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## Acronyms and Abbreviations

ACT/EMP	ILO's Bureau for Employers' Activities
ACTRAV	ILO's Bureau for Workers' Activities
AITUC	All India Trade Union Congress
ANTUF	All Nepal Trade Union Federation
APEC	Apparel Export Promotion Council
BEWG	Brand Ethics Working Group
CO	Country Office
CSO	Civil Society Organization
CTA	Chief Technical Advisor
DWCP	Decent Work Country Programme
DWT	Decent Work Team
FGD	Focus Group Discussion
FHAN	Federation of Handicraft Associations of Nepal
FWEAN	Federation of Woman Entrepreneurs Association of Nepal
GEFONT	General Federation of Nepalese Trade Unions
GESI	Gender Equality and Social Inclusion
HBW	Home-based worker
HNSA	Home Net South Asia
HQ	Head Quarters
ICLS	International Conference of Labour Statisticians
ILO	International Labour Organization
ILS	International Labour Standards
INTUC	Indian National Trade Union Congress
INWORK	Inclusive Labour Markets, Labour Relations and Working
JTUCC	Joint Trade Union Coordination Centre
MBO	Member-based Organization
MoLESS	Ministry of Labour, Employment and Social Security
MSME	Micro, Small and Medium Enterprises
MTE	Mid-Term Evaluation
NPC	National Project Coordinator
NTUC	Nepal Trade Union Congress
OECD/DAC	Organization for Economic Co-operation and Development/ Development Assistance Committee
OSH	Occupational Safety and Health
PRA	Participatory Rural Appraisal
RBSA	(ILO's) Regular Budget Supplementary Accounts
WISH	Work Improvement for Safe Homes

## Executive Summary

### Project background

“Towards fair and sustainable global supply chains: Promoting formalization and decent work for invisible workers in South Asia” is an International Labour Organisation (ILO) project funded by the Government of Japan that aimed to contribute to the development of ethical and sustainable global supply chains (GSCs) in South Asia and promote decent work for informal and homebased workers, especially women workers in India, Nepal, and Sri Lanka. The project, originally planned for 2017 to 2020, was extended till June 2022 with an overall budget of more than USD 2.4 million.

The project has three outcomes, i.e. Outcome 1: Improved and effective implementation of policies/regulations to promote decent work; Outcome 2: Strengthened governance to promote decent work and contribute to the development of ethical and sustainable supply chains at the local levels; and, Outcome 3: Improved living and working conditions of home-based women workers and other informal economy workers engaged in selected supply chains.

In India and Nepal, the project had ten implementing partners, 5 each in India and Nepal, and selected garment and metal handicraft sector to implement the project. The project covered 2 states in India and 15 clusters in 3 districts in Nepal. The ten implementing partners are India: Department of Labour, Government of Uttar Pradesh, All India Trade Union Congress (AITUC), Uttar Pradesh; SEWA (Central Union); All India Trade Union Congress (AITUC), Tamil Nadu; Tirupur Exporter’s Association (TEA); and in Nepal: General Federation of Nepalese Trade Unions (GEFONT); All Nepal Federation of Trade Unions (ANTUF); Nepal Trade Union Congress (NTUC), Federation of Handicraft Associations of Nepal (FHAN); Federation of Woman Entrepreneurs Associations of Nepal (FWEAN); Sri Lanka was added in November 2019, the project focussed on policy advocacy and capacity building at the national level and did not have any implementing partner. It is to be noted that the project had conducted an external independent mid-term evaluation in November 2019 to February 2020.

### Evaluation background

This independent final evaluation was conducted as per the Terms of the Reference and the 4th Edition of the ILO Policy Guidelines for result-based evaluation of 2020.

The key objectives of the independent final evaluation were as follows:

- To undertake an independent assessment of the Project’s achievements against its stated objectives and result framework.
- To assess and identify factors affecting project implementation (positively and negatively) and implementation strategies of the project with regard to their potential effectiveness in achieving the project outcomes and impacts, including unexpected positive results and potential for further interventions, scaling up and replicability.
- To identify challenges, opportunities, lessons learned and provide recommendations for continuous improvement of relevant future projects and programme by the donor, ILO, the project team and the partners.

The evaluation covered the project implementation period, i.e. 1 July 2017 – 31 December 2021 and the primary clients of the evaluation include ILO and tripartite constituents.

The evaluation followed OECD/DAC criteria as per the ILO's evaluation guidelines and the questions as mentioned in the TOR and finalized during the inception phase. The criteria included relevance and strategic fit, coherence, effectiveness, efficiency, impact, sustainability and other cross cutting issues including gender equality, non-discrimination and disability inclusion.

The evaluation followed a mixed-method approach wherein it made use of the both the qualitative as well as quantitative data to conduct the evaluation and the key stages in the evaluation process included inception, primary data collection, validation workshop and report development and finalisation. The evaluation covered 75 stakeholders through in-depth interviews and more than 100 beneficiaries, both HBWs and entrepreneurs and micro-enterprises, through 13 FGDs. A half-day validation workshop (virtual) was organised to debrief the evaluation findings to key stakeholders of the project on 18<sup>th</sup> May 2022.

## **Findings**

The findings are briefed as per the evaluation criteria

### *Relevance and strategic fit*

The project was found to be highly relevant to the tripartite constituents and targeted beneficiaries. The project objectives directly responded to the needs of the workers related to recognition of them as workers and to make them visible, capacities related to wage determination and Occupational Safety and Health (OSH) and organising them for collective negotiation/collective bargaining (CB) and joint action. The project strategies were highly relevant to the trade unions (TUs) as they helped in addressing the challenges and gaps related to invisibility of the home-based workers, difficulties in organising them and building their capacities and also for raising their voices. The project objectives were also highly relevant to the needs and priorities of the employers' membership-based organizations (EMBOs), especially in their work with the members who are at the lowest tier of the supply chain, i.e. micro, small and home-based enterprises. The project objectives are highly relevant to government as they attempt to remove policy blindness and enhance coverage under existing legislations. While the project objectives were relevant to international brands, many of the brands they do not acknowledge presence of the homeworkers in their supply chains or have policies that prohibit outsourcing of work to homeworkers. Accordingly, the project strategies needed to be more nuanced and practical to engage with the international brands.

The project is aligned to the relevant national development frameworks in India, Nepal and Sri Lanka, Decent Work Country Programmes (DWCP) of India, Nepal and Sri Lanka and contributed to DWCP priorities and outcomes. The project objectives and outcomes directly contribute to five of the Sustainable Development Goals (SDG), i.e. SDG 8, 9, 10, 12, and 17.

### *Coherence*

The project, by design, used social dialogue approach and was coherent with the initiatives of the tripartite constituents as well as other key stakeholders like civil society organisations. The ILO constituents, government, TUs and MBOs, were closely involved in the project either as members of the national level working groups or as implementing partners.

### *Adaptation to COVID 19*

The ultimate beneficiaries of the project, i.e. HBWs and micro and home-based enterprises were immediately and severely hit due to pandemic and the project made several adaptations in its design and delivery mechanisms to continue its operations and support the home-based workers during the pandemic. Accordingly, to the stakeholders, this project was one of the few ILO projects, which continued its operations during the pandemic.

### *Effectiveness*

The key achievements of the project are presented as per the three outcomes:

#### Outcome 1: Improved and effective implementation of policies/regulations to promote decent work.

- The project was effective in making significant contributions to formalization processes in Nepal, wherein the project formed a national level Tripartite Technical Working Group on formalizing the informal economy in Nepal in 2019-20 under the leadership of Ministry of Labour and Employment, which is leading country's efforts towards formalization using tripartism and social dialogue approach. The project successfully conducted diagnostics study as per ILO methodology and as a follow up to this study, government of Nepal has decided to work on the recommendations and has requested ILO to be part of the core group.
- The project was effective in providing technical support to the Nepal government to address the challenges related to descriptive statistics concerning HBWs. With the project's technical support, HBWs for the first time were covered under the descriptive statistics in labour force survey of 2017-18. The ILO further provided technical support to improve the questionnaire to cover HBWs in the labour force survey of 2021.
- In India and Nepal, the national level working groups of TUs and MBOs are in the process of drafting a National Policy for Homebased Workers, which will help them in conducting policy advocacy for the causes of these invisible workers.
- In Nepal, the project effectively provided technical support to FHAN in developing a voluntary code of conduct to promote health and safety for workers in the metal craft (non-ferrous metal) sector. Significantly, the FHAN members have started implementing this code in their enterprises, which will have positive impact on the health of the workers employed in these micro and home-based enterprises.
- In Nepal, the project collaborated with the CO to support development and implementation of national OSH Policy. The policy covers informal economy workers and home-based workers.
- In India and Nepal, the project was successful in identifying home-based workers in select locations and in assessing their situation. This helped in developing comprehensive programmes by the TUs and also in local level policy advocacy especially during pandemic.

#### Outcome 2: Strengthened governance to promote decent work and contribute to the development of ethical and sustainable supply chains at the local levels.

- Under this Outcome, the project was effective in building the capacities of the tripartite partners to promote decent work for homebased and informal workers in the supply chains. The enhanced capacities of the TUs and MBOs were in the

areas of wages and wage systems, OSH for home-based workers, financial and business literacy trainings, Gender Issues and Prevention of Violence and Harassment at Workplace and entrepreneurship development for women.

Outcome 3: Improved living and working conditions of homebased workers and other informal economy workers (such as intermediaries, sub-contractors, and SMEs) engaged in selected supply chains.

Under this Outcome, the project was effective in implementing comprehensive community based programmes in India and Nepal in partnership with the trade unions. The key achievements under this outcome are:

- Unionization of 41,772 home-based workers of which 85% are women. More than 90% of the workers unionized are in India. AITUC UP registered a separate union of home-based workers in Uttar Pradesh.
- Reached out to more than 40,000 home-based workers and their local leaders and built their capacities on wages, OSH, worker rights, entrepreneurship, social protection schemes and financial literacy.
- Formation of collectives of home-based workers including Self Help Groups (SHG) in India and cooperatives in Nepal to support them to organize them as micro-enterprises to play a higher role in the supply chain, both domestic and international.
- Registration of around 8,000 home-based workers in the 'e-shram' portal in UP India. In Nepal, around 1,000 home-based workers were enrolled in the National Health Insurance Scheme.
- Formalization of 150 micro and home-based enterprises in Nepal. Linkage of the 36 women led enterprises with the formal financial institutions.

The contributory factors to the abovementioned achievements include: collaborative approach of social partners leading to greater ownership, high level of commitment of the implementing partners, support by the governments in Nepal and UP, flexibility shown by the project team to adapt the project design and intervention strategy, strategic focus on enhancing project's visibility, high quality of ILO's technical inputs, investment in local and community leadership development, and donor's flexibility in fund allocation and project's duration.

The areas where the project could not reach the milestones are: mapping of the global supply chain and linking it to the HBWs, action plan of the international brands and development of ethics guidelines, progress towards ratification of C177, state level action of the government in Tamil Nadu and at the local levels in Nepal.

### ***Efficiency***

Project's overall efficiency w.r.t timeliness of implementation is satisfactory considering the initial delay in starting the project and disruptions due to COVID 19. The project's data on direct and indirect beneficiaries is available in its annual Technical Progress Reports (TPR) with sufficient details. The project's adherence to RBM framework is satisfactory considering significant deviations from the original project design based on field situation and contextual changes. As on February 2022, the project had utilization rate of 86.3 % (including encumbrances). The reasons for under-utilization of budget (after adjustments) include savings due to online conduction of trainings, workshops and meetings. Further, a significant amount of the budget allocated for travel of project team also remain unutilized due to COVID 19 restrictions. The project also reporting leveraging of resources from other sources within ILO (RBSA and RBTC) to the tune of

\$38,125 in Nepal and \$5,000 in India.

### ***Impact***

Project's key impact areas are as below:

- The issue of HBWs is now part of the long term agenda of the TUs, which is quite significant in the overall context of formalization of the informal economy. The TUs are committed to undertake long term policy advocacy for ratification of C177, formulation of a national policy on home-based workers and to include their coverage in the labour force surveys. Similarly, MBOs have included formalization of the informal small and micro-enterprises in the supply and in their long-term agenda.
- As a result of this project, the national government in Nepal has included the agenda of formalization of the informal economy in its structures and has taken concrete step of forming a nine-membered committee to oversee the transition to formalization processes of which ILO is also invited as a member. In India, recognition of HBWs as informal economy workers by the government of UP has the potential to inform the policy discourse at the national level and also to be replicated by other states.
- The project was able to enhance the visibility of the issues of the HBWs at the international and national level which may lead to potential investment in this area.
- The implementing partners, i.e. TUs and MBOs, reported mainstreaming of the capacities created under the project at the organizational levels. Capacities related to application of PA, WISH training for OSH, GET Ahead training and gender were reported to be especially useful.
- At the level of HBWs, the key impact of the project relate to their self-recognition of being a worker. As result of the awareness creation and better understanding of the issues, the HBWs, especially women, realize their rights as a worker and the importance of unionization and collective bargaining. There is significant increase the confidence levels of the women workers which has also led improvement in their status within the family and community. There are examples of workers negotiating for better wages, application of tools to improve the OSH at home, and collectivization, which suggests progress towards decent work and living conditions.

### ***Sustainability***

Partners' capacities enhanced under the project are likely to sustain beyond the duration of the project. Further, TUs and MBOs have owned agenda of HBWs in supply chains and it is highly likely that they will continue the project activities especially related to support to their members and policy advocacy in a sustained manner. In Nepal, the policy level results, i.e. action towards formalisation, is internalized by the government wherein they have created structures to take forward the agenda. Accordingly, the results of the informality diagnostics, i.e. government's specific measures to transition to formalization, is likely to sustain unless there is change in the government's priority due to any disaster or change of government.

The worker level impact leading to enhanced capacities is evident with some of the workers and their leaders at the local levels. These results are likely to sustain beyond the project's duration. However, due to pandemic a number of workers are very new to programme and also the collectives at most of the locations are in nascent stages. In absence of external support, the partners may not be able to maintain the momentum created by the project at the field level and results may not sustain. Accordingly, results at



the worker and micro-enterprise level require continuous and consistent support until they become sustainable.

### ***Cross cutting issues***

The project had significant focus on mainstreaming gender equality as the targeted beneficiaries were largely women home-based workers. The project also made special efforts to mainstream gender in all the project activities by conducting gender-specific research, addressing gender concerns in all the training programmes and capacity building workshops and knowledge products. The project also reported employing non-discrimination principles and practices and incorporating the issues of people with disability in their activities.

### **Lessons Learned**

1. Innovative or experimental projects need to have a pilot phase and also keep the project design broad and open ended.
2. Developing shared understanding of the project amongst the key stakeholders in the initial phases of the project helps in enhancing effectiveness of the project.
3. A multi-dimensional and long-term approach is required to deal with the complex issue of HBWs (especially women) in the GSCs.
4. Special efforts are required to visibilise the issue of invisible workers at the level of tripartite partners as well as within the ILO.
5. Supply chain disruptions directly impact the HBWs, who are also forced to absorb the losses because of these disruptions.
6. HBWs, especially women, require additional livelihood and leadership development support to participate in the initiatives that promote FOA and CB. Need for a non-conventional approach.

### **Good Practices**

1. Participatory Appraisal – Facilitative approach, rapport building with the workers, helps in rapid situation assessment, and in reaching out to invisible and hidden workers.
2. Training on Wages and wage setting in the context of piece rates
3. OSH Training using ILO's WISH Methodology
4. Training on Financial Literacy
5. GET Ahead Training
6. Tripartite Technical Working Group at the national level
7. Informality Diagnostics Study
8. Technical Working Groups at the national level.

### **Conclusion**

This project was found to be innovative considering the approaches that it adopted in identifying, unionizing and building capacities of the homebased workers, who are highly invisible. In the overall context of formalization process, the project achievements in the areas of unionization of workers, formalization of micro-enterprises and capacity building of partners are quite significant. The project has successfully demonstrated a model, which can contribute to formalization of the informal sector. While there are challenges related to ratification of C177 and engagement of international brands, the project has provided some very interesting lessons and good practices that have the potential to influence the future initiative in this specific area as well as other initiatives for formalization of the informal economy.

### **Recommendations**

Recommendation 1: Issue of homebased workers in the supply chains must form part of the ILO's long term agenda at the country, regional and global levels and urgent efforts must be made to raise resources at the national, regional and global levels to work on this

issue. Ratification of C177 must be included in the DWCP priorities of each country.

Addressed to	Priority	Resource	Timing
ILO COs of India, Nepal and Sri Lanka	High	Low	Long - term

Recommendation 2: ILO to continue technical support to the partners of this project

Addressed to	Priority	Resource	Timing
ILO Regional Officer and ILO DWT Delhi	High	Low to medium	Medium - term

Recommendation 3: Implementing partners must continue working on project objectives

Addressed to	Priority	Resource	Timing
Social partners (TUs and MBOs)	High	Low	Medium-term

Recommendation 4: National working groups of TUs and MBOs must continue operating

Addressed to	Priority	Resource	Timing
Members of working group, i.e. Social partners (TUs and MBOs)	High	Low	Short-term

Recommendation 5: Implementing partners must improvise upon the intervention strategy based on lessons from this project.

Addressed to	Priority	Resource	Timing
Members of working group, i.e. Social partners (TUs and MBOs)	Medium	Low	Medium-term

Recommendation 5: Finalisation and publication of all the knowledge products generated under this project.

Addressed to	Priority	Resource	Timing
ILO Project Team	High	Low	Short-term

## Project Background

“Towards fair and sustainable global supply chains: Promoting formalization and decent work for invisible workers in South Asia” is an International Labour Organisation (ILO) project funded by the Government of Japan that aimed to contribute to the development of ethical and sustainable global supply chains (GSCs) in South Asia and promote decent work for informal and homebased workers, especially women workers in India, Nepal, and Sri Lanka.

The project, originally planned for 2017 to 2020, was extended till June 2022 with an overall budget of more than USD 2.4 million.

This project was preceded by the “Way out of informality in South Asia” (2012-2016) project, also funded by the government of Japan, which targeted formalizing the informal enterprises and micro businesses in select sectors. This project, also termed as second phase, built upon the achievements of the first phase, notably, awareness generation among the tripartite constituents and other stakeholders on the significance of addressing informal economy in realizing sustainable and inclusive development.

The ILO Fundamental Conventions, Home Work Convention No. 177 of 1996 and ILO member States’ Resolution of 2016 on decent work in global supply chains provided guidance to this project.

### Project’s purpose, logic structure and objectives

In the GSCs, the large and formal enterprises of the developed markets, commonly known as brands/retailers, undertake manufacturing of their products in developing countries like India, Nepal and Sri Lanka. The brands have linkages with local manufacturers who are large, medium and small sized enterprises. As the manufacturers or suppliers have to be highly competitive, they often engage home-based workers (HBW) in the production processes through sub-contractors or agents. The HBWs work on piece-rate contracts, where the payments are often lower than the comparative minimum wages and the workers often bear the losses resulting out of any production inefficiencies. At the lowest tier, the supply chain structuring is informal and complex and the HBWs are hidden and unrecognised participants in the supply chain. So far, the HBWs are out of the compliance mechanisms of the big brands, local governments as well as supply chain interventions. At the lowest tier, the micro and small enterprises who have direct interface with the HBWs function informally and lack resources to function in a formal and socially responsible manner.

In this context, the overall purpose of this project was to contribute to the promotion of decent work and transition from informal to formal economy in selected global supply chains in India, Nepal and Sri Lanka, particularly those in the lower tiers of the chains.

#### *Development objective*

To contribute to the development of ethical and sustainable global supply chains where all those engaged in global supply chains, especially those at the lower tiers of the supply chains enjoy decent work in South Asia.

The project has three outcomes, which further had outputs and activities, as briefed below:

*Outcome 1: Improved and effective implementation of policies/regulations to promote decent work.*

This outcome has four outputs which focused on baseline studies on HBWs; mapping of regulatory environment; development of roadmap for policy development for HBWs; and awareness raising and policy advocacy campaign to promote and protect the rights of HBWs in the selected supply chains.

*Outcome 2: Strengthened governance to promote decent work and contribute to the development of ethical and sustainable supply chains at the local levels.*

This Outcome also had four outputs which focused on development of action plan by the government for HBWs; action plan by employers to promote capacity building and formalization of the informal enterprises; action plan by trade unions and civil society organizations (CSO) on promotion of decent work for home-based workers and other informal economy workers, especially women, engaged in GSC; and development of ethical practices to promote decent work at the lower tiers of supply chains by international brand companies.

*Outcome 3: Improved living and working conditions of home-based women workers and other informal economy workers engaged in selected supply chains.*

This Outcome had two outputs, which focused on a comprehensive community-based programme to improve living and working conditions of HBWs and documentation of good practices and lessons learned from the community-based programme.

The project during the course of its implementation articulated its theory of change at the three levels, i.e. macro, meso and micro. This theory of change is presented in the diagram below:

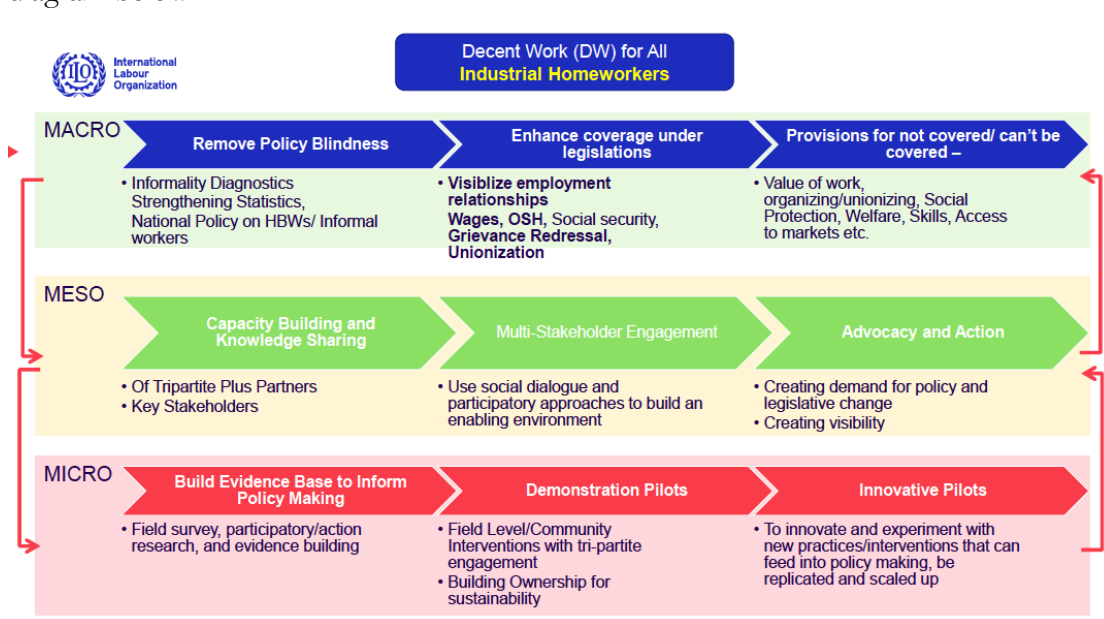


Figure 1: Project's Theory of Change<sup>1</sup>

### Targeted ultimate beneficiaries

The project recognized women home-based workers as one of the most disadvantaged workers in GSCs, and targeted them as the main intended beneficiaries. The project also targeted other actors in the supply chain such as men home based workers, sub-contractors, micro and small enterprises, and suppliers.

### Implementing partners, intervention areas and sectors

In India and Nepal, the project had ten implementing partners, 5 each in India and Nepal, to implement the project in select sectors and geographies as outlined in the table below. As Sri Lanka was added in November 2019 on the request of the government of

<sup>1</sup> Project team's presentation to the evaluation team

Japan, the project focussed on policy advocacy and capacity building at the national level and did not have any implementing partner.

In India the project worked with the HBWs of the garment sector in the states of Tamil Nadu, Uttar Pradesh and Delhi) and metal handicraft sector in Moradabad, Uttar Pradesh. In Nepal, the project had was implemented in in 15 clusters of three districts namely, Bhaktapur, Kathmandu and Lalitpur area of Bagmati Province with focus on garment sector (woollen hand knitted garments, Dhaka fabric), and Metal Work (metal statue making, gold & silver jewellery). These workers also engaged in carpet weaving and Tangka paintings.

**Table 1: Implementing partners, Geography and sectors**

Implementing partner	Geography	Sector
<b>India</b>		
Department of Labour, Government of Uttar Pradesh	Uttar Pradesh, India Bareilly, Lucknow and Moradabad	Garment and Metal (as covered by other implementing partners)
All India Trade Union Congress (AITUC), Uttar Pradesh	Bareilly and Lucknow districts Moradabad	Garment Metal handicraft
SEWA (Central Union)	Bareilly and Lucknow districts Delhi	Garment Embellishment and other
All India Trade Union Congress (AITUC), Tamil Nadu	Tirupur, Tamil Nadu	Garment
Tirupur Exporter's Association (TEA)	Tirupur, Tamil Nadu	Garment
<b>Nepal</b>		
All Nepal Federation of Trade Unions (ANTUF)	4 municipalities of the three districts of Kathmandu, Bhaktapur and Lalitpur	Metal and fibre handicraft
General Federation of Nepalese Trade Unions (GEFONT)	6 Municipalities of the three districts (as mentioned above).	Metal handicraft, garment woollen Knitwear products
Federation of Handicraft Associations of Nepal (FHAN)	3 districts (as mentioned above).	Metal and fibre handicraft
Federation of Woman Entrepreneurs' Associations of Nepal (FWEAN)	4 municipalities of the three districts (as mentioned above).	Women owned enterprises across sectors
Nepal Trade Union Congress (NTUC)	5 Municipalities of three districts (as mentioned above)	Garment (knitwear, carpet and handicraft)

### Management arrangements

The project team comprised of Project Manager/Chief Technical Advisor (CTA) (International Position based at New Delhi) and National Project Coordinators (NPC) at country level supported by Administrative Assistants in India and Nepal. In Sri Lanka NPC was not hired and Administrative Assistants was co-shared with other projects. The CTA reported to the ILO Director in Delhi and the CTA of the ILO/Japan Multi-bilateral Programme in the ILO Regional Office for Asia and the Pacific in Bangkok. The project was backstopped by the programme officers in the respective Country Offices, and the technical support was provided by the relevant specialists of the Decent Work Team (DWT) for South Asia and ILO Geneva.

### Evaluation background

This independent final evaluation was conducted as per the Terms of the Reference and the 4th Edition of the ILO Policy Guidelines for result-based evaluation of 2020. It is to

be noted that the project had also conducted an external independent mid-term evaluation in November 2019 to February 2020.

### **Purpose and objectives**

The purpose of this evaluation is to ensure accountability and to further the ILO's agenda of learning from the experiences of this project. The findings of the evaluation provide independent assessment of the project's progress in achieving its stated objectives. The evaluation also identifies lessons learned, challenges, good practices and recommendations for improvement and development of future programmes and projects.

The key objectives of the independent final evaluation were as follows:

- To assess the logframe/theory of change (TOC) of the Project, with focus on assumptions, risk and mitigation strategies, and logical link of the results to ILO's national and global strategic objectives and outcomes, and relevant SDG and related targets.
- To undertake an independent assessment of the Project's achievements against its stated objectives and result framework.
- To assess and identify factors affecting project implementation (positively and negatively) and implementation strategies of the project with regard to their potential effectiveness in achieving the project outcomes and impacts, including unexpected positive results and potential for further interventions, scaling up and replicability.
- To assess and determine appropriateness of design to ILO's strategic and national Decent Work Country programmes and contribution to the Programme and Budget and ILO's planned outcomes.
- To identify challenges, opportunities, lessons learned and provide recommendations for continuous improvement of relevant future projects and programme by the donor, ILO, the project team and the partners.

### **Scope and client of the evaluation**

The evaluation covered the project implementation period, i.e. 1 July 2017 – 31 December 2021 in the three countries of India, Nepal and Sri Lanka.

The primary clients of the evaluation included relevant government ministries and institutions, employers' and workers' organizations, other key stakeholders in India, Nepal and Sri Lanka, the Project's team and main partners, ILO Director and technical specialists in ILO Decent Work Team (DWT) South Asia in New Delhi, CTA of the ILO/Japan Multi-bilateral Programme, ILO ROAP in Bangkok, and the Government of Japan as the donor. Secondary clients of the evaluation include the ILO's Governing Body, and different units in ILO HQ, namely Conditions of Work and Equality Department (WORKQUALITY), ENTERPIRSE, ACTEMP and ACTRAV.

### **Criteria and questions**

The evaluation followed OECD/DAC criteria as per the ILO's evaluation guidelines and the questions as mentioned in the TOR and finalized during the inception phase. The criteria included relevance and strategic fit, coherence, effectiveness, efficiency, impact, sustainability and other cross cutting issues including gender equality, non-discrimination and disability inclusion. The evaluation questions as per the criteria is mentioned in the table below:

Table 2: Evaluation Criteria and Questions

Criteria	Evaluation questions
<b>Relevance (and strategic fit)</b>	<ul style="list-style-type: none"> <li>To what extent have the objectives responded to the needs of home-based women workers and other informal economy workers?</li> </ul>
	<ul style="list-style-type: none"> <li>To what extent have the objectives and design been relevant and in line with policies and priorities of the national constituents and stakeholders at the national, regional, and international levels?</li> </ul>
	<ul style="list-style-type: none"> <li>To what extent are the objectives in line with national development frameworks, DWCP of India, Nepal and Sri Lanka, and relevant Sustainable Development Goals (SDGs)?</li> </ul>
	<ul style="list-style-type: none"> <li>To what extent have the interventions been adapted to changes due to COVID-19?</li> </ul>
<b>Coherence</b>	<ul style="list-style-type: none"> <li>To what extent has the intervention supported or undermined other initiatives by governments, companies, social partners and civil society organizations in the target countries or selected sectors?</li> </ul>
	<ul style="list-style-type: none"> <li>How and to what extent have stakeholders (particularly the ILO constituents) been involved in project implementation?</li> </ul>
<b>Effectiveness</b>	<ul style="list-style-type: none"> <li>To what extent has Project achieved the planned objectives? What factors have contributed to achieving or not achieving the planned objectives?</li> </ul>
	<ul style="list-style-type: none"> <li>In which areas (under which outputs/components) does the project have the greatest achievements? What have been the main factors and how can they be leveraged?</li> </ul>
	<ul style="list-style-type: none"> <li>In which areas does the project have the least achievements? What have been the main constraints?</li> </ul>
	<ul style="list-style-type: none"> <li>Are intervention strategies gender-sensitive?</li> </ul>
	<ul style="list-style-type: none"> <li>To what extent has the outputs been satisfactory?</li> </ul>
	<ul style="list-style-type: none"> <li>To what extent has the outputs been transformed into outcomes?</li> </ul>
	<ul style="list-style-type: none"> <li>Have there been multiplier effects that can be identified?</li> </ul>
	<ul style="list-style-type: none"> <li>To what extent have the project management arrangement and governance contributed to achieving the planned objectives? What factors have contributed to achieving or not achieving the planned objectives?</li> </ul>
	<ul style="list-style-type: none"> <li>To what extent has the project implementation instill ownership of the interventions among the tripartite constituents, other relevant stakeholders, and partners?</li> </ul>
	<ul style="list-style-type: none"> <li>To what extent have the project implementation instill ownership of the interventions among the tripartite constituents, other relevant stakeholders, and partners?</li> </ul>
<b>Efficiency</b>	<ul style="list-style-type: none"> <li>To what extent has the project been implemented in an efficient and timely way?</li> </ul>
	<ul style="list-style-type: none"> <li>To what extent has result-based management been applied and practiced in the project implementation?</li> </ul>
	<ul style="list-style-type: none"> <li>To what extent has data on direct and indirect beneficiaries are made available through the project monitoring tools and mechanism?</li> </ul>
	<ul style="list-style-type: none"> <li>Have resources (funds, human resources, time, expertise etc.) been allocated strategically to achieve outcomes?</li> </ul>
	<ul style="list-style-type: none"> <li>To what extent have the project implementation are inline with the work plan?</li> </ul>
	<ul style="list-style-type: none"> <li>To what extent has the project been able to leverage resources through collaboration and synergies with other ILO initiatives at national, regional levels or industry sector?</li> </ul>
	<ul style="list-style-type: none"> <li>To what extent has the project been able to leverage resources through collaboration and synergies with other ILO initiatives at national, regional levels or industry sector?</li> </ul>
<b>Impact</b>	<ul style="list-style-type: none"> <li>To what extent has the project interventions contributed to effective implementation of policies and practices to promote decent work for home-based women and informal workers in selected supply chains?</li> </ul>

	<ul style="list-style-type: none"> <li>• To what extent has the project interventions contributed to the broader development changes as referred to in national development frameworks, DWCP, country objectives in the ILO Programme and Budget, the ILO Decent Work Agenda, and relevant ILO standards?</li> </ul>
<b>Sustainability</b>	<ul style="list-style-type: none"> <li>• How likely are project achievements going to be sustainable?</li> </ul>
	<ul style="list-style-type: none"> <li>• To what extent the project has contributed to building capacity of relevant stakeholders to sustain the work on enabling decent work for home-based and informal workers in supply chains?</li> </ul>
	<ul style="list-style-type: none"> <li>• To what extent are sustainability considerations considered in the design and implementation of project activities?</li> </ul>
	<ul style="list-style-type: none"> <li>• To what extent national partners have mainstreamed the project activities to ensure sustainability of achievement beyond the project duration?</li> </ul>
	<ul style="list-style-type: none"> <li>• To what extent has the project exit strategy been operational and effective?</li> </ul>
	<ul style="list-style-type: none"> <li>• To what extent have gender equality, non-discrimination and disability inclusion been successfully mainstreamed in the project implementation and outputs?</li> </ul>

## Methodology

The evaluation followed a mixed-method approach wherein it made use of the both the qualitative as well as quantitative data to conduct the evaluation. The evaluation framework given in the ToR alongwith the results framework and theory of change of the project guided the evaluation process.

As the project directly addressed the issue of gender equality in supply chains since majority of the home-based workers are women, most of the respondents at the worker level were women. Even at the partner level, evaluation included women members as respondents. Further, gender lens was used to analyse data and findings.

The key stages in the evaluation process included inception, primary data collection, validation workshop and report development and finalisation.

The evaluation team comprised of one international evaluator as the team leader and two national evaluators, one from India and other from Nepal. Two of the three members of the evaluation team were women. During the evaluation period, the evaluation team led by the team leader was in regular communication with the Evaluation Manager.

### Inception Stage

In this stage, the evaluation team undertook preliminary discussions with the evaluation manager and the project team at the overall project and national levels. Specifically, the evaluation team held discussions with the CTA and the NPCs of India, Nepal and Sri Lanka. The CTA and the country teams presented the key highlights of the project, which helped to develop a detailed understanding of the project's theory of change and project's progress; identify respondents for the primary data collection; identify and get access to the project documents and other secondary data sources; and finalise the detailed workplan. A preliminary desk review of the key documents was done to finalise the inception report, which included detailed workplan, evaluation matrix and a statement detailing out adherence to the TOR. The Evaluation Manager on 5th of April 2022 approved the inception report.

### Desk review

The evaluation examined a large number of documents including project documents as well as other reports and research studies on the same subject. The following category of were reviewed during the evaluation.



- Prodoc
- Work plans and Technical progress reports
- Report of the partners
- Mid-term evaluation report
- Budget and financial reports
- Knowledge products and event reports
- DWCPs of the three project countries and other ILO strategy document

### Data Collection

The evaluation followed purposive and non-probability sampling to identify and cover the key stakeholders of the project from all the categories. The key stakeholders included tripartite partners, ILO project officials as well as from different units, implementing partners and the beneficiaries, especially women who participated in the project.

The stakeholder categories covered are as below:

- ILO Regional Office for Asia Pacific (ROAP) and Country Office (CO)
- ILO Specialists at the H.q. and New Delhi office
- ILO Project Team
- National Tripartite Constituents and members of the advisory and technical groups
- Implementing partners and field level functionaries
- Beneficiaries (Workers and members of the Membership Based Organisations/employers)

The project team provided logistical support to the evaluation team in contacting the stakeholders and scheduling their interviews and discussions. The detailed respondent list is attached as Annexure 4. The evaluation missions were conducted from 21<sup>st</sup> March to 11<sup>th</sup> April 2022 for around 3 weeks. The first week covered the respondents from India, second from Nepal and the third week from Sri Lanka. The ILO DWT team and other respondents were covered during these three weeks based on their availability.

The evaluation team conducted virtual missions wherein in-depth interviews and focus group discussions (FGD) were conducted with the key stakeholders including beneficiaries. The virtual missions were conducted considering the COVID 19 related restrictions. Overall, the evaluation covered 75 stakeholders through in-depth interviews and more than 100 beneficiaries, both HBWs and entrepreneurs and micro-enterprises, through 13 FGDs.

The table below presents the details of the in-depth interviews as per the different categories of the respondents.

**Table 3: Coverage of key stakeholders through in-depth interviews**

Coverage of key stakeholders through in-depth interviews						Overall		
	India	Nepal	Sri Lanka	DWT Delhi	Regional /h.q.	Female	Male	Total
<b>Workers</b>	18	12	8			19	19	38
<b>Employers /MBOs</b>	2	5	2			5	4	9
<b>Govt.</b>	2	2				0	4	4
<b>ILO</b>	3	4	1	8	3	10	9	19
<b>CSOs/Academia</b>	1	2	2			4	1	5
<b>TOTAL</b>	26	25	13	8	3	38	37	75

Of the 13 FGDs, 8 were organised with stakeholders from India and 5 from Nepal covering beneficiaries from all the districts and clusters. In India, the partners organised the FGDs at location of the beneficiaries and in Nepal the FGDs were organised in the implementing partner’s offices. The break-up of the FGDs is as per the implementing partner, which is as below:

Table 4: Coverage of beneficiaries through FGDs

<b>Coverage of beneficiaries (workers) through FGDs</b>			
	Number of FGDs	Total Number of participants	Number of women participants
<b>India</b>			
AITUC UP	3	21	12
SEWA	3	28	28
AITUC TN	1	5	1
TEA	1	5	5
Sub-total	8	59	46
<b>Nepal</b>			
GFONT	1	8	6
NTUC	1	12	8
ANTUF	1	6	4
FHAN	1	7	7
FWEAN	1	11	11
Sub-total	5	44	36
Total	13	103	82

### Validation workshop

A half-day validation workshop (virtual) was organised to debrief the evaluation findings to key stakeholders of the project on 18<sup>th</sup> May 2022. The validation workshop was structured as a learning event wherein the evaluation team presented the key findings of the evaluation and the participants provided their feedback as well as contributed to the lessons from the project. The workshop was attended by more than 50 participants (of whom around half were women), which included all the key stakeholders of the project including implementing partners, ILO staff as well as representatives of other trade unions and civil society organisations.

### Report development and submission

This evaluation report is developed as a comprehensive document as per the EVAL guidelines to present the key findings of the evaluation as per the evaluation criteria and questions, lessons learned and good practices and recommendations. The evaluation referred to both the qualitative and quantitative data from the primary and secondary sources. The evaluation report closely followed the detailed guideline as mentioned in the ‘Checklist 4.2: preparing the evaluation report’ dated Feb 2021, v 2 (v.1 - 2014).

### Limitations

The most significant methodological limitation of the evaluation was that the on-field missions could not be conducted due to the COVID-19 related restrictions. This limited the evaluation team’s ability to observe them within the field settings and get a better understanding of the context. The evaluation team tried to address this challenge by diving deeper into secondary literature and by conducting detailed interviews and FGDs

with the respondents especially beneficiaries. The project team and the implementing partners provided excellent support to the evaluation team in organising these interactions.

While the evaluation attempted to cover all categories of the respondents, directly and indirectly related to the project and the subject matter, some of the stakeholders were not covered due to their unavailability during the evaluation period. The evaluation team attempted to meet this challenge by extending the data collection time-frame by more than a week.

### **Ethics and Safeguards**

The evaluation followed standard ethical norms during the primary data collection wherein each of the respondents were briefed about their voluntary participation, as well as their choice to not answer any of the questions. The respondents were assured of confidentiality of their responses and their usage only for evaluation purposes. Further, responses were validated and triangulated. In order to maintain the independence of the exercise, the ILO guideline for the evaluation management was strictly followed wherein the Evaluation Manager was involved in all the stages and all the communication between the project team and evaluation team was carried out through the evaluation manager. Further, the primary interactions, especially with the beneficiaries and implementing partners, were carried out in a participatory and conversational mode wherein the cultural sensibilities were especially taken care of. The focus of all the discussions was to generate lessons from the project in an evidenced manner. The findings suggest that the allocation of the human resources was strategic and appropriate with regard to achieved outcomes.

## FINDINGS

This section presents the main findings of the evaluation as per the evaluation questions and is structured as per the evaluation criteria:

### Relevance and strategic fit

This evaluation criteria is related to the project's relevance to the needs of the home-based workers, alignment with the priorities of the national and international stakeholders, the DWCPs and national development frameworks and the adaptation to the COVID -19 pandemic.

### Relevance to the needs of HBWs (especially women)

According to the brief prepared jointly by Women in Informal Employment: Globalizing and Organizing (WIEGO) and the ILO (INWORK) titled, 'Home-based Workers in the World: A Statistical Profile, 2021, there are around 260 million people in the world engaged in home-based work. Of this, 67.5 million are in South Asia. According to country briefs of WIGO, in India there are 41.85 million home-based workers of whom 17.19 million are women and in Nepal there are 1.5 million home-based workers of whom 0.912 million are women.<sup>23</sup> There are no official estimates available for Sri Lanka as the country has no legal definition for this category of worker. Further the 105th Session (2016) of the International Labour Conference (ILC) included a general discussion on GSCs, which recognized presence of home-based workers in the structure of the GSCs. Further, this project's annual reports suggest that the previous interventions on the GSCs have so far reached only 40% of the worker, mostly engaged formally. The input from the stakeholders on the ground suggests validates presence of home-based workers in the supply chains, both international and domestic, in significant proportions.

As part of the project proposal development, the ILO identified three main gaps and challenges in promoting decent work in global supply chains in South Asia, which are:

- Inadequate legal and regulatory environment, weak implementation and enforcement, and a lack of governance mechanisms to address the issues of informal economy workers and promote decent work in global supply chains
- Low visibility and limited evidence-based data on the working conditions and employment relationships of those operating in the informal economy in global supply chains in South Asia.
- Lack of comprehensive and multi-stakeholder approaches to promote decent work for those operating in the informal economy in global supply chains in South Asia.

According to the key stakeholders, especially implementing partners and the beneficiaries, the project in its design phase was correct in identifying these gaps and challenges. Some of the key problems on the ground which directly related to the home-based workers are: poor working conditions, occupational health and safety issues and decent work deficits; inadequate, low and arbitrary wage rates; absence of social security and lack of awareness of social security; complexities related to middlemen/agents/sub-

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<sup>2</sup> Home-Based Workers in India: A Statistical Profile, June 2020

[https://www.wiego.org/sites/default/files/publications/file/WIEGO\\_Statistical\\_Brief\\_N23\\_India%20of\\_or%20web\\_0.pdf](https://www.wiego.org/sites/default/files/publications/file/WIEGO_Statistical_Brief_N23_India%20of_or%20web_0.pdf)

<sup>3</sup> Home-Based Workers in Nepal, 2017/18: A Statistical Profile, April 2021

[https://www.wiego.org/sites/default/files/publications/file/WIEGO\\_Statistical\\_Brief\\_N28\\_Nepal.pdf](https://www.wiego.org/sites/default/files/publications/file/WIEGO_Statistical_Brief_N28_Nepal.pdf)

agents; barriers in organising home-based workers, absence of local level leadership; capacity and knowledge gaps on home-based and informal workers amongst the local governments; and lack of evidence related to the challenges mentioned above.

The project with its three main Outcomes directly responds to the above-mentioned gaps and challenges of home-based workers. Outcome 1 responds to the macro level needs related to policies where there is a need to recognize home-based workers and ensure their social security coverage. Outcome 2 responds to meso-level needs wherein the capacities of the organisations are enhanced to promote governance of the supply chains and finally Outcome 3 responds to the direct needs of the HBWs wherein a comprehensive model is promoted to ensure improved living and working conditions amongst the HBWs. The project strategies and their corresponding strategies made special provisions to target the women home-based workers. Overall, the project was highly relevant to the needs of home-based workers and the objectives directly responded to the needs related to recognition of them as workers and to make them visible, capacities related to wage determination and Occupational Safety and Health (OSH) and organising them for collective bargaining (CB) and joint action.

### **Relevance to needs and priorities of the national constituents and other stakeholders**

Transition from informality to formality leading to decent work for the informal economy workers is high on the agenda of the all the trade unions in the three project countries. All the trade unions specifically the implementing partners of the project had previous experience of working in the informal sector, which includes previous partnerships with the ILO. TUs like SEWA in India and GEFONT and NTUC in Nepal were already working the home-based workers either directly or through their unions. AITUC in India and ANTUF in Nepal also had previous experience of working with the home-based workers. The project objectives and the design directly responded to the priorities of these trade unions as they focussed on identification and unionization of workers; awareness creation on workers' rights, labour laws, social protection, and social securities; capacity building on OSH, wage determination and leadership development; and policy advocacy. These project strategies were highly relevant to the TUs as they helped in addressing the challenges and gaps related to invisibility of the home-based workers, difficulties in organising them and building their capacities and also for raising their voices. The project also worked to provide technical support to several women and membership-based organization (MBOs), working with homebased workers.

The key priorities of the Employers Membership Based Organisations (EMBO) mainly of sectoral employers' associations of the small, micro and home-based organisations include building sustainable enterprises and formalisation of the informal enterprises to contribute to making the supply chains ethical and to promote decent work for all. In this regard, project objectives were highly relevant to the needs and priorities of the EMBOs, especially in their work with the members who are at the lowest tier of the supply chain, i.e. micro, small and home-based enterprises. The project strategies included capacity building in the areas of OSH, business and financial literacy, compliance with the national and local laws, access to national and international markets, and adoption of ethical standards and responsible practices. The project also directly responded to their needs of development of industry specific standards related to OSH, mobilization of local and national government stakeholders to promote members of the

EMBOs and policy advocacy for recognition of the small, micro and home-based enterprise owners.

Informal employment is significantly large in South Asia and specifically in the project countries it is around 92% in India, 86.4% in Nepal and 60.2% in Sri Lanka. The national and state governments are committed to ensuring decent work for all the workers and as such the project objectives are highly relevant. However, globally home-based workers are not high on the priority of the national governments, as only 13 countries have so far ratified the ILO Convention 177 on home-based work, which came into force on 22<sup>nd</sup> April 2000. While the project countries have legal frameworks to cover unorganised or informally employed workers, there is no separate policy for home-based workers in any of the countries. The other challenges include invisibility of home-based workers, lack of clarity regarding the definition and measurement issues. The project objectives are highly relevant in this context as they attempt to remove policy blindness and enhance coverage under existing legislations.

International brands at the top of the GSC are committed to promoting ethical business practices and ensuring decent work through out the GSCs. In this regard, the project objectives are highly relevant to this mandate of the international brands. However, the standards and compliance mechanisms set up by the brands do not cover the HBWs as their reach is mostly upto the factories or units of the main supplier. The project strategies focused on developing standards to ensure coverage of HBWs in the global supply chains. While the objective is highly relevant, most of the brands still do not acknowledge presence of the HBWs in their supply chains or prevent the supplier companies to outsource work to HBWs (though work does reach them in a precarious manner). Accordingly, the project strategies needed to be more nuanced and practical to engage with the international brands. Further, the design also demanded coordination and collaboration with the ILO HQ as they participate in the business forums of the brands.

### **Alignment with the national development frameworks, DWCP and SDGs**

The project is aligned to the relevant national development frameworks in India, Nepal and Sri Lanka. India recognized the importance of addressing informality in global supply chains in Brazil, Russia, India, China, and South Africa (BRICS) Labour and Employment Ministers' Declaration for 2015-2019. Further, India is also revising its labour laws wherein all the existing labour laws are being brought under four labour codes, i.e. Wages Code, Industrial Relations Code, Social Security Code and OSH Code. In Nepal, the National Employment Policy of 2015 and the 14th National Development Plan (2017-2019) recognizes the importance of transitioning from informal to formal economy. In Sri Lanka, the 'Vision 2025', a policy document launched in September 2017, recognised the importance of enhancing working conditions by formalisation of the informal economy.

The project is significantly aligned to the Decent Work Country Programmes (DWCP) of India, Nepal and Sri Lanka and contributes to DWCP priorities and outcomes as highlighted in the table below:

**Table 5: Project's alignment with DWCPs**

DWCP Priority	DWCP Outcome
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## INDIA

PRIORITY I: Promote, adopt and implement international labour standards for protection of workers from unacceptable forms of work.

Outcome 1.1: By 2022, all fundamental ILO Conventions and other selected International Labour Standards have been ratified and implemented.

PRIORITY 2: Create sustainable, inclusive and decent employment for women and the youth, especially vulnerable to socio-economic and environmental exclusion and in informal economy

Outcome 2.3: By 2022, states have institutionalized measures that promote sustainable enterprises and transition to formalization

PRIORITY 3: Tripartite mechanisms work better for protecting rights of workers through promoting labour administration, occupational safety and health (OSH) and social protection.

Outcome 3.2: By 2022, women and men workers and enterprises benefit from safe and healthy workplaces

Outcome 3.3: By 2022, national and state social protection systems are better managed with expanded coverage and increased access.

## NEPAL

Priority 1: enabling decent work for all through sustainable, inclusive and gender-responsive economic growth

Outcome 1.1: Tripartite constituents have enforced the Labour Act (2017) and Labour Regulations (2018).

Outcome 1.2: Constituents and stakeholders at national, province, and local levels have promoted more and better jobs, especially for young women, men, and disadvantaged groups.

Outcome 1.4: Policy makers and planners have applied the latest labour statistics, ILO research and analysis to develop job creation policies and strategies.

Priority 2: Strengthening institutional capacities, enhancing social dialogue, and applying fundamental conventions and other international labour standards

Outcome 2.1: The government and social partners have promoted fundamental principles and rights at work to protect workers especially from unacceptable forms of work.

Outcome 2.3: Employers' organizations have provided demand driven and gender responsive services to their members and are influential partners in the tripartite constituents' decent work agenda.

Outcome 2.4: Workers' organizations have strengthened their networks at national, province and local levels and are influential partners in the tripartite constituents' decent work agenda.

## SRI LANKA

Priority 1: Creation of sustainable, inclusive and decent employment

Outcome 1.1: Sri Lankan workforce have more and better employment opportunities

Priority 2: Better Governance of the Labour Market

Outcome 2.3: Laws and policies are modernised to respond to diverse and

Priority 3: Rights at work for all	evolving forms of work. Outcome 3.3: Improved social protection for all workers with special focus on informal workers
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The project objectives and outcomes directly contribute to five of the Sustainable Development Goals (SDG) which are presented below:

SDGs 8: Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all.

SDG 9: Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation.

SDG 10: Reducing inequalities within and among countries and ensuring no one is left behind

SDG 12: Ensure sustainable consumption and production patterns

SDG 17: Strengthen the means of implementation and revitalize the global partnership for sustainable development

### Adaptation to changes due to COVID 19

COVID 19, a major pandemic of the recent times, significantly impacted the project, alike to almost every thing in the world. While the first wave in March – June 2020 led to complete lockdown in the countries, the second wave in the Apr – May 2021 severely impacted lives as well. The pandemic struck when the project was at the peak of the implementation phase as majority of the activities were planned for executing in this duration. The ultimate beneficiaries of the project, i.e. HBWs and micro and home-based enterprises were immediately and severely hit as the orders were cancelled and they had to witness significant losses. The project made several adaptations in its design and delivery mechanisms to meet this challenge in order to continue its operations. According to the stakeholders, this project was one of the few ILO projects which continued its operations during the pandemic.

As immediate response to the pandemic, the project supported the Trade Unions (TU) and the Membership Based Organisation (MBO) in providing immediate relief to the HBWs. The project also supported the implementing partners in linking the HBWs with alternate livelihoods options such as stitching facemasks, food packaging, etc. During the second wave, the implementing partners submitted appeals and memorandums to the government for relief and support to their beneficiaries. The project also organised capacity building workshops based on Work Improvement for Safe Homes (WISH) methodology to create trainers within constituents in India and Nepal for prevention of COVID 19 at home-based workplaces and other safety and health measures to promote safe work in small, micro and homebased units. In India, the TUs supported HBWs to participate in the national scheme for financial inclusion, i.e. Jan Dhan, by facilitating them to open bank accounts. This helped in getting access to financial support provided by the government during pandemic. The project also supported TEA in India to help their members recover from the shock of the COVID19 and conducted business continuity trainings for their members and helping them in preparing continuity plans.



The project also made significant efforts to shift the entire project execution in an online mode where all the key meetings with the stakeholders were organised over web. The project also created systems to organise meetings, trainings and workshops with the workers virtually. The project also adapted hybrid mode of virtual and face-to-face meetings in the field as the situation improved and local level restrictions were eased. Overall, the project including the ILO project team and implementing partners made significant efforts to continue the project activities during the pandemic.

## Coherence

### Coherence with the initiatives of the key stakeholders

The project, by design, used social dialogue approach and was coherent with the initiatives of the tripartite constituents as well as other key stakeholders like civil society organisations. In India, the project worked to enhance the reach of social protection schemes of the government to homebased workers. In Nepal, the project supported the national government to further their mandate to promote formalization and also increasing the reach of social protection schemes. Further, the project was also aligned to the changing context in both the countries w.r.t legislative frameworks. In Sri Lanka, as the project was in initial stages, added to the knowledge base on homebased workers in the informal sector. The project was coherent with the other initiatives of the TUs to promote fundamental principles of rights at work and freedom of association and collective bargaining of the informal sector and especially homebased workers in the selected sectors of garment and metal handicrafts. Similarly, the project was supported the mandate of EMBOs to promote sustainable enterprises, OSH, formalisation and decent work for all. The project built the capacities of the social partners and created platforms for policy advocacy. The international brands, especially in the garment sector, have their regional headquarters in India, and have dedicated teams which look after ethical and responsible business issues. The project engaged with these brands individually as well as their network, i.e. Brand Ethics Working Group to highlight the issues of homebased workers and other informal workers in their supply chains. The project also supported 'Women in Value Chains', an informal network of civil society organisations and multi-stakeholder initiatives (MSIs) promoting the issues of women homebased workers in the supply chains in India, by providing technical inputs on ILO conventions, ILO tools and other resources. The Project also made presentations and provided technical support in several human and business rights or in socially responsible business forums to draw attention on the invisible workers in the supply chains and encouraging that such initiatives should reach the workers in the lowest tiers of supply chains. This also includes trainings conducted by UNDP etc. Similarly in Nepal, project supported the civil society organisations and their networks who are directly working with the homebased workers. The project supported platforms provided space to network of the seven organisations which included Home Based Workers Concern Society and Centre for Labor and Social Studies, to highlight the policy issues at the highest levels. The project also helped in improving their acceptability with the TUs and government. There was engagement with Homenet South Asia and WIGO in the early stages and the project was considering collaborating with Homenet SA, however, due to difference in approaches and operational issues, the partnership could not be established. But the project continued engagement with both organizations, and their partners by including them in all capacity development programs, working groups and policy discussions.

## Role of the ILO constituents in the project implementation

The ILO constituents, government, TUs and MBOs, were closely involved in the project either as members of the national level working groups or as implementing partners. The project in its early stages set up a National level Working Group on Homebased and Informal Workers comprising TUs and MBOs, which met periodically and guided the project strategically during the project implementation. The group supported the project in selecting sectors and geographies for field level interventions in India and Nepal. Additionally, these groups also worked as a platform to build the capacity of the stakeholders on key issues as well as to develop policy advocacy strategies. In Nepal, the project also set up a Tri-partite Technical Working Group to oversee the work of transition from informality to formality, which had representation from all the key stakeholders (details in the later section).

As already mentioned, all the project's implementation agreements were with the tripartite constituents indicating their complete involvement in the project. In India, the implementing partners included, Department of Labour, Govt. of UP, AITUC UP, AITUC Tamil Nadu, SEWA (Central Union) and TEA. In Nepal, the implementing partners included GEFONT, NTUC, ANTUF, FHAN and FWEAN.

## Effectiveness

This section assesses the progress towards achievement of the Outcomes and their factors and the areas of under-achievements along with their factors.

### Outcome 1: Improved and effective implementation of policies/regulations to promote decent work.

Under the Outcome, the project design had four Outputs:

- a) Baselines studies with data and information on homebased women workers and other informal economy workers in GSCs to develop project interventions
- b) Mapping on the regulatory environment and its application in practice, government programmes and institutional mechanisms and actors
- c) Development of a roadmap for action with stakeholders, and
- d) Awareness raising and policy advocacy campaign to promote and protect the rights of homebased workers in selected global supply chains in line with Convention No. 177 (in brief C177) designed and implemented.

### *Key achievements – Outcome 1*

Under this Outcome, the project was effective in making significant contributions to formalization processes in Nepal, which included HBWs, coverage of the HBWs under the descriptive statistics, policy advocacy by the social partners in India and Nepal to highlight the issues of HBWs, identification and situation assessment of the HBWs in India and Nepal using participatory methodologies and in formulating and implementing a roadmap for convergent action led by the state government in Uttar Pradesh, India. The achievements are explained below:

#### **Contribution to the formalization processes in Nepal**

The project made significant contributions to the formalization processes in Nepal wherein it provided technical support at the national level using tripartite and social dialogue approach through a national level tripartite technical working group. This is a significant step in Nepal's context where the country is committed to promote decent work by implementing policies to formalize the informal sector.

*National level Tripartite Technical Working Group in Nepal*

The project formed the national level Tripartite Technical Working Group in Nepal 2019-20, which is led by Ministry of Labour Employment and Social Security and had participation from Ministry of Industry, Commerce and Supplies, representative of employers' federation in Nepal, JTUCC (umbrella body of trade unions in Nepal) and Central Bureau of Statistics.

The working group's recommendations led to inclusions of questions in the household survey which will ensure coverage of homebased work in the national level statistics and shall address the challenges related to measurement of the homebased workers. In 2017-18, the project with the support of the ILO DWT Delhi Statistics specialist and ILO Country Office Nepal, facilitated inclusion of descriptive statistics on HBWs for the first time in Nepal Labour Force Survey. Further, the group with the technical support of the ILO is working to improve the questionnaire and data collation in the next National Labour Force Survey (2021). The group is also advocating common definition and indicators of informality across various government ministries.

#### *Diagnostic of Informality in Nepal*

The project conducted a national-level diagnostic of informality as per ILO methodology in collaboration with ILO Nepal Country Office and technical support of INWORK.

The exercise was conducted on the request of the Nepal government as it was not part of the original design. The study established the baseline of informality, identified the vulnerable groups and sectors and the overall challenges related to decent work deficits. The study findings were validated by the national Tri-partite Technical Working Group to oversee the work of transition from informality to formality. As a follow up to the study, the stakeholders are taking actions to prioritise the recommendations. Considering the long-term nature of the process, the ILO Nepal Country office has decided to continue providing technical support to implementing those action plans.

#### **Policy advocacy by social partners to highlight the issues of home-based workers**

The project supported the social partners, i.e. TUs and MBOs, to form national level working groups to carry out the policy advocacy work for home-based workers in a collaborative manner. In Nepal, the social partners are in the process of drafting a National Policy for Homebased Workers. In India, the social partners, submitted technical memorandums (requested by the government) on draft labour codes (four codes) with special focus on informal economy workers with the project's technical support. In India, the advocacy efforts led to sensitization of a Member of Parliament in Tamil Nadu, who raised the issue of home-based workers in the national parliament, however, the question raised remained unanswered.

#### *National Working Groups on Home-based and Informal Workers*

The project formed National level Working Group for Informal Economy Workers in Lower Tiers of Global Supply Chains of TUs and MBOs in all the three project countries in the initial stages of the project itself. In India and Nepal, the working groups ensured close involvement of the social partners in the project alongwith the civil society organisations and developed road maps and joint action plans to advocate the issues of home-based workers around: wage determination, social security/protection, recognition of homebased work in national statistics and policy making, and ratification of C177. The groups also collaborated with the relevant civil society organizations to strengthen their efforts. In Sri Lanka, the working group was able to sensitize the tripartite partners to take up the issue of home-based workers at the national level.

#### *Policy advocacy around mercury poisoning in Nepal related to metal handicrafts*

The project supported FHAN and ANTUF to raise the issue of mercury poisoning in metal work at the national level. FHAN also drafted a voluntary code of conduct to promote health and safety for workers in the metal craft (non-ferrous metal) sector, which their members, i.e. enterprises, have started implementing.

#### *Policy advocacy for national OSH policy in Nepal*

The project collaborated with the CO to support development and implementation of national OSH Policy in Nepal. It is to be noted that the project was successful in including informal economy workers and home-based workers in this policy.

#### *Mapping of legal and regulatory framework and government schemes*

In Nepal and Sri Lanka, the project mapped the legal and regulatory frameworks regarding informal economy workers which helped in identifying the legal issues related to wages, working conditions, OSH, data and statistics etc. In Nepal, the project developed a handbook on Labour Law and Social Security provisions in 2019, which was further updated in 2020. In India, since the regulatory framework is in transition phase where all the labour laws are brought under four wage codes, the project supported the TUs in analyzing the new codes. In India and Nepal, the project developed compendiums of government schemes relevant to homebased and informal workers that helped the TUs and MBOs in supporting the workers and members in facilitating access to these government schemes.

#### **Identification of the HBWs and their situation assessment using participatory appraisal (PA)**

One of the key highlights of the project was application of participatory methodology to assess the conditions of the home-based workers and other informal workers in the lower tiers of the supply chain. This methodology was developed utilizing lessons from the earlier ILO-DFID project (which was implemented by the CTA), namely the Work in Freedom project. The project built the capacities of the TUs, especially their frontline staff, which helped them in adopting a non-conventional approach of engaging with the workers at the lowest rung of the supply chain. This approach helped in identifying hidden and invisible home-based workers (especially women workers) for project interventions alongwith building strong rapport. The approach was also empowering for the workers it directly helped them in raising their awareness levels but also gave them an opportunity to contribute to development of solutions. This participatory approach was reported to be especially useful as the baseline study using conventional methodology (as initially conducted in Nepal) was unable to identify the workers due to the complex work structures and invisibility of these workers. This approach also led to awareness within the communities and the families of the HBWs regarding their contribution to the family income as well as GDP of the country. The PA also contributed to the overall process of situation assessment of the HBWs which helped in developing appropriate local level policy advocacy strategies.

#### **Road map for convergent action developed and implemented by the government in Uttar Pradesh, India**

The project worked directly with Govt of Uttar Pradesh to promote decent work for homebased workers. Using the convergence process, not only different stakeholders, but also different departments at the state and local level were brought together to work towards promoting decent work for homebased workers under the leadership of the Labour and Employment department of Uttar Pradesh. Accordingly, in 2020, as an outcome of state level consultative meeting with tripartite partners, different line departments of the government, and key stakeholders a comprehensive roadmap was

developed for implementation. As part of the implementation roll-out meetings were also held in districts to take concrete steps and strategy to visiblize homebased workers, enabling access to social protection through registration in the Uttar Pradesh Social Security Board and later the E-shram portal (Portal launched by the Central Government to register informal workers) in which the state social security boards were merged. In addition, the project entered into direct partnership with the state government of UP to implement some of the action points, which led to registration of HBWs as informal workers (refer to Outcome 3). In 2021, the UP Government in partnership with the project trained Micro, Small and Medium Enterprises (MSMEs) on OSH as well as COVID-19 prevention at workplace and safe return to work for the workers. The Government also disseminated and distributed booklets on preventing COVID-19 at workplace developed with support of ILO to MSMEs and different government line departments.

### ***Areas of under-achievements – Outcome 1***

Under this Outcome, the areas of underachievement related to mapping global supply chain in the selected sectors and geographies to establish clear linkages with the HBWs, lack of progress in the ratification of C177 and HBW policy and development of action plans by the government at the local levels in Nepal and in Tamil Nadu in India.

#### **Mapping of the global supply chain and linking it to the HBWs**

As envisaged in the project design, the project could not map the global supply chain in the selected sectors and geographies to establish clear linkages with the HBWs. The project experience suggests that the invisible and complex nature of the engagement of HBWs in the global supply chains is one of the key factors which makes the exercise more complex. Further, mapping of the contractors and sub-contractors in the GSC is possible only with the active support and engagement of the international brands and the companies. Since the project could not establish partnerships in a way that project design had envisaged, the mapping of the GSC could not be carried out clearly. It is to be noted that other organisations like SEWA, WEIGO, Homenet South Asia in past have attempted to map the supply chains, however, they were not successful as brands are not forthcoming.

#### **Policy advocacy for ratification of C177 and HBW policy**

The TUs in both the countries undertook a number of efforts to advocate the issue of HBWs at the national level. However, the issue of HBWs is still not the priority of the national governments, which is also reflective of the national governments across the world. As mentioned before, only 13 countries have ratified the C177 so far. Further the project's achievements do not suggest any significant progress in this direction. Due to COVID 19 impact, the focus of the government is on recovery of the economy rather than labour rights. Further, the changes in labour laws in both Nepal and India has also impacted its progress. The TUs in both the countries are in the process of drafting HBW Policy which is not yet finalized. Once finalized, the draft policy could be used as a tool for policy advocacy. In Nepal, the new law includes the provisions for HBWs, however, its implementation remains a challenge. Similarly in India, the HBWs are included in the new codes, however, the new codes are still to be implemented. Further in India, there is no significant progress to address the challenges related to HBWs in the descriptive statistics. Accordingly, more efforts required bringing informality (and the specific issue of HBW) on the government's priority especially in India. This demands for a nuanced advocacy strategy especially in the Indian context, where the challenges are not related to capacities within the government and its institutions.

### **State/local level government's action plans in some locations**

While the project did receive good support from the state government in UP, India and the national government in Nepal, the project could not make any progress in developing actions plans at the state level in Tamil Nadu, India and province/local levels in Nepal. In Tamil Nadu, change in political leadership along with key officials and COVID 19 impacted the progress. In Nepal, there is still confusion amongst the local officials over application of the new labour laws especially in the context of informal sector. Further, the focus of the officials is to cover formal sector workers by the new labour laws, which also indicates lack of resources and capacity within the labour department.

### **Outcome 2: Strengthened governance to promote decent work and contribute to the development of ethical and sustainable supply chains at the local levels.**

Under this Outcome, the project design had four outputs, a) Development of action plan by the government for HBWs; b) Action plan by employers to promote capacity building and formalization of the informal enterprises; c) Action plan by trade unions and civil society organizations (CSO) on promotion of decent work for home-based workers and other informal economy workers, especially women, engaged in GSC; and d) Development of ethical practices to promote decent work at the lower tiers of supply chains by international brand companies.

### ***Key achievements – Outcome 2***

Under this Outcome, the project was successful in forming a national level working group of TUs and MBOs (as mentioned under Outcome 1), which developed action plans with the TUs and employers that included roadmap for capacity building of its members and policy advocacy. The project was effective in building the capacities of the tripartite partners to promote decent work for homebased and informal workers in the supply chains. The enhanced capacities of the TUs and MBOs were in the areas of wages and wage systems, OSH for home-based workers, financial and business literacy trainings, Gender Issues and Prevention of Violence and Harassment at Workplace and entrepreneurship development for women.

### **Capacity Building on Wages and Wage Systems**

The project conducted training programmes (including refresher courses) and workshops at the national and local levels on wage systems and their determination, with special focus on calculating piece rate wages (in line with notified minimum wages) for the TUs, MBOs and their staff and also the workers. The trainings built the technical capacities of the TUs and MBOs leadership and frontline workers which helped in undertaking policy advocacy work, in training the workers and in facilitating wage negotiations. The training programme was developed with the support of the Wage Specialist and CTA, which focused on creating awareness regarding the causes for low wages, and also provided simple tools for record keeping and to calculating the value of a home-based worker's work. The trainings and workshops were effective in creating awareness amongst the workers about the methods of wage determination, components of wages (including input costs which were often ignored by the workers) and the need for negotiation with the contractors in a collective manner.

### **Capacity Building on OSH for Home-based Workers**

The project was effective in building capacities of the tripartite partners on OSH for the homebased workers of the garment and metal handicraft sector by adapting the ILO's Work Improvement for Safe Home (WISH). The DWT OSH Specialist played in key role in adapting the WISH programme, which included practical and easy to use ideas to significantly improve the OSH conditions of the homebased workers. The tool used

participatory approach to make progressive no cost/low cost improvements that also contribute to higher productivity and efficiency of their work. The WISH training programmes and the refresher courses were effective in creating awareness amongst the workers and homebased enterprises.

#### **Capacity Building on Financial and Business Literacy Trainings**

The project conducted basic financial literacy trainings for workers and basic business literacy trainings for the micro-enterprise owners to help them understand wage calculation and record keeping, planning for saving and investment, and to achieve the full potential of group enterprises. The financial trainings were effective in raising awareness regarding the role of savings and credit and the advantages of collectives or group enterprises. The business literacy trainings were effective in developing capacities of the enterprises to manage finances, record keeping of raw material, accounting and investments. In Nepal, the project prepared manuals for both the training programmes.

#### **Training on Gender Issues and Prevention of Violence and Harassment at Workplace**

In India and Nepal, the project organized capacity building workshops on gender-based violence and sexual harassment at workplace with the partners and specifically with the MBOs, who further rolled out the trainings with their members. The trainings focused on creating awareness on gender inequality, gender-based violence and harassment (including sexual harassment) and its prevention and the applicable legal provisions.

#### **ILO's Gender and Entrepreneurship Together (Get-Ahead) Trainings for Women**

The project introduced ILO's Get Ahead trainings for entrepreneurship development amongst the women beneficiaries in Nepal, which possibly is the first instance of organizing this training programme in South Asia. The project created trainers within the implementing partners who further conducted trainings with the beneficiaries. The trainings has been well received by the partners and the workers and generated significant interest amongst the women micro-entrepreneurs and home-based workers. These trainings also helped them recover from the shock of job loss or disruption in their livelihoods due the COVID 19 pandemic.

#### ***Areas of under-achievements – Outcome 2***

As the project could not establish partnership with any of the international brands (explained below), the action plan and ethical guidelines could not be developed. The under-achievement is explained below:

#### **Action plan of the International brands and development of ethics guidelines**

As mentioned before, as the project could not establish partnerships with the international brands, the action plan of those companies could not be developed. Since many of the international brands are still hesitant to recognise presence of HBWs in their GSC and consider HBWs outside the purview of their compliance mechanisms, they could not become active partners in the project as it was envisaged in the design. Further, each of the company has their own Ethics guidelines or compliance mechanism, which is developed at their h.q.s for the entire supply chain of the company. While the local teams are present to implement the guidelines, they do not have the authority to develop country level policies and guidelines. Such an initiative is only possible when driven from the top management of the brand/retailers and as collective action by brands. Consequently, the project reported that the development of such Ethic guidelines at the country level was outside the scope of the project. ILO at the global level needs to take up these issues for advocacy with the global companies.

### Outcome 3: Improved living and working conditions of homebased workers and other informal economy workers (such as intermediaries, sub-contractors, and SMEs) engaged in selected supply chains.

Under this Outcome, the two outputs are a) a comprehensive community-based programme designed and implemented to improve living and working conditions of homebased women workers and other informal economy workers engaged in selected supply chains and b) documentation and dissemination of experiences, good practices and lessons from the community-based programme developed, documented and validated with the key stakeholders and widely disseminated to relevant actors in neighbouring countries and at the international level.

#### Key achievements – Outcome 3

Under this Outcome, the project was effective in implementing comprehensive community based programmes in India and Nepal in partnership with the trade unions. The project was able to identify and unionise HBWs, build the capacities of the HBWs and their leaders, promote women led collectives for better participation in the value chain, enhance HBW's access to social protection programmes of the government and promote formalization of micro and home-based enterprises in Nepal. The key achievements of the project under this Outcome are explained below:

#### Identification and unionization of home-based and informal economy workers

The project unionized 41,772 home-based workers under the project of which 85% are women. As evident from the table below, more than 90% of the workers unionized are in India and especially by SEWA Union India, which unionized 27,534 women (65% of the total workers unionized). SEWA Union has been working with the home-based workers for a long time and used its experience and institutional strengths to reach to newer locations. The other trade unions expanded their work to new areas with home-based workers and were able to organize both women and men workers under its fold. While the focus was on women workers, the partners also identified and unionized homebased men workers. For e.g. in ANTUF, Nepal, there were more men workers than women workers engaged in metal based handicraft work.

Table 6: Unionisation of home-based workers in the project

Trade Union/Implementing partner	Women	Men	Total
AITUC, Tamil Nadu	2,852	1,900	4,752
AITUC UP	4,175	3,160	7,335
SEWA Union	27,534	0	27,534
<i>Sub-total (INDIA)</i>	<i>34,561</i>	<i>5,060</i>	<i>39,621</i>
ANTUF	134	990	1,124
GFONT	372	30	402
NTUC	585	40	625
<i>Sub-total (NEPAL)</i>	<i>1,091</i>	<i>1,060</i>	<i>2,151</i>
<b>TOTAL</b>	<b>35,652</b>	<b>6,120</b>	<b>41,772</b>

Significantly, **AITUC UP registered a separate union of home-based workers**, which is possibly after a long time by any central trade union in India. The other trade unions registered unionized their workers under the existing trade unions. In Nepal, there were exclusive trade unions of home-based workers as part of the federation of central unions who are partners in this project.



The PA as part of the participatory methodologies, as explained before, played a key role in identification and unionization of these home-based workers.

#### **Capacity building of the local leaders and home-based workers**

The project reached out to more than 40,000 home-based workers and their local leaders and built their capacities on OSH at home, methods to determine wages (including piece rate wages), benefits of collectivization and their fundamental rights as a worker. The examples suggest that significant impact on workers' awareness levels where earlier home was not considered a work place with hazards like fire from the kitchen, negative impact of long working hours and wrong postures, inadequate ventilation, etc. The workers now have a better understanding of cost of working at home, their value of work and its relationship with the piece rates. Home-based workers who normally competed with other by lowering their wages to get orders are now aware of the benefits of collectivization and also their rights as a worker.

Project adopted a special strategy to promote grassroot level leadership of the home-based workers by coaching them and mentoring them as leaders. These leaders undertook local level advocacy with the government officials to access social protection programmes and COVID 19, awareness generation amongst the workers, leadership in operational management of the collectives of home-based workers and in identifying and reaching out to more of home-based workers.

#### **Formation and promotion of women-led collectives of home-based workers**

The TUs formed collectives of home-based workers including Self Help Groups (SHG) in India and cooperatives in Nepal to support them to organize them as micro-enterprises to play a higher role in the supply chain, both domestic and international. The project changed its strategy to promote SHGs in India on the basis of recommendations of the mid-term evaluation. The unions conducted capacity building exercises for leadership development, business planning and institutional development for group enterprises. These collectives are in nascent stages and have taken initiatives to procure orders from the local market on behalf of the group bypassing the role of middlemen or contractors.

#### **Access to social protection by home-based workers**

The project supported home-based workers to access government's social protection schemes for which the TUs conducted advocacy and coordination with the local governments. In India, the project coordinated with the state government in UP, who were also implementing partners under the project (as mentioned under Outcome 1) to register around 8,000 home-based workers in the 'e-shram' portal, which is quite significant as this registration recognized them as informal workers. Similar efforts were also made in Tamil Nadu and process to register the workers is still in the process. In Nepal, around 1,000 home-based workers were enrolled in the National Health Insurance Scheme. In both the countries, TUs continued the local, provincial and national level advocacy to enhance access to social protection schemes of the government.

#### **Formalization of micro and home-based enterprises in Nepal**

The project supported the MBOs in developing a formalization strategy, which led to formalization of 150 micro and home-based enterprises in Nepal. Another achievement of the project was that the FWEAN was able to link the women led enterprises with the financial institutions where 30 women led enterprises secured soft loans from a bank and another 6 from the cooperatives. Similarly, in India, 40 small and micro enterprises became members of TEA, which shall help formalization of the processes within these

enterprises.

### **Contributory factors of the key achievements under the three Outcomes**

Some of the key contributory factors towards effectiveness of the project under the three outcomes are explained below:

#### **Collaborative approach leading to greater ownership**

As already mentioned, the project followed a collaborative approach right from initial stages of the project and formed institutional structures like joint working groups of TUs and MBOs and national level tripartite working group in Nepal. This contributed to greater ownership of the project by the stakeholders especially TUs and MBOs which worked as a key factor in the attaining the project objectives.

#### **High level of commitment of the implementing partners**

All the implementing partners showed high level of commitment considering that a major duration of the project was pandemic affected, which led to special efforts by the partners' teams especially at field level. Considering the complex nature of the supply chain structure and invisibility of the home-based workers, the partners made special efforts to identify them, unionise them and build their capacities. Due to high commitment levels, the project was able to continue its operations even during COVID-19 period.

#### **Support by the relevant governments**

The national government in Nepal and the state government in UP provided close support to the project and made special efforts which worked as a significant contributory factor. The convergent action of the government in UP and follow up of the Informality Diagnostic are examples of the close support provided by the government.

#### **Flexibility to adapt the project design and intervention strategy**

The project led by the CTA was flexible to adapt the project design and intervention strategy as per the field realities and the changing context. Significantly, when the baseline study was unable to identify home-based workers, the project innovated to apply participatory assessments for this purpose successfully. In another instance, due to changing situation of legal frameworks in both India and Nepal, the project provided technical inputs to the government. As already explained before, the project made significant adaptations in its design and interventions strategies to respond to the COVID 19 pandemic.

#### **Strategic focus on enhancing project's visibility**

The project strategically focused on the project getting visibility at the local, national, regional and global levels, considering the invisibility of the home-based workers and their cause. The project widely shared its knowledge products with all the key stakeholders and the CTA and other team members participated in a number of workshops, seminars, trainings and other events, which contributed to enhancing project's visibility within and outside the ILO.

#### **Efficient and effective project management**

The project was managed effectively and efficiently by the project team, especially in the COVID 19 context. The ILO project team, led by experienced and innovative CTA, was closely supported by the leadership at sub-regional and regional levels.

### **High quality of ILO's technical inputs**

The project worked closely with the DWT specialists like Wages, OSH, Employers, Statistics, Workers and other ILO departments like INWORK who provided high quality of technical inputs in developing training programmes, research studies and knowledge products. Trainings on OSH and Wages were especially reported as effective as the trainings were contextualized and provided simple tools to the trainees. Project published a number of brochures, training manuals, tool kits which was widely disseminated at the field level amongst the beneficiaries, project team as well as other stakeholders which contributed to awareness creation and capacity building.

### **Investment in local and community leadership development**

As already explained before, the project put special focus on the leadership development at the local and community levels, which helped the project in building good rapport with the targeted beneficiaries and also its effective implementation on the ground.

### **Donor's flexibility in fund allocation and project's duration**

The Japanese government provided overall flexibility to the project and specifically in fund allocation as per the field realities and performance of the activities, which worked as a contributory factor. The project was able to reallocate resources and also extend the project's duration. As the mid-term evaluation had noted that the project's objectives were ambitious considering the project's duration.

## **Efficiency**

The key findings regarding the evaluation criteria of Efficiency is presented below:

### **Timeliness of implementation**

Project's overall efficiency w.r.t timeliness of implementation is satisfactory considering the initial delay in starting the project and disruptions due to COVID 19. The first year of the project was spent on seeking approvals from the national governments in India and Nepal and in setting up project team. Accordingly, for the first year, the Gender Specialist, DWT SA (who was Project Manager for Phase I of the project and also designed this project) took lead in initiating its implementation. The project was able to recruit CTA in July 2018 which followed with recruitment of NPC in India (March 2019) and Nepal (June 2020 with temporary arrangements before this period). Further, the pandemic severely impacted the project, as it had to adapt to the situation and shift its priorities to immediate needs of the partners as well as beneficiaries.

### **Availability of data on direct and indirect beneficiaries**

The project's data on direct and indirect beneficiaries is available in its annual Technical Progress Reports (TPR) with sufficient details. The reports have documented the data regarding activities and outputs in a detailed manner as per the implementing partners. The project has also collected periodic TPRs from its implementing partners which documented the data on beneficiaries against its key activities and outputs. Evaluation notes that the project data was shared with the evaluation team in a systematic manner which enhanced its usefulness.

### **Adherence to RBM framework**

The project's adherence to RBM framework is satisfactory considering significant deviations from the original project design based on field situation and contextual changes. As noted by the project team and the mid-term evaluation, the log-frame has a large number of 28 indicators, considering the scope of the project. Some of the outputs, as reported by the project and the mid-term evaluation, was found to be have high entry

barriers, over ambitious and outside the scope of the project. The mid-term evaluation had suggested rationalizing the number of indicators to 18 which the project team accepted and the project in its TPRs have reported against the indicators as per the data available with their justification in the narrative report. The evaluation notes that data on some of the achievements at the outcome level could have been captured better.

### Allocation of human resources

The project had a lean team with a Project Manager/CTA, 2 NPCs and 2 Administrative Assistants and a shared Administrative Assistant in Sri Lanka. Further, the implementing partners also deployed lean team structure. The project was further supported by the respective Programme Officers and DWT SA Specialists. The findings suggest that the allocation of the human resources was strategic and appropriate with regard to achieved outcomes.

### Allocation and leveraging of financial resources

The project has a total budget of around 2.4 million USD and its distribution as per the different budget heads alongwith the current utilization status is presented below in the table. As on February 2022, the project had utilization rate of 86.3 % (including encumbrances). The reasons for under-utilization of budget (after adjustments) include savings due to online conduction of trainings, workshops and meetings. Further, a significant amount of the budget allocated for travel of project team also remain unutilized due to COVID 19 restrictions.

Table 7: Budget and its utilisation status (as of Feb 2022)

Budget Head	Budget (\$)	Actuals (\$)	Encumbrances (\$)	Balances (\$)
Outcome 1	248,052	158,143	17,722	72,186
Outcome 2	243,863	165,538	27,411	50,913
Outcome 3	322,050	184,062	31,339	106,649
Personnel, Operations and M&E costs	1,338,108	1,244,392	43,448	50,268
Programme Support Costs and Provision for Cost Increase	280,771	227,778	0	52,993
	<b>2,432,843</b>	<b>1,980,195</b>	<b>119,951</b>	<b>333,096</b>

The project also leveraged resources from other sources within ILO (RBSA and RBTC) to conduct GET Ahead trainings and Informality Diagnostic in Nepal and some small resources in India. The leveraging of resources was \$38,125 in Nepal and \$5,000 in India.

### Impact

As per the project's theory of change (refer to figure 1), the impact is assessed at the three levels:

- Macro: Policy and enabling environment
- Meso: Capacity of the key stakeholders
- Micro: Working and living conditions of the home-based and other informal economy workers.

### Macro-level impact

**Prioritization of the issues of the home-based workers and small and micro-enterprises in the supply chains in the long term agenda of tripartite constituents**

The tripartite constituents, especially TUs, mentioned that they are now committed to the issues of home-based workers and small businesses in their priorities and long term agenda, which is quite significant in the overall context of formalization of the informal economy. The capacities created under the project are helping them to develop strategies for policy advocacy for ratification of C177, formulation of a national policy on home-based workers and to include their coverage in the labour force surveys. Similarly, MBOs have included formalization of the informal small and micro-enterprises in the supply and in their long-term agenda.

The national government in Nepal has included the agenda of formalization of the informal economy in its structures and has taken concrete step of forming a nine-membered committee to oversee the transition to formalization processes of which ILO is also invited as a member. This shall have long term impact on the issues related to HBWs and shall further decent work for this category of invisible workers. In India, recognition of HBWs as informal economy workers by the government of UP has the potential to inform the policy discourse at the national level and also to be replicated by other states.

### **Enhanced visibility of the project and the issue at the global and national levels**

This project was featured in the ILO's Global Report on *Working from home: From invisibility to decent work* (Jan 2021), which has enhanced its visibility within and outside ILO leading to greater visibility of the issue of the home-based workers at the global level.

In India, the Economic Survey of India GoI 2021 quoted the ILO study, 'Impact on labour supply due to COVID-19 containment measures in India: An informal employment analysis (its base paper in journal),' which indicates project's visibility at the national level.

This enhanced visibility at the international and national levels may lead to increased investments in addressing the issue of HBWs in the supply chains.

### **Meso-level impact**

#### **Mainstreaming of the capacities created under the project by TUs and MBOs**

The implementing partners, i.e. TUs and MBOs, reported mainstreaming of the capacities created under the project in their overall organizational strategies. The project's strategy of training of trainers has led to asset creation within the partner organizations, which is helping them in implementing these practices in their other areas of work. For e.g. TUs reported that they used PA to identify the issues and challenges related to COVID 19 pandemic and to expand the union's work in newer locations. TUs reported mainstreaming WISH training programme in their overall work as it led to significant benefits of their members in improving their OSH standards. As a consequence of the training programme on WISH and gender, TEA initiated Health and Safety and Gender Cells in 15 member enterprises.

Under this project, TUs worked in collaboration with government at the field level, which is a significantly different approach from past. TUs mentioned that this approach has the potential to deliver results especially in enabling access to social protection programmes of the government and have mentioned that they will continue with this strategy in future.

### **Micro-level impact**

#### **Self-recognition of being a worker**

One of the key visible impacts of the project on the workers is their self-recognition as a worker. Earlier, the women home-based workers used to consider the home-based work as a part-time activity which they undertook during the free hours without any significant contribution to the household or the local economy. However, the project with the help of practical tools was able to demonstrate their status as a worker. This led to enhanced self-confidence and improved the status of women within the family and community. Some of women workers demonstrated enhanced aspiration wherein they took initiatives to being self-employed. A few others recognized themselves as artisans with special skills to undertake the jobs like embroidery or embellishments.

### **Progress towards decent work and living conditions and collective bargaining**

The evidences suggest workers demonstrating application of the new knowledge gained under the project. There are examples of women workers negotiating piece wage rates with the sub-contactors or agents and also being successful in getting better rates, workers adopting good practices related to OSH like better seating posture and ventilation, cleaner and organised work area within the homes. The project examples also suggest women collectives bypassing sub-contractors and getting orders from the local level buyers. Some of women workers also reported resisting domestic violence and a few others taking leadership roles in community level initiatives related to common development issues like sanitation.

It is important to note that the impacts, especially at micro-level, cannot be generalized to all the workers covered under the programme. The evaluation has presented some of the examples of the different kinds of impact which were reported directly by the targeted beneficiaries.

### **Sustainability**

The project introduced a number of new tools like participatory assessments, OSH training, Wages training code of conduct for a specific trade, which the partners have mainstreamed in their work. Some of the partners reported multiplier effect of these tools as they are applying them in newer areas and even in other sectors and other categories of workers and members. Accordingly the partners' capacities enhanced under the project are likely to sustain beyond the duration of the project. As part of the implementation agreements, the partners had highlighted their sustainability strategies, ensuring their commitment to integrate the work related to home-based workers in their long-term agenda. Further, the commitment and responses of the TUs and MBOs suggest that ownership of the agenda and it is highly likely that they will continue the project activities especially related to support to their members and policy advocacy in a sustained manner.

In Nepal, the policy level results, i.e. action towards formalisation, is internalized by the government wherein they have created structures to take forward the agenda.

Accordingly, the results of the informality diagnostics, i.e. government's specific measures to transition to formalization, is likely to sustain unless there is change in the government's priority due to any disaster or change of government.

The worker level impact leading to enhanced capacities is evident with some of the workers and their leaders at the local levels. These results are likely to sustain beyond the project's duration. However, due to pandemic a number of workers are very new to programme and also the collectives at most of the locations are in nascent stages. In absence of external support, the partners may not be able to maintain the momentum created by the project at the field level and results may not sustain. Accordingly, results at

the worker and micro-enterprise level require continuous and consistent support until they become sustainable.

### **Cross cutting issues**

#### **Mainstreaming of gender quality, non-discrimination and disability inclusion.**

The project had significant focus on mainstreaming gender equality as the targeted beneficiaries were largely women home-based workers. The project also made special efforts to mainstream gender in all the project activities by conducting gender-specific research, addressing gender concerns in all the training programmes and capacity building workshops and knowledge products. Further, project collected the data baseline situation, activities and results in a sex-disaggregated manner and also conducted special training programmes on gender based violence and sexual harassment at the work place. The project also reported employing non-discrimination principles and practices and incorporating the issues of people with disability in their activities.

## CONCLUSION

The Invisible Workers project can be considered to be an innovative project considering the approach that it took and also the workers that it covered. Evidences suggest that home-based workers are significant participants in the supply chains, however, are highly vulnerable due to their invisibility. This is important to note that even after 20 years of ratification of C177, only 13 countries have ratified it. In this context, the project achievements of unionization of workers and formalization of micro-enterprises are quite significant. The project has successfully created capacities within the social partners and some governments to take up the issues of this highly vulnerable group and there is significant amount of ownership of the issue of home-based workers and other informal economy workers at the lowest tier of the value chain. The project has successfully created momentum on this issue, which is otherwise quite low on priority of the key stakeholders. The project has successfully demonstrated a model, which can contribute to formalization of the informal sector.

There are still areas of challenge for e.g. limited progress towards ratification of C177 and engagement of international brands in the solutions which require further attention and a longer term view. The joint platforms created by the project are committed to take forward the policy advocacy agenda, however, requires external support, considering the limited resources of the TUs.

The project experience has also provided some very interesting lessons and good practices that have the potential to influence the future initiatives in this specific area as well as other initiatives for formalization of the informal economy. The capacity building programmes and other knowledge products can serve as important tools in the future work in this area.

Finally, complex nature of the problems of the home-based workers and other informal economy workers demands continuous attention from the key stakeholders including ILO, government and the TUs with a longer term view.



## Lessons Learned and Emerging Good Practices

### Lessons Learned

- 1. Innovative or experimental projects needs to have a pilot phase and also keep the project design broad and open ended.**

This is related to the design of the invisible workers project which was innovative in nature as the ILO was working with the home-based workers in the global supply chains in south Asian context for the first time.
- 2. Developing shared understanding of the project amongst the key stakeholders in the initial phases of the project helps in enhancing effectiveness of the project.**

The projects or initiatives need to create institutional structures which facilitate this process. In context of this project, the project formed working groups of social partners including trade unions, membership based organisations/employers and civil society organisations. The working group met periodically from the initial stages of the project which helped in developing shared understanding of the project's objectives alongwith the challenges. This helped in giving strategic inputs to the project.
- 3. A multi-dimensional and long-term approach is required to deal with the complex issue of HBWs (especially women) in the GSCs.**

The issues of home-based workers are highly complex and as they are at the lowest tier of the global supply chain and are invisible. Further their presence in the supply chain is task based and intermittent. Despite a significant proportion of workers are engaged as home-based workers, the issue is not on the priority of most of the stakeholders. Accordingly, a long term approach in a multi-dimensional approach is required to address this issue.
- 4. Special efforts are required to visibalise the issue of invisible workers at the level of tripartite partners as well as within the ILO.**

Special efforts are required to visibalise the issue of invisible workers at the level of tripartite partners as well as within the ILO. The projects working on the issue of home-based workers, who are invisible, need to develop special strategies to make the issues visible within and outside ILO. The strategies can relate to participation in the key events at global, national and local levels to share the issues, wide dissemination of knowledge products and briefs highlighting the key issues and supporting informal/formal networks with the ILO resources.
- 5. Supply chain disruptions directly impact the HBWs, who are also forced to absorb the losses because of these disruptions.**

In context of this project, the pandemic led to immediate and sudden lockdowns across the world. As a consequence, all the orders by the international and domestic buyers were cancelled with immediate effect. This was further passed on to home-based workers and other informal worker who are at the lowest tier of the supply chain. Workers who had to suffer significant losses as the manufactured goods were not purchased and no compensation was offered. This led to significant loss of livelihood amongst the most vulnerable category of workers.

**6. HBWs, especially women, require additional livelihood and leadership development support to participate in the initiatives that promote FOA and CB. Need for a non-conventional approach.**

Home-based workers face several limitations while participating in the initiatives that promote their causes. This includes limited time (as they also care of the household work) and earning capacity (due to low wages). Accordingly, any initiative that does not lead to immediate and direct benefits in terms of increased income shall not witness good participation of the women workers. Accordingly, the TUs need to adopt non-conventional approach wherein providing income generating service is also part of the initiative and unionizing work. This initiative also needs to promote local level leaderships to provide support to the home-based workers at the local level.

### **Good Practices**

**1. Participatory Appraisal – Facilitative approach, rapport building with the workers, helps in rapid situation assessment.**

The project used participatory appraisal methods to assess the conditions of the home-based workers and other informal sector economy workers. The tool is based on participatory techniques like daily activity charts, seasonality, mapping of roles and responsibilities, scoring of the problems, etc. The frontline teams of the implementing partners were trained in this methodology who further conducted the exercise with the home-based workers. The use of this tool leads to collection of both quantitative as well as qualitative data. The process is empowering for the workers as it encourages workers to analyse their situation. The data generated can be also be used as evidence for policy advocacy after validation.

**2. Training on Wages and wage setting in the context of piece rates**

The project developed a training programme to build the capacities of the tripartite partners and the workers on the wage concepts and piece rate wages. The key objectives of the training programme are:

- Develop common understanding on strengthened mechanisms for participatory and evidence-based minimum wage-fixing and role of collective bargaining in process in wage setting.
- Learn about minimum wage systems and stimulate cross-national exchange of views and experiences among the ILO constituents.
- Understand wage setting process for minimum wages and its application for workers in informal economy, especially in casual or homework/home based work.
- Gain ability to calculate casual and piece rate wages for different tasks and processes.

The training uses conventional and participatory methods and is delivered by the trained persons.

**3. OSH Training using ILO’s WISH Methodology**

The project developed training programmes to improve the OSH conditions of the home-based workers in the garment and metal handicrafts supply chain. The project used ILO’s WISH methodology in which simple and practical tools were showcased to improve the OSH situation.

**4. Training on Financial Literacy**

The project developed training programme for the home-based and informal sector economy workers on financial literacy to improve their knowledge related to finances so that they can participate in the supply chain with better capacities.

**5. GET Ahead Training**

The project implemented ILO's GET Ahead training which focuses on building the capacities of women entrepreneurs and enterprise owners. The training helped the women entrepreneurs gain knowledge about starting a business, basic financial analysis, preparation of simple business plans and getting access to formal finance.

**6. Tripartite Technical Working Group at the national level**

The project formed a tripartite technical working group at the national level with members from government, employers, TUs, MBOs and civil society organisations in Nepal, This working group served as a platform for capacity building, knowledge sharing policy advocacy and to guide and validate the informality diagnostic study.

**7. Informality Diagnostics Study**

The project conducted informality diagnostic using ILO methodology in Nepal to assess the factors, characteristic and prevalence of the informality in the country with the technical support of INWORK. The study used the data of labour force survey in Nepal to analyse the situation and make recommendations. The findings of the study was validated by the tripartite group at the national level and country has started taking concrete steps towards formalization.

**8. Technical Working Groups at the national level.**

The Project formed technical working groups of TUs, MBOs and CSOs which served as a platform for capacity building, knowledge sharing, policy advocacy and providing strategic direction to the project. The project consistently met during the project duration and took several initiative of policy advocacy and joint action.

## Recommendations

### **Recommendation 1: Issue of homebased workers in the supply chains must form part of the ILO's long term agenda at the country, regional and global levels.**

The issue of HBWs (given their scale) within the overall context of formalisation must form part of the ILO's long-term agenda in the project countries. In light of COVID 19 impact, urgent efforts must be made to raise resources at the national, regional and global levels to work on this issue. Ratification of C177 must be included in the DWCP priorities of each country.

Addressed to	Priority	Resource	Timing
ILO COs of India, Nepal and Sri Lanka	High	Low	Long - term

### **Recommendation 2: ILO to continue technical support to the partners of this project**

The ILO at the regional and national levels must take actions to continue the momentum generated by the project. In absence of any separate project/initiative, specific technical support can be extended to the partners to continue their efforts.

Addressed to	Priority	Resource	Timing
ILO Regional Officer and ILO DWT Delhi	High	Low to medium	Medium - term

### **Recommendation 3: Implementing partners must continue working on project objectives**

The implementing partners must capitalise on the capacities created under this project, continue the momentum and integrate good practices in the overall work with workers of informal sector.

Addressed to	Priority	Resource	Timing
Social partners (TUs and MBOs)	High	Low	Medium-term

### **Recommendation 4: National working groups of TUs and MBOs must continue operating**

The national working groups must continue operating even after project's closure and must finalise and advocate for HBW Policy and ratification of C177. ILO COs can continue facilitating these working groups which will require low resource levels.

Addressed to	Priority	Resource	Timing
Members of working group, i.e. Social partners (TUs and MBOs)	High	Low	Short-term

### **Recommendation 5: Implementing partners must improvise upon the intervention strategy based on lessons from this project.**

The TUs and MBOs must consider lessons from this initiative in its future work with HBWs and members. Please refer to the lessons learned and good practices section.

Addressed to	Priority	Resource	Timing
Members of working group,	Medium	Low	Medium-term

i.e. Social partners (TUs and MBOs)			
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**Recommendation 5: Finalisation and publication of all the knowledge products generated under this project.**

The project must complete all the products committed under this project and disseminate it through the partners as part of its exit strategy. The ILO must also make efforts to widely disseminate the products through its website and/or of the social partners.

Addressed to	Priority	Resource	Timing
ILO Project Team	High	Low	Short-term

## Annexure 1: Lessons Learned Template

### ILO Lesson Learned Template: Lesson 1

**Project Title:** Towards fair and sustainable global supply chains: Promoting formalization and decent work for invisible worker in South Asia Project

**Project TC/SYMBOL:** RAS/17/06/JPN

**Name of Evaluator:** Brajesh Pandey

**Date:** 3<sup>rd</sup> June 2022

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

LL Element	Text
<b>Brief description of lesson learned (link to specific action or task)</b>	Innovative or experimental projects needs to have a pilot phase and also keep the project design broad and open ended. The original design of the project was linear and rigid wherein the activities were sequential in nature. The project reported them to be barriers. Accordingly, the project made a number of changes which were supported by the donor.
<b>Context and any related preconditions</b>	This lesson is relevant to projects experimenting with the new concepts or work with new groups of workers wherein there is not significant institutional experience in the particular context.
<b>Targeted users / Beneficiaries</b>	ILO staff especially who are involved in project proposal development.
<b>Challenges /negative lessons - Causal factors</b>	Project experimenting with the new ideas or concepts is dependent on a number of unknown factors including contextual realities and field situations. In such cases, the logical framework especially the indicators are not able to accommodate the results of the project. In this project, in absence of pilot phase and broad design, a number of indicators were irrelevant as some of the outputs were beyond the scope of the project.
<b>Success / Positive Issues - Causal factors</b>	Pilot phase and a broad design help in adapting strategies which are as per the situation on the ground. Further, the log-frame developed after the pilot phase helps keeping it relevant and useful.
<b>ILO Administrative Issues (staff, resources, design, implementation)</b>	A lesson to be considered while designing future projects

## ILO Lesson Learned Template: Lesson 2

**Project Title:** Towards fair and sustainable global supply chains: Promoting formalization and decent work for invisible worker in South Asia Project

**Project TC/SYMBOL:** RAS/17/06/JPN

**Name of Evaluator:** Brajesh Pandey

**Date:** 3<sup>rd</sup> June 2022

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

LL Element	Text
<b>Brief description of lesson learned (link to specific action or task)</b>	Developing shared understanding of the project amongst the key stakeholders in the initial phases of the project helps in enhancing effectiveness of the project. The projects or initiatives need to create institutional structures which facilitate this process. In context of this project, the project formed working groups of social partners including trade unions, membership based organisations/employers and civil society organisations. The working group met periodically from the initial stages of the project which helped in developing shared understanding of the project's objectives alongwith the challenges. This helped in giving strategic inputs to the project.
<b>Context and any related preconditions</b>	This is relevant to most of the ILO projects as the ILO engages with the tripartite partners in most of its projects.
<b>Targeted users / Beneficiaries</b>	ILO officials as well as tripartite constituents who are collaborate as implementing partners.
<b>Challenges /negative lessons - Causal factors</b>	In absence of engagement of the key stakeholders in the early stages, the stakeholders do not have common understanding resulting into difference in opinions regarding the project strategies which can negatively influence the project's effectiveness.
<b>Success / Positive Issues - Causal factors</b>	Engagement in early stages help the stakeholders in internalizing the concept and ensures better ownership of the project.
<b>ILO Administrative Issues (staff, resources, design, implementation)</b>	The ILO teams of other projects need to include this in the project implementation strategy with no implication on this project.

## ILO Lesson Learned Template: Lesson 3

**Project Title:** Towards fair and sustainable global supply chains: Promoting formalization and decent work for invisible worker in South Asia Project

**Project TC/SYMBOL:** RAS/17/06/JPN

**Name of Evaluator:** Brajesh Pandey

**Date:** 3<sup>rd</sup> June 2022

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

LL Element	Text
<b>Brief description of lesson learned (link to specific action or task)</b>	A multi-dimensional and long term approach is required to deal with the complex issue of Home-based workers (especially women) in the Global Supply chains. The issues of home-based workers are highly complex and as they are at the lowest tier of the global supply chain and are invisible. Further their presence in the supply chain is task based and intermittent. Despite a significant proportion of workers are engaged as home-based workers, the issue is not on the priority of most of the stakeholders. Accordingly, a long term multi-dimensional approach is required to address this issue.
<b>Context and any related preconditions</b>	This lesson is applicable to most workers of the informal sector who have not been significantly covered by interventions before.
<b>Targeted users / Beneficiaries</b>	ILO and the tripartite constituents.
<b>Challenges /negative lessons - Causal factors</b>	Any intervention with short duration and a linear approach will not give any significant results.
<b>Success / Positive Issues - Causal factors</b>	Muti-dimensional and long term approaches shall help in addressing causes which are systemic in nature and will be able to influence structural changes in the supply chain.
<b>ILO Administrative Issues (staff, resources, design, implementation)</b>	ILO at the regional levels need to generate funds for the next phase of the project.



## ILO Lesson Learned Template: Lesson 4

**Project Title:** Towards fair and sustainable global supply chains: Promoting formalization and decent work for invisible worker in South Asia Project

**Project TC/SYMBOL:** RAS/17/06/JPN

**Name of Evaluator:** Brajesh Pandey

**Date:** 3<sup>rd</sup> June 2022

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

LL Element	Text
<b>Brief description of lesson learned (link to specific action or task)</b>	Special efforts are required to visualise the issue of invisible workers at the level of tripartite partners as well as within the ILO. The projects working on the issue of home-based workers, who are invisible, need to develop special strategies to make the issues visible within and outside ILO. The strategies can relate to participation in the key events at global, national and local levels to share the issues, wide dissemination of knowledge products and briefs highlighting the key issues and supporting informal/formal networks with the ILO resources.
<b>Context and any related preconditions</b>	This is relevant to the projects working on the issues which require visibility within and outside ILO.
<b>Targeted users / Beneficiaries</b>	ILO and tripartite constituents.
<b>Challenges /negative lessons - Causal factors</b>	In absence of visibility, the issue of invisible workers do not get sufficient attention of the key stakeholders at the highest levels and does not lead to any change in the policies or enabling environment.
<b>Success / Positive Issues - Causal factors</b>	Greater visibility gets the attention of the key stakeholders which can help in multiple ways including changes in the macro-environment.
<b>ILO Administrative Issues (staff, resources, design, implementation)</b>	None.

## ILO Lesson Learned Template: Lesson 5

**Project Title:** Towards fair and sustainable global supply chains: Promoting formalization and decent work for invisible worker in South Asia Project

**Project TC/SYMBOL:** RAS/17/06/JPN

**Name of Evaluator:** Brajesh Pandey

**Date:** 3<sup>rd</sup> June 2022

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

LL Element	Text
<b>Brief description of lesson learned (link to specific action or task)</b>	Supply chain disruptions directly impact the HBWs, who are also forced to absorb the losses because of these disruptions. In context of this project, the pandemic led to immediate and sudden lockdowns across the world. As a consequence, all the orders by the international and domestic buyers were cancelled with immediate effect. This was further passed on to home-based workers and other informal worker who are at the lowest tier of the supply chain. Workers who had to suffer significant losses as the manufactured goods were not purchased and no compensation was offered. This led to significant loss of livelihood amongst the most vulnerable category of workers.
<b>Context and any related preconditions</b>	Relevant to initiatives working with the most vulnerable category of workers in the supply chain.
<b>Targeted users / Beneficiaries</b>	Tripartite constituents
<b>Challenges /negative lessons - Causal factors</b>	Informal nature of arrangement leads to lack of any commitment by the contractors and buyers who engage home-based and other informal economy workers in the supply chain.
<b>Success / Positive Issues - Causal factors</b>	Not applicable.
<b>ILO Administrative Issues (staff, resources, design, implementation)</b>	Not applicable.

## ILO Lesson Learned Template: Lesson 6

**Project Title:** Towards fair and sustainable global supply chains: Promoting formalization and decent work for invisible worker in South Asia Project

**Project TC/SYMBOL:** RAS/17/06/JPN

**Name of Evaluator:** Brajesh Pandey

**Date:** 3<sup>rd</sup> June 2022

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

LL Element	Text
<b>Brief description of lesson learned (link to specific action or task)</b>	Home-based workers, especially women, require additional livelihood and leadership development support to participate in the initiatives that promote freedom of association and collective bargaining. Home-based workers face several limitations while participating in the initiatives that promote their causes. This includes limited time (as they also care of the household work) and earning capacity (due to low wages). Accordingly, any initiative that does not lead to immediate and direct benefits in terms of increased income shall not witness good participation of the women workers. Accordingly, the TUs need to adopt non-conventional approach wherein providing income generating service is also part of the initiative and unionizing work. This initiative also needs to promote local level leaderships to provide support to the home-based workers at the local level.
<b>Context and any related preconditions</b>	Lesson is relevant to the context of home-based workers, especially women, and other informal economy workers where wages are very low.
<b>Targeted users / Beneficiaries</b>	ILO and trade unions
<b>Challenges /negative lessons - Causal factors</b>	In absence of additional livelihood options and leadership development strategies project are not successful in getting good involvement of the home-based workers.
<b>Success / Positive Issues - Causal factors</b>	The additional strategies can lead to better participation of the home-based workers in the initiative.
<b>ILO Administrative Issues (staff, resources, design, implementation)</b>	Relevant to the design of the future projects.

## Annexure 2: Good Practices Template

### ILO Emerging Good Practice 1

**Project Title:** Towards fair and sustainable global supply chains: Promoting formalization and decent work for invisible worker in South Asia Project

**Project TC/SYMBOL:** RAS/17/06/JPN

**Name of Evaluator:** Brajesh Pandey

**Date:** 3<sup>rd</sup>

**June 2022**

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

GP Element	Text
<b>Brief summary of the good practice (link to project goal or specific deliverable, background, purpose, etc.)</b>	Participatory Appraisal The project used participatory appraisal methods to assess the conditions of the home-based workers and other informal sector economy workers. The tool is based on participatory techniques like daily activity charts, seasonality, mapping of roles and responsibilities, scoring of the problems, etc. The frontline teams of the implementing partners were trained in this methodology who further conducted the exercise with the home-based workers. The use of this tool leads to collection of both quantitative as well as qualitative data. The process is empowering for the workers as it encourages workers to analyse their situation. The data generated can be also be used as evidence for policy advocacy after validation.
<b>Relevant conditions and Context: limitations or advice in terms of applicability and replicability</b>	The tool can be widely replicated and is applicable in different conditions with modifications. However, the facilitator needs to be well trained in participatory methods to ensure effective participation of the beneficiaries.
<b>Establish a clear cause-effect relationship</b>	Participatory methods give opportunities to the workers to engage with the project in a meaningful way. The approach is to learn from the beneficiaries rather than being prescriptive to their problems. The leads empowerment of the workers during the process as well.
<b>Indicate measurable impact and targeted beneficiaries</b>	Situation assessment of home-based workers and other informal sector economy workers. Beneficiaries can be social partners as well as workers.
<b>Potential for replication and by whom</b>	Significant potential for replication by the TUs.
<b>Upward links to higher ILO Goals (DWCPs, Country Programme Outcomes or ILO's Strategic Programme Framework)</b>	Formalisation of the informal sector
<b>Other documents or relevant comments</b>	Training manual developed by the project.

## ILO Emerging Good Practice 2

**Project Title:** Towards fair and sustainable global supply chains: Promoting formalization and decent work for invisible worker in South Asia Project

**Project TC/SYMBOL:** RAS/17/06/JPN

**Name of Evaluator:** Brajesh Pandey

**Date:** 3<sup>rd</sup>

**June 2022**

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

GP Element	Text
<b>Brief summary of the good practice (link to project goal or specific deliverable, background, purpose, etc.)</b>	<p>Training on Wages and wage setting in the context of piece rates.</p> <p>The project developed a training programme to build the capacities of the tripartite partners and the workers on the wage concepts and piece rate wages. The key objectives of the training programme are:</p> <ol style="list-style-type: none"> <li>1. Develop common understanding on strengthened mechanisms for participatory and evidence-based minimum wage-fixing and role of collective bargaining in process in wage setting.</li> <li>2. Learn about minimum wage systems and stimulate cross-national exchange of views and experiences among the ILO constituents.</li> <li>3. Understand wage setting process for minimum wages and its application for workers in informal economy, especially in casual or homework/ home based work.</li> <li>4. Gain ability to calculate casual and piece rate wages for different tasks and processes</li> </ol> <p>The training uses conventional and participatory methods and is delivered by the trained persons.</p>
<b>Relevant conditions and Context: limitations or advice in terms of applicability and replicability</b>	The training can be widely replicated to train tripartite constituents and workers of the informal economy.
<b>Establish a clear cause-effect relationship</b>	Lack of awareness and knowledge is one of the leading causes of workers not able to negotiate their wages. This training fulfills this gap.
<b>Indicate measurable impact and targeted beneficiaries</b>	Enhanced knowledge about the wage concepts, minimum wages and ways to determine piece rate wages
<b>Potential for replication and by whom</b>	Can be replicated by all the tripartite constituents and the ILO in the projects working towards decent work conditions of informal sector workers.
<b>Upward links to higher ILO Goals (DWCPs, Country Programme Outcomes or ILO's Strategic Programme Framework)</b>	Directly linked to FPRW, Collective bargaining and formalization of informal sector
<b>Other documents or relevant comments</b>	Project training manuals and reports.

### ILO Emerging Good Practice 3

**Project Title:** Towards fair and sustainable global supply chains: Promoting formalization and decent work for invisible worker in South Asia Project

**Project TC/SYMBOL:** RAS/17/06/JPN

**Name of Evaluator:** Brajesh Pandey

**Date:** 3<sup>rd</sup> June 2022

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

GP Element	Text
<b>Brief summary of the good practice (link to project goal or specific deliverable, background, purpose, etc.)</b>	OSH Training using ILO's WISH Methodology The project developed training programmes to improve the OSH conditions of the home-based workers in the garment and metal handicrafts supply chain. The project used ILO's WISH methodology in which simple and practical tools were showcased to improve the OSH situation.
<b>Relevant conditions and Context: limitations or advice in terms of applicability and replicability</b>	Applicable to homebased workers in the garment and metal handicraft supply chain.
<b>Establish a clear cause-effect relationship</b>	The training creates awareness about the OSH related risks and provides solutions to improve the situation.
<b>Indicate measurable impact and targeted beneficiaries</b>	Increased knowledge on OSH; Social partners, workers and home-based enterprises.
<b>Potential for replication and by whom</b>	Social partners and the ILO
<b>Upward links to higher ILO Goals (DWCPs, Country Programme Outcomes or ILO's Strategic Programme Framework)</b>	Improvement in OSH conditions
<b>Other documents or relevant comments</b>	Training manual developed by the project.

### ILO Emerging Good Practice 4

**Project Title:** Towards fair and sustainable global supply chains: Promoting formalization and decent work for invisible worker in South Asia Project

**Project TC/SYMBOL:** RAS/17/06/JPN

**Name of Evaluator:** Brajesh Pandey

**Date:** 3<sup>rd</sup> June 2022

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

GP Element	Text
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<b>Brief summary of the good practice (link to project goal or specific deliverable, background, purpose, etc.)</b>	Training on Financial Literacy The project developed training programme for the home-based and informal sector economy workers on financial literacy to improve their knowledge related to finances so that they can participate in the supply chain with better capacities.
<b>Relevant conditions and Context: limitations or advice in terms of applicability and replicability</b>	Training can be provided to any informal sector economy worker.
<b>Establish a clear cause-effect relationship</b>	Lack of financial literacy leads to contractors and other middlemen taking undue advantage during wage negotiations and payments.
<b>Indicate measurable impact and targeted beneficiaries</b>	Increased knowledge about the basics of finances; home-based and informal sector economy workers.
<b>Potential for replication and by whom</b>	Social partners and the ILO
<b>Upward links to higher ILO Goals (DWCPs, Country Programme Outcomes or ILO's Strategic Programme Framework)</b>	Formalisation of informal economy and promotion of FPRW.
<b>Other documents or relevant comments</b>	Training manual

### ILO Emerging Good Practice 5

**Project Title: Towards fair and sustainable global supply chains: Promoting formalization and decent work for invisible worker in South Asia Project**

**Project TC/SYMBOL: RAS/17/06/JPN**

**Name of Evaluator: Brajesh Pandey**

**Date: 3<sup>rd</sup> June 2022**

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

<b>GP Element</b>	<b>Text</b>
<b>Brief summary of the good practice (link to project goal or specific deliverable, background, purpose, etc.)</b>	GET Ahead Training The project implemented ILO's GET Ahead training which focuses on building the capacities of women entrepreneurs and enterprise owners. The training helped the women entrepreneurs gain knowledge about starting a business, basic financial analysis, preparation of simple business plans and getting access to formal finance.
<b>Relevant conditions and Context: limitations or advice in terms of applicability and replicability</b>	Can be replicated widely with women entrepreneurs, emerging young women entrepreneurs, homebased workers who want to start their own micro enterprises.
<b>Establish a clear cause-effect relationship</b>	Women entrepreneurs have limited access to knowledge and support to start a new enterprise which leads to limited participation of women as entrepreneurs and enterprise owners.
<b>Indicate measurable impact and targeted beneficiaries</b>	Increase in knowledge related to starting a business and access to formal finance.

<b>Potential for replication and by whom</b>	Social partners especially EMBOs , organizations supporting entrepreneurship development programs (including govt agencies) and trade unions and membership based workers organizations.
<b>Upward links to higher ILO Goals (DWCPs, Country Programme Outcomes or ILO's Strategic Programme Framework)</b>	Formalisation of informal economy and sustainable enterprises.
<b>Other documents or relevant comments</b>	Training manual

### ILO Emerging Good Practice 6

**Project Title:** Towards fair and sustainable global supply chains: Promoting formalization and decent work for invisible worker in South Asia Project

**Project TC/SYMBOL:** RAS/17/06/JPN

**Name of Evaluator:** Brajesh Pandey

**Date:** 3<sup>rd</sup> June 2022

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

<b>GP Element</b>	<b>Text</b>
<b>Brief summary of the good practice (link to project goal or specific deliverable, background, purpose, etc.)</b>	Tripartite Technical Working Group at the national level The project formed a tripartite technical working group at the national level with members from government, employers, TUs, MBOs and civil society organisations in Nepal, This working group served as a platform for capacity building, knowledge sharing policy advocacy and to guide and validate the informality diagnostic study.
<b>Relevant conditions and Context: limitations or advice in terms of applicability and replicability</b>	Can be replicated in any ILO project with focus on formalization of the informal sector
<b>Establish a clear cause-effect relationship</b>	Setting up of the working group leads to active and close participation by the tripartite constituents.
<b>Indicate measurable impact and targeted beneficiaries</b>	Increased social dialogue.
<b>Potential for replication and by whom</b>	ILO projects
<b>Upward links to higher ILO Goals (DWCPs, Country Programme Outcomes or ILO's Strategic Programme Framework)</b>	Social dialogue and in this case formalization of informal sector.



<b>Other documents or relevant comments</b>	Reports and concept notes of the technical working group.
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### ILO Emerging Good Practice 7

**Project Title:** Towards fair and sustainable global supply chains: Promoting formalization and decent work for invisible worker in South Asia Project

**Project TC/SYMBOL:** RAS/17/06/JPN

**Name of Evaluator:** Brajesh Pandey

**Date:** 3<sup>rd</sup> June 2022

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

<b>GP Element</b>	<b>Text</b>
<b>Brief summary of the good practice (link to project goal or specific deliverable, background, purpose, etc.)</b>	Technical Working Groups at the national level. The Project formed technical working groups of TUs, MBOs and CSOs which served as a platform for capacity building, knowledge sharing, policy advocacy and providing strategic direction to the project. The project consistently met during the project duration and took several initiative of policy advocacy and joint action.
<b>Relevant conditions and Context: limitations or advice in terms of applicability and replicability</b>	Can be easily replicated.
<b>Establish a clear cause-effect relationship</b>	Setting up of the platform gives opportunities to the social partners to engage with the project closely which leads to greater ownership.
<b>Indicate measurable impact and targeted beneficiaries</b>	Social partners and greater ownership of the project objectives by the social partners.
<b>Potential for replication and by whom</b>	ILO projects
<b>Upward links to higher ILO Goals (DWCPs, Country Programme Outcomes or ILO's Strategic Programme Framework)</b>	Capacity building of the social partners.
<b>Other documents or relevant comments</b>	Concept note and reports of the national level working groups of TUs and MBOs.

### ILO Emerging Good Practice 8

**Project Title:** Towards fair and sustainable global supply chains: Promoting formalization and decent work for invisible worker in South Asia Project

**Project TC/SYMBOL:** RAS/17/06/JPN

**Name of Evaluator:** Brajesh Pandey

**Date:** 3<sup>rd</sup> June 2022

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

<b>GP Element</b>	<b>Text</b>
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<b>Brief summary of the good practice (link to project goal or specific deliverable, background, purpose, etc.)</b>	Informality diagnostics using ILO methodology The project conducted informality diagnostic using ILO methodology in Nepal to assess the factors, characteristic and prevalence of the informality in the country with the technical support of INWORK. The study used the data of labour force survey in Nepal to analyse the situation and make recommendations. The findings of the study was validated by the tripartite group at the national level and country has started taking concrete steps towards formalization.
<b>Relevant conditions and Context: limitations or advice in terms of applicability and replicability</b>	Widely replicable at the national or province (state) levels with technical support of INWORK. Requires good expertise in analyzing labour related data.
<b>Establish a clear cause-effect relationship</b>	The study serves as a good entry with evidence to highlight the importance of the formalization process.
<b>Indicate measurable impact and targeted beneficiaries</b>	Execution of the study.
<b>Potential for replication and by whom</b>	ILO CO and regional offices.
<b>Upward links to higher ILO Goals (DWCPs, Country Programme Outcomes or ILO's Strategic Programme Framework)</b>	Formalisation of the informal economy
<b>Other documents or relevant comments</b>	Guide on informality diagnostic

## Annexure 3: Terms of Reference



[Company name]

### **Terms of Reference**

**Towards fair and sustainable  
global supply chains:  
Promoting formalization and  
decent work for invisible  
workers in South Asia Project**

International Labour Organisation  
January 2022

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## TERMS OF REFERENCE

### “Towards fair and sustainable global supply chains: Promoting formalization and decent work for invisible workers in South Asia”

#### FINAL INDEPENDENT EVALUATION

Project Code	RAS/17/06/JPN
Budget	USD 2,400,000
Donor	Government of Japan
Project Time Scale	1 July 2017 – 30 June 2020 (Extension until 30 June 2022)
Geographical Coverage	India, Nepal, and Sri Lanka
Evaluation Period	3 March – 30 Jun 2022
ILO Administrative Unit	ILO New Delhi, ROAP
ILO Technical Unit(s)	DWT-Delhi (GED, INWORK, WORKQUALITY, ENTERPISE, ACTEMP, ACTRAV

## 1. Introduction and Rationale for the Evaluation

The ILO/Japan project titled “Towards fair and sustainable global supply chains: Promoting formalization and decent work for invisible workers in South Asia” is a multi-phased Project operating in India, Nepal and Sri Lanka with a combined budget of more than USD 2.4 million.

The project has been implemented from 2017 to 2020 and is being extended until March 2022. The project aimed to the development of ethical and sustainable global supply chains where decent work is promoted especially for those engaged in the lower tiers of the global supply chains. These are home-based workers, and other informal economy workers working with sub-contractors, and micro, small and medium enterprises in the informal economy in South Asia.

The earlier project “Way out of informality in South Asia” (WOI) (2012-2016) largely centred on targeted sectors for formalizing the informal enterprises and micro businesses.

In this second Phase, the project built upon achievement of the first Phase, which is the creation of awareness among the tripartite constituents and other stakeholders on the significance of addressing informal economy in realizing sustainable and inclusive development and decent work in the lower tiers of the supply chains, and more specifically with workers in micro and homebased enterprises.

With reference to the ILO Evaluation Guidance (2006), the Project is required to undertake annual reviews, mid-term evaluation and a final evaluation, with at least one of them is an independent evaluation. A mid-term evaluation was conducted in November 2019 to February 2020.

The final independent evaluation of the Project will be implemented according to the present Terms of Reference (TOR). The evaluation will provide comprehensive view of the programme achievements, strengths, and weaknesses, and most importantly the impact of interventions on key targeted workers. It then will come up with recommendations to be applied to future initiatives in this area of work.

## 2. Project Background

The Project aims to contribute to the promotion of decent work and transition from informal to formal economy in selected global supply chains in India, Nepal and Sri Lanka, particularly those in the lower tiers of the chains.

Larger and more formal enterprise in the upper-tiers of global supply chains have linkages with large, medium-sized and small enterprises engaged in the production of goods in both the formal and informal economies. Due to competitive markets and demands for speedy delivery, these enterprises often adopt highly flexible production and work patterns. This results in informal working arrangements, piece-rate production, home-based work and engaging of workers in non-standard forms of employment. There have been many global and multi-lateral initiatives to promote labour law compliance and sustainable and ethical practices in global supply chains which has also improved business operations. However, these improvements have mostly been in the formal sector. Those who work in the informal economy are overlooked despite the fact that decent work deficits become more prominent towards the lower tiers of chains. Workers at the lower tiers of global supply chains are in a disadvantaged position as they remain invisible. They also lack legal and social protection --- key instruments to achieve better working and living conditions. The informal enterprises at the lower tiers of supply chains face also multiple challenges which include lack of access to resources and business support services to grow competitive and socially responsible. There is a dire need to address decent work deficits experienced by the informal workers and also enable small economic units to be formalized and sustainable so as to realize decent work for all and promote fair and sustainable global supply chains.

The Project focuses in contributing to address the following main challenges in promoting decent work in global supply chains in South Asia:

1. Inadequate enabling environment to address the issues of informal economy workers and promote decent work in global supply chains
2. Low visibility and limited evidence-based data on working conditions and employment relations of those operating in the informal economy
3. Lack of comprehensive and multi-stakeholders approaches to promote decent work for those operating in informal economy.

In its implementation, the Project worked to achieve and produce the following objectives and outputs as referred to in the Project Document:

Development objective: To contribute to the development of ethical and sustainable global supply chains where all those engaged in global supply chains, especially those at the lower tiers of the supply chains enjoy decent work in South Asia.	
Outcome 1: Improved and effective implementation of policies/regulations to promote decent work.	<p>Output 1.1: Baseline studies on home-based women workers and other informal economy workers in GSC.</p> <p>Output 1.2: Mapping of regulatory environment and its application for decent job creation, sustainable income generation and social protection for home-based women workers in GSC.</p> <p>Output 1.3: Roadmap for development of policies to promote labour law compliance, and improve employment, working conditions and social protection for home-based women</p>

	<p>workers at the lower tiers of selected GSC.</p> <p>Output 1.4: Awareness raising and policy advocacy campaign to promote and protect the rights of home-based workers in selected GSC in line with ILO Convention No. 177.</p>
<p>Outcome 2: Strengthened governance to promote decent work and contribute to the development of ethical and sustainable supply chains at the local levels.</p>	<p>Output 2.1: Action plan on better enforcement of labour laws and extension of labour and social protection to informal enterprises and home-based workers for implementation by government in at least one community.</p> <p>Output 2.2: Action plan on extension of business development and registration support to informal enterprises, especially led by women, and promotion of labour law compliance to promote decent work in supply chains for implementation by employers and their organization in at least one community.</p> <p>Output 2.3: Action plan on promotion of decent work for home-based workers and other informal economy workers, especially women, engaged in GSC for implementation by trade union platforms and other relevant stakeholders and civil society organization (CSO).</p> <p>Output 2.4: Ethical practices to promote decent work at the lower tiers of supply chains for implementation by international brand companies.</p>
<p>Outcome 3: Improved living and working conditions of home-based women workers and other informal economy workers engaged in selected supply chains.</p>	<p>Output 3.1: Comprehensive community-based programme to improve living and working conditions of home-based women workers and other informal economy workers in selected supply chains.</p> <p>Output 3.2: Publication document on experiences, good practices and lessons learned from the community-based programme.</p>

This was pursued through consultation and collaboration with the ILO’s tripartite constituents and their partners, including NGOs and academia in India, Nepal and Sri Lanka, sharing the vision of decent work in ethical and sustainable global supply chains.

The ILO Fundamental Conventions provides guidance in implementing the Project, along with other relevant ILO Conventions, namely Home Work Convention No. 177 of 1996. Furthermore, ILO member States’ Resolution of 2016 on decent work in global supply chains provides guidance on ILO programme in promoting ratification and implementation of the ILO standards relevant to decent work in global supply chains.

Gender has been mainstreamed in all project activities by conducting gender-specific research, mainstreaming gender in guidelines and other knowledge products, collecting sex-disaggregated data, raising awareness on gender equality, and building the capacity of relevant stakeholders in promoting equality and non-discrimination principles and practices. The project also incorporates disability issues, whenever

possible, by raising enterprises and trade unions on decent work for people with disabilities.

The Project is in line with relevant national development framework in India and Nepal. In India, the importance of addressing informality in global supply chains is recognized in Brazil, Russia, India, China, and South Africa (BRICS) Labour and Employment Ministers' Declaration for 2015-2019. In Nepal, the importance of supporting the transition from informal to formal economy is recognized in the National Employment Policy 2015 and the 14<sup>TH</sup> National Development Plan (2017-2019).

Furthermore, the Project contributed to Outcome on "Facilitating the transition from the informal to the formal economy" of Decent Work Country Programme (DWCP) in India (IND127) and Nepal (NPL127), Outcome 4 on Promoting sustainable enterprise and Outcome 6 on Formalization of the informal economy of the ILO Programme and Budget for 2016-2017 and 2018-2019, and in addressing the decent work deficits associated with informality of the ILO Strategic Plan 2018-2021, which recognizes gender equality and non-discrimination, international labour standards and tripartism and social dialogue remain an necessary cross-cutting policy drivers. It will also contribute to the achievement of several goals of the Sustainable Development Goals (SDGs), namely promoting sustainable economic growth and productive employment (Goal 8), building inclusive and sustainable industries (Goal 9), reducing inequalities (Goal 10), ensuring sustainable production and consumption (Goal 12), and strengthening partnerships for sustainable development (Goal 17).

The Project is managed by Chief Technical Advisor (CTA) in the ILO Delhi Office supported by two National Project Officers and a Financial/Administrative Assistant each in India and Nepal. The CTA reports to the ILO Director in Delhi and the CTA of the ILO/Japan Multi-bilateral Programme in the ILO Regional Office for Asia and the Pacific in Bangkok. He or she received technical backstopping and guidance from relevant specialist of the Decent Work Country Team for South Asia (DWT-SA), and ILO Regional Office in Bangkok and Headquarters as required.

### 3. Purpose, Scope and Clients of the Evaluation

The evaluation will be used to ensure accountability by providing independent assessment of the Project progress in achieving its stated objectives according to a set of criteria. Findings of the evaluation will provide lessons and recommendations for continuous improvement of relevant future projects and programmes.

The Evaluation is also intended to identify challenges, opportunities and lessons learned and makes recommendations that the donor, ILO, the project team and partners to develop future such programmes for implementation. The evaluation will also assess and identify factors affecting project implementation (positively and negatively) and implementation strategies of the project with regard to their potential effectiveness in achieving the project outcomes and impacts, including unexpected positive results and potential for further interventions, scaling up and replicability. It will also assess and determine appropriateness of design to ILO's strategic and national Decent Work Country programmes and contribution to the Programme and Budget and ILO's planned outcomes.

Scope of evaluation includes Project implementation in India, Nepal and Sri Lanka in the period of 1 July 2017 – 31 December 2021. It will assess the extent to which objectives of the Project has been achieved in terms of relevance, coherence, effectiveness, efficiency, impact, and sustainability, with focus on exit strategy and



sustainability. The evaluator(s) will elaborate in greater detail the key evaluation questions and methodology for addressing each specific objective. This will entail desk review of relevant materials and in-depth interviews with key stakeholders in India, Nepal, Sri Lanka (to a limited extent) and ILO Regional Office for Asia and the Pacific (ROAP).

Gender equality, non-discrimination, disability inclusion, and other relevant cross-cutting issues will be integrated throughout the evaluation methodology and deliverables. It will give specific attention to the relevance of the interventions to the ILO’s Decent Work Country Programme (DWCP) for India and Nepal, the ILO Programme and Budget, UNDAF/UNSDCF, and national and regional sustainability development strategy, such as BRICS Labour and Employment Ministers’ Declaration for 2015-2019.

Primary clients of the evaluation include relevant government ministries and institutions, employers’ and workers’ organizations, other key stakeholders in India, Nepal and Sri Lanka, the Project’s team and main partners, ILO Director and technical specialists in ILO DWT-SA in New Delhi, CTA of the ILO/Japan Multi-bilateral Programme, ILO ROAP in Bangkok, and the Government of Japan as the donor. Secondary clients of the evaluation include the ILO’s Governing Body, and different units in ILO HQ, namely Conditions of Work and Equality Department (WORKQUALITY), ENTERPIRSE, ACTEMP and ACTRAV.

#### 4. Evaluation criteria and questions

With reference to 4<sup>th</sup> Edition of the ILO Policy Guidelines for result-based evaluation of 2020, the evaluation shall assess the following suggested key criteria and questions listed below. These criteria and questions may be adapted by the evaluator subject to agreement between the evaluator and the evaluation manager and shall be reflected in the inception report.

<b>Criteria</b>	<b>Definition and suggested questions</b>
Relevance (and strategic fit)	<p>The extent to which the intervention objectives and design respond to beneficiaries’ global, country and partner/institution needs, policies and priorities, and continue to do so if circumstances change.</p> <ul style="list-style-type: none"> <li>▪ To what extent have the objectives responded to the needs of home-based women workers and other informal economy workers?</li> <li>▪ To what extent have the objectives and design been relevant and in line with policies and priorities of the national constituents and stakeholders at the national, regional, and international levels?</li> <li>▪ To what extent are the objectives in line with national development frameworks, DWCP of India, Nepal and Sri Lanka, and relevant Sustainable Development Goals (SDGs)?</li> <li>▪ To what extent have the interventions been adapted to changes due to COVID-19?</li> </ul>
Coherence	<p>The compatibility of the intervention with other interventions in a country, sector or institution.</p> <ul style="list-style-type: none"> <li>▪ To what extent has the intervention supported or undermined other initiatives by governments, companies, social partners and civil society organizations in the target countries or selected</li> </ul>

Criteria	Definition and suggested questions
	sectors? <ul style="list-style-type: none"> <li>▪ How and to what extent have stakeholders (particularly the ILO constituents) been involved in project implementation?</li> </ul>
Effectiveness	<p>The extent to which the intervention achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups.</p> <ul style="list-style-type: none"> <li>▪ To what extent has Project achieved the planned objectives? What factors have contributed to achieving or not achieving the planned objectives?</li> <li>▪ In which areas (under which outputs/components) does the project have the greatest achievements? What have been the main factors and how can they be leveraged?</li> <li>▪ In which areas does the project have the least achievements? What have been the main constraints?</li> <li>▪ Are intervention strategies gender-sensitive?</li> <li>▪ To what extent has the outputs been satisfactory?</li> <li>▪ To what extent has the outputs been transformed into outcomes?</li> <li>▪ Have there been multiplier effects that can be identified?</li> <li>▪ To what extent have the project management arrangement and governance contributed to achieving the planned objectives? What factors have contributed to achieving or not achieving the planned objectives?</li> <li>▪ To what extent has the project implementation instil ownership of the interventions among the tripartite constituents, other relevant stakeholders, and partners?</li> </ul>
Efficiency	<p>The extent to which the intervention delivers, or is likely to deliver, results in an economic and timely way.</p> <ul style="list-style-type: none"> <li>▪ To what extent has the project been implemented in an efficient and timely way?</li> <li>▪ To what extent has result-based management been applied and practiced in the project implementation?</li> <li>▪ To what extent has data on direct and indirect beneficiaries are made available through the project monitoring tools and mechanism?</li> <li>▪ Have resources (funds, human resources, time, expertise etc.) been allocated strategically to achieve outcomes?</li> <li>▪ To what extent have the project implementation are inline with the work plan?</li> <li>▪ To what extent has the project been able to leverage resources through collaboration and synergies with other ILO initiatives at national, regional levels or industry sector.</li> </ul>
Impact	<p>The extent to which the intervention has generated or is expected to generate significant positive or negative, intended, or unintended, higher-level effects.</p> <ul style="list-style-type: none"> <li>▪ To what extent has the project interventions contributed to effective implementation of policies and practices to promote</li> </ul>

Criteria	Definition and suggested questions
	<p>decent work for home-based women and informal workers in selected supply chains?</p> <ul style="list-style-type: none"> <li>▪ To what extent has the project interventions contributed to the broader development changes as referred to in national development frameworks, DWCP, country objectives in the ILO Programme and Budget, the ILO Decent Work Agenda, and relevant ILO standards?</li> </ul>
Sustainability	<p>The extent to which the net benefits of the intervention continue or are likely to continue.</p> <ul style="list-style-type: none"> <li>▪ How likely are project achievements going to be sustainable?</li> <li>▪ To what extent the project has contributed to building capacity of relevant stakeholders to sustain the work on enabling decent work for homebased and informal workers in supply chains?</li> <li>▪ To what extent are sustainability considerations considered in the design and implementation of project activities?</li> <li>▪ To what extent national partners have mainstreamed the project activities to ensure sustainability of achievement beyond the project duration?</li> <li>▪ To what extent has the project exit strategy been operational and effective?</li> </ul>
Cross cutting issues	<ul style="list-style-type: none"> <li>▪ To what extent have gender equality, non-discrimination and disability inclusion been successfully mainstreamed in the project implementation and outputs?</li> </ul>

## 5. Methodology

A team of three independent evaluators, comprising of one team leader and two team members who are from India and Nepal respectively, will be hired by ILO to conduct the evaluation. Multiple evaluation methodologies will be used to capture and analyse qualitative and quantitative data on intervention’s contributions to the achievement of expected and unexpected outcomes.

The evaluators are expected to assess the logframe/theory of change (TOC) of the Project, with focus on assumptions, risk and mitigation strategies, and logical link of the results to ILO’s national and global strategic objectives and outcomes, and relevant SDG and related targets.

To the extent possible, data collection and analysis should be responsive to and include issues related to relevant ILO standards, gender equality, non-discrimination, and disability inclusion. The evaluators are expected to collect, present and analyse data and information with appropriate disaggregation by sex and age group, if applicable.

The evaluators are expected to apply a variety of evaluation techniques, including but not limited to, desk review, in-depth interviews, focus group interview, and direct on-site observation. Studies reports, roadmap, action plan, mid-term evaluation reports, meeting reports, and other documents produced by the Project will be reviewed in terms of quantity and quality of output delivery. The evaluators will also interview key stakeholders involved in the Project design and implementation, including representatives of government institutions, social partners, NGOs, relevant ILO

specialists, ILO Director in New Delhi, the CTA of the ILO/Japan Multi-bilateral Programme in the ILO Regional Office for Asia and the Pacific in Bangkok, current and previous Project manager, donor representatives, and expert consultants. Workshop(s) with key stakeholders of the Project will be conducted to validate key preliminary findings of the evaluation.

Subject to application of restriction of movements applied by the governments in target countries due to COVID-19 situation, field visits to India and Nepal will be conducted by the leader or members of the evaluation team to conduct, debriefing to the CTA (Project Manager), interviews and/or validation workshop(s). Initial briefing with the evaluators, kick-off meeting with the Project team, validation workshop with stakeholders, and debriefing with the CTA/Project Manager will be conducted virtually via zoom.

Detail of the approach, methodology, and the work plan, including the validation workshop(s) should be part of the inception report. The evaluation team leader may adapt the methodology, but any fundamental changes should be agreed by evaluation manager and reflected in the inception report.

## 6. MAIN DELIVERABLES (OUTPUT)

The followings are deliverables expected from the evaluators. In preparing and delivering these outputs, the evaluators refer to the 4<sup>th</sup> edition of the ILO policy guidelines for result-based evaluation, follow relevant format and use appropriate templates as applicable.

### **Deliverable 1: Inception report (5 Apr 2022)**

The inception report should describe the conceptual framework, evaluation methodology, and work plan for conducting the evaluation. Please refer to Checklist 3: Writing the inception report in Annex to this TOR.

The conceptual framework should be consistent with the Results-Based Management (RBM) for evaluations and address the evaluation questions in the respective evaluation criteria referred to in Section 4 of the present TOR.

The report should describe how the chosen methodologies, data sources, sampling and indicators will support in addressing the evaluation questions. Attention should be given to methods for collecting data from subjective and objective sources, which could provide a balanced and insightful report. Interviews, workshops, and field visits that the evaluators intended to do should also be indicated in the report.

The work plan should indicate timeline of the phases of the evaluation, key deliverables, and milestones. The evaluators may present the work plan in table or flow chart formats, which could communicate the information and keeping track of the evaluation progress more effectively.

The evaluators will write the inception report in consultation with the evaluation manager. Discussions between the evaluation manager and the evaluators will take place until all points are mutually understood and agreed upon. The evaluation manager will share the inception report with key stakeholders of the Project for information and comments. The evaluators may conduct a meeting with the Project manager and team member to gather information on the project background and the team expectation, and to obtain relevant documents.

The inception report should be written in English in MS Word format. The report should not exceed 15 pages of length in total covering evaluation background, purpose and scope, evaluation criteria and questions, methodology, and work plan. It should also incorporate the evaluator's acknowledgement of the formatting

requirements, namely formulating and presenting recommendations, identifying and presenting lessons learned and emerging good practices, and filling in the relevant templates.

**Deliverable 2: Validation workshop (18 May 2022)**

The evaluators should conduct a validation workshop with key stakeholders of the Project to validate preliminary findings of the evaluation and identify any data and information gaps. The evaluators will lead the workshop with logistical support from the Project team.

**Deliverable 3: Draft evaluation report (3 June 2022)**

The evaluation report should be written in English in MS Word format. It should be well-structured and concise written. Please consult Checklist 4.2: Preparing the evaluation report in Annex. The report should include eight elements, namely title page, table of contents, executive summary, body of the report, conclusion, lessons learned and emerging good practices, recommendations, and annexes.

The title page should use a standard template and should include elements as referred to in Checklist 4.3: Filling in the title page. The executive summary should use a standard template and should not exceed 5 pages in length. The body of the report should not exceed 40 pages excluding annexes. It should include the following elements: project background, evaluation background, evaluation criteria and questions, methodology, and main findings.

The evaluators should write two draft reports. The first draft report should be submitted to the evaluation manager to be reviewed and shared to the Project team for feedback on factual errors. The evaluators should address the feedback and return the report to the evaluation manager for further distribution to stakeholders of the Project for feedbacks. The evaluation manager will compile the stakeholders' feedback and send it to the evaluators to address.

**Deliverable 4: Final evaluation report (22 June 2022)**

The evaluators should incorporate inputs and comments into the final report and submit it to the evaluation manager. The evaluation manager will share the final evaluation report to evaluation focal point in the region for review prior to submission to ILO Evaluation Office (EVAL) in headquarters for approval. EVAL will assess the final report quality against the relevant EVAL checklists. The evaluators are expected to address inputs and comments from evaluation focal point and finalize the report upon approval from EVAL.

## 7. Management arrangement and work plan

The evaluation manager (EM) will be responsible for the overall management of executing the evaluation processes in accordance with the ILO Policy for Evaluation, the ILO Policy Guidelines for Evaluation, and UNEG norms and standards. Evaluation manager for this final evaluation is Mr. Christianus H Panjaitan, National Project Officer for Social Protection of ILO country office for Indonesia and Timor Leste (ILO CO-Jakarta).

The evaluation officer in the regional office (REO) oversees the overall evaluation process and follow up. The REO will review the final evaluation report prior to submission to EVAL for approval. The REO may also provide methodological inputs and support planning of the evaluation.

The Project manager (PM) and project staff facilitate and support the implementation of the evaluation by assisting in data collection, coordinating logistics with the

partners during field mission, arranging meetings for interviews, workshops and focus group discussion, and providing inputs on the draft report.

The ILO Evaluation Office (EVAL) is responsible in ensuring the quality and integrity of the evaluation in accordance with the relevant international standards as well as ILO policy and guidelines for evaluation. EVAL approves the final evaluation report.

The evaluation Team Leader (TL) will be responsible for the overall management of implementation of the evaluation with support from two evaluation Team Members (TM) who are based in India and Nepal. In general, the evaluators should adhere to internationally accepted good practices and solid ethical principles, be skilled in implementing diverse evaluation methodologies, ensure the evaluation is an inclusive and participatory learning exercise, and be culturally and gender sensitive.

Expected qualifications of the independent evaluation team leader and team members are as follows:

<b>Position</b>	<b>Qualifications</b>
Team leader	<ul style="list-style-type: none"> <li>▪ University degree in gender, social studies, development studies, labour economics, law, or other relevant fields.</li> <li>▪ At least 12 years of professional experience in project evaluation, in the areas of social dialogue, capacity building, policy advocacy, gender, enterprise development, and global supply chains.</li> <li>▪ Concrete experience on issues related to informal workers, women workers and workers in vulnerable situations (migrants, excluded population etc.), and those who experience decent work deficits and those in precarious work.</li> <li>▪ Understanding of functioning and issues and challenges of micro and home-based enterprises and supply chains.</li> <li>▪ Understanding on approaches to formalize the informal economy.</li> <li>▪ Demonstrated expertise and knowledge of supply chains sectors, especially lower tiers; Practical experience in conducting independent evaluation of projects with global and/or regional coverage adhering to internationally accepted good practices and ethical principles.</li> <li>▪ Excellent command of English. Working knowledge of Hindi would be an advantage.</li> <li>▪ Strong practical experience with the application of result-based management, theory of change, qualitative and quantitative data collection methodologies, and participative approach in project evaluation.</li> <li>▪ Good understanding of working conditions issues in global supply chains in general and, more specifically in South Asia, and relevant international standards and framework. Understanding of such issues in India and Nepal would be an advantage.</li> <li>▪ Good understanding with ILO mandate, especially the tripartite structure, issues related to global supply chains, home-based workers and other informal economy workers, gender, and decent work deficits for vulnerable workers.</li> <li>▪ Excellent analytical and writing skills.</li> </ul>

Position	Qualifications
	<ul style="list-style-type: none"> <li>▪ High level communications skills, both oral and written in Hindi and English.</li> <li>▪ High standards of integrity, professionalism, personal discipline, and impartiality.</li> <li>▪ Ability to work in a multicultural environment and to demonstrate gender-sensitive and non-discriminatory behaviour and attitudes.</li> </ul>
Team members	<ul style="list-style-type: none"> <li>▪ University degree in gender, social studies, labour law, development studies or other relevant fields.</li> <li>▪ At least 5 years of professional experience in project evaluation, in the areas of social dialogue, capacity building, policy advocacy, enterprise development, and/or global supply chains.</li> <li>▪ Practical experience in conducting independent evaluation of projects adhering to internationally accepted good practices and ethical principles.</li> <li>▪ Good command of English and Hindi (for India) and English and Nepali (for Nepal).</li> <li>▪ Practical experience with the application of result-based management, theory of change, qualitative and quantitative data collection methodologies, and participative approach in project evaluation.</li> <li>▪ Good understanding of working conditions issues in global supply chains in India and Nepal.</li> <li>▪ Good understanding on gender issues</li> <li>▪ Understanding on challenges in the informal economy and workers in the informal economy.</li> <li>▪ Good understanding of the socio economic and cultural situations in India and Nepal.</li> <li>▪ Good analytical and writing skills.</li> <li>▪ Excellent communications skills, both oral and written.</li> <li>▪ High standards of integrity, professionalism, personal discipline, and impartiality.</li> <li>▪ Ability to work in a team and independently with minimum supervision.</li> <li>▪ Ability to demonstrate gender-sensitive and non-discriminatory behaviour and attitudes.</li> </ul>

The evaluation will be carried out between 3 March 2022 and 30 June 2022. Total duration of the evaluation for the independent evaluators to conduct the evaluation is estimated to be 36 workdays over a period of 17 weeks from March to June 2022.

Phase	Tasks	Responsible Person	Timing
I	Draft TOR and share to the Project team for feedback	Evaluation Manager	6-17 Dec 2021
	Share TOR to stakeholder for feedback	Evaluation Manager	20-24 Dec 2021
	Revise TOR and prepare expression of interest for submission to REO	Evaluation Manager	27 Dec 2021
	Submit TOR to REO for review	Evaluation	28 Dec 2021

Phase	Tasks	Responsible Person	Timing
		Manager	
	Finalize TOR and submit to REO	Evaluation Manager	30 Dec 2021
	Approve TOR	REO	31 Dec 2022
II	Call for proposal	Evaluation Manager	3-14 Jan 2022
	Selection of consultants	Evaluation Manager	17 Jan-17 Feb 2022
	Contract preparation and signing	Evaluation Manager	18 Feb-2 Mar 2022
	Initial briefing with the evaluators	Evaluation Manager	4 Mar 2022
III	Kick-off meeting with the Project team.	Project Manager	7-15 Mar 2022
	Writing of inception report	Team leader	16-19 Mar 2022
	Submission of inception report to EM	Team leader	20 Mar 2022
	Review of inception report	Evaluation Manager	21-23 Mar 2022
	Finalize inception report and submission to EM	Team leader	24-30 Mar 2022
	Data and information collection	Team leader	21 Mar-8 Apr 2022
	Validation workshop with stakeholders	Team leader	18 May 2022
IV	Write first draft of evaluation report	Team leader	19 May-2 Jun 2022
	Submit first draft to EM	Team leader	3 Jun 2022
	Review first draft report by EM and Project Manager and send to Team Leader for revision	Evaluation Manager & Project Manager	7 Jun 2022
	Revision and submission of second draft report	Team leader	8 Jun 2022
	Review second draft report by stakeholders	Evaluation Manager & Project Manager	9-19 Jun 2022
	Consolidate feedback and submit to evaluators	Evaluation Manager	21 Jun 2022
	Finalize and submit final report to EM and REO for review	Team Leader	22 Jun 2022
	Submit final report to EVAL for approval	Evaluation Manager	23 Jun 2022

#### Estimation of workdays for evaluators

Tasks	Estimated workdays of evaluators	
	Team Leader	Team Members*



Briefing with EM and Kick-off meeting with Project team	1	2
Writing and finalizing of inception report	4	4
Data and information collection	14	12
Validation workshop	1	2
Writing the draft reports	10	10
Writing the final report	2	2
<b>Total</b>	<b>32</b>	<b>32</b>

\* A team of two with a total of 16 workdays each.

## 8. Legal and Ethical Matters

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

Evaluators should have personal and professional integrity and abide by the UNEG Ethical Guidelines for evaluation and the Code of Conduct for Evaluation in the UN system to ensure that the rights of individuals involved in an evaluation are respected. Evaluators must act with cultural sensitivity and pay particular attention to protocols, codes and recommendations that may be relevant to their interactions with women. Evaluators will be expected to sign the respective ILO Code of Conduct to show that they have read and understood the UNEG Code of Conduct for Evaluation in the UN System process.

Ownership of data from the evaluation rests jointly with the ILO and the consultant. The copyright of the evaluation report will rest exclusively with the ILO. The use of data for publication and other presentations can only be made with written agreement of the ILO. Key stakeholders can make appropriate use of the evaluation report in line with the original purpose and with appropriate acknowledgement.

## Annexes:

- a. Evaluator's code of conduct form:  
<http://www.ilo.org/legacy/english/edmas/eval/template-code-of-conduct.doc>
- b. Guidance Note 3.1. Integrating gender equality in monitoring and evaluation:  
[https://www.ilo.org/wcmsp5/groups/public/---ed\\_mas/---eval/documents/publication/wcms\\_165986.pdf](https://www.ilo.org/wcmsp5/groups/public/---ed_mas/---eval/documents/publication/wcms_165986.pdf)
- c. Guidance Note 3.2. Adaptive evaluation methods to the ILO's normative and tripartite mandate: [https://www.ilo.org/wcmsp5/groups/public/---ed\\_mas/---eval/documents/publication/wcms\\_746717.pdf](https://www.ilo.org/wcmsp5/groups/public/---ed_mas/---eval/documents/publication/wcms_746717.pdf)
- d. Checklist 4.8. Writing the inception report:  
[https://www.ilo.org/wcmsp5/groups/public/---ed\\_mas/---eval/documents/publication/wcms\\_746817.pdf](https://www.ilo.org/wcmsp5/groups/public/---ed_mas/---eval/documents/publication/wcms_746817.pdf)
- e. Checklist 4.2. Preparing the evaluation report:  
[https://www.ilo.org/wcmsp5/groups/public/---ed\\_mas/---eval/documents/publication/wcms\\_746808.pdf](https://www.ilo.org/wcmsp5/groups/public/---ed_mas/---eval/documents/publication/wcms_746808.pdf)
- f. Checklist 4.4. Writing the evaluation report summary:  
[https://www.ilo.org/wcmsp5/groups/public/---ed\\_mas/---eval/documents/publication/wcms\\_746811.pdf](https://www.ilo.org/wcmsp5/groups/public/---ed_mas/---eval/documents/publication/wcms_746811.pdf)
- g. Templates for the evaluation lessons learned and good practices  
<http://www.ilo.org/legacy/english/edmas/eval/template-lesson-learned.doc>  
<http://www.ilo.org/legacy/english/edmas/eval/template-goodpractice.doc>
- h. Templates for evaluation title page and summary:  
<http://www.ilo.org/legacy/english/edmas/eval/template-titlepage-en.doc>  
<http://www.ilo.org/legacy/english/edmas/eval/template-summary-en.doc>
- i. ILO Policy guidelines for result-based evaluation:  
[http://www.ilo.ch/wcmsp5/groups/public/---ed\\_mas/---eval/documents/publication/wcms\\_571339.pdf](http://www.ilo.ch/wcmsp5/groups/public/---ed_mas/---eval/documents/publication/wcms_571339.pdf)
- j. UNEG Ethical guidelines for evaluation:  
<http://www.uneval.org/document/download/548>
- k. UNEG Code of conduct for evaluation in the UN system:  
<http://www.uneval.org/document/download/547>
- l. SDG related reference material at: <http://www.ilo.ch/eval/eval-and-sdgs/lang-en/index.htm>

## Annexure 4: Respondents list of the evaluation

Sr No.	Name	Designation	Organisation	Country
<b>ILO</b>				
1	Mr. Yauo Ariga	Coordinator, ILO -Japan Projects and CTA	Japan Projects, Govt of Japan	Japan
2	Mr. Peter Buwembo	Specialist- Labour Statistician	ILO	DWT, New Delhi
3	Mr. Phillipe Marchant	Chief, INWORK, Geneva	ILO	Geneva
4	Ms. Florence Bonnet	Sr. Economist- INWORK	ILO	Geneva
5	Mr. Xavier Gonzalo Estupina	Wage Specialist	ILO	DWT, New Delhi
6	Mr. Syed Sultan Uddin Ahmmed	Specialist- ACTRAV	ILO	DWT, New Delhi
7	Mr. Tsuyoshi Kawakami	Sr OSH Specialist	ILO	DWT, New Delhi
8	Mr. Ravindra Peiris	Senior Specialist- Employer	ILO	DWT, New Delhi
9	Ms. Dagmar Walter	Director DWT/ CO India	ILO	DWT, New Delhi
10	Mr. Satoshi Sasaki	Deputy Director	ILO	DWT, New Delhi
11	Ms. Pallavi Mansingh	National Project Coordinator	ILO	India
12	Ms. Ruchira Chandra	Programme Officer	ILO	India
13	Ms. Sudipta Bhadra	Project Manager, KOICA Project	ILO	India
14	Ms. Aya Matsuura	Specialist	ILO	DWT, New Delhi
15	Mr. Richard Howard	Director	ILO Nepal	Nepal
16	Ms. Nita Neupane	Senior Programme Officer	ILO Nepal	Nepal
17	Ms. Marina Rai	Operations Officer	ILO Nepal	Nepal
18	Ms. Bandana Aryal	National Project Coordinator of SGSCs project	ILO Nepal	Nepal
19	Ms. Pramodini Weerasekera	Senior Programme Assistant	ILO Sri Lanka	Sri Lanka
<b>Trade Unions/ Workers</b>				
Sr No.	Name	Designation	Organisation	Country
20	Ms Amarjeet Kaur	General Secretary	All India Trade Union Congress (AITUC)	India
21	Mr Chandrashekhar	State General Secretary, UP	All India Trade Union Congress (AITUC)	India
22	Mr. Harish Patel	Coordinator, Bareilly	AITUC UP	India
23	Mr. Bilal	Coordinator, Moradabad	AITUC UP	India
24	Mr. Chand Babu	AITUC UP member	AITUC UP	India
25	Ms. Kusum	AITUC UP member	AITUC UP	India
26	Ms Payal	AITUC UP member	AITUC UP	India
27	Ms. Vahida Nizam	Secretary	All India Trade Union Congress (AITUC)	India

28	Mr Sekar	Secretary	AITUC, TN	India
29	Mr Govindsami	Member	AITUC, TN	India
30	Ms Panchavarnam	Member	AITUC, TN	India
31	Ms Sangetha	Member	AITUC, TN	India
32	Mr Senthilkumar	Member	AITUC, TN	India
33	Ms rashim Bedi	SEWA, Guj	SEWA, Gujarat	India
34	Ms Namita	Coordinator	SEWA, Delhi	India
35	Ms Farida	Coordinator	SEWA, UP	India
36	Ms Shubhanjali	Coordinator	SEWA, UP	India
37	Ms Veena Gupta	Vice President	CITU, UP	India
38	Mr. Bidur Karki	Vice President, Focal person SGSCs Project	GEFONT	Nepal
39	Mr. Chandra Sagar Lama	Project Coordinator, SGSCs from GEFONT and chairperson of homeworkers Union	GEFONT	Nepal
40	Ms. Gyanu Kshatri	General Secretary (HUN/GEFONT)	GEFONT	Nepal
41	Ms. Man Kumari Rai	Member of Bagmati Province	GEFONT	Nepal
42	Ms. Laxmi Khadka	Secretary Bagmati Province	GEFONT	Nepal
43	Ms. Anita Tuladhar	Secretary	GEFONT	Nepal
44	Mr. Dhan Bahadur BK	Vice Chairperson, Focal person SGSCs Project	ANTUF	Nepal
45	Mr. Chandra Shekhar Adhikari	Project Coordinator, SGSCs from ANTUF	ANTUF	Nepal
46	Ms. Sangita Baniya	Member	ANTUF	Nepal
47	Mr. Rajesh Palikhe	Deputy General Secretary, Focal person SGSCs Project	NTUC	Nepal
48	Ms. Devi Lamsal	Senior vice president Home workers union	NTUC	Nepal
49	Ms. Rajkali Singh Thakuri	General Secretary, HWU	NTUC Affiliate	Nepal
50	Ms K Yogeshwari	President	Working Women's Front	Sri Lanka
51	Mr Anton Markus	Joint Secretary	Free Trade Zones & General Services Employees Union	Sri Lanka
52	Mr Wasantha Samarasinghe,	President,	Inter-company Employess UNion (ICEU)	Sri Lanka
53	Mr Palitha Athukorala	President	National Union of Seafarers of Sri Lanka, Metal and Migrant Union (Progress Union)	Sri Lanka

54	Mr Leslie Devendra	General Secretary	Sri Lanka Nidahas Sevaka Sangamaya	Sri Lanka
55	Mr Sylvester Jayakody	Secretary General	Ceylon Mercantile & Industrial & General Workers Union	Sri Lanka
56	Mr P Ranawakarachchi	Secretary General	National Trade Union Federation	Sri Lanka
57	Mr Haripriya Hettiarachchi	President	PROTECT Union	Sri Lanka

**Employers/ Employers Association/ MBOs**

Sr No.	Name	Designation	Organisation	Country
58	Mr. Raja M Shanmugham	President	Tamil Nadu Employers Organisation (TEA)	India
59	Mr S Sakthivel	Executive Secretary, Tiruppur Exporter's Association	Tamil Nadu Employers Organisation (TEA)	India
60	Ms. Sanam Shakya	Vice President	Federation of Handicraft Association of Nepal (FHAN)	Nepal
61	Ms. Rejina Shakya	Project Coordinator for SGSCs project from FHAN	Federation of Handicraft Association of Nepal (FHAN)	Nepal
62	Ms. Ramola Sthapit	Office Manager and Project Coordinator for SGSCs project from FWEAN	Federation of Woman Entrepreneurs Associations of Nepal (FWEAN)	Nepal
63	Ms. Neeru Rayamajhi Khatri	President	Federation of Woman Entrepreneurs Associations of Nepal (FWEAN)	Nepal
64	Ms. Suyesha Sthapit	Executive Director	Federation of Woman Entrepreneurs Associations of Nepal (FWEAN)	Nepal
65	Mr Vajira Ellepola	Deputy Director General	Employers' Federation of Ceylon	Sri Lanka
66	Mr Dinusha Rajaratne,	CEO	SABAH	Sri Lanka

**Government**

Sr No.	Name	Designation	Organisation	Country
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67	Mr. R. P. Gupta	Deputy Labour Commissioner	Labour Department, Government of Uttar Pradesh	India
69	Mr Rizwan	Coordinator, State Resource Cell	Labour Department, Govt. of UP	India
70	Mr. Sujan Joiju	Under Secretary, Labour Office Kathmandu	Ministry of Labour Employment and Social Security (MoLESS)	Nepal
71	Mr. Kabindra Nepal	Under Secretary	Ministry of Labour Employment and Social Security (MoLESS)	Nepal

#### Others

Sr No.	Name	Designation	Organisation	Country
72	Ms. Laxmi Bhatia	General Secretary	Women in Value Chains	India
73	Ms. Prabha Pokharel	Chairperson	Homebased Workers Concerned Society Nepal (HBWCSN)	Nepal
74	Ms. Goma Pandey	Secretary	Class Nepal	Nepal
75	Prof Premaratne	Sr Lecturer	CENWOR	Sri Lanka
76	Dr Ramanie Jayatilke	Director	CENWOR	Sri Lanka

FGDs with Beneficiaries				
1	Beneficiary Group in Gulshan Vihar	AITUC	Lucknow region, UP	India
2	Beneficiary Group in Bakarganj	AITUC	Bareilly, UP	India
3	Beneficiary Group in Moradabad	AITUC	Moradabad, UP	India
4	Beneficiary Group in Tirupur	AITUC	Tirupur, TN	India
5	Beneficiary Group in Lucknow	SEWA	Lucknow, UP	India
6	Beneficiary Group in Rajeev nagar Delhi	SEWA	Delhi	India
7	Beneficiary Group in Bareilly	SEWA	Bareilly, UP	India
8	Beneficiary Group	GEFONT	Nepal	Nepal
9	Beneficiary Group	FHAN	Nepal	Nepal
10	Beneficiary Group	ANTUF	Nepal	Nepal
11	Beneficiary Group	FWEAN	Nepal	Nepal
12	Beneficiary Group	NTUC	Nepal	Nepal

## Annexure 5: Evaluation Questions Matrix

Criteria	Evaluation questions	Method	Data Sources
Relevance (and strategic fit)	<ul style="list-style-type: none"> <li>To what extent have the objectives responded to the needs of home-based women workers and other informal economy workers?</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholder consultations</li> <li>Document reviews</li> </ul>	<ul style="list-style-type: none"> <li>Beneficiary groups</li> <li>ILO project team</li> <li>Implementing partners</li> <li>Mid-term evaluation report</li> <li>TPRs</li> <li>Any other relevant document like case studies or research</li> </ul>
	<ul style="list-style-type: none"> <li>To what extent have the objectives and design been relevant and in line with policies and priorities of the national constituents and stakeholders at the national, regional, and international levels?</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholder consultations</li> <li>Document reviews</li> </ul>	<ul style="list-style-type: none"> <li>National constituents</li> <li>ILO CO and project team</li> <li>ILO DWT SA Team</li> <li>ILO Geneva</li> <li>Mid-term evaluation report</li> <li>Event and research reports like 'working from home'</li> </ul>
	<ul style="list-style-type: none"> <li>To what extent are the objectives in line with national development frameworks, DWCP of India, Nepal and Sri Lanka, and relevant Sustainable Development Goals (SDGs)?</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholder consultations</li> <li>Document reviews</li> </ul>	<ul style="list-style-type: none"> <li>ILO CO teams</li> <li>ILO Project team</li> <li>DWCP documents of the three countries</li> <li>Mid-term evaluation report</li> <li>TPR</li> </ul>
	<ul style="list-style-type: none"> <li>To what extent have the interventions been adapted to changes due to COVID-19?</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholder consultations</li> <li>Document reviews</li> </ul>	<ul style="list-style-type: none"> <li>ILO Project team</li> <li>Implementing partners</li> <li>TPRs</li> <li>Research reports</li> </ul>
Coherence	<ul style="list-style-type: none"> <li>To what extent has the intervention supported or undermined other initiatives by governments, companies, social partners and civil society organizations in the target countries or selected sectors?</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholder consultations</li> <li>Document reviews</li> </ul>	<ul style="list-style-type: none"> <li>ILO Project team</li> <li>ILO CO Team</li> <li>Tripartite constituents and CSO partners</li> <li>TPRs or any other relevant report</li> </ul>
	<ul style="list-style-type: none"> <li>How and to what extent have stakeholders (particularly the ILO constituents) been involved in project implementation?</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholder consultations</li> </ul>	<ul style="list-style-type: none"> <li>ILO Project team</li> <li>ILO CO Team</li> </ul>

Effectiveness		- Document reviews	- Tripartite constituents and CSO partners - TPRs or any other relevant report
	<ul style="list-style-type: none"> <li>To what extent has Project achieved the planned objectives? What factors have contributed to achieving or not achieving the planned objectives?</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholder consultations</li> <li>Document reviews</li> </ul>	<ul style="list-style-type: none"> <li>Beneficiary groups</li> <li>ILO project team</li> <li>Tripartite constituents</li> <li>Implementing partners</li> <li>Mid-term evaluation report</li> <li>TPRs</li> <li>Any other relevant document like case studies or research, event reports</li> </ul>
	<ul style="list-style-type: none"> <li>In which areas (under which outputs/components) does the project have the greatest achievements? What have been the main factors and how can they be leveraged?</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholder consultations</li> <li>Document reviews</li> </ul>	<ul style="list-style-type: none"> <li>Beneficiary groups</li> <li>ILO project team</li> <li>Tripartite constituents</li> <li>Implementing partners</li> <li>Mid-term evaluation report</li> <li>TPRs</li> <li>Any other relevant document like case studies or research, event reports</li> </ul>
	<ul style="list-style-type: none"> <li>In which areas does the project have the least achievements? What have been the main constraints?</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholder consultations</li> <li>Document reviews</li> </ul>	<ul style="list-style-type: none"> <li>Beneficiary groups</li> <li>ILO project team</li> <li>Tripartite constituents</li> <li>Implementing partners</li> <li>Mid-term evaluation report</li> <li>TPRs</li> <li>Any other relevant document like case studies or research, event reports</li> </ul>
	<ul style="list-style-type: none"> <li>Are intervention strategies gender-sensitive?</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholder consultations</li> <li>Document reviews</li> </ul>	<ul style="list-style-type: none"> <li>Beneficiary groups</li> <li>ILO project team</li> <li>Tripartite constituents</li> <li>Implementing partners</li> <li>TPRs</li> <li>Any other relevant document like case studies or</li> </ul>



			research, event reports
	<ul style="list-style-type: none"> <li>To what extent has the outputs been satisfactory?</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholder consultations</li> <li>Document reviews</li> </ul>	<ul style="list-style-type: none"> <li>Beneficiary groups</li> <li>ILO project team</li> <li>Tripartite constituents</li> <li>Implementing partners</li> <li>TPRs</li> <li>Any other relevant document like case studies or research, event reports</li> </ul>
	<ul style="list-style-type: none"> <li>To what extent has the outputs been transformed into outcomes?</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholder consultations</li> <li>Document reviews</li> </ul>	<ul style="list-style-type: none"> <li>ILO project team</li> <li>Tripartite constituents</li> <li>Implementing partners</li> <li>TPRs</li> </ul>
	<ul style="list-style-type: none"> <li>Have there been multiplier effects that can be identified?</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholder consultations</li> <li>Document reviews</li> </ul>	<ul style="list-style-type: none"> <li>ILO project team</li> <li>Tripartite constituents</li> <li>Implementing partners</li> <li>TPRs</li> </ul>
	<ul style="list-style-type: none"> <li>To what extent have the project management arrangement and governance contributed to achieving the planned objectives? What factors have contributed to achieving or not achieving the planned objectives?</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholder consultations</li> <li>Document reviews</li> </ul>	<ul style="list-style-type: none"> <li>ILO CO Teams</li> <li>ILO project team</li> <li>Tripartite constituents</li> <li>Implementing partners</li> <li>TPRs</li> </ul>
	<ul style="list-style-type: none"> <li>To what extent has the project implementation instill ownership of the interventions among the tripartite constituents, other relevant stakeholders, and partners?</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholder consultations</li> <li>Document reviews</li> </ul>	<ul style="list-style-type: none"> <li>ILO project team</li> <li>Tripartite constituents</li> <li>TPRs</li> </ul>
Efficiency	<ul style="list-style-type: none"> <li>To what extent has the project been implemented in an efficient and timely way?</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholder consultations</li> <li>Document reviews</li> </ul>	<ul style="list-style-type: none"> <li>ILO CO Teams</li> <li>ILO project team</li> <li>TPRs</li> <li>Financial reports</li> </ul>
	<ul style="list-style-type: none"> <li>To what extent has result-based management been applied and practiced in the project implementation?</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholder consultations</li> <li>Document</li> </ul>	<ul style="list-style-type: none"> <li>ILO project team</li> <li>TPRs</li> <li>Mid-term evaluation report</li> </ul>

		reviews	
	<ul style="list-style-type: none"> <li>To what extent has data on direct and indirect beneficiaries are made available through the project monitoring tools and mechanism?</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholder consultations</li> <li>Document reviews</li> </ul>	<ul style="list-style-type: none"> <li>ILO project team</li> <li>Implementing partners</li> <li>TPRs</li> <li>Mid-term evaluation report</li> </ul>
	<ul style="list-style-type: none"> <li>Have resources (funds, human resources, time, expertise etc.) been allocated strategically to achieve outcomes?</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholder consultations</li> <li>Document reviews</li> </ul>	<ul style="list-style-type: none"> <li>ILO CO Teams</li> <li>ILO project team</li> <li>TPRs</li> <li>Financial reports</li> </ul>
	<ul style="list-style-type: none"> <li>To what extent have the project implementation are inline with the work plan?</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholder consultations</li> <li>Document reviews</li> </ul>	<ul style="list-style-type: none"> <li>ILO project team</li> <li>TPRs</li> <li>Work plans</li> </ul>
	<ul style="list-style-type: none"> <li>To what extent has the project been able to leverage resources through collaboration and synergies with other ILO initiatives at national, regional levels or industry sector?</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholder consultations</li> <li>Document reviews</li> </ul>	<ul style="list-style-type: none"> <li>ILO H.Q., DWT and CO</li> <li>ILO project team</li> <li>Constituents especially employers and government</li> <li>TPRs</li> </ul>
Impact	<ul style="list-style-type: none"> <li>To what extent has the project interventions contributed to effective implementation of policies and practices to promote decent work for home-based women and informal workers in selected supply chains?</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholder consultations</li> <li>Document reviews</li> </ul>	<ul style="list-style-type: none"> <li>Beneficiary groups</li> <li>ILO project team</li> <li>Tripartite constituents</li> <li>Implementing partners</li> <li>Mid-term evaluation report</li> <li>TPRs</li> <li>Any other relevant document like case studies or research, event reports</li> </ul>
	<ul style="list-style-type: none"> <li>To what extent has the project interventions contributed to the broader development changes as referred to in national development frameworks, DWCP, country objectives in the ILO Programme and Budget, the ILO Decent Work Agenda, and relevant ILO standards?</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholder consultations</li> <li>Document reviews</li> </ul>	<ul style="list-style-type: none"> <li>ILO H.Q., DWT and CO</li> <li>ILO project team</li> <li>TPRs</li> <li>Relevant ILO reports</li> </ul>
Sustainability	<ul style="list-style-type: none"> <li>How likely are project achievements going to be sustainable?</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholder consultations</li> </ul>	<ul style="list-style-type: none"> <li>Beneficiary groups</li> <li>ILO project team</li> </ul>

		- Document reviews	- Tripartite constituents - Implementing partners - Mid-term evaluation report - TPRs
	• To what extent the project has contributed to building capacity of relevant stakeholders to sustain the work on enabling decent work for homebased and informal workers in supply chains?	- Stakeholder consultations - Document reviews	- Beneficiary groups - ILO project team - Tripartite constituents - Implementing partners - Mid-term evaluation report - TPRs
	• To what extent are sustainability considerations considered in the design and implementation of project activities?	- Stakeholder consultations - Document reviews	- Beneficiary groups - ILO project team - Tripartite constituents - Implementing partners - Mid-term evaluation report - TPRs - Prodoc
	• To what extent national partners have mainstreamed the project activities to ensure sustainability of achievement beyond the project duration?	- Stakeholder consultations - Document reviews	- ILO project team - Implementing partners - Mid-term evaluation report - TPRs
	• To what extent has the project exit strategy been operational and effective?	- Stakeholder consultations - Document reviews	- ILO project team - Implementing partners - Mid-term evaluation report - TPRs
Cross cutting issues	• To what extent have gender equality, non-discrimination and disability inclusion been successfully mainstreamed in the project implementation and outputs?	- Stakeholder consultations - Document reviews	- ILO project team - Implementing partners - Mid-term evaluation report - TPRs