of finance and facilitate more in-depth inter-ministerial dialogue.

4.3. RECOMMENDATIONS

Recommendation 1

Enhance the capacity of tripartite constituents by developing comprehensive long-term capacity-building approaches that respond to constituents' needs at the country level.

Social protection-related capacity building is highlighted by constituents as a priority for ILO engagement. To respond to these calls, there is a need to further systematize the ILO's capacity-building approach with more attention to institutional development, in addition to individual staff-development activities. This can involve producing a strategic document on social protection capacity building, in which the broad spectrum of capacity-building strategies and the different ways they can be combined in a coherent trajectory, including the use of ILO manuals and guides (see recommendation 7), are presented. Monitoring the capacity of key partner institutions should inform progress and review strategies whenever needed.

Responsible units	Priority	Time implication	Resource implication
Social Protection Department (SOCPRO), International Training Centre of the ILO (ITC–ILO), Deputy Director-General for Field Operations and Partnerships (DDG/FOP)	High	December 2018	Medium

Recommendation 2

Further increase coherence and continuity of country work by strengthening the ILO's overall intervention logic at country level.

The programme has undertaken significant efforts to strengthen the theoretical, normative and operational foundations of its work through, among others, the social protection floor framework, the ABND process, and the flagship initiative. This has broadened the ILO's social protection agenda and raised expectations among the ILO's constituents and cooperation partners. However, in several countries, the ILO's potential to respond is still constrained by the limits of working with a set of individual projects which do not form a coherent programme as a whole, thus creating high transaction costs. Explicit theories of change for ILO support for social protection at country level – beyond individual projects – are often missing. The adoption of a more programmatic approach, based on longer time frames and continuity of engagement supported by sound monitoring and evaluation systems, is recommended. This should also include explicit country-level operational plans, supported by multi-country resource mobilization efforts.

Responsible units	Priority	Time implication	Resource implication
SOCPRO, Deputy Director-General for Policy (DDG/P), DDG/FOP	High	December 2018	Medium

Recommendation 3

Enhance internal coherence of the ILO's social protection work by fostering a dialogue to develop a common understanding and vision of the implementation of the social protection agenda across headquarters, regional offices and field offices.

The evaluation team observed divergent views on what type of in-house expertise will be most critical in the future, and how global work and country work should be balanced. This is a genuine and important dialogue in view of the changing context in which the ILO operates. The analysis requires more reflection and dialogue around the ILO's work and Global Technical Team (GTT) members' roles and responsibilities based on their comparative advantages. At the country level, the support mechanisms should distinguish between different types of partner countries (clustered through a relevant typology). For each cluster, the role division for the ILO at different levels (national/regional/global) could be clarified. This could form the basis of an internal "assessment-based institutional dialogue" together with the field to assess the required social protection expertise and resources at different levels/regions, anticipating also new trends in the world of work. Scenarios for graduation of countries from one cluster to another should be considered.

Responsible units	Priority	Time implication	Resource implication
SOCPRO, DDG/P, DDG/FOP	High	June 2018	Low

Recommendation 4

To assert the ILO's role in the 2030 Agenda for Sustainable Development (2030 Agenda), the responsible units should further strengthen their capacity to support integrated social protection reforms and continue to build on the ILO's track record in multi-stakeholder collaboration at national and international levels.

The expanding agenda of Recommendation No. 202 increases demand for support for systemic social protection reforms at the national level. This can be expected to complement an increased demand for expertise on integrated approaches, for example on how different contributory and non-contributory components interact, on how different groups of informal workers can be covered under one scheme, or on the institutional dynamics of inter-ministerial collaboration. It also requires additional collaborative efforts and a search for more synergies with related ILO departments. Concurrently, considering resource limitations, there is also a need to engage in expectations management towards different stakeholders to play out the ILO's strongest comparative advantage.

Responsible units	Priority	Time implication	Resource implication
SOCPRO, DDG/FOP, DDG/P	Medium	December 2019	Medium

Recommendation 5

The responsible units should continue to deepen the use of the ILO's specific strengths, such as tripartism, social dialogue, rights-based approaches and gender equality as the core of its brand.

Country case studies illustrated stakeholder appreciation for ILO technical advice on issues such as tripartism, social dialogue and rights-based approaches. Tripartism and social dialogue were generally strong during the policy development phase, but less systematic in the policy adoption and implementation phases. Regarding gender, although several dimensions of the social protection floors agenda are inherently gender-sensitive, there is a need for more explicit mainstreaming of gender considerations, from contextual analysis to specific references with indicators and targets.

Responsible units	Priority	Time implication	Resource implication
SOCPRO, DDG/FOP, DDG/P	Medium	June 2018	Low

Recommendation 6

Continue efforts to enhance the ILO's social protection interventions by developing innovative service delivery models and new partnerships, while paying more attention to internal support and risk management, which includes a strong learning component in the pilot phase.

The programme is a frontrunner in the development of new service delivery models and global partnerships to increase the outreach of its work. Some areas of innovation have created internal debate and concerns inside the programme. The successful self-financing pilot with the actuarial unit is acknowledged; however, a strong consultative process with the field could be initiated to discuss how this model could be applied to other services.

The new global business partnership on social protection requires the development of new skills and competencies, and the assessment of risks/benefits before engaging with specific private-sector actors in line with ILO policy and procedure relating to public-private partnerships (PPPs).

Responsible units	Priority	Time implication	Resource implication
SOCPRO, DDG/FOP, DDG/P, Office of the Legal Adviser (JUR), Bureau for Workers' Activities (ACTRAV), Bureau for Employers' Activities (ACT/EMP)	Medium	March 2018	Low

Recommendation 7

Continue efforts to strengthen knowledge management by knowledge sharing and provision of technical advice through guidance materials and manuals. The responsible units should carefully monitor the use of these products and combine them appropriately with other types of support to respond to the needs of users.

The programme is seen as an example of the institutionalization and documenting of knowledge and experiences. To maximize the impact of manuals and guides, their use should, as far as possible, be part of a capacity-building trajectory, which includes informal learning strategies (using the guides when implementing joint projects, or during field visits, and/or supported by coaching). Monitoring and documenting the most effective use of manuals and guides should enhance their outreach.

Responsible units	Priority	Time implication	Resource implication
SOCPRO, ITC-ILO, DDG/P, DDG/FOP	Medium	June 2018	Low

5. OFFICE RESPONSE

The Office welcomes the findings of the independent evaluation. Following the adoption of Recommendation No. 202, the Office has sought to provide a coherent and comprehensive framework to enable constituents to develop, strengthen and manage comprehensive national social security systems, including social protection floors.

Developing comprehensive long-term capacity-building approaches for tripartite constituents (Recommendation 1)

On the basis of lessons learned from existing cooperation with universities, the Office, in collaboration with the ITC–ILO, will build a global curriculum for accreditation of national universities with regard to social protection. This will be complemented by tailor-made capacity development programmes for social partners and free online courses. The aim is to offer a systemic response to social security institutions and tripartite constituents’ skills development needs, as well as to educate a broader public. A strategic document will be prepared reflecting these efforts, including a monitoring framework.

Further increasing coherence and continuity of the ILO’s social protection work (Recommendations 2, 3 and 6)

The Office’s Global Flagship Programme on Building Social Protection Floors for All provides a programmatic approach to the development of comprehensive national social protection systems. Grounded in a sound diagnosis of previous interventions and a theory-of-change model, the programme develops national implementation plans tailored to the phase of social protection development in each country, giving continuity and coherence to ILO support consisting of technical assistance, knowledge development, resource mobilization and partnerships. Involvement of field offices will be strengthened increasing synergies between country and global work. A results-measurement tool will keep track of institutional outcomes and impacts on people while building the ILO’s institutional memory. Dialogue on capitalizing the added value of field and headquarters expertise to best serve tripartite constituents is ongoing. A service model that will allow expertise to be shared across the GTT is being finalized. Within the normal development process of PPPs, the Office will continue to conduct risk assessments with the Partnerships and Field Support Department (PARDEV), ACT/EMP, ACTRAV and JUR.

Enhancing integrated approaches and building on the ILO’s track record in multi-stakeholder collaboration (Recommendations 4 and 5)

Building on the traction of the new “Social Protection Systems and Floors Multi-stakeholder Partnership for SDG 1.3”, the Office will continue to lead partnerships and networks upholding ILO values and

principles for rights-based social protection and achievement of SDGs on social protection. Integrated approaches to strengthen social protection systems, including floors, will be pursued as part of the 2018–19 outcome 3 strategy.

Further efforts will be made to familiarize stakeholders, through training and capacity building, for more effective participation in areas such as supporting social protection floors implementation.

Good practices on how social protection can contribute to gender equality and non-discrimination will be disseminated, providing guidance on how to better mainstream gender considerations in advisory support.

Continue efforts to strengthen knowledge management and monitor outreach (Recommendation 7)

The forthcoming guides developed on the basis of long-standing ILO advisory services will be applied and disseminated through capacity-building programmes and complement the specialized technical expertise provided by GTT members. Their application and monitoring will allow for updates capturing innovative and remarkable country practices.

ANNEX I – TERMS OF REFERENCE

Background

1. Only 27 per cent of the world's population has adequate social security coverage and more than half lack any coverage at all. The ILO actively promotes policies and provides assistance to countries to help extend adequate levels of social protection to all members of society. Social security involves access to health care and income security, particularly in cases of old age, unemployment, sickness, invalidity, work injury, maternity or loss of a main income earner.
2. The adoption of Social Protection Floors Recommendation, 2012 (No. 202) constitutes an important milestone for the International Labour Organization (ILO). Since its creation in 1919, the ILO has actively promoted policies and provided assistance to member States to supply adequate levels of social protection to all members of society guided by international social security standards adopted by its tripartite constituents and in particular its flagship Convention concerning Minimum standards of social security, 1952 (No. 102). Access to an adequate level of social protection is already recognized in the Declaration of Philadelphia (1944) on the aims and purposes of the ILO, in subsequent ILO declarations and in a number of International labour standards, in particular the Social Protection Floors Recommendation, 2012 (No. 202), as a basic right of all individuals. Furthermore, the Universal Declaration of Human Rights and the International Covenant on Economic Social and Cultural Rights recognize the right to social security for everyone⁶⁰.

Social security strategy

3. The ILO has developed a two-dimensional strategy that provides clear guidance on the future development of social security in countries at all levels of development. Its horizontal dimension aims at establishing and maintaining social protection floors as a fundamental element of national social security systems. The vertical dimension aims at pursuing strategies for the extension of social security that progressively ensure higher levels of social security to as many people as possible, guided by ILO social security standards. Together, these two dimensions aim at building comprehensive social security systems in line with national priorities, resources and circumstances⁶¹.
4. The horizontal dimension of the ILO's strategy consists of the "rapid implementation of national Social Protection Floors, containing basic social security guarantees that ensure that over the life

⁶⁰ Extracted from <http://www.ilo.org/global/topics/social-security/lang--en/index.htm> (accessed September 29, 2016)

⁶¹ http://www.ilo.org/secsoc/information-resources/publications-and-tools/books-and-reports/WCMS_SECSOC_34188/lang--en/index.htm.

cycle all in need can afford and have access to essential health care and have income security at least at a nationally defined minimum level”.⁶²

5. The vertical dimension is premised on the understanding that building comprehensive social security systems cannot stop at the ground floor of protection, ILO member States agreed in 2011 to pursue strategies that “seek to provide higher levels of income security and access to health care – taking into account and progressing towards in the first instance the coverage and benefit provisions of Convention No. 102 – to as many people as possible and as soon as possible; based, as a prerequisite, on policies aiming at encouraging participation of those in the informal economy and its gradual formalization”.⁶³
6. The two dimensions of the ILO's social security strategy aim at building and maintaining comprehensive and adequate social security systems which are coherent with national policy objectives. Coordination with other public policies is essential, ensuring that social security extension strategies are consistent with and conducive to the implementation of wider national social, economic and environmental development plans.⁶⁴
7. This strategy is an important contribution of the ILO to the global debate on social protection floors and the future of social security at a time when a crisis-shaken world is seeking a new balance between economic and social policies to achieve sustainable development.⁶⁵

The results framework

8. The Strategic Framework 2010-2015 identified social protection as one of its four strategic objectives: *Enhance the coverage and effectiveness of social protection for all*. There are five outcomes under this strategic objective (social security, working conditions, occupational safety and health, labour migration and HIV/AIDS). This evaluation looks specifically at outcome 4 “*More people have access to better managed and more gender-equitable social security benefits*” although elements of the other outcomes (6, 7 and 8) are clearly linked to this outcome. Outcome 4 had three indicators:
 - Indicator 4.1: Number of member States that, with ILO support, improve the knowledge and information base on the coverage and performance of their social security system.
 - Indicator 4.2: Number of member States that, with ILO support, develop policies improving social security coverage, notably of excluded groups.
 - Indicator 4.3: Number of member States that, with ILO support, improve the legal framework, general and financial management and/or tripartite governance of social security in line with international labour standards.
9. Social protection was revised to become outcome 3 in the transitional Strategic Plan 2016-2017 *Creating and extending social protection floors: Member States implement the Social Protection Floors Recommendation, 2012 (No. 202), and extend social protection systems as a means to accelerate poverty reduction, inclusive growth and social justice*. The transitional Strategic Plan identified the expected changes under this outcome:

*In selected member States, social protection coverage will be extended in the context of national social dialogue processes with positive impacts on the income and well-being of women and men. A coordinated inter-agency response will have an impact on social protection debates and guide constituents' priorities with regard to applying the ILO's social protection floor approach.*⁶⁶

⁶² Ibid. p. 5.

⁶³ Ibid. p. 6.

⁶⁴ Ibid. p. 7.

⁶⁵ Ibid. p. 8.

⁶⁶ Para 47 of GB.322/PFA/1.

“Building Social Protection Floors for All” Flagship Programme 2016

10. In 2016, the ILO launched a global flagship programme for social protection. This programme aims to make social protection floors (SPFs) a national reality in 21 target countries that still have underdeveloped or fragmented social protection systems. At the country level, the programme carries out assessments of social protection situations and provides recommendations to build nationally-defined social protection floors, supports the design of new schemes or reforms of existing schemes, supports their implementation and improves the operations of social protection systems. A global campaign supports the whole process to inform, train, and convince decision-makers of the importance of implementing social protection systems and developing partnerships to maximize the positive impacts.⁶⁷
11. Monitoring and reporting on the flagship programme is supported by an online tool which has been developed by the social protection department to report on progress and track impacts through ILO work (M&E system). In addition, the department possesses statistical knowledge databases which will be included as a source of information (validation) for this evaluation.
12. ILO is co-chair of the Social Protection Inter-Agency Cooperation Board along with the World Bank. The ILO aims to influence national and global social protection debates, including joint inter-agency work and by reinforcing South-South cooperation. A strong focus for the future of ILOs work in the biennium to come is on promotion and implementation of social protection floors under the “One UN” initiative⁶⁸.

Purpose of the evaluation:

13. In 2014, the EVAL rolling work plan identified the topic of “creating and extending social protection floors” as the high level strategy evaluation for 2017. The Governing Body endorsed the topic. There has not been an evaluation on this subject in more than five years. The evaluation was selected following consultations with management, the Evaluation Advisory Committee (EAC) and the constituents. The purpose of the evaluation is mainly summative with formative aspects. It is to provide insight into the relevance, coherence, effectiveness and efficiency of the ILO’s strategy, programme approach, and interventions (actions) (summative). It is also intended to be forward looking and provide findings and lessons learned and emerging good practices for improved decision-making within the context of the next strategic framework and the Sustainable Development Goals (formative) as well as for the newly launched flagship programme. The evaluation report will be discussed in the November 2017 GB session together with the Office’s response to the evaluation report.

Scope:

14. The evaluation will consider all efforts of the Office in supporting achievement of Outcome 4 and under the transitional Strategic Plan outcome 3 and Outcome 3 of the 2016-17 P&B.
15. Given the breadth of action being taken, the scope of the evaluation will be narrowed to the time period 2012-2017. While the focus is on ILO’s work in achieving outcome 4 and outcome 3 (2016-17) the evaluation will also assess the ILOs contribution in global social protection floor strategies, policies and debates and its coordination within the Social Protection Interagency

⁶⁷ ILO Global Flagship Programme: <http://www.social-protection.org/gimi/gess/ShowProject.action?lang=EN&id=3000> Accessed September 29th, 2016.

⁶⁸ ILO: Programme and Budget for the Biennium 2016-2017, p. 17.

Cooperation Board (SPIAC B),⁶⁹ the Social Protection Floor Initiatives: One UN Social Protection Floor teams, with its multilateral and United Nations partners. ILOs work in knowledge management and sharing of experiences through the online platform: Social Protection Platform will also be examined.

16. The evaluation team will in its inception report further define the specific scope, a possible proposal will be to limit the focus of this evaluation on the achievements of the ILO vis à vis the Strategic Policy Framework, P&B and concentrate evaluation efforts on ILOs work in coordination and leadership role within the inter-agency working groups mentioned above and as identified as a distinct P&B area of work and inter-agency boards. This would enhance the formative nature of the evaluation report in helping ILO position itself for better effectiveness and impact in the post 2015 era. Similarly, the evaluation could identify other areas of particular areas to focus the bulk of its work.

Clients

17. The principal client for the evaluation is the Governing Body, which is responsible for governance-level decisions on the findings and recommendations of the evaluation. Other key stakeholders include the Director-General and members of the Senior Management Team at Headquarters, the Evaluation Advisory Committee, the Social Protection Department, Work Quality, ILOs field structure offices, ACTRAV and ACTEMP. It should also serve as a source of information for ILO donors, partners and policy makers.

Key Questions

18. The evaluation questions are based on the OECD DAC evaluation criteria of relevance and coherence, effectiveness, efficiency, sustainability and impact. Outcome objectives created for the P&B strategy will serve as the basis for the evaluation questions. These questions will seek to address priority issues and concerns for the national constituents and other stakeholders. When designing the questions, the evaluation team will consider availability and reliability of data, how the answers will be used and if the data are regarded as credible. Further evaluation questions will be proposed and refined by the evaluation team during the inception report phase.
19. The evaluation will address the following questions:
 - To what extent is the design of the ILO Strategy for Outcome 4/3 relevant to global strategies on social protection floors and does it address the situation facing member States' governments and social partners?
 - To what extent has the ILO fulfilled its objective in social protection using, but not limited to, the SPF and P&B targets as a benchmark?
 - To what extent has the ILO's strategy been coherent and complementary (in its design and implementation) with regard to the approach on social protection internally and vis à vis its partners?
 - To what extent have resources been used efficiently and the programme appropriately and adequately resourced?
 - How has ILO external coordination (with constituents, UN partners, World Bank and bilateral donors) and internal coordination (between sectors, technical departments, regions and sub regions) promoted the realization of Outcome 4/3?

⁶⁹ World Bank, ILO, UN-DESA, UNDP, UNICEF, UNHABITAT, UN, Women ,WFP, WHO, OECD, IaDB, ISSA, IMF, FAO, ADB, UNESCO and Bilateral: AUSAID – Australia, Belgium, DFID – UK, EUROPEAID, France, France-AFD, Germany – Ministry of Economic Cooperation and Development Germany – GIZ, Finland, Ireland, Italy, Mexico, Netherlands, South Africa, German Government, KfW Development Bank

- To what extent have ILO actions had impact in the form of increased capacity, necessary tools and policy improvements needed to work towards the creation and expansion of social protection floors?
- To what extent have ILO interventions been designed and implemented in ways that have maximized ownership and sustainability at country level?

Strategy context	Strategy implementation	Outcome
How does the strategy fit the needs of ILO constituents?	Are there adequate resources to implement the strategy as intended?	Can the SPF/P&B indicators track progress towards meeting objectives for the strategy?
How does the strategy deal with other international agencies and development partners working on social protection?	Who is involved in carrying out the strategy? How are contributing outcomes being integrated in the strategy implementation?	Is the intended target audience benefiting from the strategy? What are unintended outcomes of the strategy?
Are key sectors, agencies, or individuals missing from the collaborative effort?	Is the strategy meeting GB and ILC expectations and affecting the target population? Are there data collection/monitoring to capture this information?	What are the successes in carrying out the strategy?
How does the strategy address synergies and complementarities from other ILO SPF outcomes?		

Methodology

20. The evaluation will be conducted in accordance with [Eval Protocol No 1: High-level Evaluation Protocol for Strategy and Policy Evaluations](#). This evaluation will be based upon the ILO's evaluation policy and procedures which adhere to international standards and best practices, articulated in the OECD/DAC Principles and the Norms and Standards for Evaluation in the United Nations System approved by the United Nations Evaluation Group (UNEG) in April 2016.
21. EVAL proposes an effectiveness evaluation approach (also known as outcome evaluation or summative evaluation), which determines whether an initiative has achieved the intended outcome. To this end, the evaluation will seek to determine the degree to which the ILO strategy for Outcome 4 (2012-15) and outcome 3 (2016-17) 2 and the results framework has actually translated into creating and expanding social protection floors. Further refinement of the methodology will be identified during the preparation of the Terms of Reference and the inception report.
22. The evaluation will be participatory. Consultations with member States, international and national representatives of trade union and employers' organizations, ILO staff at headquarters and in the field, United Nations partners, and other stakeholders will be done through interviews, meetings, focus groups, and electronic communication.
23. The gender dimension will 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 men and women in the consultation, evaluation analysis and evaluation team. Moreover the evaluators should review data and information that is disaggregated by sex and assess the relevance and effectiveness of gender-related strategies and outcomes to create and extend social protection for women and men. All this information should be accurately included in the inception report and final evaluation report.
24. The details of the methodology will be elaborated by the selected team of evaluators on the basis of the Terms of Reference (TORs) and documented in their proposal and their inception report, which are subject to EVAL's approval. It is expected that the evaluation team will apply mixed methods which draw on both quantitative and qualitative evidence and involve multiple means of analysis.
25. These include but are not limited to:
 - Desk review of relevant documents such as SPF/SP and P&B strategies for the period covered by the evaluation; outcome-based work planning (OBW) and technical cooperation portfolios and

related reviews; implementation planning, management and reporting reports (information from the IRIS Strategic Management Module); relevant global reports and meta evaluations; relevant DWCPs and logic model (results framework); relevant DWCP HLEs and DWCP; country programme reviews which will have examined recent performance against stated outcomes, determined what has been achieved, and whether strategies being used are efficient and effective:

- national and sectoral strategic plans and reports related to social protection, other relevant national, multilateral and UN policy and strategy documents;
- reviewing evidence of follow up to relevant evaluation recommendations and use of lessons learned by ILO management;
- interviewing key stakeholders which should reflect a diversity of backgrounds inside the Office, according to sector, technical unit, regions and country situations;
- conducting online surveys and other methodologies to obtain feedback and/or information from constituents and other key stakeholders;
- field visits (5 countries); and
- case studies of visited countries (5) plus desk review-only case study countries (3).

Synthesis study of project evaluations 2012-2017

26. A synthesis review of project evaluation reports on social protection has been commissioned by EVAL to synthesize findings on the effectiveness, efficiency, relevance and sustainability/impact of ILOs work through technical cooperation projects. The synthesis review will examine what types of recommendations and lessons learned were reported by evaluators in the evaluation reports and whether there are any trends or recurring themes among them. Good practices should be identified.
27. The synthesis review covers the period of 2012 to 2016 and the sample was based on a key word search of EVAL's i-track on project evaluations with key words of social protection and social security.
28. The findings of the synthesis study will feed directly into the high level evaluation and will be a source of input for the overall rating on the DAC criteria (see below). The synthesis review is currently being conducted and the final study is expected to be available in January 2017

Case studies

29. The purpose of case studies is to conduct in-depth analysis of the ILO's strategic and programme means of action aimed at supporting the creation and extension of social protection floors. The case studies seek to determine what happened as a result of ILO's interventions, and determine if these interventions had any observable immediate impacts, and to the extent possible determine the links between the observed impacts and the ILO interventions.
30. Possible themes of the case studies could be focussed on the following ILOs strategy on creating and extending social protection floors (to be further developed with evaluation team and key stakeholders):
 - **Technical advice:** to identify the effectiveness of ILO action in providing policy guidance on creating and extending social protection.
 - **Capacity development:** ILO support to development of institutional mechanisms or capacity building of constituents.
 - **Knowledge sharing:** The case study on this mean of action will seek to assess how effectively ILO has promoted and applied knowledge sharing among constituents, ILO staff and its external partners (UN and multilateral institutions) through its KSP but not limited to this medium.

31. The case studies will consist of a combination of methods:
 - Interviews, field studies and participant focus groups,
 - Desk reviews to synthesize and aggregate information such as technical studies, and DWCP reviews from the selected countries and programmes at different times. This will allow greater triangulation while minimizing cost and time being expended on new, possibly repetitive studies.
32. A completed case study report will have detailed descriptions of what happened and the context in which it occurred. The report will feature a factual recounting as well as an analysis of events.
33. The selection of the field visits and the case studies will take into account budgetary expenditure in the country, proportion of budget to overall RB, RBSA and TC on social protection work in each country, balanced geographic spread, and other selection criteria to be decided in discussion with the Social Protection Department and the evaluation team. Additional criteria may be added by the evaluation team.

Summary ratings

34. A summary rating shall be expressed by the independent evaluation team at the end of the six evaluation criteria and the respective questions listed above⁷⁰. The evaluation shall use a six point scale ranging from “highly satisfactory,” “satisfactory,” “somewhat satisfactory,” “somewhat unsatisfactory,” “unsatisfactory,” and “highly unsatisfactory.”
 - **Highly satisfactory:** when the findings related to the evaluation criterion show that ILO performance related to criterion has produced outcomes which go beyond expectation, expressed specific comparative advantages and added value, produced best practices;
 - **Satisfactory:** 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;
 - **Somewhat satisfactory:** when the findings related to the evaluation criterion show that the objectives have been partially attained and there that expected level of performance could be for the most part considered coherent with the expectations of the national tripartite constituents, beneficiaries and of the ILO itself ;
 - **Somewhat unsatisfactory:** when the findings related to the evaluation criterion show that the objectives have been partially attained and the level of performance show minor shortcoming and are not fully considered acceptable in the view of the ILO national tripartite constituents, partners and beneficiaries;
 - **Unsatisfactory:** when the findings related to the evaluation criterion show that the objectives have not been attained and the level of performance show major shortcoming and are not fully considered acceptable in the view of the ILO national tripartite constituents, partners and beneficiaries; and
 - **Highly unsatisfactory:** when the findings related to the evaluation criterion show that expected results have not been attained, and there have been important shortcomings, and the resources have not been utilized effectively and/or efficiently.
35. The ratings will be decided together with the external evaluators and the ILO senior evaluation officer.

⁷⁰ Independent evaluations in the ILO are conducted by independent external evaluators. The final project ratings are produced by the external evaluators as an outcome of the evaluation process. These ratings are based on actual programme data, interaction with beneficiaries and stakeholders as well as on project performance documents (which include self-assessed ratings).

Evaluation Team

36. The Evaluation Office (EVAL) is mandated to manage the evaluation function and ensure proper implementation of the evaluation policy. EVAL's structure and modalities of operation are designed to protect its functional independence. The Director of EVAL reports directly to the Director-General⁷¹ and to the Governing Body through an independent process. EVAL assesses ILO policies, strategies, principles, and procedures as well as decent work country programs. The goals of evaluation in the ILO are to learn from experience, provide an objective basis for assessing the results of its work, and provide accountability in the achievement of its objectives. It also promotes knowledge sharing on results and lessons learned among the ILO and its partners.
37. In accordance with ILO guidelines for independence, credibility and transparency, responsibility for the evaluation will be based in the Evaluation Office in its capacity as an independent entity. The evaluation team will be composed of an ILO Senior Evaluation Officer who will lead a team composed of an international consultant(s) or companies with expertise in social protection floors and evaluation. National research assistants may be recruited to support each case study. The Senior Evaluation Officer will play a critical coordination role and will be responsible for the evaluation implementation at the national and regional levels.
38. The international and national specialists will provide specific inputs based on the thematic case studies that provide the basis for the evaluation analysis. The case studies will analyse project contributions to the implementation of the Office's activities on social protection and to the respective DWCP. The international evaluator will be responsible for drafting the report.
39. This evaluation will be inclusive in nature and seek to involve all key stakeholders.

Management and Responsibilities

40. The Evaluation Office (EVAL) is mandated to manage the evaluation function and ensure proper implementation of the evaluation policy. The evaluation team will be composed of a Senior Evaluation Officer who will lead a team composed of international consultants with expertise in social protection and evaluation, and evaluation team members/national consultants to support the case studies. The director of EVAL will provide inputs and guidance throughout the evaluation process.
41. The Senior Evaluation Officer will play a critical coordination role and will be responsible for the evaluation implementation at the national and regional levels and will:
 - conduct one case study of a country not selected for a field visit;
 - participate in at least two of the evaluation missions conducted by the international consultants;
 - supervise the work of other evaluation team members, review and finalize the final evaluation report.
42. The external evaluator(s) will provide technical leadership and is responsible for:
 - drafting the inception report, producing the draft reports and drafting and presenting a final report;
 - providing any technical and methodological advice necessary for this evaluation within the team; and
 - ensuring the quality of data (validity, reliability, consistency and accuracy) throughout the analytical and reporting phases;
 - managing the external evaluation team, ensuring the evaluation is conducted as per TORs, including following ILO EVAL guidelines, methodology and formatting requirements; and

⁷¹ ILO: ILO Policy guidelines for results-based evaluation: Principles, rationale, planning and managing for evaluations. 2nd edition, Section 1.4, p. 7.

- Producing reliable, triangulated findings that are linked to the evaluation questions and presenting useful and insightful conclusions and recommendations according to international standards.
43. An officer from the Social Protection Department will be appointed to facilitate coordination with the department and field specialists and provide relevant documentation as requested by the team. This person will be the key technical liaison to the evaluation team, assisting in the identification of key stakeholders at Headquarters and the field and identification of key resources/documents.

Quality assurance

44. The international evaluator will be required to ensure the quality of data (validity, reliability, consistency and accuracy) throughout the analytical and reporting phases. It is expected that the report shall be written in an evidence-based manner such that all observations, conclusions, recommendations, etc., are supported by evidence and analysis.
45. The ILO senior evaluation officer will provide overall quality assurance on all key outputs.

Qualifications of the Evaluators

46. This evaluation will be managed by EVAL and conducted by a team of independent evaluators with the following competency mix:
- prior knowledge of the ILO's roles and activities, and solid understanding of social protection in international development cooperation and funding (essential);
 - demonstrated executive-level management experience in reviewing and advising complex organizational structures, preferably in the field of employment, social protection;
 - at least 10 years' experience in evaluation policies, strategies, country programmes and organizational effectiveness;
 - proven experience in conducting and writing evaluation reports of large multilateral organizations for high level decision-making; and
 - fluency in English, spoken and written (essential); knowledge of Spanish would be highly desirable.
47. All team members and their qualifications and roles within the team should be made available in the proposal, indicating proven ability to work with others in the development and timely delivery of high-quality deliverables. The organisation of the work should be specified and explained clearly in a detailed timeline.

Selection Criteria

48. In assessing candidates EVAL will allocate greater importance to technical factors including the design and methods proposed than to cost factors. Proposals will be assessed in terms of best value to the ILO, with price and other factors considered.

Minimum Information to be Included in Offer

49. Expressions of interest must be accompanied by:
- proposal defining the planned methodology for achieving the objectives of the evaluation, as well as a preliminary work plan and timeline for completing the work and deliver the outputs;
 - detailed references for similar work undertaken by each team member;
 - description of team composition with names, roles, and CVs of each member if (applicable);

- dated and signed Declaration of Confidentiality and Conflict of Interest;
 - financial proposal presenting as a fixed price lump sum bid, quoted in USD, covering all expenses and free of any taxes or duties. The proposal should also reflect a breakdown of activities covered by particular cost elements indicating how the costs were derived. The proposal should include fees for team members to undertake five field visits but the mission travel (costs of travel: airfare and DSA will be provided separately by the ILO and should not be included in the offer); and
 - fees for two trips (scoping and presentation/finalization of the report) to Geneva by the consultant or team leader of the team for one week each trip should be included.
50. The initial proposal should present a detailed evaluation approach and a range of methodologies. Key questions to take into account when developing an evaluation approach for the proposal are provided above.

Compensation and payment schedule

51. The Evaluation Office will contract an international independent evaluator(s) or a company under an output-based contract modality. All travel expenses will be paid as a lump sum based on ILO travel regulations.

Evaluators' code of Conduct and Ethical considerations

52. The ILO Code of Conduct for independent evaluators applies to all evaluation team members. The principles behind the Code of Conduct are fully consistent with the Standards of Conduct for the International Civil Service to which all UN staff is bound. UN staff is also subject to any UNEG member specific staff rules and procedures for the procurement of services. The selected team members shall sign and return a copy of the code of conduct with their contract.

Evaluation use strategy

53. Efforts will be made to keep the social protection department and specialists in the regions informed about the major steps of the evaluation process. Key outputs will be circulated for comments.
54. The following products are expected to enhance the use of the evaluation findings and conclusions by developing different products for different audiences:
- GB executive summary document for the GB 2017 discussion;
 - the full report available in limited hard copy and electronically available on the EVAL website;
 - key findings or table of contents presented with hyperlinks for readers to read sections of the report;
 - USB keys with e-copy of the report for dissemination to partners;
 - a powerpoint presentation or visual summary of the report will be prepared for EVALs website and for presentations on the evaluation;
 - EVAL quick facts on the HLE to be prepared; and
 - a short video on the key findings and recommendations.

ANNEX II – LIST OF PERSONS INTERVIEWED/CONSULTED

ILO SOCIAL PROTECTION DEPARTMENT

Isabel Ortiz	Director, SOCPRO
Valérie Schmitt	Deputy Director, SOCPRO
Christina Behrendt	Head of Policy Unit, SOCPRO
Fabio Duran	Head of Public Finance, Actuarial and Statistics Unit, SOCPRO
Karuna Pal	Head of Programming, Partnerships and Knowledge sharing Unit, SOCPRO
Xenia Scheil-Adlung	Coordinator Health Protection, SOCPRO
Clara Van Panhuys	Social Protection Officer, SOCPRO
Veronika Wodsak-Kauffman	Social Protection Expert, SOCPRO
Thibault Van Langenhove	Social Protection Policy Officer, SOCPRO
Victorie Umuhire	Social Protection Expert, SOCPRO
James Canonge	Social Protection Officer, SOCPRO

FIELD SPECIALISTS AND EXPERTS

Nuno Cunha	Social protection specialist, DWT Bangkok
Markus Ruck	Social protection specialist, DWT New Delhi
Celine Peyron-Bista	Social protection expert – CTA, Bangkok
Pascal Annycke	Social protection specialist, Cairo
Luca Pellerano	Social protection expert – CTA, Lusaka
Luis Frota	Social protection specialist, DWT Pretoria
Ursula Kulke	Social protection specialist, DWT Beirut
Ariel Pino	Social protection specialist, DWT Port of Spain
Helmut Schwarzer	Social protection specialist, CO- Mexico
Sergio Velasco	Social protection specialist, DWT Lima
Kenichi Hirose	Social protection specialist, DWT Budapest

Mariko Ouchi	Former Social protection specialist DWT Moscow, DWT Budapest
Charles Crevier	Senior Programme Officer, ITC Turin
Vinicius Pinheiro	Director, New York Office
Ruben Vicente	Social Protection Officer, Maputo, Mozambique
Artiom Sici	Social Protection Officer, Dushanbe, Tajikistan

ILO HQ DEPARTMENTS

Tine Staermose	Special Advisor to the Deputy Director-General for Policy, DDG Policy
Frank Hoffer	Senior research officer, ACTRAV
Francis Sanzouango	Senior Specialist for Africa, ACT/EMP
Laura Addati	Maternity Protection and Work-Family Specialist, GED, WORKQUALITY
Mito Tsukamoto	Senior Specialist, DEV/INVEST, EMPLOYMENT
Alexander Egorov	Application Officer, NORMES
Philippe Marcadent	Chief of the Conditions of Work and Employment Branch, INWORK, Lead Outcome 6
Samia Kazi-Aoul	Labour Migration Policy Specialist, MIGRANT, WORKQUALITY
Geir Tonstol	Senior Operations Officer, PARDEV
Esther Gomez	Gender Coordinators team member, Appraisal, PARDEV
Mara Fabra Porcar	DCSU, PARDEV
Graeme Buckley	Senior Programme Analyst, PROGRAM
Yoshie Ichinohe	Programme Analyst, PROGRAM
Christiane Wiskow	Sector specialist, Sectoral Policies Department
Maria Beatriz Mello da Cunha	Sector specialist, Sectoral Policies Department
Yasuhiko Kamakura	Sector specialist, Sectoral Policies Department
Lou Tessier	Social Protection Technical Officer, Governance
Mito Tsukamoto	Senior Economist, EMPINVEST Employment
Anne Drouin	Director, Global Employment Injury Programme, Employment Injury Insurance and Protection Enterprise Department
Hiroshi Yamabana	Senior Policy Adviser, Employment Injury, Enterprise Department
Griet Cattaert	Former ILO Programme Analyst in charge of SPIAC-B Secretariat (2012 to 2016)

ITUC AND IOE

Raquel Gonzalez	Director International Trade Union Confederation (ITUC)
Peter Bakvis	Director, International Trade Union Confederation (ITUC)/Global Unions, Washington Office
Roberto Suarez Santos	Deputy Secretary General, International Organization of Employers (IOE)
Pierre Vincensini	Adviser, International Organization of Employers (IOE)

THAILAND

Maurizio Bussi	Director DWT for East and South-East Asia and the Pacific, Director ILO Country Office for Thailand, Cambodia and Lao People's Democratic Republic
Pringsulaka Pamornrat	Monitoring and Evaluation Officer, Regional Programming Services Unit
Reiko Tsushima	Chief Regional Programming Services Unit
Yasuo Ariga	CTA ILO Japan Multilateral Program

VIET NAM

Nguyen Hai Dat	Social Protection Programme Officer/ILO
Le Quang Trung	Deputy Director General, Bureau of Employment
Le Kim Dung	Director General, International Cooperation Department, Ministry of Labour, Invalids and Social Affairs
Luu Quang Tuan	Deputy Director General, Institute of Labour Science and Social Affairs, Ministry of Labour, Invalids and Social Affairs
Dang Do Quyen	Vice Director Centre for Population, Labour Employment Studies (ILSSA), Ministry of Labour, Invalids and Social Affairs
Chang-Hee Lee	Director, ILO Country Office for Viet Nam
Le Quang Trung	Deputy Director General, Bureau of Employment, Ministry of Labour, Invalids and Social Affairs
Dang Quang Dieu	Deputy Director, Industrial Research Department, Bureau of Employment, Ministry of Labour, Invalids and Social Affairs
Dieu Ba Duoc	Director, Social Insurance Implementation Department, Viet Nam Social Security"
Vi Thi Hong Minh	Deputy Director, Bureau for Employers' Activities, Viet Nam Chamber of Commerce and Industry
Richard Colin Marshall	Policy Advisor (Poverty & Social Protection) Inclusive and Equitable Growth Team, UNDP
Doan Thuy Quynh	Programme Unit/ILO
Nguyen Thi Huyen	NPC of Tourism Project, CO-Hanoi
Yoshimi Nishino	Chief of Social Policy and Governance, UNICEF
Nguyen Thi Van Anh	Social Policy Specialist. UNICEF
Nguyen Thi Mai Thuy	NPC, CO-Hanoi
Ngo Thi Loan	former ILO national project officer of the unemployment insurance project
Nguyen Ngoc Quynh	Social Protection Analyst, UNFPA
Vu Kim Hue	OSH Project Officer, CO-Hanoi

SOUTH AFRICA

Joni Musabayana	Director, ILO DWT for Eastern and Southern Africa and Country Office for South Africa, Botswana, Lesotho and Swaziland
Luis Frota	Social Security Specialist

JORDAN

Nidal Younes	Secretary General of the Jordan Medical Council, Jordan Medical Council
Basem Kanaan	Director of Policies Directorate, Ministry of Planning
Hitham A. Khasawneh	Assistant Undersecretary for Technical Affairs, Ministry of Labour
Hanadi Al Rifai	Economic and Policies Department, Ministry of Finance
Ahmad Abu Haidar	Director of Policies and Strategies, Ministry of Social Development
Hani El Kurdi	Secretary General, High Health Council
Muien F. Abu-Shaer	Head of Health Economics & Financing Division Directorate of Technical Affairs and Studies, High Health Council
Ikhlass Aranki	Technical Assistant to the Director General for Operation, Department of Statistics
Majdi Al Shuraiqi	Assistant Director General, General Budget Department
Firas Al Mallah	Director of Research Department, General Budget Department
Khaled Hababbeh	International Relation Officer, Programme Officer, General Federation of Jordanian Trade Unions
Ahmad Al-Shawabkeh	GFJTU, Labour Relations Expert, General Federation of Jordanian Trade Unions
Hisham Shatarat	SME Technical Support Unit, Jordan Chamber of Industry
Nidal F. Al Qubbaj	Acting Head of Risk management & Strategic Planning Department, Social Security Investment Fund
Nadia Al-Amawleh	Country Programme Specialist, Country Office Support, Regional Hub in Amman, Formerly Social Security Corporation (now UNDP Regional Hub)
Diana Kamal Jreisat	Governance and Disaster Portfolio Analyst and Reduction Portfolio Analyst, Formerly Social Security Corporation (now UNDP)
Mohammad Ismail	Programme Officer, World Food Programme
Nathalie Milbach-Bouche	Team Leader, Inclusive Growth & Sustainable Development, UNDP-Regional Hub
Dr. Abdul Razzaq Alshafi	Health Finance Advisor, Palladium Group, Ex-USAID project for Health
Hanaa Al-Karabshi	Director of Research and Development Department, National Aid Fund
Htun Hlaing	EIIP CTA in Jordan, ILO-Jordan Office
Chris Donnges	Senior Specialist on Employment Intensive Investments, ILO – HQ (EIIP)
Mohammad Tarawneh	Deputy Director General for Information and Research Affairs, Social Security Corporation
Hazar Asfoura	Research and Actuarial Department, Social Security Corporation

ZAMBIA

Chana Jere	Programme unit
Luca Pellerano	Chief Technical Advisor, Social Protection Floors in Zambia Team
Mwenya Matandiko	Social Security Officer, Social Security Officer, Zambia Green Jobs Programme
Mwenya Kapasa	National Project Coordinator, National Project Coordinator Building National Floors of Social Protection in Southern Africa
Helene Thor	JPO Communications and Public Information, JPO Communications and Public Information Social Protection

Marielle Phe Goursat	Social Health Protection Specialist, Social Health Protection Specialist UN Joint Programme on Social Protection
Pia Korpinen	Regional Technical Adviser on Disability, Regional Technical Adviser on Disability, ILO/Irish Aid Partnership Programme, PROPEL Project, Zambia
Tony Dumingo	Ministry of Labour and Social Security, Social Security Director
Shebo Nalishebo	Zambia Institute for Policy Analysis & Research (ZIPAR), Research Fellow - Public Finance
Felix Mwenge	Zambia Institute for Policy Analysis & Research (ZIPAR), Research Fellow - Human Development
Kennedy Mumba	Ministry of Community Development and Social Services, Chief Social Welfare Officer
Anita Kaluba Simfukwe	Ministry of Health, SHI coordinator
Boniface Phiri	Zambia Congress of Trade Unions, Director Research
Muleka Kamanisha	Zambia Congress of Trade Unions, Deputy Director Research
Hilary Hazele	Zambia Federation of Employers, Manager, Policy
Vince Chipatuka	Project Manager, Regional Social Protection Project Coordinator, Friedrich Ebert Stiftung
Patrick Chabwe	National Pension Scheme Authority, Manager - Actuarial Liability
Mason Mwiinga	National Pension Scheme Authority, Director - Benefist & Cont
Kalaba Mwimba	National Pension Scheme Authority, Project Manager - ECIS Project
Kingsley Kangwa	Workers Compensation Fund Control Board, Directors - Benefits
Christopher Chabala	Workers Compensation Fund Control Board, Manager - Operations South
Daniel Kumitz	UNICEF, Social Policy Specialist
Moses Chibole	FAO, Senior policy and programming support specialist
Patricia Malasha	Irish Aid, Policy and Strategy Adviser
Anne Mbewe-Anamela	Irish Aid, Programme Manager/Public Financial Management Advisor
Dolika Nkhoma	DFID, Programme Officer
Annika Lysen	SIDA, First Secretary, Deputy Head of Section, Economist/Development Analyst

COLOMBIA

Italo Cardona	Especialista en Legislación Laboral y Administración del Trabajo, OIT para los Países Andinos.
Laura Norato	Oficial Nacional de Coop. De la OIT para el proceso de Paz en Colombia, OIT.
Thorn Ath	President Cambodian Labour Confederation
Sokha Nguon	Secretary of State - Ministry of Economy and Finance
Mengleng Touch	Insurance and Pansion Department, Ministry of Economy and Finance
Samvithyea Ouk	Executive Director, National Security Fund
Sou Ieng Van	President of the Cambodian Federation of Employers and Business Associations
Maki Kato	Chief Social Policy, UNICEF Cambodia office
Diana Loreny Arbeláez Marquéz	Directora Académica, Instituto Nacional de Ciencias Sociales -INES de Colombia

José Antonio Ocampo	Codirector, Banco de la República.
María Doris González	Directora Departamento de Seguridad Social, Central Unitaria de Trabajadores de Colombia-CUT.
Gustavo Riveros Aponte	Director Encargado, Organización Iberoamericana de Seguridad Social-OISS.
Letty Leal	Ex Directora de Riesgos Laborales, Ministerio de Trabajo.
Mirtha Rodríguez Valenzuela	Directora Dpto de Proyectos, Confederación de Trabajadores de Colombia CTC.
Cecilia López	Directora, Centro de Investigación Social y Económica - CISOE.
Javier Gúzman	Vicepresidente de Beneficios Económicos y Periódicos –BEPS, Administradora Colombiana de Pensiones -COLPENSIONES.
Iván Darío Gómez Lee	Ex consultor OIT - Libro Blanco Subsidio Familiar, Procuraduría General de la Nación.
Juan Carlos Cortés	Viceprocurador, Procuraduría General de la Nación.
Juliana Manrique Sierra	Abogada Vicepresidencia de Asuntos Jurídicos y Sociales, Asociación Nacional de Empresarios de Colombia - ANDI.
Paula Ojeda	Subdirectora del Subsidio Familiar, Ministerio de Trabajo.
Diana Marcela Arena Pedraza	Directora de Pensiones y otras prestaciones, Ministerio de Trabajo.
Francisco Javier Mejía	Ex Viceministro de Empleo y Pensiones, Ministerio de Trabajo.

MOZAMBIQUE

Gimo Cumba Luisa Isabel	National Director, National Institute of Social Action
Matsumane Langa Graciano	Deputy National Director of Social Action, Ministry of Gender, Children and Social Action
Comiche Moises	Social Action Department Director, Ministry of Gender, Children and Social Action
Alguineiro Joao	Assessor da Direcção Geral do CEDSIF para a área de Gestão de Projectos, Center for Development of Financial Information Systems, Ministry of Finance
Balate Fabião	Director Planning & Studies, INPS
Fausto da Silva Sonia	Chefe do Departamento de Regimes e Prestações, INSS
Maringola Ramos	Presidente, AEIMO
Vasconcelos Adriano	Staff Member, AEIMO
Morgulo Joao	Member, AEIMO
Baptista Leandro Raquel	Tecnica Sectorial de Cooperacao, Embaixada de Portugal
Timana Jeremias	SG, National Confederation of Free and Independent Labor Unions of Mozambique (CONSILMO)
Miguel Victor	Head of Labour Policy & Social Action, Confederacao das Associações Economicas de Mocambique (CTA)
Manhique Zefanias	Vice-Presidente do Pelouro da Politica Laboral e Accao Social, Confederacao das Associaoes Economicas de Mocambique (CTA)
Simango Damião	SG International Relations, Organização dos trabalhadores moçambicanos, Central Sindical
Phalange Sergio	secretário executivo da plataforma, PSCM-PS (Civil Society Platform for Social Protection)

Rossi Andrea	Chief of Research, UNICEF
Palacio Esther	Technical Assistance Coordinator, IMF
Gallego-Ayala Jordi	Social Protection Specialist, World Bank
Antunes Eleasara -	Programme Officer Gender, HIV/aids & Social Protection, Netherlands Embassy
Serodio Koeti -	Social Protection officer, Irish Aid
Fumo Luisa	Programme Officer Rights-Based Social Development, Embassy of Sweden
Matos Dioniso	OVC Programme Manager, USAID
Zeytlin Benjamin	Social Development Adviser, DFID
Sousa Graça	Education sector and cooperation visibility coordinator, European Union

EXTERNAL

Bob Deacon	Professor Emeritus of International Social Policy, University of Sheffield (UK)
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ANNEX III – SUMMARY OF ISSUES IN KEY POLICY DOCUMENTS

The Social Security (Minimum Standards) Convention, 1952 (No. 102) is “the flagship of all ILO social security Conventions, as it is the only international instrument, based on basic social security principles, that establishes worldwide-agreed minimum standards for all nine branches of social security. These branches are: (1) medical care; (2) sickness benefit; (3) unemployment benefit; (4) old-age benefit; (4) employment injury benefit; (5) family benefit; (6) maternity benefit; (7) invalidity benefit; and (8) survivors’ benefit.

While Convention No. 102 covers all branches, it requires that only three of these branches be ratified by member States, which allows for the step-by-step extension of social security coverage by ratifying countries. The minimum objectives of the Convention relate, for all the nine branches, to the percentage of the population protected by social security schemes, the level of the minimum benefit to be secured to protected persons, as well as to the conditions for entitlement and period of entitlement to benefits. Convention No. 102 does not prescribe how to reach these objectives but leaves certain flexibility to the member State.

Confirmed as an up-to-date standard by decision of the Governing Body of the ILO in 2001, and recognized by the International Labour Conference in 2011 as a benchmark and reference in the gradual development of comprehensive social security coverage at the national level, Convention No. 102 has been ratified by 48 ILO member States since its entry into force in 1952, and more ratifications are expected in the years to come. The last country to have ratified Convention No. 102 was Honduras, in 2012.”

Source: Extracts adapted from: http://www.ilo.org/secsoc/areas-of-work/legal-advice/WCMS_205340/lang--en/index.htm

Social Protection Floors Recommendation, 2012 (No. 202) provides guidance to Members to: “(a) establish and maintain, as applicable, social protection floors as a fundamental element of their national social security systems; and (b) implement social protection floors within strategies for the extension of social security that progressively ensure higher levels of social security to as many people as possible, guided by ILO social security standards”. Recommendation 202 defines social protection floors as “defined sets of basic social security guarantees which secure protection aimed at preventing or alleviating poverty, vulnerability and social exclusion. According to the recommendation, social protection floors should comprise at least the following basic social security guarantees:

- (a) access to a nationally defined set of goods and services, constituting essential health care, including maternity care, that meets the criteria of availability, accessibility, acceptability and quality;

- (b) basic income security for children, at least at a nationally defined minimum level, providing access to nutrition, education, care and any other necessary goods and services;
- (c) basic income security, at least at a nationally defined minimum level, for persons in active age who are unable to earn sufficient income, in particular in cases of sickness, unemployment, maternity and disability; and
- (d) basic income security, at least at a nationally defined minimum level, for older persons.”

Recommendation 202 recognizes “the overall and primary responsibility of the State in giving effect to this Recommendation and suggests to Members to apply the following principles: universality of protection, based on social solidarity; entitlement to benefits prescribed by national law; adequacy and predictability of benefits; non-discrimination, gender equality and responsiveness to special needs; social inclusion, including of persons in the informal economy; respect for the rights and dignity of people covered by the social security guarantees; solidarity in financing while seeking to achieve an optimal balance between the responsibilities and interests among those who finance and benefit from social security schemes; consideration of diversity of methods and approaches, including of financing mechanisms and delivery systems; transparent, accountable and sound financial management and administration; financial, fiscal and economic sustainability with due regard to social justice and equity; coherence with social, economic and employment policies; coherence across institutions responsible for delivery of social protection; high-quality public services that enhance the delivery of social security systems; efficiency and accessibility of complaint and appeal procedures; regular monitoring of implementation, and periodic evaluation; full respect for collective bargaining and freedom of association for all workers; and tripartite participation with representative organizations of employers and workers, as well as consultation with other relevant and representative organizations of persons concerned.”

Sources: Extracts adapted from ILO Information System on International Labour Standards

http://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO:12100:P12100_INSTRUMENT_ID:3065524:NO

Recommendation concerning the transition from the informal to the formal economy economy, 2015 (No. 2014) provides “guidance to Members to (a) facilitate the transition of workers and economic units from the informal to the formal economy, while respecting workers’ fundamental rights and ensuring opportunities for income security, livelihoods and entrepreneurship; (b) promote the creation, preservation and sustainability of enterprises and decent jobs in the formal economy and the coherence of macroeconomic, employment, social protection and other social policies; and (c) prevent the informalization of formal economy jobs”. Recommendation 202 uses the term ‘informal economy’ to refer to “all economic activities by workers and economic units that are – in law or in practice – not covered or insufficiently covered by formal arrangements”. Such economic units in the informal economy include: “(a) units that employ hired labour; (b) units that are owned by individuals working on their own account, either alone or with the help of contributing family workers; and (c) cooperatives and social and solidarity economy units.”

Recommendation 204 provides a set of guiding principles in designing coherent and integrated strategies to facilitate the transition to the formal economy. Recommendation 202 includes specific sections on Legal and policy frameworks, employment policies, rights and social protection, Incentives, compliance and enforcement, freedom of association, social dialogue and role of employers’ and workers’ organizations, data collection and monitoring and on the implementation of the recommendation.

Regarding Rights and Social Protection (Section V), the Recommendation invites Members to:

- “progressively extend, in law and practice, to all workers in the informal economy, social security, maternity protection, decent working conditions and a minimum wage that takes into account the needs of workers and considers relevant factors, including but not limited to the cost of living and the general level of wages in their country;

- pay particular attention to the needs and circumstances of those in the informal economy and their families;
- progressively extend the coverage of social insurance to those in the informal economy and, if necessary, adapt administrative procedures, benefits and contributions, taking into account their contributory capacity; and
- encourage the provision of and access to affordable quality childcare and other care services in order to promote gender equality in entrepreneurship and employment opportunities and to enable the transition to the formal economy.”

Source: Extracts adapted from ILO Information System on International Labour Standards

http://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO:12100:P12100_ILO_CODE:R204

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