International Labour Organization

A self-assessment method for social dialogue institutions

SAM-SDI

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▶ Acknowledgements

▶ Foreword

This self-assessment method for social dialogue institutions has been developed by the International Labour Organization (ILO) in response to requests from member States for support to strengthen their national social dialogue institutions (SDIs). The method guides the social dialogue actors through a process to analyse the inclusiveness and effectiveness of their social dialogue institution, on the basis of which they can devise and implement an action plan to strengthen it.

The importance of social dialogue and tripartism to the mandate, structure and functioning of the ILO cannot be over-stated. The ILO is founded on the principle of tripartism, which involves cooperation through dialogue between governments, employers' and workers' organizations, on an equal footing and as independent partners, in all matters pertaining to the world of work. Social dialogue, based on respect for freedom of association and the effective recognition of the right to collective bargaining, has a crucial role in designing policies to promote social justice. It is a means to achieve social and economic progress. Social dialogue and tripartism are essential for democracy and good governance.[1]

Social dialogue institutions have a key role to play in the United Nations (UN) 2030 Agenda for Sustainable Development, including in the achievement of Sustainable Development Goal (SDG) 16, which promotes peaceful and inclusive societies for sustainable development, access to justice for all and *effective, accountable and inclusive institutions at all levels* (emphasis added). Target 16.7 is to ensure responsive, inclusive, participatory and representative decision-making at all levels. Social dialogue is also an essential component of SDG 8 to promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all, as well as of SDG 5 on the achievement of gender equality.

In this context, the ILO has developed the present self-assessment method[2] through a collaborative and inclusive process, involving government, employer and worker representatives of SDIs in several countries, working with ILO officials drawn from a wide range of departments, including GOVERNANCE, ACT/EMP and ACTRAV, and field offices.[3] The project was supported by the Government of Sweden (Sida). The process of development of the SAM-SDI included two workshops organized in collaboration with the ITCILO in April and October 2019, "reality checks" of an early version of the method with members and secretariat staff of SDIs in Eswatini, India (Tamil Nadu) and Ireland in the summer of 2019, and an internal validation workshop held in Geneva in March 2020.[4]

We would like to take this opportunity to express our sincere thanks to all the individuals and institutions that have contributed their time, energy and expertise to the project so far. The SAM-SDI remains work-in-progress. This first edition of the method will be rolled out and tested in or with a number of social dialogue institutions in 2021. Strong social dialogue institutions are expected to become more essential than ever as countries around the globe grapple with the social and economic consequences of the COVID-19 pandemic and seek to put in place and implement sustainable recovery plans. It is hoped that the lessons learned through the

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[1] ILO (2018a). *Conclusions concerning the second recurrent discussion on social dialogue and tripartism*, International Labour Conference, 107th Session, Geneva, p.1.

[2] The SAM-SDI builds on ILO (2013a). *National tripartite social dialogue: An ILO guide for improved governance*, Geneva. This publication provides guidance on establishing and reinforcing institutional frameworks or mechanisms for tripartite social dialogue at the national level.

[3] See the acknowledgements for the full list of persons and institutions involved in the development of the SAM-SDI.

[4] The government, employer and worker representatives of SDIs (members of the task team) had been invited to submit their comments on the final draft prior to the validation workshop but did not participate in person.

application of the SAM-SDI will be used to improve the method in a future edition, as well as to determine the need among ILO constituents and SDIs for any complementary products or tools. We look forward to receiving feedback on the SAM-SDI from its users.

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Director, Governance and Tripartism Department

International Labour Organization

Geneva, June 2021

▶ Acronyms

ACT/EMP	Bureau for Employers' Activities, ILO
ACTRAV	Bureau for Workers' Activities, ILO
AICESIS	International Association of Economic and Social Councils and Similar Institutions
CEACR	Committee of Experts on the Application of Conventions and Recommendations
CFA	Committee on Freedom of Association
CSO	civil society organization
DIALOGUE	Social Dialogue and Tripartism Unit, ILO
ILC	International Labour Conference
ILO	International Labour Organization/International Labour Office
IOE	International Organisation of Employers
ITCILO	International Training Centre of the ILO, Turin
ITUC	International Trade Union Confederation
LDR	labour dispute prevention and resolution
M & E	monitoring and evaluation
MGA	Mutual Gains Approach
NATLEX	ILO database of national labour, social security and related human rights legislation
NGO	non-governmental organization
NORMLEX	ILO information system on international labour standards
SAM-SDI	self-assessment method for social dialogue institutions
SDG	Sustainable Development Goal
SDI	social dialogue institution
Sida	Swedish International Development Cooperation Agency
SWOT	strengths, weaknesses, opportunities, threats
ToC	Theory of Change
UN	United Nations

▶ Contents

▶ **List of figures**

▶ Icons used in the SAM-SDI

To help users navigate the SAM-SDI, icons are used as explanatory devices throughout the method.

Icon	Category	Description
	Guiding questions	To facilitate group discussions*
	Definitions	Definitions or explanations of concepts
	Activities	To facilitate participatory and productive work*
	Examples	To illustrate different aspects of the SAM-SDI
	Templates	To organize and record the results of the work*

* A separate package of interactive templates is available for users of the electronic version of the SAM-SDI. The templates allow the results of the self-assessment to be recorded electronically on a continuous basis. The templates included in the body of the document cannot be used in this way.

Introduction

Contents

▶ Introduction

▶ Why did the ILO develop the self-assessment method for social dialogue institutions (the SAM-SDI)?

In 2019, the International Labour Conference (ILC) reaffirmed the central importance of social dialogue in its Centenary Declaration for the Future of Work. The Declaration states that social dialogue, including collective bargaining and tripartite cooperation, provides an essential foundation of all ILO action and contributes to successful policy and decision-making in its member States.[5] It calls for the use of "strong, influential and inclusive mechanisms of social dialogue" to address all fundamental principles and rights at work.[6] Faced with the rapid and profound transformations currently affecting the world of work, inclusive and effective social dialogue is now more necessary than ever. Social dialogue empowers governments and the social partners[7] to be drivers of change and strong advocates for solutions to address the many challenges and opportunities they are facing.

The majority of the 187 member States of the ILO have SDIs with general competence.[8] Many have additional, specialized social dialogue mechanisms dealing with specific issues, such as employment, social security, wage-setting or ILO-related matters.[9] The mandate, composition, functioning, technical capacities and influence of these institutions vary widely. In some countries, they continue to demonstrate their value in influencing the direction of social and economic policy, including in the context of the COVID-19-induced crisis of 2020-21.[10] However, in others, they have been side-lined, thus undermining the trust of the social partners and threatening the sustainability of policy reforms.[11] There is, therefore, a pressing need to enhance the role, capacity and influence of many of these institutions.[12]

This need was recognized in the Conclusions concerning social dialogue and tripartism adopted by the International Labour Conference in 2018. In those Conclusions, the Conference calls upon the ILO to build the capacity of its constituents and social dialogue institutions to "enhance

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[5] ILO (2019a). *ILO Centenary Declaration for the Future of Work*, International Labour Conference, 108th Session, Geneva. para. II.B.

[6] ILO (2019a). para. IV.C.(iii).

[7] The term "social partners" refers to representative organizations of employers and of workers.

[8] Around 85 per cent of countries have an SDI with general competence. ILO (2018b). *Social dialogue and tripartism*, Report VI, International Labour Conference, 107th Session, Geneva. para. 57.

[9] The Tripartite Consultation (International Labour Standards) Convention, 1976 (No. 144), ratified by 153 member States as of September 2020, requires countries to operate procedures which ensure effective tripartite consultations with respect to specific matters regarding the activities of the ILO.

[10] ILO (2013b). *Social dialogue*, Report VI, International Labour Conference, 102nd Session, Geneva; and ILO (2020a). "The need for social dialogue in addressing the COVID-19 crisis", Geneva.

[11] See, for example, ILO (2020b). "Peak-level social dialogue as a governance tool during the COVID-19 pandemic: Global and regional trends and policy issues", Geneva.

[12] The ILO policy framework for tackling the economic and social impact of the COVID-19 crisis acknowledges the critical role of social dialogue. Pillar 4 of the framework, entitled "Relying on social dialogue for solutions", calls for the strengthening of social dialogue, collective bargaining and labour relations institutions and processes.

the effectiveness and inclusiveness of mechanisms and institutions for national tripartite social dialogue between governments and the social partners, including in relation to areas pertaining to the future of work and the SDGs" as well as to "seek to achieve equal representation of women and men in social dialogue institutions at the national and international levels".[13]

It is in this context that the ILO, with the support of the Government of Sweden (Sida), embarked on the development of the SAM-SDI in partnership with representatives of social dialogue institutions and experts from around the world.

▶ What is the SAM-SDI?

The SAM-SDI is a tool to enable the members of a social dialogue institution (SDI) to undertake an in-depth self-assessment of their institution and devise an action plan to enhance its inclusiveness and effectiveness. It guides users through a series of steps, with the aim to identify and understand the factors that influence the institution's inclusiveness and effectiveness, on the basis of which they draw up an action plan to address any identified weaknesses and build on the strengths.

> ### ▶ What is social dialogue?
>
> Social dialogue refers to all types of negotiation, consultation or information-sharing among representatives of governments, employers and workers, or between those of employers and workers, on issues of common interest relating to economic and social policy.[14]

The SAM-SDI is called a "method" because the assessment process follows a series of interlinked steps, rather than comprising stand-alone modules or sections which can be applied independently of each other. The SAM-SDI follows a logical sequence from beginning to end, which should normally be applied in its entirety. However, within each step, there is flexibility for the SDI to adapt the method to its particular situation. In addition, each SDI may determine a timeframe for undertaking the self-assessment in light of its preferences, resource availability or other pertinent factors.

The SAM-SDI is designed for use by the members of an SDI and its secretariat to assess their own institution; it is not a tool for an external assessment or evaluation of an SDI by a third party, such as an independent consultant or academic. However, as applying the SAM-SDI (for the first time, at least) may prove quite challenging in light of the different steps and assessment techniques involved, it may be helpful for the SDI to call on the services of a neutral facilitator to guide it through the exercise. The ILO field offices or headquarters may be requested to provide such facilitation.[15]

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[13] ILO (2018a). para. 5(d) and (i).

[14] ILO (2013a), op.cit., para. 15.

[15] For further guidance on the use of a facilitator for the SAM-SDI, refer to Step 0, section 2.1.

▶ Why should a social dialogue institution undertake a self-assessment?

The ultimate goal of the SAM-SDI is to enable countries to achieve more socially just and economically sustainable policy outcomes by strengthening the contribution of social dialogue institutions to national policy-making processes. Evidence shows that policies developed through social dialogue, with the engagement of representative organizations of employers and workers alongside governments, deliver better, fairer and more sustainable outcomes than those conceived unilaterally by the government or imposed by an international institution without proper consultation with the concerned domestic actors.[16]

By undertaking and acting on the results of the self-assessment, the SDI should be able to enhance its inclusiveness and effectiveness. This will, in turn, increase the institution's public legitimacy, reputation and impact, thereby demonstrating its value to the government, the social partners and the public at large.

The process of applying the SAM-SDI will itself benefit the institution, by helping to foster an internal working culture that favours frank and open conversations based on mutual respect.

▶ Which social dialogue institutions can apply the SAM-SDI?

Social dialogue happens in different ways and at various levels, from the local to the international level. It may occur in formal institutional settings or through relatively informal mechanisms. The SAM-SDI is targeted mainly at tripartite social dialogue institutions operating at the national or state/provincial levels, which have a broad mandate in economic and social policy.[17] The method is nonetheless suitable for application by social dialogue institutions of differing size, composition, mandate and resource availability. It is necessary for the SDI to have been operating for several years and to have acquired some practical experience upon which the assessment can be based; it is not appropriate for use by newly-established institutions which are in the very early stages of development.[18]

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[16] See, for example, Fraile (2010). *Blunting neoliberalism: Tripartism and economic reforms in the developing world*, ILO and Palgrave Macmillan; Papadakis, K. and Y. Ghellab (eds.) (2014). *The governance of policy reforms in southern Europe and Ireland: Social dialogue actors and institutions in times of crisis*, ILO, Geneva; and Guardiancich, I. and O. Molina (eds.) (2017). *Talking through the crisis: Social dialogue and industrial relations trends in selected EU countries*, ILO, Geneva.

[17] The SAM-SDI is not intended for use by bipartite structures or mechanisms set up specifically for collective bargaining purposes.

[18] The SAM-SDI may nonetheless provide food for thought for a new institution when considering how best to accomplish its mandate.

▶ Key definitions

Tripartism is the model of labour market governance on which the ILO is founded and which it promotes through all its work. Tripartism refers to the interaction between governments, employers and workers (through their representatives) as equal and independent partners to seek joint solutions to issues of common concern. Tripartism is embedded in the ILO Constitution and reflected in the tripartite composition of its governance bodies (the International Labour Conference (ILC) and the Governing Body). Tripartism requires the views of each constituency to be given equal consideration in any forum and recognizes the distinct role and contribution of each party.

A **tripartite social dialogue institution** includes representatives of the ILO's three constituent groups (governments, employers' and workers' organizations).[19]

The ILO also promotes **bipartism** for sound and harmonious labour relations at various levels. Bipartism refers to the interaction between employers or their representative organizations and workers' organizations, without the involvement of the government.[20] [21] A **bipartite social dialogue institution** includes representatives of employers and of workers.

Some countries have chosen to establish institutions or mechanisms for broader dialogue (also known as civil dialogue) which involve, in addition to government and the representative employers' and workers' organizations, other actors representing specific interests and/or independent experts.[22] A resolution concerning tripartism and social dialogue, adopted by the ILC at its 90th Session in 2002, sheds light on the relationship between the social partners and civil society organizations. It emphasizes that "the social partners are open to dialogue and that they work in the field with NGOs that share the same values and objectives and pursue them in a constructive manner". The Resolution goes on to recognize that "forms of dialogue other than social dialogue are most useful when all parties respect the respective roles and responsibilities of others, particularly concerning questions of representation".

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[19] Many countries in all regions have established national tripartite social dialogue institutions: for example, the High Labour Council in Chile, the Economic and Social Council in Croatia, the Council of Economic and Social Agreement in the Czech Republic, the Indian Labour Conference, the Labour Advisory Board in Uganda and the National Council for Social Dialogue in Tunisia, to name just a few.

[20] Collective bargaining, a form of bipartite social dialogue, is defined in the Collective Bargaining Convention, 1981 (No. 154). See the glossary of terms in Annex 1 for the definition.

[21] Bipartite social dialogue may in some instances involve representatives of the government, where the State is the employer, and of public sector workers, for example in health or education.

[22] For example, participants in the Economic, Social and Labour Council of the Republic of Korea include representatives of youth, women, non-regular workers and small and medium-sized enterprises alongside the main tripartite constituencies; the National Economic Development and Labour Council (NEDLAC) of South Africa includes representatives of Business, Labour, Government and a Community constituency; membership of the Social and Economic Council (SER) of the Netherlands encompasses the social partners and independent (or "Crown") members – whose role is to protect the general good - on an equal footing; and the National Economic and Social Council (NESC) of Ireland comprises representatives of business and employers' organizations, trade unions, agricultural and farming organizations, community and voluntary organizations and environmental organizations, as well as heads of Government departments and independent experts.

▶ Conceptual framework of the SAM-SDI

1.   Preconditions for effective social dialogue

The ILO has identified four preconditions for effective social dialogue:

▶ respect for fundamental rights and freedoms, including freedom of association and the effective recognition of the right to collective bargaining;

▶ independent, strong and representative employers' and workers' organizations;

▶ the political will and commitment of all parties to engage in good faith dialogue;

▶ an enabling legal and institutional framework.

Unless and until these preconditions are in place, any social dialogue institution will struggle to function effectively. These principles are therefore fundamental to the SAM-SDI and should be kept in mind throughout the assessment process.

2.   ILO standards relating to social dialogue

Of particular importance for social dialogue are the Freedom of Association and Protection of the Right to Organise Convention, 1948 (No. 87) and the Right to Organise and Collective Bargaining Convention, 1949 (No. 98), both of which are fundamental, or human rights, Conventions. Most ILO standards call for the involvement of the social partners in their implementation, and usually require consultation with the most representative organizations of employers and workers at the national level. A number of standards focus specifically on tripartite social dialogue, in particular the Tripartite Consultation (International Labour Standards) Convention, 1976 (No. 144), its accompanying Tripartite Consultation (Activities of the International Labour Organisation) Recommendation, 1976 (No. 152), and the Consultation (Industrial and National Levels) Recommendation, 1960 (No. 113).[23]

3.   Understanding the role of tripartite social dialogue in policy-making

Policy-making typically involves a series of steps:

▶ agenda-setting (selecting the policy priorities requiring attention);

▶ policy formulation (consideration of alternative policy responses);

▶ decision-making (selection of the preferred policy option);

▶ policy implementation (putting the policy into practice); and

▶ monitoring and evaluation (assessing results and impact, which may inform further adjustment of the policy).[24]

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[23] An overview of the key provisions of these and other standards of particular relevance to tripartite social dialogue can be found in Annex 2.

[24] The concept of the policy cycle was developed by Harold Lasswell in the USA in the 1950s. For further explanation, see, for example, Savard, J.-F. with the collaboration of R. Banville (2012). "Policy Cycles" in L. Côté and J.-F. Savard (eds.), *Encyclopedic Dictionary of Public Administration*,

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> ▶ **Figure 1: The policy cycle**
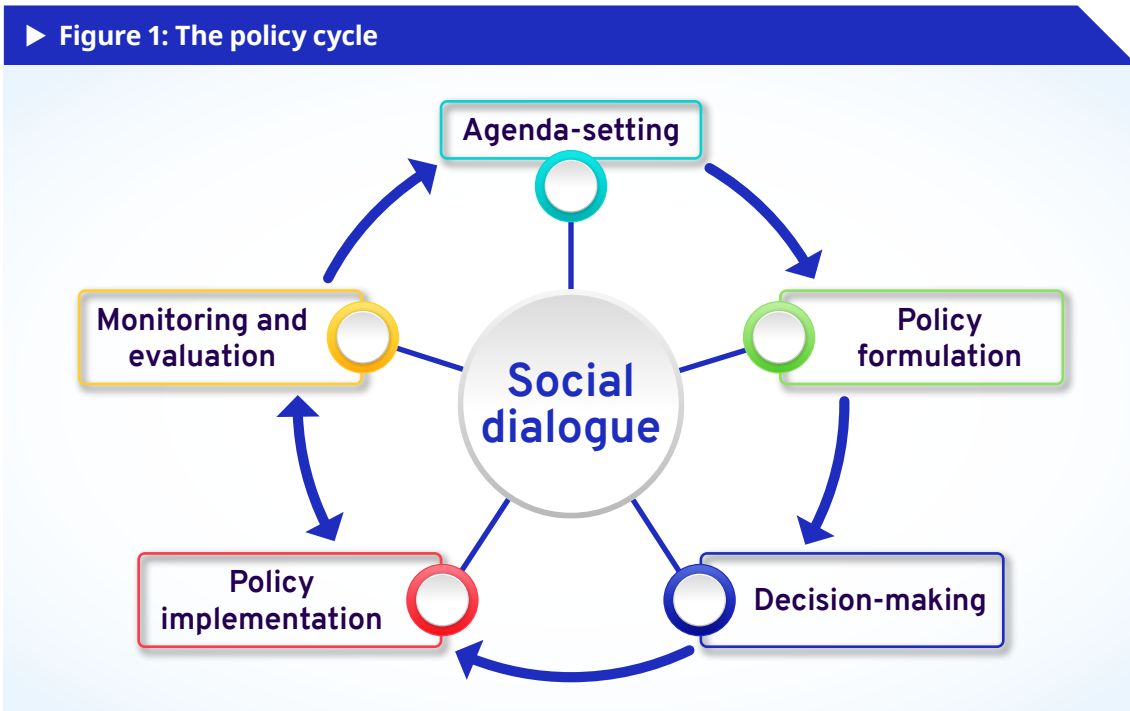
In an ideal scenario, tripartite social dialogue should occur at each step, giving the whole policy process greater legitimacy based on a process of political exchange and negotiation. In reality, however, social dialogue may occur with a greater or lesser degree of intensity, or even not at all, at the different stages. The extent and intensity of social dialogue depend on many factors, including the prevailing political, social and economic conditions, the level of trust between the social partners, the political will to engage in social dialogue and the national culture and traditions.

The role of social dialogue in policy-making differs widely between regions and countries. There is no blueprint or "one-size-fits-all" for social dialogue. The specific mechanisms or institutions in a country must correspond to national circumstances, needs and priorities. However, tripartite social dialogue institutions must *always* provide for the participation, on an equal footing,[25] of independent social partners alongside the government.

4.   A conceptual framework for understanding institutional inclusiveness and effectiveness

The assessment approach used in the SAM-SDI is based upon two key concepts: inclusiveness and effectiveness. These aspects of an SDI were highlighted by the ILC in 2018 when it called on the ILO to strengthen the capacity of social dialogue institutions.[26] While these concepts are often referred to in relation to social dialogue, neither of them is defined in any ILO instrument

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[25] The expression "equal footing" means that the voices of all three parties carry equal weight in the discussions and the views of any one party do not dominate those of the others.

[26] ILO (2018a), op. cit., para. 5(d): "enhance the effectiveness and inclusiveness of mechanisms and institutions for national tripartite social dialogue between governments and the social partners, including in relation to areas pertaining to the future of work and the SDGs".

or official document; nor are there other internationally agreed and applicable definitions on which to draw.[27]

The SAM-SDI does not propose specific definitions of inclusiveness and effectiveness.[28] Instead, in this section, it sets out:

▶ A set of *operational dimensions* of inclusiveness and effectiveness. These dimensions aim to capture the key aspects of each concept and will provide the basis for the self-assessment process.

▶ A *tentative conceptual framework*. Drawing on the academic literature, the framework aims to help build an understanding of how the concepts of inclusiveness and effectiveness relate to the performance and ultimate impact of the SDI.

1) The operational dimensions of inclusiveness and effectiveness

As the objective of the SAM-SDI is to enhance the inclusiveness and effectiveness of an SDI, it is essential first to understand, more precisely, what these concepts mean in a practical or operational sense.[29]

In the absence of ILO or other internationally agreed definitions, the approach taken in the SAM-SDI is to propose a number of "dimensions" of inclusiveness and effectiveness, which seek to capture certain important aspects of each concept. It is not claimed that all dimensions necessarily apply to each and every SDI nor that, taken together, they cover every possible aspect of an inclusive or effective institution. Nonetheless, the dimensions are derived from good practice in SDIs around the world and are believed to be relevant to most institutions.

A brief explanation of the meaning of each dimension is provided in the figures below. Further explanation is given in Step 2 (for inclusiveness) and Step 3 (for effectiveness) of the SAM-SDI.

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[27] There are, nonetheless, generic dictionary definitions. For example, inclusiveness is defined as: "the practice or policy of not excluding any person on the grounds of race, gender, religion, age, disability, etc."; and effectiveness as: "the quality of being effective", with effective defined as "successful in producing a desired or intended result".

[28] The authors do not deem it appropriate or necessary to propose such definitions in the absence of extensive consultation with ILO tripartite constituents.

[29] For a more in-depth, theoretical exploration of the concept of effectiveness in relation to SDIs, see: Guardiancich I. and O. Molina. (2020). *The effectiveness of national social dialogue institutions: From theory to evidence*. ILO, Geneva.

▶ **Figure 2: The five dimensions of institutional inclusiveness**

Inclusiveness

Membership*

The SDI includes representatives of the government and of employers' and workers' organizations, on an equal footing.

Decision-making body/ies**

The SDI's decision-making body/ies include balanced representation of its member/constituent organizations.

Gender, diversity and inclusion

The membership of the SDI includes a balanced number of women and men and reflects other aspects of the diversity in society; and gender, diversity and inclusion are addressed in the work of the SDI.

Representativeness

The SDI's member organizations are broadly representative of their respective constituencies.

Issues

The SDI addresses issues of concern to a wide spectrum of employers and workers, including excluded and marginalized categories.

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* The SAM-SDI acknowledges the existence of institutions with a broader membership, including other civil society groups or organizations; such broader dialogue goes beyond tripartite social dialogue as embodied and practised by the ILO. The SAM-SDI similarly acknowledges institutions with a narrower membership in which the government is not represented or is only indirectly represented.

** Relevant only for those SDIs which have a separate decision-making body or bodies (distinct from the plenary).

▶ **Figure 3: The five dimensions of institutional effectiveness**
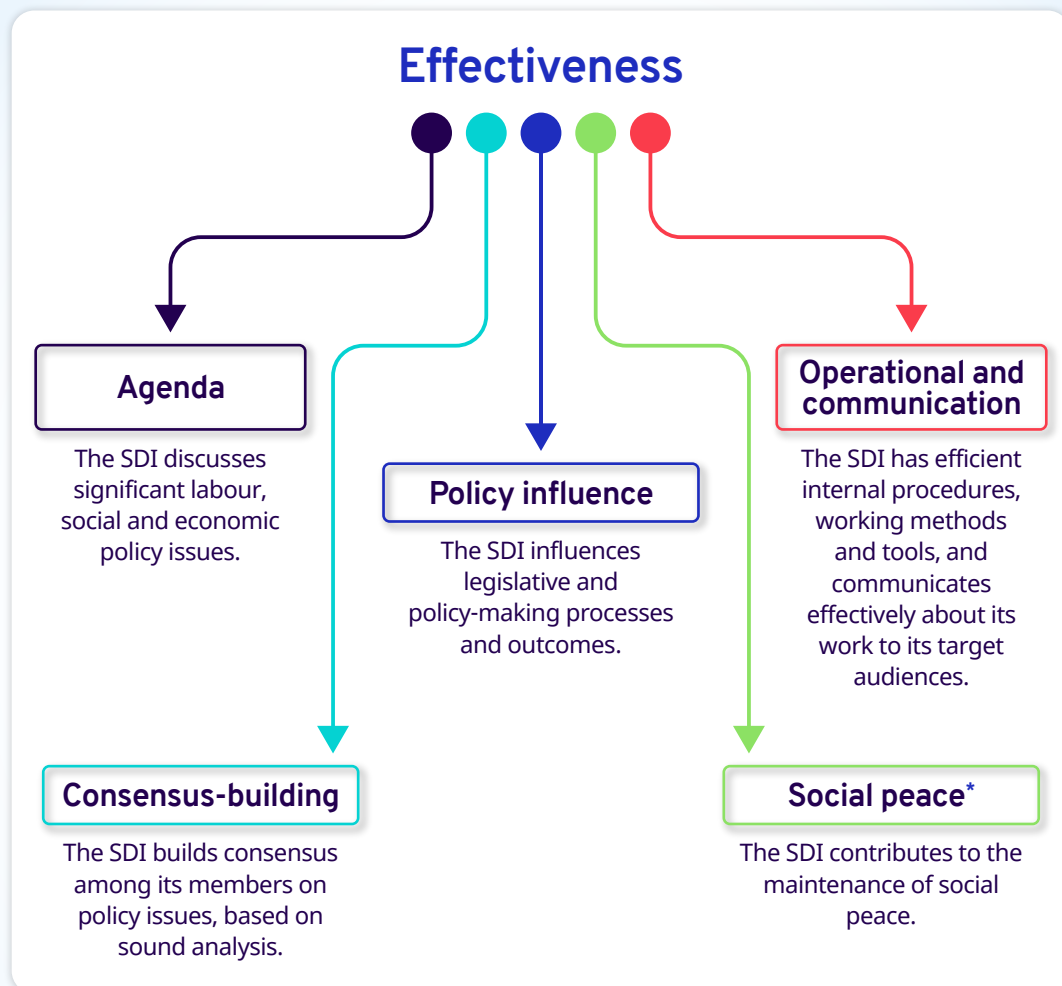
Effectiveness

Agenda

The SDI discusses significant labour, social and economic policy issues.

Policy influence

The SDI influences legislative and policy-making processes and outcomes.

Operational and communication

The SDI has efficient internal procedures, working methods and tools, and communicates effectively about its work to its target audiences.

Consensus-building

The SDI builds consensus among its members on policy issues, based on sound analysis.

Social peace*

The SDI contributes to the maintenance of social peace.

* The social peace dimension seeks to capture the role of the SDI in maintaining an overall harmonious industrial relations environment and defusing tensions between labour market actors. This dimension applies as well to those SDIs which have a specific mandate for dispute prevention and resolution. Guidance for the assessment of specialist labour dispute resolution bodies (which the SAM-SDI does not specifically target) is available in: ITCILO (2013). *Labour dispute systems: Guidelines for improved performance*, Turin.

2) A preliminary conceptual framework for the SAM-SDI[30]

Having outlined the scope of the dimensions of inclusiveness and effectiveness, it is important now to build an understanding of the relationship between, on the one hand, these key aspects of an SDI and, on the other hand, the achievement of more socially just and economically sustainable policy outcomes - which is the ultimate objective of the SAM-SDI. The basic premise underlying the SAM-SDI is that by enhancing its inclusiveness and effectiveness, the SDI will be able to increase its contribution to the achievement of that desirable policy objective.

In order to understand this relationship between the SDI and the ultimate policy objective, the notions of "input", "output" and "throughput" legitimacy are relevant. These notions have been proposed in the academic literature as normative criteria to evaluate the political legitimacy of democratic institutions.[31] While input legitimacy focuses on the "who" of decision-making, output legitimacy addresses the "what" and throughput legitimacy the "how".

Figure 4 presents the conceptual framework as a flow chart, showing how the inclusiveness and effectiveness of an SDI relate to the input, throughput and output legitimacy of social dialogue, and how these characteristics contribute to the ultimate policy impact of the institution.

▶ **Figure 4: A conceptual framework for the SAM-SDI**
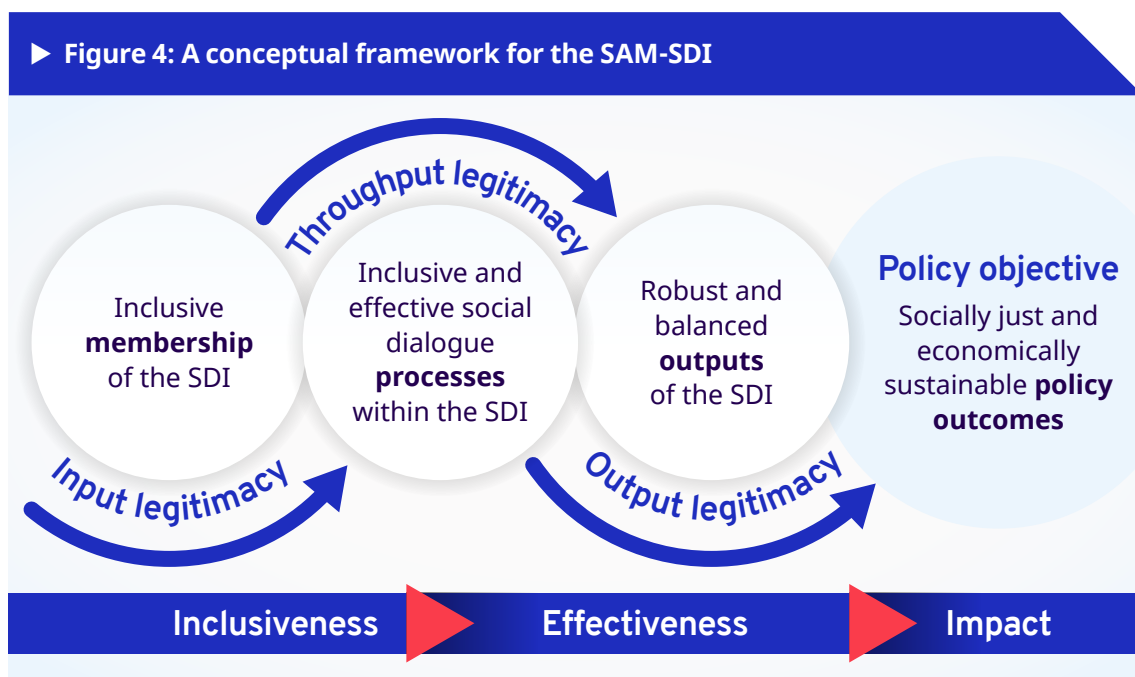
- The *input legitimacy* of social dialogue relates to the *inclusiveness* of an SDI – meaning which organizations participate in it, whether these organizations represent the voices of a broad spectrum of employers and workers, and whether they include the most appropriate government representation (the "who"). Hence, insofar as strong and representative social partners have the legitimacy to participate in social dialogue, an *inclusive* SDI increases the *input legitimacy* of social dialogue within the policy-making process.

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[30] This should be considered as a preliminary conceptual framework that may be subject to further elaboration in the future.

[31] For further discussion of these concepts in the context of democratic governance systems, see Scharpf, F. (2003). "Problem-solving effectiveness and democratic accountability in the EU", MPIfG Working Paper 03/1; and Schmidt, V.A. (2013). "Democracy and legitimacy in the European Union revisited: Input, output *and* 'throughput'", *Political Studies*, 61(1), pp. 2-22.

▶ The *throughput legitimacy* of social dialogue relates to both the *inclusiveness* and *effectiveness* of an SDI. Throughput legitimacy refers to how the inputs made by the members of the SDI are transformed, by way of its internal processes and operations, into its policy or other outputs. This concerns, for example, how the agenda is set, how the SDI organizes its work and how its members interact with each other (the "how"). If an SDI gives equal consideration to the views of each constituency through inclusive and effective internal processes, in order to produce its outputs by consensus, the *throughput legitimacy* of social dialogue is enhanced.

▶ Finally, the *output legitimacy* of social dialogue relates to the *effectiveness* of an SDI and refers to the policy or other outputs it produces (the "what"). This concerns, for example, whether the SDI's outputs are evidence-based, well presented, balanced and ultimately influence policy in the way that was intended.[32] Thus, when the policy or other outputs of an SDI meet certain predefined quality criteria and are influential in policy-making, the *output legitimacy* of social dialogue is high.

▶ A quick overview of the steps of the SAM-SDI

The SAM-SDI comprises six steps, as presented in Figure 5. Each step contains sub-steps which are illustrated in the SAM-SDI journey in Figure 6.

▶ **Figure 5: The six steps of the SAM-SDI**

Step 0
Deciding to apply the SAM-SDI

Step 1
Understanding the context

Step 2
Assessing inclusiveness

Step 3
Assessing effectiveness

Step 4
Formulating the action plan

Step 5
Implementing the action plan
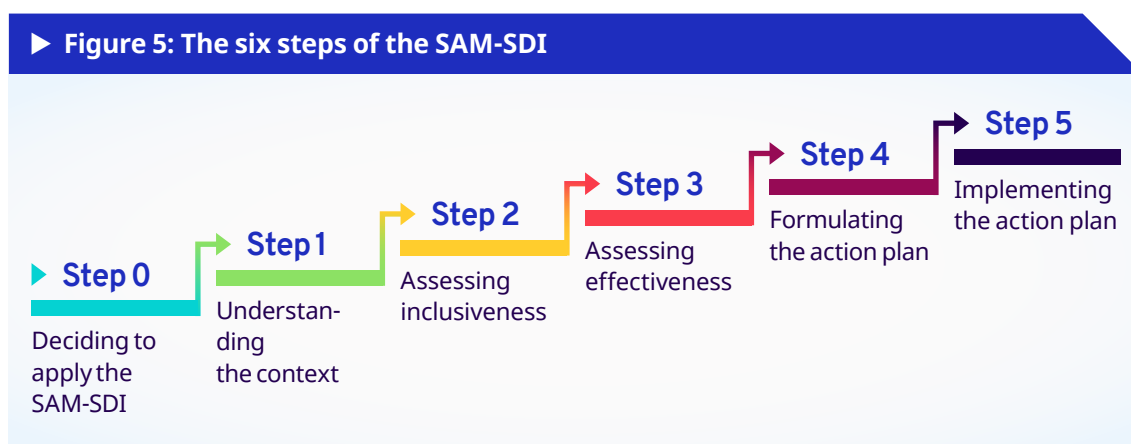
▶ Step 0: Deciding to apply the SAM-SDI and getting ready

This critical initial step involves decision-makers in the SDI, examining whether the right conditions are in place to proceed with the assessment. A "snapshot quiz" allows a quick self-assessment of the SDI as a contribution to the decision-making process. If the decision is to go ahead with the self-assessment, it is important to build the commitment of the SDI members to the process and its eventual outcome. Guidance is provided to help build an inclusive team to undertake the self-assessment and develop a work plan.

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[32] The assessment of effectiveness does not extend to the policies eventually adopted and implemented, in terms of their substance and contribution to more socially just and economically sustainable policy outcomes. This would constitute an evaluation of the SDI's impact, which is beyond the scope of the SAM-SDI.

▶ Step 1: Building an understanding of the SDI's history and context

The team undertakes a number of preliminary activities to build a shared understanding of the history and context of the SDI. These include reviewing the objectives of the SDI, constructing a timeline of key milestones in its development and mapping the wider institutional environment in which the SDI operates.

▶ Step 2: Assessing inclusiveness

The team conducts an assessment of the various dimensions of the institution's inclusiveness, based on an analysis of its strengths and weaknesses against predefined benchmarks. This assessment forms the basis for the development of a set of objectives and activities to enhance the inclusiveness of the SDI.

▶ Step 3: Assessing effectiveness

The team examines the different dimensions of institutional effectiveness. After first identifying specific results of the SDI related to each dimension, a series of guiding questions is provided to help the team build an understanding of the underlying influencing factors that contributed to those results. The team may wish to consult other leaders or members of the SDI, past or present, or external stakeholders or partners, to gain a broader perspective on the issues. Based on this assessment, the team identifies key objectives and activities to enhance the effectiveness of the SDI.

▶ Step 4: Formulating the action plan

The team produces an action plan building on the outlines of objectives and activities formulated in steps two and three. The full action plan further develops and consolidates the provisional outlines, and includes additional details such as a timeline, allocation of responsibilities, budget and a monitoring and evaluation framework. Concerned stakeholders are invited to provide feedback on the draft report and action plan, which are then finalized and disseminated.

▶ Step 5: Implementing the action plan

Step five provides tips for the effective implementation and monitoring of the action plan.

▶ **Figure 6: The SAM-SDI journey**

▶ **Step 0: Taking the decision to carry out a self-assessment and getting ready**
   1. Decide, through consensus, whether to apply the SAM-SDI
   2. Select the assessment team
   3. Devise a work plan and budget

▶ **Step 1: Building an understanding of the history and context of the SDI**
   1. Review the SDI's objectives
   2. Construct a timeline
   3. Map the institutional environment

▶ **Step 2: Assessing the inclusiveness of the SDI**
   1. Assess the five dimensions of inclusiveness using benchmarks
   2. Identify objectives and action to enhance inclusiveness

▶ **Step 3: Assessing the effectiveness of the SDI**
   1. Discuss the dimensions of effectiveness and adjust, if necessary, to the SDI
   2. Identify examples of achievements and disappointments
   3. Assess the five dimensions of effectiveness using guiding questions
   4. Identify objectives and action to enhance effectiveness

▶ **Step 4: Formulating the action plan**
   1. Develop the action plan
   2. Hold a consultation to gather feedback
   3. Finalize and disseminate the self-assessment report and action plan

▶ **Step 5: Implementing the action plan**
   1. Monitor progress
   2. Adjust implementation in light of progress

Step 0

Social dialogue institution

Step 1

Step 2

Step 3

Step 4

Step 5

More inclusive and more effective SDI

Evaluate and repeat

▶ Who is involved in each step of the SAM-SDI?

	The stakeholders involved
Step 0	The **leaders** in the SDI,[33] who take the decision to undertake the assessment, nominate members of the assessment team and allocate resources to support their work. The **assessment team,**[34] which reviews/adapts the method and prepares the work plan. The **SDI members/plenary,** who may need to review and endorse the work plan. The **government**, if not represented in the SDI, should, at a minimum, be informed/consulted or, more likely, be represented in the self-assessment team.[35]
Step 1	The **assessment team,** which undertakes an analysis of the SDI's context. The **leaders** in the SDI, who are kept informed of progress and provide guidance as necessary.
Steps 2 and 3	The **assessment team,** which assesses the SDI's inclusiveness and effectiveness. Possible involvement of other **members of the SDI** and **its secretariat,** and of **external stakeholders**, as sources of additional information and insights. The **leaders** in the SDI, who are kept informed of progress and provide guidance as necessary.
Steps 4 and 5	The **assessment team,** which produces a draft report on the assessment findings and a draft action plan. The **SDI members and secretariat, and other key stakeholders,** who review and provide feedback on the draft report and action plan. The **leaders** in the SDI, who endorse the final report and the action plan, and secure/ allocate resources for its implementation. The **government**, if not represented in the SDI, should be involved as deemed appropriate by the SDI leaders.[36] The **SDI members and secretariat,** who are involved in implementing, monitoring and evaluating the action plan.

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[33] The leaders in the SDI may be, for example, the members of the governing body, executive council, management committee, bureau or another internal governance structure. Representatives of the social partners should be involved in taking the decision in Step 0 and throughout the subsequent self-assessment process.

[34] The composition of the assessment team is discussed in Step 0.

[35] While the membership of the assessment team is at the discretion of the SDI leadership, the inclusion of a government representative is recommended. This is because the government usually provides funding for the SDI, has an interest in its effective functioning and is likely to be involved in supporting the implementation of the action plan.

[36] Again, the inclusion of a government representative is recommended.

▶ Further reading and resources

ILO (1998). *ILO Declaration on Fundamental Principles and Rights at Work and its Follow-up*, Geneva.

Adopted by the ILC in 1998, the Declaration commits all ILO member States to respect, promote and realize the fundamental principles and rights at work, whether or not they have ratified the relevant Conventions. The fundamental principles and rights at work are: freedom of association and the effective recognition of the right to collective bargaining, the elimination of forced or compulsory labour, the abolition of child labour and the elimination of discrimination in respect of employment and occupation.

ILO (2011). *Promote tripartite consultation: Ratify and apply Convention No. 144: Tripartite Consultation (International Labour Standards) Convention, 1976 (No. 144)*, Geneva.

This is a user-friendly guide to Convention No. 144 providing guidance on what it means, why it should be ratified and how to implement it in practice.

ILO (2013a). *National tripartite social dialogue: An ILO guide for improved governance*, Geneva.

This guide responds to the demand from ILO member States for technical support to establish or strengthen mechanisms for tripartite social dialogue at the policy level in line with international labour standards and good practice.

ILO (2013b). *Social dialogue*, Report VI, International Labour Conference, 102nd Session, Geneva.

This background report for the ILC's first recurrent discussion on social dialogue in 2013 sets out key concepts and definitions regarding social dialogue, provides an overview of trends, challenges and opportunities for social dialogue in a changing world, describes the ILO's action to support its constituents' needs and demands, and concludes with key observations and lessons learned.

ITCILO (2013). *Labour dispute systems: Guidelines for improved performance*, Turin.

This guide aims to assist practitioners working to establish, assess and improve systems and processes for the effective prevention and resolution of labour disputes. These processes are key to minimizing the occurrence and consequences of workplace conflict and they help strengthen social partnerships. The guide provides practical advice on the steps needed to revitalize an existing system or establish a new, independent institution, ensuring they operate efficiently and provide effective dispute resolution services.

ILO (2017). Voice matters: Consultation (Industrial and National Levels) Recommendation, 1960 (No. 113), Geneva.

This is a user-friendly guide to ILO Recommendation No. 113 on consultation at the industrial and national levels, adopted in 1960. The guide, for use by governments, employers' and workers' organizations, provides practical information to help ILO constituents apply the Recommendation – including on the meaning of consultation, its aims and scope, the different forms it may take and its various possible outcomes. The guide includes examples of good practice in consultation and cooperation, drawn from ILO member States.

ILO (2018a). *Resolution and conclusions concerning the second recurrent discussion on social dialogue and tripartism*, International Labour Conference, 107th Session, Geneva.

These conclusions adopted by the ILC in 2018 set out a framework for action on the promotion of the ILO strategic objective of social dialogue and tripartism. The framework includes guiding principles and a wide range of recommendations for action to be taken by ILO Members and the International Labour Office covering all forms and levels of social dialogue. The Governing Body of the ILO subsequently endorsed a plan of action on social dialogue and tripartism (2019-23) in March 2019.

ILO (2018b). *Social dialogue and tripartism*, Report VI, International Labour Conference, 107th Session, Geneva.

This report (the background report for the second recurrent discussion on social dialogue and tripartism at the 107th Session of the ILC) provides an overview of the global status of social dialogue in its various forms in 2018, the action taken by the ILO to respond to the needs of ILO constituents for support in this area and observations regarding the challenges and opportunities for social dialogue in a fast changing world of work.

ILO (2019a). *ILO Centenary Declaration for the Future of Work,* International Labour Conference, 108th Session, Geneva.

The ILO Centenary Declaration, adopted by the ILC in 2019, reviews the major challenges and opportunities for the future of work, ranging from technology to climate change, from demographic shifts to the need for new skills. It provides guidance for dealing with these pressing issues and a platform for cooperation between the ILO and other organizations in the international system. It is also a strong reaffirmation of the social justice mandate the ILO was given 100 years ago, and of the critical role of social dialogue and international labour standards in fulfilling that mandate.

ILO (2019b). "Our story, your story".

As the ILO celebrates its 100th anniversary, embark on a journey through its past, present and future, and learn about the factors that have shaped the ILO, including tripartism and social dialogue.

ILO. "Freedom of association: A guide for workers"

Prepared by the ILO Bureau for Workers' Activities (ACTRAV), this online guide provides an overview of the principles on freedom of association which have been established by the ILO supervisory bodies on the basis of the ILO's Constitution and its standards. It explains as well how ILO procedures and bodies can be used to secure and promote freedom of association in practice.

Online self-paced courses

ITCILO (n.d.). "Introduction to social dialogue and tripartism", International Training Centre of the ILO, Turin.

This module provides a basic understanding of social dialogue - what it is, who is involved, what the benefits are, how the ILO helps and the role played by specific ILO bodies.

ITCILO (n.d.). "Social dialogue and industrial relations. A self-guided induction course". International Training Centre of the ILO, Turin.

The objective of this self-guided induction course is to develop a basic knowledge and understanding of social dialogue, tripartism and industrial relations based on the relevant ILO standards.

ITCILO (2014). eLearning module on social dialogue, International Training Centre of the ILO, Turin.

This eLearning Module is intended to develop a basic understanding of social dialogue - what it is, who is involved, what the benefits are – and provides information on the outcomes reached by the European social partners at the cross-industry level.

Step 0: Taking the decision to carry out a self-assessment and getting ready

Contents
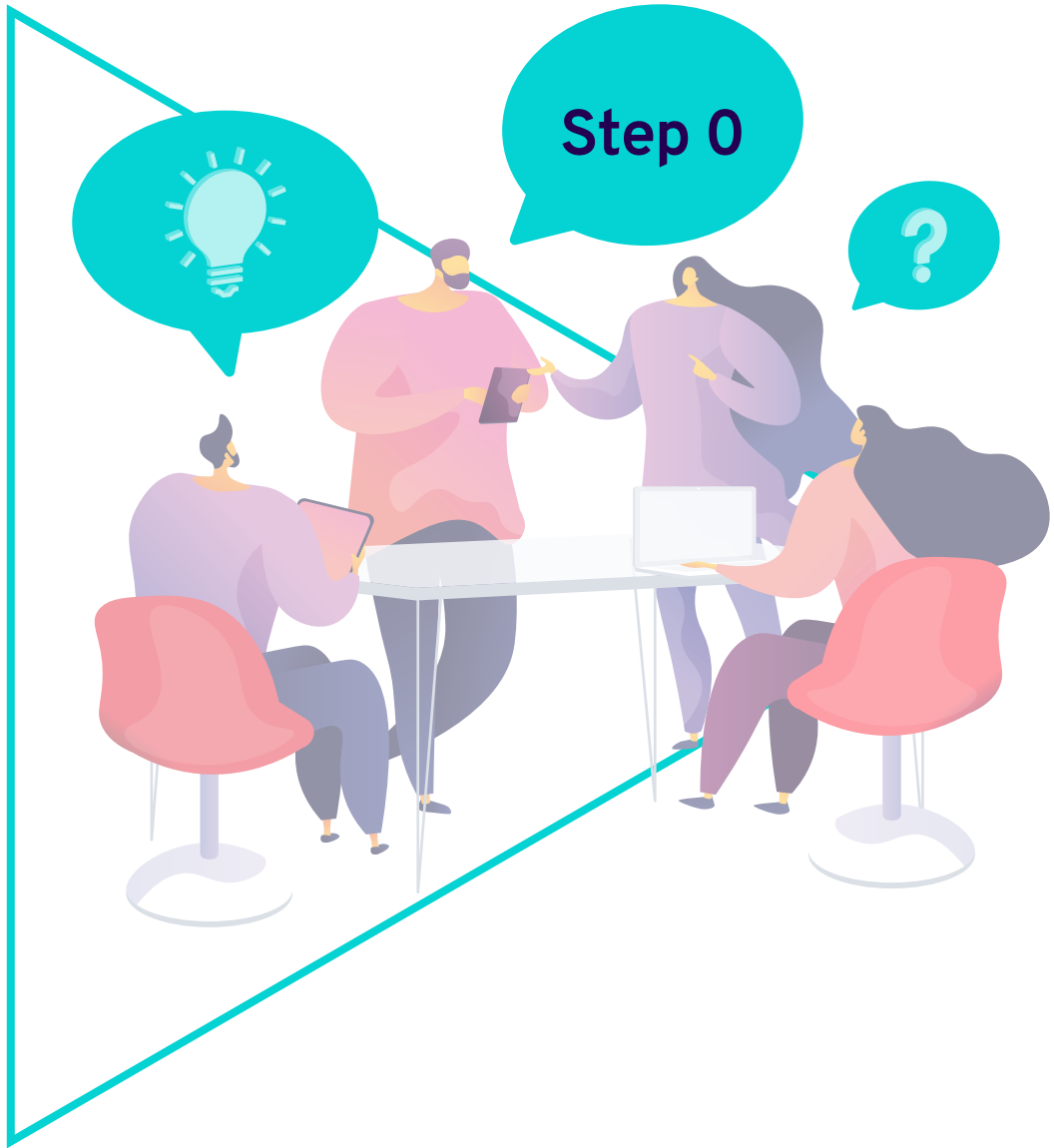
Step 0

▶ Step 0: Taking the decision to carry out a self-assessment and getting ready

The very first step is to take the decision on whether to proceed with a self-assessment and, if the decision is positive, to make the necessary preparations.

While the leaders of the SDI are responsible for taking this decision, it is also important for its broader membership and secretariat staff to be fully on board.[37] Reaching consensus, building commitment and managing expectations from the outset are key to the success of the process. The self-assessment process involves asking searching questions about the institution's strengths and weaknesses, and being ready to talk openly and honestly about them. This is not necessarily easy, but should ultimately be rewarding and productive.

▶ Objective

Step 0 has two objectives:[38]

1. A decision is taken on whether to conduct a self-assessment, based on consultations between the leaders and members of the SDI, with the support of the secretariat.
2. The SDI is ready to start the self-assessment, with an assessment team and a work plan in place, and resources allocated to support the process.

▶ Outcome

- ▶ Commitment to and ownership of the process by the SDI leaders and members.
- ▶ A shared understanding of the assessment process and its desired outcomes.
- ▶ An assessment team, work plan and the allocation of resources.

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[37] The SAM-SDI acknowledges the diversity of the structures of SDIs. Small institutions may only have a plenary body, responsible for all aspects of the SDI's management and operations. Others may have an executive board, committee or bureau comprising the leaders/representatives of the respective constituencies, which is responsible for making decisions on operational matters. Some SDIs have a secretariat with a significant number of staff, while others have a very small secretariat or none at all.

[38] The "objectives" capture the specific results to be achieved by the end of each step of the SAM-SDI, while "outcomes" refer to broader results.

▶ Process

The proposal to undertake a self-assessment may be tabled as an agenda item[39] for discussion during a plenary meeting of the institution, or may be discussed in any other manner in line with national practice. It is important not to hurry the decision process and to allow sufficient time for meaningful discussion of the potential benefits and costs of undertaking the self-assessment. Give space for each constituent group to express its views with the aim of reaching a decision by consensus. An inclusive decision-making process involving, as a minimum, representatives of the different constituencies in the SDI, will pave the way for a productive self-assessment process and outcome.

▶ Decision-making by consensus

A decision reached by consensus is the expression of the collective will of all the parties involved. Discussions continue until a decision that is acceptable to all is achieved. Decision-making by consensus helps ensure that the members of the group take responsibility for the decision and will cooperate willingly to see it through. Demonstrating respect, honesty and active listening skills will help the decision-making process reach a successful conclusion.

▶ Figure 7: Sub-steps of Step 0

1 Taking the decision to apply the SAM-SDI

2 Forming the assessment team

3 Devising a work plan and budget

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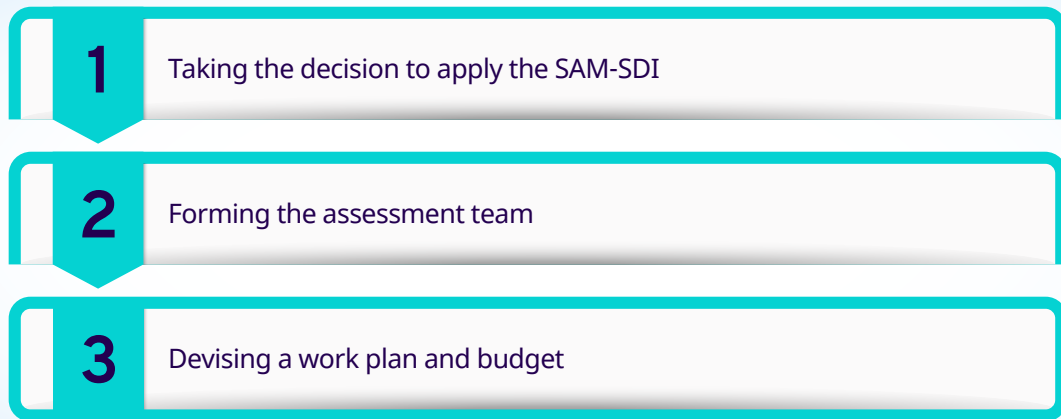
[39] Guidance on conducting regular meetings and consultations can be found in Lécuyer, N. (2013). *Guide for secretariats of national tripartite consultation bodies in English-speaking African countries.* ILO, Geneva and African Regional Labour Administration Centre (ARLAC), Harare.

▶ 1. Taking the decision to apply the SAM-SDI

1.1 Is the SDI in a position to conduct a self-assessment?

The self-assessment requires an investment of resources by the SDI, primarily the time of the members of the assessment team and of any other people involved in the exercise. It also needs certain preconditions to be in place, in particular a willingness among all the concerned parties to commit to the self-assessment and act on its findings. In this first sub-step, the SDI's leaders will consider whether the SDI *could* (in principle) undertake a self-assessment. In the next, they will decide whether the SDI *should* (in practice) apply the SAM-SDI.

Consider together the following *guiding questions*, in whatever forum(s) have been chosen to discuss the self-assessment. Record the key elements of the response.

▶ Using the guiding questions and recording discussions

Guiding questions are included throughout this method relating to the various steps and sub-steps of the SAM-SDI. These questions are proposed to help guide the discussions. The aim of these questions is not to elicit simple "yes/no" answers, but rather to stimulate discussion among the members of the decision-making team and the self-assessment team. Not all the questions need necessarily be discussed, and there is no prescribed order to follow. The team members may choose to spend longer on certain questions that are of particular interest or significance to the SDI and skip others completely, if these are of little or no relevance. The process is entirely in the hands of team members to shape in the most useful way.

It is important to record, in summary form, the main points or conclusions arising out of the discussions held at each step of the process. This can be done in a variety of ways – for example, by hand in a notebook, on flip charts or post-its, or in electronic form using a laptop or PC. The team can then refer back during the self-assessment process to this record of the outcomes of earlier conversations, and use the notes to compile the report on the self-assessment. Team members should be nominated, in due course, to be responsible for taking notes during each session of the work as well as for writing up the report.

Assessing whether the SDI is in a position to undertake a self-assessment

a. Has the SDI been operational/active during the past two to three years or longer?

▶ The SAM-SDI requires the SDI to have built up a certain amount of experience as a basis for the self-assessment. It is not designed for a newly-established SDI, or one which has been dormant or non-functional for many years. However, even in such cases, reading through the SAM-SDI may stimulate internal reflection about how to build the SDI's inclusiveness and effectiveness.

b. Does the SDI and its secretariat (where applicable) have leaders/members able and willing to invest time and energy in implementing the self-assessment? Would they receive the support and acknowledgment of their respective managers for taking on this additional responsibility?

c. Would the leaders and members of the SDI be committed to act on the outcomes of the self-assessment and implement the resulting action plan?

d. Are the SDI's members ready to confront the reality of the institution openly and honestly, including its weaknesses and limitations? Are they ready to examine the SDI objectively, putting to one side any prior preconceptions or assumptions they may have about the institution?

▶ An existing basis of trust between the SDI's members will make it easier for the team to work constructively on the self-assessment. However, the process can help build trust if it is weak at the outset. It is important to be aware that the different constituencies within the SDI may have divergent perceptions of it.

e. Is there a relatively stable political climate in which the self-assessment can be undertaken without any major risk of external disruption or interference?

If the answers to all or most of the questions above are positive, the SDI should, in principle, be in a position to undertake a self-assessment. If there are many negative responses or doubts, then perhaps now is not the right time to initiate a self-assessment, although this may be possible in the future.

1.2 Taking the decision, creating ownership and building commitment

It is now time to take the decision on whether or not to go ahead with the self-assessment, either straightaway or in the future.

Snapshot quiz on the current status of the SDI

In order to help decide whether the SDI should undertake a self-assessment, a snapshot quiz, comprising twenty questions, is proposed below. This quiz should be undertaken by a small and representative group comprising the SDI's leaders and/or other members along with some secretariat staff if so desired. The quiz can be completed electronically in the document, or manually using stickers, post-its or any other means.

The aim of the quiz is to inform the decision on whether to undertake a self-assessment, by:

▶ assessing certain key aspects of the SDI's current situation (part A), and

▶ making a preliminary subjective assessment of its inclusiveness and effectiveness (part B).

The process is as follows:

1. For each question in the quiz, discuss the issue together and record your agreed factual response (for part A) or subjective assessment (for part B).

2. Determine together whether the group members are broadly "satisfied" 😊, "dissatisfied" ☹️ or "neutral"[40] 😐 about that aspect of the SDI.

3. Record as well the key points arising from your conversation (you may use template 1 provided below to record the most important perceived strengths and weaknesses of the SDI). If the group members do not agree, the different views can be noted.

4. Address each question in this way. At the end of each part, add up the total number of the different emojis, record the totals and broadly "interpret" the results with the help of the guidance provided below template 1.

The quiz should produce a quick overview of how the group currently perceives the strengths and weaknesses of the SDI. While reaching a consensus is desirable, "agreeing to disagree" is also possible; the group should not spend too much time at this early stage trying to reach an agreed position on every single point. If the decision is taken to apply the SAM-SDI, the process will allow all these issues to be explored in much greater depth.

Snapshot quiz on the SDI's current status

Part A. Assessing key aspects of the SDI's current situation	😊 ☹️ 😐 *Choose an emoji*
a. Is the legal basis of the SDI statutory or non-statutory?	
Record your answer and evaluate your level of satisfaction (satisfied, dissatisfied or neutral) by selecting the corresponding emoji	
b. Is the competence of the SDI advisory/consultative, decision-making or a mix of both?	
Record your answer and evaluate your level of satisfaction	
c. Does the SDI operate under the auspices of a government entity (such as the Ministry of Labour or the Office of the Prime Minister) or is it independent?	
Record your answer and evaluate your level of satisfaction	
d. What are the chairing arrangements of the SDI?	
Record your answer and evaluate your level of satisfaction	
e. Does the SDI have an internal governance or decision-making structure(s) e.g. a governing body, executive board or bureau?	
Record your answer and evaluate your level of satisfaction	

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[40] The "neutral" emoji may be used for "neither satisfied nor dissatisfied", "no opinion" or "unsure".

f.	How many times, on average, has the SDI met each year in the recent past?	
	Record your answer and evaluate your level of satisfaction	
g.	Does the SDI have sub-committees or working groups (either permanent or ad hoc)? On what topics?	
	Record your answer and evaluate your level of satisfaction	
h.	Does the SDI have a secretariat? If so, how many staff? Do they have the skills and experience to support the SDI efficiently?	
	Record your answer and evaluate your level of satisfaction	
i.	What is the SDI's annual budget? What is/are the source(s) of funding? Are the funds provided in a reliable and timely manner?	
	Record your answer and evaluate your level of satisfaction	
j.	Has the country ratified ILO Conventions Nos. 87 and 98 (on freedom of association and collective bargaining) and No. 144 (on tripartite consultation)? Are the Conventions fully implemented and respected in practice?	
	Record your answer and evaluate your level of satisfaction	
k.	Does the SDI have responsibility for undertaking tripartite consultations on labour standards-related matters as required under Convention No. 144?	
	Record your answer and evaluate your level of satisfaction	
l.	Are the objectives and functions of the SDI, as stated in its founding document, still relevant and appropriate today?	
	Record your answer and evaluate your level of satisfaction	
Total for part A.		☺ = ☹ = 😐 =

Part B. Subjective assessment of the SDI's inclusiveness and effectiveness	☺ ☹ 😐 *Choose an emoji*
m. Does the SDI include representatives of the government and of employers' and workers' organizations on an equal footing?	
Record your answer and evaluate your level of satisfaction	
n. Are the SDI's member organizations broadly representative of their respective constituencies?[41]	
Record your answer and evaluate your level of satisfaction	
o. Does the SDI have an equitable balance of women and men in its membership, and reflect other aspects of diversity in society?	
Record your answer and evaluate your level of satisfaction	
p. Does the SDI discuss significant labour, social and economic policy issues?	
Record your answer and evaluate your level of satisfaction	
q. Does the SDI generally succeed in building consensus among its members on policy issues, based on sound analysis?	
Record your answer and evaluate your level of satisfaction	
r. Does the SDI influence legislative and policy-making processes and outcomes?	
Record your answer and evaluate your level of satisfaction	
s. Does the SDI contribute to the maintenance of social peace in the country?	
Record your answer and evaluate your level of satisfaction	
t. Does the SDI have efficient internal operations and communicate effectively about its work to its target audiences?	
Record your answer and evaluate your level of satisfaction	
Total for part B.	☺ = ☹ = 😐 =
Total for A. + B.	☺ = ☹ = 😐 =

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[41] "Broadly representative" means that the employers' and workers' organizations in the SDI represent the voices and interests of a wide spectrum of employers and workers in today's world of work.

Template 1: Main outcomes of discussion in the snapshot quiz		
	Key strengths of the SDI	**Key weaknesses of the SDI**
1. Current status of the SDI		
2. Inclusiveness and effectiveness of the SDI		

Interpreting the quiz results is not a scientific exercise! Review together the overall scores and check with the guidance provided below.

Interpreting the quiz results	
Evaluation	**Meaning**
Mostly 🙂	The "decision team" members appear to be satisfied with the overall situation of the SDI. There is almost certainly no need to apply the SAM-SDI in full. However, if there are 😐 some or 🙁 in part B relating to the SDI's inclusiveness or effectiveness, Steps 2 and 3 of the SAM-SDI can be used to further explore them. If the 😐 or 🙁 concern the questions in part A (which are not directly addressed by the SAM-SDI), Steps 4 and 5 may be most relevant, for the planning and implementation of action to address these issues. However, given these shortcomings or doubts related to the current status of the SDI, the institution may not be fully inclusive and effective.
Mostly 🙁	The quiz has revealed many weaknesses or limitations relating to aspects of the current status, inclusiveness and effectiveness of the SDI. It may be wise to consider implementing the SAM-SDI in full or, alternatively, to select certain areas considered to be the most important challenges to focus on in the first instance. Once some experience in applying the SAM-SDI has been acquired, other aspects may be addressed at a later stage.
Mostly 😐	This outcome reveals a high degree of neutrality or uncertainty among the members of the decision-making team regarding the situation of the SDI. Perhaps other SDI leaders/members or external stakeholders could be invited to undertake the quiz, as they may have longer institutional memories or could bring additional perspectives to bear. Depending on the outcome, it may be desirable to implement the SAM-SDI in full, or focus on certain areas perceived as being of the highest priority.
Mix of results	This result implies that the SDI is stronger in certain areas than others. Applying the SAM-SDI will help build an understanding of the factors influencing the SDI's effectiveness and inclusiveness, and of its strengths and weaknesses in this regard. It is suggested to consider applying the SAM-SDI in full or using a phased approach.

Taking and communicating the decision

At this point, it would be a good idea for some or all of the members of the decision team to quickly review the whole of the SAM-SDI so as to have a better idea of what the entire process involves. Equipped with this knowledge, a decision should now be taken by the team about whether or not to apply the method. Any outcome is valid, provided it is reached through an inclusive conversation and by consensus.

What decision was taken?

▶ Yes!

Congratulations on taking the decision to apply the SAM-SDI and securing the buy-in of the parties involved. Be sure to communicate the decision in an appropriate way to the members of the SDI and any other concerned stakeholders, so they are aware that the exercise is going ahead. It is important also to let them know that their collaboration and participation will be sought at certain points during the self-assessment process.

▶ No, not now.

Even if the decision is not to go ahead with the self-assessment, the decision process may have prompted an initial internal reflection on the effectiveness and inclusiveness of the SDI. What were the main reasons for the decision? It will be important to monitor how the situation evolves over time. The decision may be revisited in say six months or one year from now, to see whether the right conditions are in place then.

▶ 2. Forming the assessment team

Constituting a balanced assessment team that includes individuals with the required profiles and skills is crucial to the success of the exercise.

The selection process should be transparent and adapted to national circumstances. It should allow for the full involvement of the social partners and any other constituencies in the SDI, with all the parties concerned being given the opportunity to express their views and endorse the final selection of the team members. Some guidance on the composition of the assessment team is given below.

▶ Who should be in the assessment team?

▶ The team should be small but inclusive.

▶ It should include at least one representative of each constituent group who has a thorough knowledge of and work experience within the institution, and a member/s of the secretariat (if there is one).

▶ If the government is not included in the SDI, consider the potential benefits of inviting the government to nominate a representative to the team.

▶ Seek a gender-balanced team, and also consider other dimensions of diversity, such as age, ethnicity, professional background and regional distribution.

▶ Team members should enjoy a sufficient level of seniority to be able to act with authority.

▶ Look for persons who enjoy the trust of the SDI membership, its leaders and partners.

▶ Prepare a list of alternates in the event that any of the team members is unavailable.

The guiding questions set out below may be useful for the decision team when considering who to include in the self-assessment team.**⁴²**

Selecting the assessment team

a. How many people in total should be in the assessment team, and how many from each constituency?

b. Who should nominate the team members and what should the process be for their endorsement? Are any special measures needed to ensure a balanced number of women and men in the assessment team?

c. What knowledge, skills and experience are needed among self-assessment team members?

Create a list of the desired attributes, which could include, for example:

▶ In-depth knowledge and experience of the operations of the SDI and/or of the social partner organizations in recent years

▶ An understanding of the broader national political, social and economic context (historical and current)

▶ Professional qualifications, for example in law, economics, development studies, political science or industrial relations

▶ Research and analytical capacity

▶ Writing skills

▶ Facilitation skills

d. What personal attributes are important?

For example:

▶ Integrity and impartiality

▶ Results- and problem-solving orientation

▶ Leadership and coordination ability

▶ Communication skills

▶ Ability to work well in a team

e. Should there be a team coordinator? If so, how should she/he be selected? Or should this be a shared responsibility?

f. Should specific responsibilities be assigned to individual team members? Should terms of reference be drawn up for the self-assessment spelling out what is expected, and be endorsed by the managers of the team members?

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⁴² It is possible that, particularly in a very small SDI, the decision-makers and the assessment team members are the same people, or that certain individuals will be involved in both decision-making and the implementation of the SAM-SDI. In other cases, the assessment team may be an entirely different group of people to those taking the decision to carry out the SAM-SDI.

g. Should team members be released from some of their existing professional responsibilities for the duration of the self-assessment?

▶ This will depend on how much time is envisaged for the exercise and how the work is scheduled. It is important for the managers of the team members to recognize the work involved in the SAM-SDI, and to ensure that it is not merely an addition to their existing workload.

Once the membership of the assessment team has been established and endorsed by the SDI leadership (along with alternates, where appropriate), its composition should be communicated to all the members of the SDI and other concerned stakeholders.

2.1 Is the support of a third-party facilitator needed?

Any process of change is likely to encounter conscious or unconscious resistance among those affected. Change gives rise to tensions and discomfort, which may be difficult for those directly involved to manage on their own. The SDI may therefore wish to consider employing a facilitator to assist in undertaking the self-assessment.

The role of a facilitator, as an impartial third party having specific facilitation skills and experience, is to create and maintain momentum, facilitate discussions, ease possible discomfort and tensions within the group, channel emotions and manage the power dynamics. A facilitator will help to bring out the knowledge and insights of the team members through the use of various activities, skills and tools, and will ensure that everyone has an equal opportunity to express themselves and contribute to the work of the team. Particularly where there may be pre-existing tensions or mistrust between team members (although not only in such situations), a skilled facilitator can increase overall efficiency, ensure that the work stays on schedule, and help to build consensus and ownership of the results of the self-assessment.

Furthermore, using the SAM-SDI may be quite challenging without the support of a facilitator who is familiar with the method and has received training on how to apply it. While every effort has been made to make the tool self-explanatory and user-friendly, it does require rather intensive and demanding work. For this reason, some SDIs may wish to approach the ILO for technical support and facilitation services for implementing the SAM-SDI.

The SAM-SDI provides, in Annex 7, a selection of activities to help create a collaborative atmosphere and generate productive discussions between the assessment team members. Links to some online tools that may be used to help plan and organize the work and for online collaboration are also included.[43]

The guiding questions set out below may be useful when considering the possibility of appointing an external facilitator for the self-assessment.

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[43] Many of these activities are available through the Compass, which is an ITCILO portal for learning, training and knowledge-sharing activities. This may provide a source of inspiration in the search for appropriate participatory methodologies, regardless of whether or not a facilitator is used.

Using a facilitator to assist in the self-assessment process

a. What are the potential pros and cons of the team undertaking the self-assessment alone, on the one hand, or using the services of a third-party facilitator, on the other?

b. Where might a suitable and impartial facilitator be found – for example, the ILO field office or headquarters, a government agency, academic institution, or a national or international consultant?

c. How should the facilitator be selected?

d. Over what period will the facilitator's services be needed and for how many days/weeks of work in total (this is linked to the work plan for the self-assessment, addressed in subsection 3 below)?

e. How much will these services cost (including fees, travel and subsistence, as necessary) and how can these resources be secured?

f. What should the facilitator's terms of reference include? Who will issue the contract? How will the facilitator's performance be monitored and constructive feedback be provided during the process?

2.2 Promoting gender equality through the SAM-SDI

The promotion of gender equality is a key aspect of social dialogue and of decent work as a whole. The implementation of the SAM-SDI offers an important opportunity for the SDI to promote gender mainstreaming and gender equality in the assessment team, throughout the self-assessment process and in the resulting action plan.

Gender mainstreaming and gender equality in the SAM-SDI

Gender mainstreaming is the process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in any area and at all levels. By explicitly addressing the concerns and experiences of women, as well as men, in the design, implementation, monitoring and evaluation of policies and programmes, the aim is to ensure that women and men benefit equally from them and that, ultimately, gender equality is achieved.[44]

There are a number of possible ways to mainstream gender and promote gender equality through the SAM-SDI. These include:

▶ Ensuring a gender-balanced assessment team.

▶ Including a specific section on gender issues in social dialogue in the assessment report.

▶ Noting and seeking to understand any differences between the perspectives of women and men throughout the self-assessment process.

▶ Incorporating additional guiding questions to address gender issues.

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[44] See ILO (n.d.). "Gender Equality Tool".

▶ Securing the involvement of specialists on gender equality at key moments or events during the self-assessment process.

▶ Using gender-neutral terminology when drafting the assessment report and action plan.

▶ Ensuring the action plan is gender-responsive and seeks to promote gender equality in all aspects of the SDI's work.

▶ Including a specific objective on gender equality in the SDI in the action plan.

▶ Devising gender-disaggregated indicators for the monitoring and evaluation (M&E) of the action plan.

Likewise, there are many possible measures that may be applied by the SDI and its members to promote gender equality in their respective organizations. These include:

▶ Seeking a gender balance in the membership and leadership of the social partner organizations and of the SDI, through quotas, preferential recruitment policies or other means.

▶ Establishing women's sections or adopting other policies to mainstream gender equality in the social partner organizations.

▶ Implementing policies to increase the number of women employed in Ministries of Labour and other government departments, including in senior management positions.

▶ Undertaking specific capacity-building programmes for women in the social partner organizations and in the government.

▶ Setting up a working group or ad hoc committee on gender equality in the SDI, tasked with addressing specific gender equality issues in the world of work.

▶ Appointing one or more gender focal points in the SDI, who should ideally be both women and men.

▶ Establishing procedures with a view to ensuring that all SDI discussions, reports and policy recommendations are gender–responsive.

▶ Adopting family-friendly measures to encourage the participation of both women and men in SDI meetings e.g. providing childcare facilities, holding all meetings during normal working hours and using venues for multiple-day events that allow participants with family responsibilities to return home overnight.

▶ Adopting a zero-tolerance policy to gender-based violence and harassment in the SDI and in the social partner organizations.[45]

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[45] The Violence and Harassment Convention, 2019 (No. 190) sets out detailed policy guidance for member states for the prevention and elimination of violence and harassment in the world of work, including but not limited to gender-based violence and harassment.

▶ 3. Devising a work plan and budget[46]

Now that the team is in place, it is time to start planning for the self-assessment. Do the team members already know each other and are they used to working together? It may be useful to organize a team-building activity at the outset to foster good relations and a team spirit, or for the people involved to meet in an informal out-of-work setting.

The first step is for the assessment team members to review the self-assessment method and develop a work plan accordingly.

The SAM-SDI does not prescribe any specific duration for the self-assessment, which will vary depending on national circumstances. The work plan for conducting the SAM-SDI will depend on several factors, including:

▶ the *resources* that are available or can be secured for the self-assessment

▶ the *scope* of the self-assessment

▶ whether the self-assessment needs to be completed within a particular *timeframe*, for example, in view of the workload of the SDI, an upcoming plenary session or internal or external budget processes.

▶ *Resources*

It is important to start by assessing the time and other resources available over the coming months, and which can realistically be allocated to the SAM-SDI. The work plan should be feasible in light of resource availability; there is no point in developing a highly ambitious work plan that cannot be implemented in practice. In the team, agree on how much time can be devoted to the SAM-SDI over what period, and whether other resources are needed to support the self-assessment through to its end. Aim to set a pace for the work that is compatible with the other responsibilities of the team members, both professional and personal.

▶ *Scope*

Is it proposed to apply the SAM-SDI in full or only to focus on certain aspects? The results of the snapshot quiz above should be helpful in this respect. An initial decision on the scope needs to be taken now, although it may later be decided to expand or reduce it in light of the experience of applying the SAM-SDI. Having reviewed the method, it is necessary to decide whether to apply the SAM-SDI in full or only to implement certain parts of it. The scope of the self-assessment will need to be discussed with and endorsed by the leaders of the SDI (if they are not part of the self-assessment team).

▶ *Timeframe*

Consider whether the SAM-SDI exercise needs to be completed within a particular timeframe in view of a deadline or any other constraint, which would lend a sense of urgency to it. Or is there relative freedom to pace the work more gradually over a longer period?

In light of the above considerations, a preliminary work plan should be prepared to guide the work over the coming days, weeks or months. The plan should be updated as implementation of the assessment progresses. It is important as well to estimate the resource requirements of implementing the SAM-SDI, and to secure these resources in advance.

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[46] Additional guidance on establishing a work plan and budget is provided in Step 4 of the SAM-SDI.

The following guiding questions may be useful when planning the work.

Devising a work plan

Resource availability

a. What material resources are currently available for the self-assessment (including meeting rooms, computers/laptops, projector, consumables like paper, pens, post-its, flip charts etc.)?

b. What costs are likely to be incurred for each step of the method e.g. fees for a facilitator, travel costs to attend meetings, hire of venue for final workshop, etc?

c. How will additional funds or other resources, if needed, be secured?

d. Are background materials and secondary sources of information accessible? See Annex 4 for a list of potentially useful information sources.

Scope of the self-assessment and planning the work

e. Is it intended to apply the SAM-SDI in full, or to focus only on certain aspects?

f. How will the work be scheduled - should it be a concentrated effort over a limited number of days/weeks, or be carried out in short "bursts" over a longer period?

g. What are the target start and end dates for each step, and for key milestones or events during the process?

h. How will the work be organized within the team? For example, should the whole team be involved throughout or should it be split into smaller groups to undertake different tasks?

i. How and by whom will the outcomes of each step of the work be recorded?

j. How, when and to whom will progress be communicated?

k. How will the process and outcomes of each step of the work be recorded?

l. How, when and to whom will progress be communicated?

▶ Further reading and resources

ILO (2009). "Social dialogue at work: Voices and choices for women and men", Geneva. As social dialogue echoes the needs and aspirations of its participants, women and men should be represented in an equal way to have their voices heard without fear of reprisal.

Briskin, L. and A. Muller (2011). *Promoting gender equality through social dialogue: Global trends and persistent obstacles*, Working Paper No. 34, Industrial and Employment Relations Department, Geneva, ILO.

This paper is part of a comparative research project with the objective of demonstrating that gender equality and social dialogue are mutually beneficial, and their promotion should go hand-in-hand. The study highlights the potential of tripartite social dialogue and collective bargaining as tools for promoting gender equality.

Seeds for Change (n.d.). "Our Resources".

A set of resources developed by Seeds for Change (a workers' cooperative) to assist collaborative working and making change, including through consensus decision-making.

Step 1: Building an understanding of the history and context of the SDI

Contents

Step 1

▶ Step 1: Building an understanding of the history and context of the SDI

This step enables the self-assessment team to develop a broader understanding of key aspects of the SDI's historical and current context. It is likely that the various team members will have different levels of knowledge and experience of the SDI. By undertaking the suggested activities, everyone should start the self-assessment process on the same page. Building a shared understanding of the past and present of the SDI will help the team project better into the future.

▶ Objective

The objective of Step 1 is that the assessment team members have established a shared understanding of the SDI's objectives, key milestones in its history and its institutional environment.

▶ Outcome

The team members have a common understanding of key aspects of the SDI, that constitutes a shared starting point for the remainder of the self-assessment process.

▶ Process

▶ **Figure 8: Sub-steps of Step 1**

1   Reviewing the objectives of the SDI

2   Constructing a timeline

3   Mapping the institutional environment
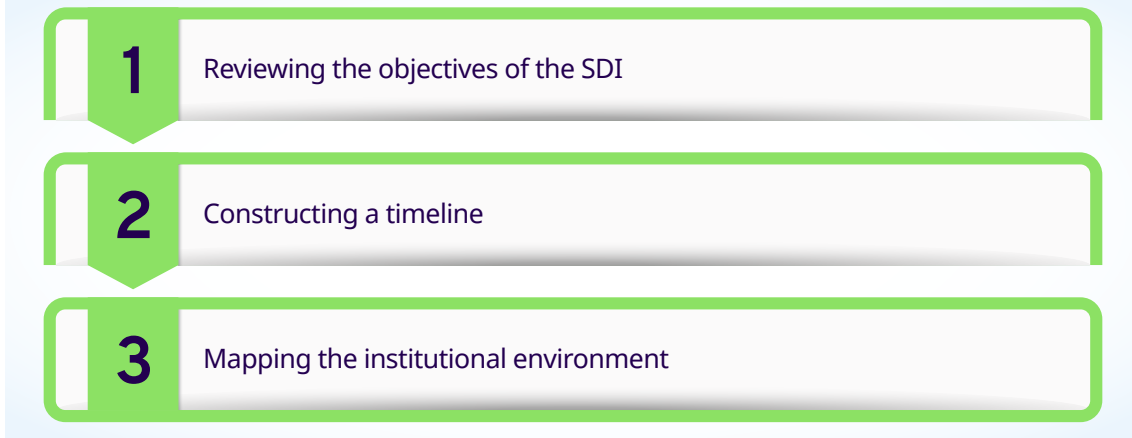
▶ 1.   Reviewing the objectives of the SDI

Starting out with a shared understanding in the team of the objectives of the SDI is important, as these will provide the backdrop for the entire self-assessment process.[47] A very basic approach to assessing effectiveness might involve simply taking each stated objective of the SDI in turn, and evaluating subjectively how well the SDI is achieving it in practice; however, that is *not* the approach followed in the SAM-SDI, which involves a more in-depth analysis.

Write down a list of the objectives of the SDI, which are normally set out in its founding statute, constitution or terms of reference. It may be helpful to keep the list visible or accessible to the team throughout the assessment.

Consider together the adequacy of the SDI's stated objectives, using the guiding questions below. You should avoid discussing whether the SDI is actually achieving the objectives.

Reviewing the SDI's objectives

a.   Is there any hierarchy, with certain objectives perceived to be of greater importance than others?

b.   Do the objectives match the current reality of the world of work in your country?

c.   Are there any missing objectives – that is, objectives that you believe the SDI ought to be pursuing, but for which it does not currently have a mandate?

d.   Are there any objectives that are no longer necessary or relevant in the current context, and should be dropped?

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[47] From this point onwards (for Steps 1, 2, 3 and 4), the text is addressed to the members of the self-assessment team who will often be referred to as "you".

Should there be any differences of opinion in the team regarding these questions, try to reach consensus through discussion. If opinions still diverge, make a note of where the differences lie. There will be other opportunities to review the objectives of the SDI, during the assessment of inclusiveness in Step 2 and effectiveness in Step 3. In Step 4, you may reflect again on the adequacy of the SDI's objectives when developing your action plan.

▶ 2. Constructing a timeline

A timeline is a visual representation of key milestones in the history and development of the SDI. The purpose of this short activity is for the team to reflect together on what have been the key milestones or events in the SDI's history that have helped to shape what it is today. This is a "warm-up" exercise which can serve as well for team-building purposes.

Determine the date on which the timeline starts. This could be the moment when the SDI was established, or may pre-date its foundation and include the events leading up to its creation. The timeline should continue at least to the present day, although you may wish to project it into the future, adding any significant events that you expect to occur over the next year or so. Plot the most significant milestones of the SDI along a straight line, indicating the date. These milestones may include significant national or international events that influenced the institution or its environment, or to which it contributed (see the box for suggestions of the types of events to plot). The timeline of the ILO is a good example of how to construct one with a considerable amount of detail.

This exercise may also be used as an opportunity to discuss any important implications to be drawn from the timeline, for example, regarding periods when the SDI has been most productive and those when it has been less so. However, as this is not a core component of the self-assessment, it is perhaps better to avoid spending too much time on it. Once developed, keep the timeline visible or accessible for future reference.

▶ **Possible events or milestones to plot on the SDI timeline**

- ▶ Adoption of legislation establishing the SDI

- ▶ Inaugural meeting of the SDI

- ▶ Labour law reforms

- ▶ Significant national political developments, such as change in government

- ▶ Significant economic or social milestones at the national, regional or international levels, such as an economic crisis or social unrest

- ▶ Key achievements of the SDI, such as the conclusion of a social pact or other agreement, publication of a major report or opinion or a major event organized by the SDI

- ▶ Periods during which the SDI did not meet or was not operational

- ▶ Reform of the mandate or composition of the SDI

▶ **3. Mapping the institutional environment of the SDI**

An institutional map is a visual representation of the various institutions that have some bearing on, or relationship with the SDI. The SDI does not exist in a vacuum, but is located within an institutional environment at the national level, and also regional and global levels. The SDI is influenced by its relationships with these various institutions, whether through positive synergies and collaboration, negative competition or conflict or perhaps benign co-existence. It is important, as part of the self-assessment process, to seek to understand the broader institutional environment and inter-relationships between the institutions, as strengthening these may represent a key means to enhance the SDI's effectiveness.

The steps described below should be followed to draw an institutional map.

1.   Identify the key institutions, organizations or mechanisms which play a role in labour, employment and social policy-making. The box provides some examples of the types of institutions that you may wish to include.

     ▶   Start by listing the relevant key institutions that exist within the country (at the national, sectoral, or local levels).

     ▶   Next, list the key institutions outside the country (for example, at the regional, inter-regional or global level).

2.   Create a visual representation or "map" of the institutional environment, placing the SDI in an appropriate place within the chart or diagram (it may be at the centre, but not necessarily). The map should include the most important institutions or mechanisms with which the SDI co-exists or interacts, and not necessarily each and every institution listed. The map could take a variety of forms - for example, a hierarchical organigram, or a Venn diagram with overlapping and free-standing circles. It does not have to be perfect. An illustrative, fictional example is presented in figure 9 overleaf. When compiling the map or chart, discuss the relationships between the SDI and the other institutions. You can draw lines between the institutions to indicate the nature and strength of these relationships or links (for example, using solid lines to show strong or direct links, and dotted lines for weak or indirect links) and you may use a different colour for each category of institution.

3.   Discuss the map in the team. Are the SDI's relationships with the other institutions complementary, competitive/conflictual or non-existent? Are there any missing links which could be established in the future, or weak links which could be strengthened to improve the SDI's effectiveness or inclusiveness? Make a note of these observations which will be useful in Steps 2 and 3 of the SAM-SDI.

4.   If you wish to dig deeper, you may go on to analyse the respective interests, impact, influence and power of the various institutions, and the nature of their linkages.[48]

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[48] To analyse the power dynamics within the institutional environment, the Power Cube method proposed by John Gaventa may be useful: see Gaventa, J. (2006). "Finding the spaces for change: A power analysis", *IDS Bulletin,* 37(6), pp. 23-33.

▶ Possible institutions to include in an institutional map

- ▶ The SDI
- ▶ Other social dialogue institutions of general competence, or with a specialized mandate
- ▶ The Ministry of Labour and other government ministries or agencies
- ▶ Parliament
- ▶ The Office of the Prime Minister or President
- ▶ Labour courts and labour dispute resolution bodies
- ▶ Inter-ministerial policy-making bodies or mechanisms
- ▶ Employers' and workers' organizations at various levels and in different sectors
- ▶ Chambers of Commerce, business organizations or major multinational enterprises
- ▶ Academic institutions and think tanks
- ▶ Non-governmental, civil society and advocacy organizations, including those representing specific interest groups, such as youth, women, migrant workers or persons with a disability
- ▶ Civil or community dialogue institutions or processes
- ▶ Media organizations
- ▶ Regional organizations, multi-country groupings or policy forums, such as the Organisation for Economic Co-operation and Development (OECD), the Southern African Development Community (SADC), the European Union (EU), Group of Seven (G7) and Group of Twenty (G20).
- ▶ International organizations, including the ILO, the World Bank, regional development banks, etc.
- ▶ The International Trade Union Confederation (ITUC) and the International Organisation of Employers (IOE)
- ▶ Regional social partner organizations
- ▶ Other partner organizations outside the national territory, such as the International Association of Economic and Social Councils and Similar Institutions (AICESIS).

▶ Figure 9: An institutional map

Office of the Prime Minister

Central Policy Coordination Unit

National parliament

Ministry of Economy, Finance and Planning

International Labour Organization

International Organization of Employers

Ministry of Labour and Employment

Women in Business Alliance

National Employers' Confederation

Tripartite Labour Advisory Council

National Workers' Confederation

National Economic and Social Council

International Trade Union Confederation

Association of informal street vendors

Environmental Alliance

Civil society dialogue mechanism

International Association of Economic and Social Councils and Similar Institutions

▶ **Social dialogue institutions/bodies**
▶ **Government**
▶ **Employers**
▶ **Workers**
▶ **Civil society**
▶ **International organizations**

—— Strong link / membership
----- Medium link / collaboration
····· Weak link / information exchange

▶ **Notes**

Step 2: Assessing the inclusiveness of the SDI

Contents

Step 2

▶ Step 2: Assessing the inclusiveness of the SDI

Step 2 of the SAM-SDI comprises an assessment of the inclusiveness of the SDI. Inclusiveness contributes to the "input legitimacy" of social dialogue.[49]

The SAM-SDI proposes five dimensions of inclusiveness as the basis for the self-assessment. In broad terms, the inclusiveness of an SDI refers to the extent to which the main actors in the world of work are represented in it. An inclusive SDI should have a membership comprising representative organizations of employers and workers,[50] on an equal footing and as independent partners, alongside the government. Inclusiveness refers as well to the issues addressed by the SDI. Its agenda should be wide-ranging and reflect the interests of a broad spectrum of actors in the world of work.

▶ Objective

The objective of Step 2 is the development of an outline action plan to enhance the inclusiveness of the SDI.

▶ Outcome

The members of the assessment team have a shared understanding of the strengths and weaknesses of the SDI with respect to its inclusiveness, based on a self-assessment of the five dimensions of inclusiveness, and have identified provisional objectives and actions to enhance inclusiveness.

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[49] See the conceptual framework in the Introduction to the SAM-SDI.

[50] The representative status of the social partners entitles them to participate in social dialogue on behalf of their members or, in some cases, of all companies (for employers' organizations) or the entire workforce (for trade unions). In many countries, formal criteria have been adopted to determine the representative organizations of employers and workers for the purposes of social dialogue, including collective bargaining. The ILO supervisory bodies (the Committee of Experts on the Application of Conventions and Recommendations (CEACR) and the Committee on Freedom of Association (CFA)) have stated that such representativeness criteria must be *pre-established, precise* and *objective.* See ILO (2018). "Compilation of decisions of the Committee on Freedom of Association", para. 530.

▶ Process

The assessment of inclusiveness is based on five dimensions presented below.

▶ Figure 10: The dimensions of inclusiveness

Inclusiveness

Membership*

The SDI includes representatives of the government and of employers' and workers' organizations, on an equal footing.

Gender, diversity and inclusion***

The membership of the SDI includes a balanced number of women and men and reflects other aspects of the diversity in society; and gender, diversity and inclusion are addressed in the work of the SDI.

Issues

The SDI addresses issues of concern to a wide spectrum of workers and employers, including excluded and marginalized categories.

Decision-making body/ies**

The SDI's decision-making body/ies include balanced representation of its member/constituent organizations.

Representativeness***

The SDI's member organizations are broadly representative of their respective constituencies.

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*   The SAM-SDI acknowledges the existence of institutions with a broader membership, including other civil society groups or organizations; such broader dialogue goes beyond tripartite social dialogue as embodied and practised by the ILO. The SAM-SDI similarly acknowledges institutions with a narrower membership in which the government is not represented or is only indirectly represented.

**   For SDIs which have a decision-making body or bodies distinct from the plenary body.

***   Diversity refers to a commitment to recognize and appreciate the variety of characteristics that make individuals unique, such as their sex, age, race, ethnicity, gender, sexual orientation, socio-economic status, physical and intellectual abilities, and religious beliefs. Promoting diversity and inclusion in the workplace provides a basis for eliminating discrimination and enhancing business performance.

**** The SAM-SDI does not include an assessment of the representativeness of the social partner organizations which are members of the SDI. "Broadly representative", in the context of the SAM-SDI, means that the social partner organizations represent the voices of a wide spectrum of categories of employers and workers, including those in the informal economy. For trade unions, these may include not only standard (regular) employees but also, for example, workers engaged in non-standard forms of employment, domestic workers, rural workers, own-account workers, migrant workers, ethnic minorities, youth, the unemployed and workers with a disability. For employers' organizations, these may include the owners of micro, small and medium-sized enterprises and the self-employed, along with large companies and business associations. For both social partners, representation of actors from different economic sectors and regions of the country should be taken into account, as well as the diversity of their membership with respect to gender and other aspects of diversity such as those listed above.

Step 2 comprises three sub-steps. The first involves assessing the SDI against a series of statements or "benchmarks" related to each dimension of inclusiveness, which should allow the team to identify, through discussion, the key strengths and weaknesses of the SDI. In the second sub-step, the results are compiled to produce a comprehensive overview of the SDI's strengths and weaknesses with respect to its inclusiveness. In the third sub-step, based on this analysis, the team will identify priority objectives and actions to enhance the SDI's inclusiveness.

▶ **Figure 11: Sub-steps of Step 2**

1 Assessing the inclusiveness of the SDI against the benchmarks for each dimension

2 Compiling and reviewing the outcomes of the discussion

3 Formulating objectives and actions to enhance the inclusiveness of the SDI

▶ 1. Assessing the inclusiveness of the SDI

The exercise aims to stimulate discussion within the team about the strengths and weaknesses of the SDI with respect to the different dimensions of inclusiveness. The series of tables below provide a number of statements or "benchmarks" which seek to capture key aspects of each dimension. Each benchmark is framed in a positive way - i.e. what an inclusive SDI might be expected to look like in an ideal world. It is important to be aware that there is no expectation that an SDI should perform well against each and every benchmark; the exercise is simply a means of generating discussion.

Taking each benchmark in turn, discuss how well you think your SDI performs against it. Try to reach consensus within the team on your response or, if this is not possible, note down any differences of opinion. You may wish to apply the scoring method proposed below to quantify the response of the group. At the end of the discussion of each dimension of inclusiveness, record the outcomes of your conversation noting, in particular, what you consider to be the main strengths and weaknesses of the SDI.

▶ **Assessing inclusiveness: How to use the benchmarks**

Take, for example, the first benchmark (a.) under the assessment of the "membership" dimension: "The founding document of the SDI clearly specifies its composition."

Within the team, you should consider together the response to the question: "Does the Constitution or other founding document of our SDI clearly specify its composition?"

If you conclude from your discussion that there is no lack of clarity regarding the composition of the SDI as established in its Constitution, then the SDI performs well against this benchmark; you could select a score of 3 and note this as a strength. If, on the contrary, you consider that the founding document of the SDI is vague regarding its composition, you could select a score of 1.

However, even if the composition of the SDI is clearly stated, you may believe that it is no longer adequate or appropriate in today's world of work. This issue is captured under benchmark (g.), and you may select a score of 1 against this benchmark, noting it as a weakness of the SDI.

Scale for scoring the SDI against the benchmarks

Score	Meaning
n/a	This benchmark is not applicable or relevant to the SDI[51]
1	The SDI performs poorly against this benchmark
2	The SDI performs moderately well against this benchmark
3	The SDI performs very well against this benchmark

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[51] "Not applicable" (n/a) would apply, for example, to the benchmark relating to the government representatives in the case of a bipartite SDI of which the government is not a member.

1.1   Assessment of the 'membership' dimension

The SDI includes representatives of the government and of employers' and workers' organizations, on an equal footing	n/a or score 1 to 3
a. The founding document of the SDI clearly specifies its composition.[52]	
b. Representative employers' and workers' organizations participate on an equal footing with each other and with the government.[53]	
c. Pre-established, precise and objective criteria exist for the selection of the organizations represented in the SDI, which are applied transparently in practice.	
d. Government representation in the SDI is drawn from the most relevant ministries or agencies concerned with labour, social and economic policy.	
e. The employers' and workers' organizations in the SDI are free to nominate their representatives to the SDI without interference from the government or from each other.	
f. The role of any other actors in the SDI complements the role of the social partners and does not undermine the latter in any way.	
g. The composition of the SDI is fully relevant in today's world of work; transparent and appropriate procedures exist to review its composition at defined intervals.	
What are the SDI's main strengths regarding the inclusiveness of its membership? *Record the main outcomes of your discussion*	

What are the SDI's main weaknesses regarding the inclusiveness of its membership?
   Record the main outcomes of your discussion

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[52] "Composition" means who are the constituent groups or members of the SDI and how many representatives each member has in the SDI.

[53] The expression "on an equal footing" means that the voices of all three parties carry equal weight in the discussions and the views of any one party do not dominate those of the others.

1.2 Assessment of the 'decision-making structure' dimension

Before reviewing the benchmarks below, compile a list of the various decision-making bodies/structures of the SDI, such as the plenary, executive committee, governing council or board.

The decision-making body/ies of the SDI include balanced representation of its member/constituent organizations	n/a or score 1 to 3
a. The composition and role(s) of the SDI's decision-making body/ies are clearly specified in its founding document(s).	
b. The government, employers' and workers' organizations have an equal voice in the decision-making body/ies and processes.	
c. The role of any other member organizations in decision-making in the SDI is clearly specified.	
d. The chairing arrangements for the SDI's decision-making body/ies are transparent, equitable and respected in practice.	

What are the SDI's main strengths regarding the inclusiveness of its decision-making structures?

Record the main outcomes of your discussion

What are the SDI's main weaknesses regarding the inclusiveness of its decision-making structures?

Record the main outcomes of your discussion

1.3 Assessment of the 'gender, diversity and inclusion' dimension

The membership of the SDI includes a balanced number of women and men and reflects other aspects of the diversity in society; and gender, diversity and inclusion are addressed in the SDI's work	n/a or score 1 to 3
a. The SDI strives to represent and reflect the diversity of society in its membership and in all aspects of its work.	
b. There is a balanced number of women and men in the plenary and other operational structures of the SDI (such as committees and working groups).	
c. There is a balanced number of women and men in the SDI's decision-making body/ies.	
d. Both women and men have acted as chairperson of the SDI and of its committees in recent years.	
e. The SDI takes proactive measures to achieve a balanced number of women and men members, to facilitate equal participation in its work and to prevent or eliminate gender-based discrimination.	
f. The agenda of the SDI regularly includes gender, diversity and inclusion issues, and its outputs are consistently responsive to gender, diversity and inclusion concerns.	
g. The SDI provides support to facilitate the equal participation in its work of members having diverse personal characteristics, including persons with a disability.	
What are the SDI's main strengths regarding gender, diversity and inclusion? *Record the main outcomes of your discussion*	
What are the SDI's main weaknesses regarding gender, diversity and inclusion? *Record the main outcomes of your discussion*	

1.4 Assessment of the 'representativeness' dimension

The SDI's member organizations are representative of their respective constituencies	n/a or score 1 to 3
a. The representative status of the employers' and workers' organizations which are members of the SDI was established on the basis of pre-established, precise and objective criteria; the participation of these organizations is not contested by others which are not members of the SDI; and procedures are in place to review, at appropriate intervals, the representative status of these organizations.	
b. The membership of the employers' and workers' organizations in the SDI (including their affiliates) is broadly representative of the national labour market as a whole.[54]	
c. The employers' and workers' organizations in the SDI represent economic units and workers in both the informal and the formal economy, including new and emerging categories of employers and workers.	
d. The participation of other actors in the SDI serves to bring a wider perspective on the issues it addresses.	
e. The SDI's member organizations consult proactively with other organizations or groups which are not represented in the SDI to seek their views and inputs regarding issues that directly concern them.	
What are the SDI's main strengths regarding its representativeness? *Record the main outcomes of your discussion*	
What are the SDI's main weaknesses regarding its representativeness? *Record the main outcomes of your discussion*	

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[54] Characteristics of the social partners' membership to consider here may include, for example, gender, ethnicity, age, disability, national origin/migration status, status in employment, size of enterprise, economic sector, private and public sector etc.

1.5 Assessment of the 'issues' dimension

The SDI addresses issues of concern to a wide spectrum of employers and workers, including marginalized and excluded categories	n/a or score 1 to 3
a. The agenda of the SDI includes issues of concern to diverse categories of employers and workers.	
b. The SDI has set up working groups or committees to address the concerns of specific categories of employers and workers, including those who may be excluded from policy deliberations or considered to be of low priority in policy-making circles.[55]	
c. The SDI takes other proactive measures to enable marginalized and excluded categories of employers and workers to bring their issues and concerns to the attention of the SDI.	
d. The SDI undertakes, commissions or accesses research on issues of concern to a wide spectrum of employers and workers, including marginalized and excluded categories.	

What are the SDI's main strengths regarding its issues-inclusiveness?
Record the main outcomes of your discussion

What are the SDI's main weaknesses regarding its issues-inclusiveness?
Record the main outcomes of your discussion

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[55] Refer to the explanation of representativeness given in figure 10 for some examples of the categories of employers and workers who may be excluded from policy deliberations or considered as low priority in policy-making.

▶ 2. Compiling and reviewing the outcomes of the discussion

Compile and review your notes and scores for each dimension of inclusiveness, referring to the template and guidance below, in order to produce an overview of the outcomes of your discussions. You can use post-its, flipcharts, paper or an electronic format. At this stage, you may choose to set aside the strengths and weaknesses considered to be of low priority, retaining only the most important or significant ones.

Template 2: Compilation of the results of the assessment of inclusiveness			
Dimension	**Scores (if used)**	**Main strengths**	**Main weaknesses**
▶ **Membership**			
▶ **Decision-making body/ies**			
▶ **Gender, diversity and inclusion**			
▶ **Representativeness**			
▶ **Issues**			

Interpreting the results to derive recommendations for action	
Score	**Meaning**
Mostly 1s	This score implies that this dimension of inclusiveness represents an aspect of the SDI which may require some attention and remedial action. Consider the factors underlying this result and how they impact the SDI's performance. Think about what action should be taken to address the these aspects.
Mostly 2s and 3s	Your institution has scored reasonably or very well against this dimension. Discuss whether the strengths you identified may be leveraged in order to improve on any weaknesses under the same or other inclusiveness dimensions.
Very mixed scores	Some aspects of this dimension are strong while others may require attention.

▶ **3. Formulating objectives and actions to enhance the inclusiveness of the SDI**

On the basis of the discussions, it is now time to formulate key objectives and priorities for action to enhance the inclusiveness of the SDI. These ideas will feed into the action plan, which will be further developed in Step 4.

In the context of action planning, an *objective* refers to the end result that you are aiming to achieve i.e. the change that you wish to bring about in the SDI. *Actions* broadly refer to the interventions or activities to be accomplished i.e. what must be done in order to achieve the objective.[56] Generally, a combination of complementary actions or activities is required to reach a single objective.

At this stage in the SAM-SDI, the aim is to identify some key areas of intervention to enhance the inclusiveness of the SDI in the light of your assessment of its strengths and weaknesses.

You may find it helpful to use the template below to develop objectives and corresponding actions to be taken in the short term (over the next 12 months) and longer-term (the coming one to five years). It is recommended that you formulate a manageable number of objectives that the SDI will realistically be able to address in practice (for example, three or four objectives).

You may also consider whether there any risks associated with your proposed actions which might jeopardize their success, and which the SDI would need to bear in mind when planning and implementing the action.

Template 3 includes an illustrative example. The example assumes that the self-assessment of inclusiveness revealed the very low number of women in the membership and decision-making bodies to be an important weakness of the SDI. Based on this finding, an objective on "improved representation of women" is formulated along with a set of possible actions to bring this change about. A number of possible risks are also identified, that might hamper progress if measures are not put in place to monitor and address them if the need arises.

As you start to formulate your action plan, remember that the perfect should not be the enemy of the good! The most important point is to identify some key areas or objectives for strengthening the inclusiveness SDI. You will be able to further develop and refine your preliminary ideas in Step 4 of the SAM-SDI, when you will develop the full action plan.

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[56] For further explanation of the terms used in action or project planning, refer to p. 100 in Step 4.

Template 3: Outline of an action plan to improve inclusiveness (with illustrative example)

	Short-term action (over the next 12 months)	Medium- & long-term action (from 1 to 5 years)	Risks
Objective 1: *Improved representation of women in the SDI*	▸ *letter from the chairperson to the member organizations to encourage the nomination of female candidates for the next round of appointments to the SDI.* ▸ *establish a working group on measures to promote gender equality in the SDI.*	▸ *develop and implement a "family-friendly" policy in the SDI.* ▸ *institute a rotating chair system to facilitate women becoming the chair of the SDI or its committees.* ▸ *implement a gender equality awareness campaign.*	▸ *reluctance or opposition of the existing members of the SDI.* ▸ *unwillingness of women to propose themselves as candidates for chairperson.* ▸ *lack of resources to hire gender equality specialists/trainers.*
Objective 2: *Write the objective here*	*Write the proposed actions to meet Objective 2*		*Write possible risks here*
Objective 3: *Write the objective here*			

▶ Further reading and resources

ILO (2019c). "Women in business and management: The business case for change", Geneva.

This report by the ILO Bureau for Employers' Activities (ACT/EMP) shows how gender diversity at the top improves organizational performance. It demonstrates how the many dimensions of an organization's policies, a gender-balanced workforce and a gender-inclusive culture, among other factors, enable more women to hold decision-making power.

Global Deal (2019). "The contribution of social dialogue to gender equality", Global Deal Thematic Brief.

Sound industrial relations and effective social dialogue contribute to good governance in the workplace, decent work, inclusive economic growth and democracy. They can also be important means of advancing gender equality and fair labour markets, and vice versa.

Rubery, J. and Johnson, M. (2019). "Closing the gender pay gap: What role for trade unions?", ILO, Geneva.

Research commissioned by the ILO Bureau for Workers' Activities (ACTRAV) shows that, by targeting overall gender discrimination, promoting inclusive wage setting, pursuing specific gender pay equality measures and enhancing women's representation in decision-making, trade unions can contribute effectively to addressing the gender pay gap.

Step 3: Assessing the effectiveness of the SDI

Contents

Step 3

▶ Step 3: Assessing the effectiveness of the SDI

Step 3 of the SAM-SDI comprises an assessment of the effectiveness of the SDI, and is at the heart of the method. Effectiveness is linked to both the "throughput legitimacy" and the "output legitimacy" of social dialogue.[57]

The method proposed for the self-assessment of effectiveness in Step 3 differs from that used for inclusiveness in Step 2. This is because action to improve the effectiveness of the SDI must address the underlying factors (or *causes*) that influence its effectiveness rather than their *consequences* on the SDI. Building an understanding of these causal factors or influences will provide the basis for the identification of the action needed to strengthen the SDI's effectiveness.

The SAM-SDI proposes five dimensions, capturing key aspects of effectiveness, as the basis for the self-assessment. Each dimension will be separately assessed through an in-depth examination by the assessment team of specific work or results of the SDI relating to that dimension.

▶ Objective

The objective of Step 3 is the development of an outline action plan to enhance the effectiveness of the SDI.

▶ Outcome

The members of the assessment team have built a shared understanding of the strengths and weaknesses of the SDI with respect to its effectiveness, based on an in-depth exploration of the causal factors influencing effectiveness. Provisional objectives and actions to enhance effectiveness have been formulated.

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[57] See the conceptual framework in the Introduction to the SAM-SDI for further explanation. The inclusiveness of the SDI also influences its effectiveness, by enhancing the "input legitimacy" of social dialogue. An SDI which is both inclusive and effective will be better able to contribute to the ultimate goal of more socially just and economically sustainable policy outcomes.

▶ Introducing the dimensions of effectiveness

The five dimensions of effectiveness are presented below.

▶ **Figure 3: The dimensions of effectiveness**

Effectiveness

Agenda

The SDI discusses significant labour, social and economic policy issues.

Policy influence

The SDI influences legislative and policy-making processes and outcomes.

Operational and communication

The SDI has efficient internal procedures, working methods and tools, and communicates effectively about its work to its target audiences.

Consensus-building

The SDI builds consensus among its members on policy issues, based on sound analysis.

Social peace*

The SDI contributes to the maintenance of social peace.

*   The social peace dimension seeks to capture the role of the SDI in maintaining an overall harmonious industrial relations environment and defusing tensions between labour market actors. This dimension applies as well to those SDIs which have a specific mandate for dispute prevention and resolution. Guidance for the assessment of specialist labour dispute resolution bodies (which the SAM-SDI does not specifically target) is available in: ITCILO (2013). *Labour dispute systems: Guidelines for improved performance*, Turin.

Before proceeding, some further explanation of the scope and meaning of each dimension of effectiveness is essential.

Agenda effectiveness

The first dimension refers to the issues or topics that the SDI addresses and which appear on its agenda, whether as standing items, ad hoc items, or those dealt with by specific committees

or working groups, or in any other manner. Under the assessment of agenda effectiveness, the team will consider questions such as whether the SDI addressed significant national policy concerns in the labour, social and/or economic fields on its agenda, including both new and emerging issues in the world of work and those of long-standing concern.[58] For those SDIs which have a mandate to undertake tripartite consultations regarding the ILO-related matters covered by Convention No. 144, article 5, this role should also be considered. In the examination of agenda effectiveness, you will focus on whether the SDI's agenda included important policy issues, and not on the content or eventual outcomes of those discussions.

Consensus-building effectiveness

Under this dimension, the team will explore the internal processes through which the policy issues on the agenda of the SDI were addressed, as well as any external influences on these processes. Questions will include, for example, whether the SDI succeeded in bridging possibly diverse points of view of its members in order to formulate agreed policy positions or recommendations. The team will also consider whether the SDI's working methods facilitated constructive and solution-oriented discussions. This dimension includes consideration of the processes and outputs of the SDI but does not cover whether or not those outputs influenced policy-making.

Policy influence effectiveness

This dimension picks up where the consensus-building dimension left off, by examining the fate of the SDI's outputs. Under this dimension, the team will explore whether the SDI had a discernible influence on the direction and content of national policy and legislation. In some instances, an SDI's outputs may be binding in their own right, for example, in the case of certain tripartite pacts and agreements and minimum wage setting. In this case, the team may consider for example, whether the SDI monitored the implementation of the agreement. However, very often, an SDI's outputs feed into further decision-making processes. In that case, the team may discuss whether the SDI followed-up on its recommendations in an effort to increase the likelihood of them being incorporated into public policy. While the SAM-SDI enables the team to build an understanding of the factors influencing the uptake of the SDI's outputs in national policy-making, it is beyond its scope to assess the substantive content and eventual impact of those policies once they were adopted and implemented.[59]

Social peace effectiveness

This dimension concerns how effectively the SDI, in fulfilling various aspects of its mandate, contributed to the achievement or maintenance of sound industrial relations and social peace.[60] The SDI may have done this in two main ways. First, it may have offered a safe, neutral space in which the social partners and the government, through social dialogue, could discuss and seek to resolve pressing labour market issues that, had they remained unresolved, would have undermined social peace. Second, the mandate of certain SDIs may have established them as dispute resolution authorities in their own right.

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[58] The team will examine these questions in relation to specific, real examples of the work of the SDI in recent years – hence, the use of the past tense.

[59] In light of this, assessing the extent to which the SDI contributed, through its policy-influencing work, to the achievement of decent work, inclusive growth or sustainable enterprises lies beyond the scope of the SAM-SDI. Investigating those aspects would need to be the subject of an in-depth impact assessment applying a different methodology to that proposed in this method.

[60] As explained in the Introduction, "social peace" refers to the maintenance of a harmonious industrial relations environment in the country and the easing of tensions between the labour market actors.

Regarding the first, broader role of the SDI, the self-assessment team may explore an instance where the SDI offered the social partners and the government the opportunity to discuss an emerging issue before it escalated into a dispute. Another example could be where the SDI issued policy advice on a contentious or complex labour market issue that had been put on its agenda by the social partners. Regarding the second, narrower role of the SDI, the assessment team may, for example, explore the case of a specific dispute in which the SDI was involved in its mediation and resolution.

Under this dimension, questions to be addressed may include whether the SDI was proactive in seeking to prevent conflict between workers, employers and governments, whether it applied consensus-based approaches to resolving the dispute or the extent to which its advice was fully aligned with the real needs of the labour market actors.

Operational and communication effectiveness

The final dimension of effectiveness addresses its internal procedures, working methods and tools, including its communication strategy. To a large extent, this dimension underpins the first four dimensions of effectiveness as the internal operations of the SDI are there to support all aspects of its work and results.[61] The dimension is divided into two sub-dimensions: the first deals with the internal procedures, working methods and tools and the second with communication issues.

Under the first sub-dimension, the team will consider the strengths and weaknesses of the SDI regarding how it operates, including the functioning of the secretariat (where one exists), the budget, facilities and equipment available, the SDI's working modalities and external partnerships. The second sub-dimension focuses specifically on the communication of the SDI, given the particular importance of this aspect. Effective communication is critical if the work of the SDI is to be truly influential in policy-making, as well as to demonstrate to a wider audience that the SDI is fulfilling a valuable role and therefore merits public investment and confidence.

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[61] The method for assessing the operational and communication dimension of effectiveness is different to that used for the other dimensions, and is explained in sub-step 4 of Step 4.

▶ Process

Step 3 constitutes the largest part of the SAM-SDI and is likely to take the most time. You may consider different options to organize your work, such as:

▶ addressing the dimensions one-by-one, phasing your work over a number of weeks or even longer;

▶ allocating time for intensive work over several consecutive days with a view to completing the self-assessment in one go;

▶ tackling only certain dimensions now, and coming back to the others later, if necessary[62];

▶ adopting a flexible approach. Although the task may seem a little daunting at first, you may find that, with experience, it becomes easier and faster to work through the step in its entirety.

While Step 3 can be accomplished by the assessment team working alone, you may find it useful to draw on additional sources of information or insights, including those suggested in Annex 5.

The process to be followed in Step 3 is summarized in Figure 13, which gives an overview of the five sub-steps involved, each of which is explained in the following sections.

▶ Figure 12: Sub-steps of Step 3

1 Review the dimensions of effectiveness and adjust them, if necessary, in light of the SDI's mandate and objectives

2 For each dimension of effectiveness, identify a small number of specific achievements and disappointments of the SDI in the recent past

3 Assess the substantive dimensions of effectiveness by exploring the factors influencing the selected results of the SDI

4 Assess the operational and communication effectiveness dimension using predefined benchmarks

5 Formulate objectives and priorities for action to enhance the effectiveness of the SDI

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[62] The assessment team is encouraged to review the whole of Step 3 before deciding which parts to implement immediately and which, if any, to postpone or drop entirely.

▶ 1. Reviewing the dimensions of effectiveness

The SAM-SDI proposes five dimensions of effectiveness as the basis for the self-assessment. First, you should consider whether these dimensions adequately capture the mandate and objectives of the SDI. Refer to the list of objectives or functions that are set out in the SDI's founding document and to the explanation of the dimensions of effectiveness given above. Using the template below, match the objectives of the SDI to the five dimensions of effectiveness. Do they correspond well? Perhaps several of the SDI's objectives or functions fit under a single dimension, while other dimensions may not be relevant.

Template 4: Matching the SDI's objectives with the effectiveness dimensions proposed in the SAM-SDI	
Dimension	**The SDI's objectives or functions**
▶ **Agenda**	*Write here the objectives of the SDI that correspond to each dimension of effectiveness. If there are none, leave blank.*
▶ **Consensus-building**	
▶ **Policy influence**	
▶ **Social peace**	
▶ **Operational and communication**	
▶ **Other dimension(s)** *Write here the name of any additional dimension(s)*	*Record here the stated objectives or functions of the SDI that correspond to the other dimensions of effectiveness (if any).*

Next, consider the following questions:

1.1 Are there any missing dimensions?

Does the SDI have an objective or function that is not captured by the five dimensions proposed by SAM-SDI? If this objective is crucial to the effectiveness of the SDI, you may wish to formulate a short name and description for a corresponding new "dimension", and add this to the template for inclusion in your self-assessment.

1.2 Are there any missing objectives?

During your discussion, you may identify certain functions that the SDI does not currently have, but which you think it should have. Make a note of them, as you may identify this as an opportunity for the SDI that should be addressed in the action plan.

1.3 Select the dimensions to be included in the self-assessment

Do you wish to cover all the dimensions of effectiveness in your self-assessment, or select only a few? You may have already considered this question in Step 0 (work plan), but can revisit your decision now, using the guiding questions below.

Selecting the dimensions for the assessment of the SDI's effectiveness

a. Are there any areas of work of the SDI where you consider its effectiveness to be most challenged and which should be assessed as a priority?

b. Are there areas in which the experience of the SDI is particularly rich, from which you think useful lessons could be derived for other areas of work?

c. Are there any areas in which the SDI has had very limited or no experience until now, and which are not yet ready to be assessed?

d. Could you tackle any dimensions that you do not assess now at a later date?

▶ 2. Identifying results of the SDI for each dimension of effectiveness

The assessment of the effectiveness of the SDI relies on an exploration by the assessment team of examples of the SDI's specific results – both positive and negative - in the recent past. The terms used in the SAM-SDI to describe these results are "achievements" and "disappointments", respectively.

▶ Achievements and disappointments of the SDI

An ***achievement*** is an instance or event that you consider to have been a success of the SDI, in which it achieved the desired result through its work.

A ***disappointment*** is an instance or event that you consider to have fallen short of the expectations or planned results of the SDI, and where it did not achieve the desired result through its work.

The first step is to select a small sample of the SDI's significant and specific achievements and disappointments to serve as the basis for the analysis. Do not try to be comprehensive or exhaustive when compiling your list. It is suggested that you should not spend too long selecting the examples, and that you choose those with which the team members are most familiar and which stand out in their memory.

2.1 Choose a time frame

First, select a time period for the assessment. It is better not to go back too far, as it may be difficult to recall exactly what happened, or the team members may not have been associated with the SDI at the time. The past four to five years may be a suitable timeframe.

2.2 Select a sample of achievements for each dimension of effectiveness

The box below provides some examples of the types of achievements you may wish to include. Discuss the SDI's notable achievements over the period in question for the various dimensions of effectiveness that you have decided to examine. Select two of them for each dimension.

▶ **Examples of types of achievements**

- ▶ Substantive discussion of an important labour or economic policy question
- ▶ A (policy) agreement concluded and adopted by the SDI
- ▶ A significant report, opinion or analysis produced and disseminated
- ▶ A recommendation made for the ratification of ILO Conventions Nos 87, 98 or 144
- ▶ A policy reform adopted by the government which reflected inputs from the SDI
- ▶ Legislation adopted incorporating the SDI's recommendations
- ▶ Successful mediation of an industrial dispute
- ▶ A high-profile public awareness event or campaign

Describe each achievement as specifically as possible in a few words, and specify the date or period when it occurred. Some achievements may relate only to a single dimension (for example, "agenda effectiveness", after which the SDI's work on the issue ended). Others may be pertinent to several dimensions (for example, "agenda", "consensus-building" and "policy-influencing", in cases where the SDI was able to continue its work through to the policy-making stage). Some fictional examples are presented below.

You may wish to use flip-charts, post-its, colour codes or any other tools to help visualize and organize the list of achievements.

Template 5: Achievements of the SDI (with fictional examples included)

Dimension	Date	Achievements
▶ **Agenda**	*June 2016*	*The SDI initiated discussions on the extension of social protection coverage to workers in the informal economy.*
	July 2018	*The SDI set up a working group to devise recommendations on the creation of an enabling environment for sustainable enterprises.*

▶ **Consensus-building**	*Sept 2017*	*The SDI produced a series of recommendations on extending social protection to workers in the informal economy.*
	February 2019	*The SDI published a joint research paper on a policy framework to enhance the productivity of SMEs, in collaboration with a university.*
▶ **Policy influence**	*May 2019*	*The SDI's recommendations on the extension of social protection to workers in the informal economy were, in large part, reflected in a reform of the social security code.*
	December 2018	*The national parliament approved ratification of Convention No. 144 following a recommendation issued by the SDI.*
▶ **Social peace**	*June – Sept 2018*	*The SDI successfully mediated a dispute in the education sector, thus averting the risk of industrial action by teachers.*
	Jan – June 2016	*The SDI developed an advisory note on the role of social dialogue in response to the steady increase of collective labour disputes in certain sectors.*
▶ **Operational and communication**	*Jan – March 2019*	*The SDI's secretariat devised and instituted an efficient procedure to track the progress of individual agenda items.*
	April 2020	*The SDI launched a multi-media campaign to raise awareness of violence and harassment in the world of work, which reached an estimated 1.2 million people.*

2.3 Select a sample of disappointments for each dimension of effectiveness

It is necessary also to understand the influences leading to disappointing results and to identify the action required to address them. Proceed in the same way as for the achievements. Identify and briefly describe a sample of specific disappointments, with a date for each. It is suggested that you identify two examples for each dimension. Some illustrative examples of disappointments are presented below.

▶ **Examples of types of disappointments**

- ▶ An important policy reform on which the SDI was not consulted
- ▶ An issue on which the SDI failed to reach consensus
- ▶ The SDI's recommendations, which were strongly evidence-based, were not given proper consideration by the government or parliament
- ▶ The policy advice issued by the SDI was not underpinned by sound evidence and was therefore of limited value

Template 6: Disappointments of the SDI (with fictional examples included)

Dimension	Date	Disappointments
▶ **Agenda**	*November 2019*	*The Minister of Labour prevented the SDI from discussing digital platform workers, maintaining that the issue was already under consideration by the Ministry of Trade and Industry.*
	January - March 2017	*The SDI did not include reform of the Technical and Vocational Education and Training (TVET) system in its agenda, thus missing an opportunity to contribute to the policy discussion.*
▶ **Consensus-building**	*June - July 2016*	*The SDI initiated work on climate change, but the social partners could not agree on the scope of the work and the discussions were halted.*
	April 2018	*The SDI started work on wages and productivity but, lacking good quality data, the discussions collapsed.*
▶ **Policy influence**	*April 2020*	*The government did not consult the SDI when formulating emergency measures to protect enterprises, jobs and incomes in the wake of the COVID-19 pandemic.*
	Jan - May 2018	*Following off-the-record informal consultations, parliament adopted a new law restricting the right to organize of certain health workers, totally by-passing the SDI.*
▶ **Social peace**	*March - April 2018*	*The SDI was approached to mediate an industrial dispute in the garment sector but, lacking trained mediators, it was not in a position to assist.*
	Jan 2020	*The SDI was not approached to resolve a deadlock during sector-wide negotiations on working hours and overtime, because the parties did not consider it to be a neutral space.*
▶ **Operational and communication**	*January 2018*	*The SDI did not receive the budgetary allocation needed to support its secretariat and had to lay off several staff members*
	2019	*The SDI invested in upgrading its website, but did not have the resources to maintain it, so it quickly became outdated and obsolete.*

▶ **3. Assessing the substantive dimensions of effectiveness**

Sub-step 3 comprises the assessment of the first four substantive dimensions of effectiveness, namely agenda, consensus-building, policy influence and social peace effectiveness. A different approach is used to assess operational and communication effectiveness and is explained in sub-step 4.

The assessment approach for the first four dimensions involves an exploration by the assessment team of the causal (or influencing) factors that contributed to the specific results (achievements and disappointments) that you identified in sub-step 2. This analysis of influencing factors will provide the basis for identifying the strengths and weaknesses of the SDI, and for identifying the objectives and the possible actions needed to enhance its effectiveness in sub-step 5. Guiding questions are provided below to facilitate your discussions about the influencing factors under each effectiveness dimension.

3.1 Understanding the SAM-SDI approach to categorizing the factors influencing the effectiveness of the SDI

Before moving on to the assessment of each effectiveness dimension, it is necessary first to understand how the SAM-SDI approaches the analysis of the many factors influencing the SDI's effectiveness. The analysis depends on a categorization of these influencing factors based on two variables. The first variable is termed the "domain" of the influencing factor – which refers to whether the factor was operating largely outside or within the institution (i.e. external or internal). The second variable is termed the "nature" of the influencing factor – meaning whether it was an enabling or a constraining factor. This categorization is further explained in the table below.

Categorizing influencing factors by domain and nature		
"Domain" of the influencing factor	**External**	*External influencing factors* operate in the SDI's wider environment. The SDI is likely to have limited or perhaps no control at all over these factors, which may include, for example, the national political and economic context, the activities of other institutions or the strength of the social partner organizations.
	Internal	*Internal influencing factors* operate within the SDI. The SDI should generally have a greater degree of control, or at least influence, over these factors, which may include, for example, how the SDI plans its work and allocates its resources, the knowledge and skills of its members or its decision-making procedures.
"Nature" of the influencing factor	**Enabling**	*Enabling factors* are those that helped the SDI achieve its desired results or outcomes. They tend to be internal strengths on which the SDI can build or opportunities for further institutional development.
	Constraining	*Constraining factors* prevented, or were obstacles to the achievement of the SDI's desired results. They tend to be internal institutional weaknesses or external threats to the SDI.

This four-way categorization of influencing factors underpins the assessment of effectiveness in sub-step 3 (see the four boxes in the table below). The guiding questions for each dimension, provided below, are organized according to whether they concern external or internal influencing factors. However, it will be up to the assessment team to determine whether a particular factor constituted an "enabling" or a "constraining" influence on the SDI in the examples of results being considered. In practice, it may sometimes be difficult to determine in which category a particular influence belongs, as the different categories can be inter-linked and the boundaries unclear. Do not worry if you are unsure how to categorize a particular influence. What is important is to identify the main influences, so that you can think about the action needed to address them.

You may be familiar with a well-established approach to institutional analysis known as "SWOT", which stands for strengths, weaknesses, opportunities and threats. The method proposed in the SAM-SDI is very similar to a SWOT analysis, although different terminology is used.[63] The figure 13 below shows the relationship between the terms used in the SAM-SDI and those used in a SWOT analysis.

▶ **Figure 13: The SAM-SDI analytical approach and corresponding SWOT terminology**

_____
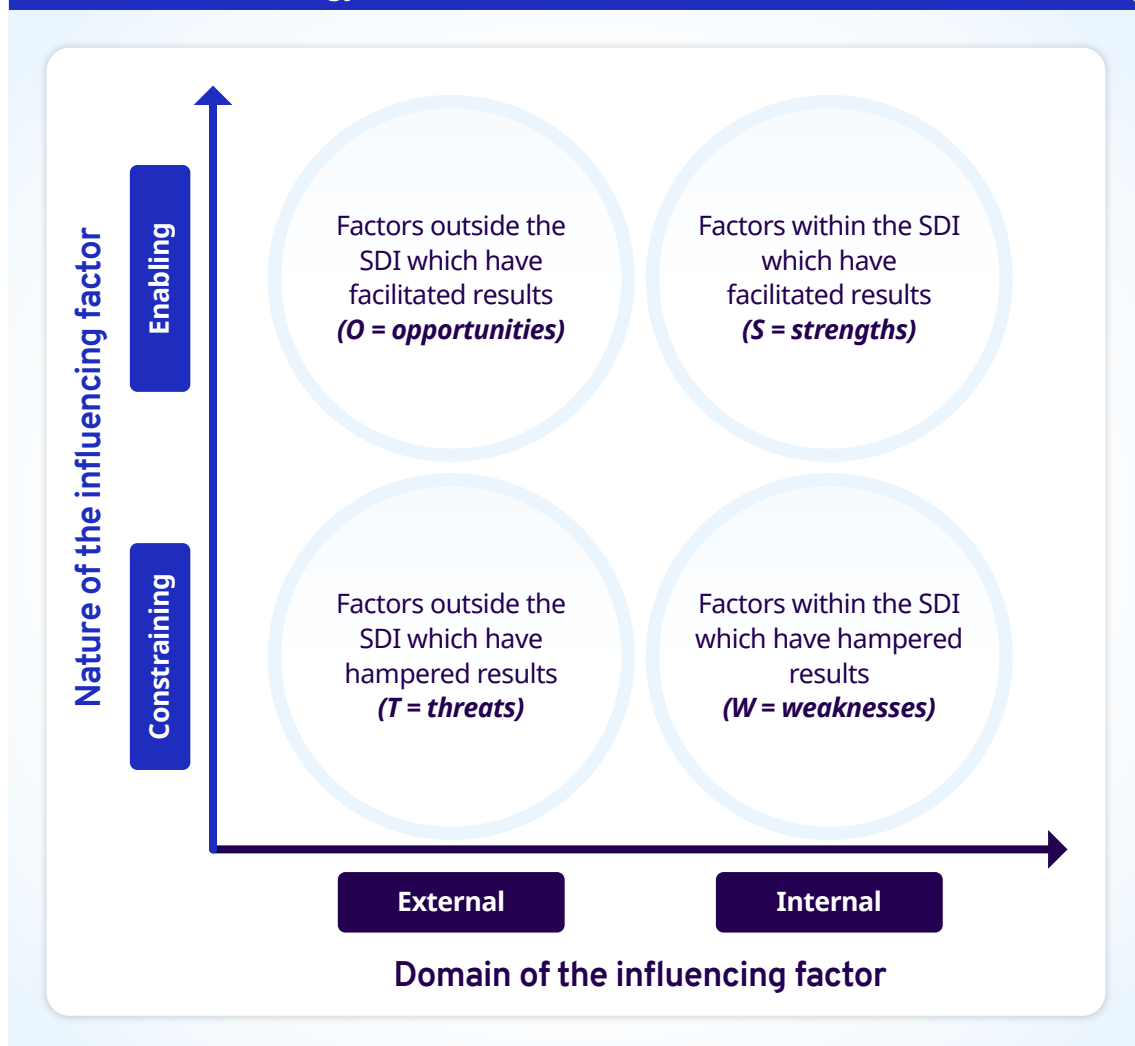
[63] For additional online resources on SWOT analysis, see: Creately: SWOT analysis tool to create effective SWOT diagrams online; and Canva: tool to design a SWOT analysis online.

3.2 The sequence to be followed for each substantive dimension of effectiveness

For the assessment of each dimension of effectiveness (with the exception of the operational and communications effectiveness dimension), you should follow the sequence shown in Figure 14.

▶ **Figure 14: Sequence for the assessment of each substantive dimension of effectiveness**

1   **2**

Achievements	Disappointments
▶ First, display the two or more specific **achievements** that you identified in sub-step 2.2 for the first effectiveness dimension, so that the whole team can see them.	▶ Next, display the two or more specific **disappointments** you identified in sub-step 2.3 for the same effectiveness dimension.
▶ Using the guiding questions, explore the **external** influencing factors on the achievement(s), and discuss whether they were **enabling** or **constraining** factors for the SDI.	▶ Use the guiding questions to explore the **external** influencing factors on the disappointment(s), discussing whether they were **enabling** or **constraining** factors for the SDI.
▶ Next, explore the **internal** influencing factors, again discussing whether they were **enabling** or **constraining** factors.	▶ Next, explore the **internal** influences leading to the disappointment(s), determining whether they were **enabling** or **constraining** factors.
▶ In the case of **achievements**, you may expect to find more positive (enabling) than negative (constraining) influences. But both types of influence may have been present.	▶ In the case of **disappointments**, you may expect to find more negative (constraining) than postive (enabling) factors. But both types of influence may have been present.
▶ Record your results.	▶ Record your results.

Repeat this process for each substantive dimension of effectiveness

? **How to use the guiding questions on the substantive dimensions of effectiveness**

▶ *What is the purpose of the guiding questions?*

The guiding questions provided in section 3.4 below aim to facilitate your discussion on the substantive dimensions of effectiveness. Their purpose is to help structure and focus your discussions, stimulating a collective reflection within the team on the possible causal (or *influencing*) factors that contributed to the specific results (both achievements and disappointments) of the SDI that you identified earlier. Their aim is not to elicit simple "yes/no" responses.

▶ *How are the guiding questions structured and framed?*

Guiding questions are provided for each substantive dimension of effectiveness, in order to help you identify the key possible influencing factors at play. Different questions are proposed for exploring the external and the internal influencing factors that contributed to the specific achievement or disappointment being examined by the team. The questions are all framed in the past tense; for example - "Were there any particular social, political or economic developments that brought the issue to the SDI's attention?" This is because the questions relate to a specific event in the SDI's past, rather than to a general or on-going situation.

You may skip any questions that do not seem relevant or useful, and add new ones that seem more pertinent to your SDI's situation. You may also find it helpful to add "*why* (did this happen)?" or "*how* (did we do this)?" to deepen your analysis. The questions should not constrain your discussions or creativity in any way, but are included as a tool to help you.

▶ *How should you organize the discussions?*

Each dimension of effectiveness should be assessed separately. However, you may decide to spread your discussions over several working sessions rather than to attempt to complete all dimensions in a single "sitting". You may also decide not to examine all the dimensions if they are not all equally relevant to the SDI.

It is recommended that the achievement(s) and disappointment(s) selected for each dimension in sub-step 2 are displayed where the team members can see them, to help focus the discussion on these specific examples.

There are different possible ways to organize your discussion. For example, you may choose to take each example of the SDI's achievements in turn, working through the guiding questions, and then turn to each of the disappointments. Alternatively, you may tackle all the achievements together, followed by all the disappointments for the same dimension. It is not recommended to combine the examination of achievements and disappointments, given that different influencing factors may have been present.

It is suggested to start with the guiding questions that address the external influencing factors. Having completed these, the team should turn to the guiding questions on the internal influencing factors.

As you become familiar with the process and identify the approach that suits you best, the work should become easier and quicker.

▶ *How to record the outcomes of your discussions?*

In responding to the guiding questions, the team should aim first, to identify what were the key influencing factors and second, to determine together whether each of those factors was an "enabling" (positive) or a "constraining" (negative) influence on the SDI. The outcomes should be recorded accordingly, in line with the analytical framework shown in figure 13 and in template 7.

If team members have divergent opinions that cannot be reconciled at this point, make a note of them; you may come back to them later in the process. Alternatively, you may wish to explore the reasons behind the different points of view – for example, do they reflect gender or other personal characteristics of the team members (such as age, education or experience), organizational affiliation or political ideology? However, there may be a risk of losing momentum if the team spends too long trying to resolve points of disagreement.

3.3 Recording the results of your discussion

To organize and record the results of your discussion, you may wish to use the template provided below, in whatever way you choose - e.g. on a flipchart, with post-its, electronically, etc.

Template 7: Key factors influencing effectiveness		
Effectiveness dimension: *Write here the name of the effectiveness dimension being assessed*		
Achievement(s) or disappointment(s): *Record here the specific achievement(s) or disappointment(s) discussed for this dimension*		
	External influencing factors	**Internal influencing factors**
Enabling factors	*In these boxes, record the key influencing factors identified by the team as enabling*	
Constraining factors	*In these boxes, record the key influencing factors identified by the team as constraining*	

During your discussions, you may already start to identify where action is needed to address the influencing factors and improve the SDI's effectiveness. For example, you may conclude that "this is a serious constraint which we must tackle urgently", or "this is a significant strength which we should make better use of". Make a note of these ideas, as they will be useful when devising specific objectives and actions in sub-step 5.

3.4 The guiding questions for assessing the substantive dimensions of effectiveness

First, use the guiding questions below to explore the selected **achievements** under each dimension of effectiveness. Were they enabling or constraining influences on the SDI?

Next, use the same guiding questions to explore the selected **disappointments** under each dimension of effectiveness. Were they enabling or constraining influences on the SDI?

Record the outcomes of your discussion concisely (you may use template 7 or another suitable format)

▶ Dimension 1: Agenda effectiveness

▼▼ Does the SDI discuss significant labour, social and economic policy issues? ◢◢

Agenda effectiveness	
External influencing factors	**Internal influencing factors**
a. Were there any particular social, political or economic developments (at the national, regional or international levels) that brought the issue to the SDI's attention?	**a.** Did the SDI act on its own initiative in tabling the issue, or did it do so in response to a request, e.g. from the government, parliament or the public?
b. Were there any external influences or pressures on the SDI either to address or to prevent it from addressing the issue?	**b.** Did the issue fall within the SDI's mandate?
c. Was the involvement of the SDI in discussion of the issue mandated by law?	**c.** Did all the SDI's members/constituent groups have an equal say in setting the agenda?
d. Was the SDI the only competent institution in this field or did it compete, or collaborate, with others in dealing with the issue?	**d.** Was the SDI able to resolve any internal disagreement on whether or not to table the issue?
e. Did the SDI enjoy widespread recognition and respect in policy-making circles, or was it perceived as a marginal player?	**e.** Did the SDI have good procedures in place to establish its agenda well in advance?
f. Did the SDI have any external "champions" who supported its involvement in policy debates and development?	**f.** Did the SDI have the flexibility to modify its agenda/work plan in response to changing needs or opportunities?
g. Did the government or any other group seek to bypass the SDI in addressing the issue?	**g.** Did the SDI have access to the information, data, institutions and people necessary to determine whether this was a significant issue that required its attention?
h. Did the government systematically involve the social partners in the SDI in effective consultations regarding the International Labour Standards (ILS)-related matters specified in Convention No. 144, at least once per year?	**h.** Were the SDI's resources (human and financial) adequate to address the key policy priorities that it identified?

▶ **Dimension 2: Consensus-building effectiveness**

� **Does the SDI build consensus among its members on policy issues, based on sound analysis?** ◢◢

Consensus-building effectiveness	
External influencing factors	**Internal influencing factors**
a. Was the national political and social climate stable at the time?	**a.** Did the SDI's members agree on the scope of the work and the type of output to be produced?
b. Was the subject matter technically and politically straightforward, or inherently complex, sensitive or divisive?	**b.** Did the SDI establish an effective and appropriate working modality to tackle the issue (for example, a committee or working group)?
c. Was there external pressure on the SDI to complete the work within a specific timeframe?	**c.** Did the SDI have rules in place to govern its working methods, decision-making, chairing?
d. Was there any external involvement or interference in the SDI's work - e.g. by political parties or civil society groups?	**d.** Was the team undertaking the work diverse and inclusive, including people with the right mix of profiles, skills and knowledge?
e. Did the topic have a high public profile, receiving prominent media attention and lending a sense of urgency?	**e.** Did the individuals trust each other, and was everyone treated equally and with respect?
f. Did the SDI collaborate with any external partners or institutions?	**f.** Were techniques applied to bridge differences, seek compromise and build consensus?
g. Did the representatives in the SDI receive appropriate support and guidance or instructions regarding the position of their respective organizations on the topic under discussion?	**g.** Did the SDI draw on outside technical or other expertise, where needed?
h. Were good data and information on the issue available and accessible in the public domain?	**h.** Did the team effectively document and communicate its progress and challenges to the leaders and members of the SDI?

▶ Dimension 3: Policy influence effectiveness

▼▼ Does the SDI influence legislative and policy-making processes and outcomes? ◢◢

Policy influence effectiveness	
External influencing factors	**Internal influencing factors**
a. Was there political stability, respect for the principles of democracy and the rule of law in the country?	**a.** Did the SDI issue its advice or recommendations at the right time for it to be of use to policy-makers?
b. Did policy- or law-makers engage with the SDI on this issue? Was this engagement genuine or was it merely to fulfil a legal requirement or to pay lip-service to social dialogue?	**b.** Did the SDI regularly inform policy-makers about the progress of its work, and make them aware of its forthcoming output or policy advice?
c. Was it mandatory for the government or parliament to consider or act upon the SDI's recommendations, or to explain their reasons for not doing so?	**c.** Was the SDI's output robust and balanced, reflecting a consensus position between the membership?
d. Was there pressure from any external source on the government to act on this issue urgently or in a particular way?	**d.** Was the SDI's policy output produced in an appropriate, persuasive and accessible form or forms, adapted to its target audience(s)?
e. Was the SDI's output legally binding in its own right?	**e.** Did the SDI disseminate its output effectively to its target audiences?
f. What was the reputation of the SDI, based on its track record or any other factors?	**f.** Did the SDI follow up with policy- or law-makers after the release of its output?
g. Did any groups, especially those not represented in the SDI, question the credibility of its analysis or recommendations?	**g.** Did the SDI (or the secretariat) monitor whether its advice or recommendations were followed and, if not, seek to understand the reasons why?
h. Did any other institutions provide supporting or conflicting advice on the same topic?	**h.** Did the member organizations of the SDI consistently lobby for or otherwise advocate the adoption and implementation of its advice or recommendations?

▶ **Dimension 4: Social peace effectiveness[64]**

▼▼ **Does the SDI contribute to the maintenance of social peace?** ◢◢

Social peace effectiveness	
External influencing factors	**Internal influencing factors**
a. Were freedom of association and effective recognition of the right to collective bargaining respected in law and in practice?	**a.** Was the role of the SDI in maintaining social peace and/or in LDR clearly defined in its mandate?
b. Was the country characterized by a generalized respect for the rule of law?	**b.** Was the SDI proactive in seeking to maintain social peace and prevent disputes or did it wait for referrals?
c. Was there an adequate legal framework on labour and employment issues? Was it effectively enforced?	**c.** Did the SDI have members or secretariat staff with the skills and experience to deal with social tensions/ conflict and LDR? Could it access external expertise if needed?
d. Did the scale and potential impact of the issue or dispute in question influence the manner in which the SDI responded?	**d.** Were the internal procedures of the SDI with regard to social peace/ LDR efficient and adapted to the needs of diverse clients?
e. Were employers' and workers' organizations aware of the role of the SDI in maintaining social peace, the services available and how to access them?	**e.** Were the respective roles of the government and the social partners clearly defined and appropriate for efficiently resolving the issue or conflict?
f. Did the SDI enjoy the trust and respect of the government and the social partners in equal measure?	**f.** Did the SDI adopt consensus-based approaches, with an emphasis on prevention of disputes?
g. If specialized labour dispute prevention and resolution (LDR) institutions existed (in addition to the SDI), were their respective roles and responsibilities clearly specified and respected? Did the institutions cooperate well?	

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[64] This dimension is relevant primarily to SDIs with a mandate that includes a dispute prevention and resolution function. A detailed checklist for the assessment of labour dispute prevention and resolution is available in ITCILO (2013). *Labour dispute systems: Guidelines for improved performance,* Turin, pp. 38-49.

▶ Other substantive dimensions of effectiveness

The preceding four dimensions of effectiveness are those suggested by the SAM-SDI.

Did you identify any other substantive dimensions of effectiveness for the SDI in sub-step 1? If so, you now need to assess these dimensions, by exploring the influencing factors that contributed to the selected achievements and disappointments. You may draw on the same guiding questions as used for the previous dimensions or formulate new questions better adapted to the new dimension being assessed.

Once you have completed your assessment, record the outcomes of the discussion and move on to sub-step 4.

▶ 4. Assessing the operational dimension of effectiveness

▼▼ Does the SDI have efficient internal procedures, working methods and tools, and communicate effectively about its work to its target audiences? ◢◢

The final dimension of effectiveness underpins the preceding four and concerns how effectively and efficiently the internal operations of the SDI support its substantive work. The method for the assessment of the operational and communication dimension differs from that used for the other dimensions of effectiveness. This is because this dimension relates to how the SDI functions whereas the first four dimensions related to what the SDI has achieved (its results in terms of its agenda, consensus-building, etc.).

The issues are presented as "benchmarks" which capture key aspects of the dimension, framed as positive statements against which you will assess the SDI.[65] The benchmarks are stated in the present tense to reflect the fact that the assessment relates to the current operations of the SDI, rather than its past results (as was the case with the preceding dimensions). Nonetheless, it may still be helpful during your discussions to bear in mind the specific examples of achievements and disappointments identified in sub-step 2, as these may help you to identify the key operational strengths and weaknesses of the SDI which contributed to those results.

The aim of the exercise is to stimulate discussion within the team about the strengths and weaknesses of the SDI with respect to its operational and communication effectiveness. The dimension is divided into two sub-dimensions: the first addresses the SDI's internal procedures, working methods and tools, and the second, the communication function more specifically.

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[65] This is the same approach as was used for the assessment of inclusiveness in Step 2.

Score	Meaning
Scale for scoring the SDI against the benchmarks	
n/a	This benchmark is not applicable or relevant to the SDI[66]
1	The SDI performs poorly against this benchmark
2	The SDI performs moderately well against this benchmark
3	The SDI performs very well against this benchmark

Taking each benchmark in turn, discuss how well your SDI performs with respect to it. Try to reach consensus within the team on your response or, if this is not possible, note down any differences of opinion. You may wish to apply the scoring method proposed below to quantify your response. At the end of the discussion of each sub-dimension, record the outcomes of your conversation noting, in particular what you consider to be the main strengths and weaknesses of the SDI.

The SDI has efficient internal procedures, working methods and tools	n/a or score 1 to 3
a. The SDI has a permanent secretariat, with a sufficient number of staff who possess the required skills and experience to do their jobs effectively.	
b. The tasks of the secretariat are clearly specified and efficiently delivered in a way that fully meets the needs of the SDI.	
c. The human resources practices for the secretariat are fair and transparent (for example, regarding recruitment, career development, remuneration, etc.). Diversity and inclusion issues are taken into account in staffing decisions.	
d. The SDI and the secretariat have written, clear and effective procedures and rules governing their ways of working and which are respected in practice.	
e. The SDI has working modalities that are adapted to the different work items on its agenda (for example, sub-committees or working groups).	
f. The SDI has adequate facilities and equipment, such as offices and meeting rooms, furniture, computers and printers, documentation/library, databases, consumables (paper, pens, etc.), internet connectivity, mobile phones, transport etc.	
g. The budget of the SDI, including for the secretariat, is adequate to enable the SDI to carry out its mandate, the funds are disbursed on time and robust financial management, accounting and reporting procedures are followed.	

[66] "Not applicable" (n/a) would be the case, for example, for the benchmarks referring to the secretariat in an SDI which does not have a secretariat.

		n/a or score 1 to 3
h.	The leadership of the SDI enjoys autonomy and independence regarding decision-making, including over the allocation of financial and human resources. Government and the social partners have an equal voice in such decision-making.	
i.	The SDI has productive partnerships with external institutions, including to access research and data.	
j.	The SDI has an annual work plan or other planning framework to guide its work, with performance indicators that are regularly monitored and adjusted.	
k.	The SDI innovates in order to increase the efficiency of its operations.	
l.	The SDI responds well to changed circumstances (such as those created by the Covid-19 pandemic), and adjusts its working methods accordingly, including by the use of remote ways of working.	

What are the SDI's main strengths with respect to its internal procedures, working methods and tools?

Record the main outcomes of your discussion

What are the SDI's main weaknesses with respect to its internal procedures, working methods and tools?

Record the main outcomes of your discussion

The SDI communicates effectively about its work to its target audiences	**n/a or score 1 to 3**
a. The SDI has a thorough understanding of its target audiences and their respective information needs.	
b. The SDI systematically disseminates information on its outputs and achievements, using varied means of communication that are adapted to its target audiences.	
c. The SDI has a communication strategy, covering both internal and external communication.	
d. The secretariat includes staff with specific skills and experience in communication.	
e. The SDI engages proactively with the media to promote fair and balanced coverage of its work.	
f. The SDI/secretariat maintains a user-friendly, comprehensive and updated website.	

g. The SDI is well-linked to networks of policy makers and influencers, and systematically makes use of these channels for communication and information exchange.	
h. There is a prevailing culture of openness and freedom of speech in the country.	
i. The national communications infrastructure is extensive and reliable, including for radio, television, internet and mobile phone, in both rural and urban areas.	
j. The SDI has established a reputation as a neutral and impartial body.	

What are the SDI's main strengths with respect to communication?

Record the main outcomes of your discussion

What are the SDI's main weaknesses with respect to communication?

Record the main outcomes of your discussion

Once you have completed the assessment of this dimension, compile the results using template 8.

Template 8: Results of the assessment of the operational and communication effectiveness dimension			
Sub-dimension	**Scores (if used)**	**Main strengths**	**Main weaknesses**
Internal procedures, working methods and tools			
Communication			

▶ 5. Formulating objectives and actions to enhance the effectiveness of the SDI

The objective of sub-step 5 is to produce an outline of an action plan to enhance the SDI's effectiveness, drawing on the analysis completed in sub-steps 3 and 4. Figure 15 summarizes the process to be followed.

▶ Figure 15: The process for determining objectives and priorities for action

5 Formulate objectives and priorities for action to enhance the effectiveness of the SDI

▶ **5.1**	▶ **5.2**	▶ **5.3**	▶ **5.4**
Build consensus in the assessment team on the most significant factors influencing the SDI's effectiveness under dimensions 1, 2, 3 and 4	Consider the degree of control or influence the SDI has over the influencing factors, what kind of action it could take to address these factors and what are the associated risks	Review the most significant strengths and weaknesses of the SDI under the operational effectiveness dimension	Formulate objectives and ideas for action to enhance the SDI's effectiveness in the short, and medium to long term

5.1 Prioritizing the influencing factors

In sub-step 3, you probably identified a great many enabling and constraining factors influencing the SDI, far more than it would be feasible or desirable to attempt to address. The factors are almost certainly not all of equal significance in terms of their impact on the SDI's effectiveness. It is therefore necessary to prioritize them in order to focus attention on the key factors upon which taking action may be the most beneficial and productive.

First, assemble all the information arising from the assessment of the first four dimensions under sub-step 3, for which you could use template 9 (columns (i) and (ii) labelled "external" and "internal"). When compiling the information on influencing factors, you should remove any duplication of factors across the different dimensions of effectiveness. However, if a particular factor is mentioned very frequently, that may well point to its significance for the SDI.

In a second step, discuss and agree on what were the most significant factors affecting the SDI's effectiveness for each dimension. These can be noted as well in template 9 (column (iii), labelled "most significant factors"). Set aside those factors considered to be of lower significance. At this stage, it is advisable to avoid the temptation to discard significant factors simply because you think that nothing can be done about them.

Template 9: Compilation and prioritization of the factors influencing the SDI's effectiveness				
		External factors (i)	Internal factors (ii)	Most significant factors (iii)
▲ Agenda effectiveness	Enabling			
	Constraining			
▲ Consensus-building effectiveness	Enabling			
	Constraining			
▲ Policy influence effectiveness	Enabling			
	Constraining			
▲ Social peace effectiveness	Enabling			
	Constraining			
▲ Other dimensions of effectiveness	Enabling			
	Constraining			

5.2 Determining which factors may be acted upon by the SDI

It is suggested that you sort the most significant influencing factors - both enabling and constraining - into three categories, reflecting the degree of control or influence that the SDI may have over them:

i.   factors over which the SDI has direct control or some degree of control;

ii.   factors that the SDI has no control over, but which it may be able to influence;

iii.   factors that are outside the control or influence of the SDI.

Taking each category in turn, you should discuss whether the SDI could take action to address each influencing factor, and the kind of action that may be possible. While action may be most obvious for the factors falling in categories i. and ii., it may even be envisaged regarding the factors listed under iii., namely those which are "beyond the control or influence" of the SDI. For example, it may be possible for the SDI to plan action to limit the negative impacts of constraining factors that are outside its control, or to enhance the benefits of enabling factors in its environment. You may use template 10 to record the outcomes of your discussion.

Template 10: Sorting the influencing factors by the degree of control or influence exercised by the SDI		
Category of influencing factors	**Key influencing factors**	**Possible action to address the influencing factors**
i. Factors which the SDI controls	*Record here the most significant influencing factors*	*Write the actions the SDI could potentially take to address the various factors*
ii. Factors which the SDI may influence		
iii. Factors which are beyond the control or influence of the SDI		

The guiding questions below may help structure your discussions.

Action to address the factors influencing the effectiveness of the SDI
a.   What action could the SDI take to capitalize on the enabling factors (both external and internal) and operational strengths of the SDI?
b.   What action could the SDI take to counter the constraining factors (both external and internal) and operational weaknesses of the SDI?
c.   Are the benefits of the action likely to outweigh its costs (in broad qualitative rather than precise quantitative or financial terms)?

d.	Are there risks associated with taking the action?
e.	Are there risks associated with not taking the action?

This should be an iterative process, through which the assessment team gradually builds a set of high priority and feasible ideas for action to be included in the action plan. A consideration of risk is important as well at this stage – associated both with taking the proposed action and with not taking it.

5.3 Reviewing the outcomes of the assessment of operational and communication effectiveness

Review the main strengths and weaknesses of the SDI that you identified through the self-assessment of this dimension (at sub-step 4). As with the analysis of the substantive dimensions, start by considering whether or not these are factors over which the SDI has some influence or control. Next, think about what action could be taken to correct the weaknesses and build upon the strengths with respect to the operational and communication functions and performance of the SDI.

5.4 Formulating objectives and proposals for action[67]

Based on the ideas you have generated in the previous steps, you may now put together an outline of an action plan to enhance the effectiveness of the SDI, using template 11 below. The outline should contain a limited number of objectives (the end result that you are aiming to achieve or the change desired in the SDI), as well as proposals for specific actions to be taken, in the short term and medium/long-term, to achieve each objective. Identify and note the principal risks that may jeopardize achievement of the desired objectives.

Template 11: Outline of an action plan to improve the effectiveness of the SDI			
	Short-term action (over the next 12 months)	**Medium & long-term action (from one to five years)**	**Risks**
Objective 1: *Record the objective here*			
Objective 2:			
Objective 3:			

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[67] Further guidance on formulating an action plan is provided in Step 2 and in Step 4.

Step 4: Formulating the action plan

Contents

Step 4

▶ Step 4: Formulating the action plan

Step 4 of the SAM-SDI involves the development of a full action plan, putting flesh on the bones of the outline plans that were produced in the two preceding steps. In doing this, it is important to strike a balance between ambition and realism. A suitable level of ambition is needed if the plan is to make a real difference to the SDI and keep everyone motivated and committed to it. At the same time, the plan must be feasible in the national context, or it may give rise to frustration and disappointment. There is little point in producing an elaborate action plan that cannot be implemented in practice!

▶ Objective

The objective of Step 4 is the production of a more detailed action plan to strengthen the inclusiveness and effectiveness of the SDI.

▶ Outcome

Step 4 has two outcomes:

▶ A document which summarizes the findings of the self-assessment process and includes an approved action plan. The document will reflect feedback from the larger SDI membership (and possibly other key stakeholders) and have been endorsed by its leaders and/or governance body.

▶ The commitment and motivation of the SDI leaders, members and secretariat to follow through on the self-assessment by allocating resources for, implementing and monitoring the action plan.
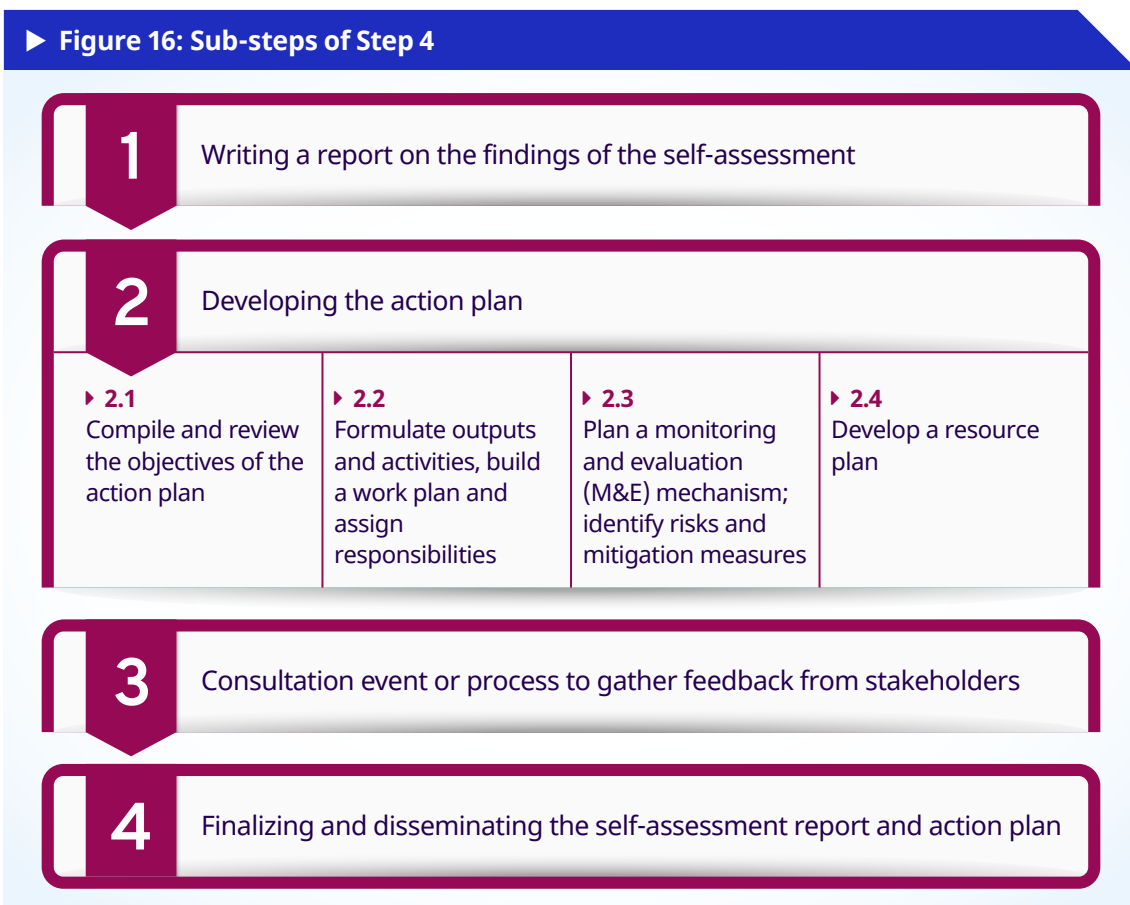
▶ Process

Step 4 of the SAM-SDI involves first, writing a report that summarizes the key findings of the self-assessment process and second, developing an action plan and securing the commitment and

buy-in of the stakeholders concerned. Many sources of information and guidance are available on how to develop an action plan, particularly in the context of project management.[68]

An action plan is a living document that will be modified in the course of its implementation, as circumstances change and new opportunities or constraints arise. Nonetheless, it is important to start with an overall framework to guide your action, including as much detail as possible. This will help in the implementation process and keep you on track to achieve your objectives.

Figure 16 provides an overview of the four sub-steps of Step 4.

▶ **Figure 16: Sub-steps of Step 4**

| 1 | Writing a report on the findings of the self-assessment |

| 2 | Developing the action plan |

▸ **2.1**	▸ **2.2**	▸ **2.3**	▸ **2.4**
Compile and review the objectives of the action plan	Formulate outputs and activities, build a work plan and assign responsibilities	Plan a monitoring and evaluation (M&E) mechanism; identify risks and mitigation measures	Develop a resource plan

| 3 | Consultation event or process to gather feedback from stakeholders |

| 4 | Finalizing and disseminating the self-assessment report and action plan |

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[68] Annex 7 provides some examples of online tools.

▶ 1. Writing a report on the findings of the self-assessment

At this point, it is necessary to bring together, in a concise form, the findings and outcomes of the various steps of the self-assessment that have already been undertaken. These findings will provide the basis for the formulation of the action plan in Step 4. The report on the self-assessment will be shared with the SDI leaders and members, as well as other relevant stakeholders for their review and comments, along with the draft action plan.

The self-assessment team should have recorded its findings continuously throughout the assessment process. It is now time to synthesize these findings in a clear, concise and consistent way. It is advisable to nominate a single team member with good drafting skills to take responsibility for this task.

A proposed outline for the report is included in Annex 8. This template may be adapted as necessary to suit the national circumstances and the assessment process that has been followed.

The report should include, at a minimum:

▶ a brief description of the self-assessment methodology, including the persons/institutions involved in it;

▶ background information on the objectives of the SDI, its history (timeline) and institutional environment;

▶ main findings of the self-assessment of inclusiveness and identified priorities for action;

▶ main findings of the self-assessment of effectiveness and identified priorities for action.

▶ 2. Developing the action plan

Initial considerations

Before the team starts work on the development of the action plan, discussion of the following guiding questions may be a useful first step to help determine the best way of proceeding.

Initial considerations regarding the development of the action plan
a. Who should develop the action plan? Should this be done by the assessment team or the SDI secretariat, and should anyone else be invited to participate in the exercise?
b. Does the team/SDI have experience of developing an action plan? Is the team/SDI familiar with the terms and techniques, or would external facilitation or expertise be helpful or necessary?
c. Are the results of the self-assessment process recorded clearly and concisely, and ready to be shared with any new people involved in the development of the action plan?
d. Should the action plan be a stand-alone document, or should it be integrated into any of the SDI's other planning frameworks (such as its annual work plan)?
e. What resources are available for the implementation of the action plan? From where and how could additional resources be raised, if necessary?

f.	What are the main potential risks or threats associated with developing and implementing an action plan? How might these risks be managed and mitigated?
g.	How can the commitment and ownership of the plan among the SDI leaders or members who have not been directly involved in the self-assessment process best be secured?
h.	Who should formally approve or endorse the action plan?

Different approaches and methods for action planning tend to use different terminology, which can result in confusion. The definitions of some key terms, as used in the SAM-SDI, are provided below.

▶ The hierarchy of terms used in project and action planning

The **goal** is the overall purpose of a development intervention or a project – that is, the higher order objective to which it contributes (for example, reduced inequality, economic growth or poverty reduction).

An **objective** is the result (or change) that the intervention aims to achieve.

An **output** is a specific product or service to be produced or delivered.

Activities are the actions taken or tasks performed in order to produce an output.

Inputs are the financial, human and material resources used to carry out an activity.

2.1 Compiling and reviewing the objectives of the action plan

Compile and review together the objectives that you formulated at the end of Steps 2 and 3. Are they specific? Are they feasible? Are there a realistic number of objectives? Are they all of equal priority, or are some objectives more important or pressing than others? Do the objectives complement each other, or are there any inconsistencies or overlapping/duplication between them?

At this stage, you should try to rationalize your initial set of proposed objectives with a view to producing a realistic and carefully formulated set of high priority changes/results required to enhance the SDI's inclusiveness and effectiveness.

▶ Examples of objectives

- ▶ Expanded mandate of the SDI in economic policy-making
- ▶ Improved representation of marginalized groups in the SDI's membership
- ▶ Greater public awareness of the SDI's work
- ▶ Increased resource efficiency of the SDI

2.2 Formulating outputs and activities, building a work plan and assigning responsibilities

It is now necessary to formulate the outputs required to achieve each objective of the action plan, drawing upon the ideas already proposed in Steps 2 and 3. Normally, several outputs will be needed which can together achieve a specific objective.

Once you have decided upon the outputs, the next step is to identify the activities or tasks required to produce each of them. Work through the objectives and outputs one by one.

▶ Examples of outputs

▶ A position paper making the case for expanding the SDI's mandate

▶ A public consultation on the composition of the SDI

▶ An updated and user-friendly website

▶ An effective monitoring and evaluation mechanism

Template 12 can be used to formulate the objectives, outputs and activities. It includes an illustrative example.

Template 12: Objectives, outputs and activities		
Objectives	**Outputs**	**Activities**
1. Greater public awareness of the SDI's work	*1.1 Upgraded user-friendly website*	*1.1.1 Conduct a survey of the users of the current website to identify its strengths and weaknesses* *1.1.2 Draft report with priorities for improving website content and presentation* *1.1.3 Develop terms of reference and engage a website developer to upgrade the website* *1.1.4 Run a user test on the upgraded website and incorporate the feedback of users* *1.1.5 Train a secretariat staff member to maintain the website* *1.1.6 Launch the upgraded website*
	1.2 Annual public awareness event	
	1.3 etc.	

The next step is to construct a work plan scheduling the activities over time, specifying a start and end date for each activity, with the possible inclusion of intermediate milestones, events or achievements. It is up to you to determine the level of detail to be included. The illustrative example of a work plan (Gantt chart) in template 13 lists activities and assigns responsibilities. Activities may be further broken down into sub-activities and tasks. This additional level of detail can help to improve the accuracy of planning and cost estimates, and facilitates monitoring of the implementation of the plan.

Template 13: Gantt chart for work planning									
Outputs	**Activities**	**Month 1**				**Month 2**				**Who is responsible**
		Week 1	Week 2	Week 3	Week 4	Week 1	Week 2	Week 3	Week 4	
1. Upgraded website	*1.1. Conduct survey*	▓	▓							*Head of communication (secretariat)*
	1.2. Draft the report		▓	▓	▓					*Communication team*
	1.3. Contract website developer					▓	▓			*Head of communication*
	1.4. Run a user test							▓		*Communication officer*
	1.5. Train secretariat staff								▓	*Head of communication*
	1.6 Launch website								▓	*Governing Board of the SDI*

2.3 Planning a monitoring and evaluation (M&E) mechanism: Identifying risks and mitigation measures

> ▶ **Monitoring and evaluation**

Monitoring involves the collection, analysis and communication of information on progress in the implementation of the action plan.

Evaluation involves the assessment of the relevance, efficiency, effectiveness, impact and sustainability of the action plan.

Monitoring

A robust monitoring mechanism will enable the SDI to review progress in the implementation of the action plan, identify any obstacles encountered and plan corrective action. Responsibility for monitoring should be assigned to an individual or team within the SDI, and the necessary resources allocated.

Indicators provide the basis for monitoring progress at the level of objectives, outputs or activities, and they should always be "SMART" insofar as possible.

> ▶ **SMART indicators**

A **SMART** indicator is:

S pecific: sets out precisely what information is required

M easurable: in terms of quantity and/or quality

A chievable: it can realistically be attained

R elevant: to the result or activity planned

T ime-bound**:** it specifies the date or period when the result is expected

Examples of output-level indicators	
Output	**Indicators**
Upgraded website	▶ upgraded website launched by September 2020
	▶ independently verified content of 20 web pages in October 2020
	▶ 80% positive user feedback in user survey in June 2021 (from both women and men users)
	▶ 50% increase in traffic to the SDI website by December 2021

Monitoring data should be disaggregated by sex as well as by other personal characteristics (for example, age or ethnicity) as relevant. For example, in the case of a promotional event or a capacity-building session organized by the SDI, it is essential to know how many men and women participated. This will enable the SDI to track whether it is making progress regarding its gender-inclusivity.

It is also important to keep track of the resources invested in the implementation of the different activities in the action plan. As the purpose of monitoring is to lead to action, the monitoring data and reporting on progress should be shared, at pre-defined intervals, with the person(s) within the SDI who have the authority and responsibility to act on the findings.

Risk assessment and management

Building on the ideas already put forward in Steps 2 and 3, identify the main risks that may affect the implementation of the action plan, assess their likelihood and potential impact and identify what action the SDI could take to manage and mitigate them.

The action may include measures to:

▶ avoid the risk

▶ control the risk

▶ share the risk or

▶ accept the risk

Evaluation

Evaluation is intended to address a range of issues relating to the implementation and results of a project or other intervention, usually once it has been completed.[69] Among other questions, the evaluator (normally a person or team who is independent of the institution being evaluated) assesses whether appropriate objectives and strategies were adopted, whether the intervention achieved its desired results and outcomes and if they are sustainable, and whether resources were used efficiently. A final evaluation also serves to identify and document lessons and recommendations for future interventions. A mid-term evaluation may also be conducted halfway through the implementation period to review progress and highlight any action needed to ensure that the project achieves the desired outcomes.

Resources should be allocated for evaluation of the action plan in the resource plan, and the evaluation(s) should be scheduled in the work plan.

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[69] The Development Assistance Committee (DAC) of the Organisation for Economic Cooperation and Development (OECD) has developed a set of criteria for evaluating development assistance that represents a global standard. The criteria are: *relevance* – is the intervention doing the right things?; *coherence* - how well does the intervention fit (with other ingoing interventions)?; *effectiveness* – is the intervention achieving its objectives?; *efficiency* – how well are resources being used?; *impact* – what difference does the intervention ultimately make in the longer term?; and *sustainability* – will the benefits last?

2.4 Developing a resource plan

The implementation of each component of the action plan has resource implications, which need to be estimated upfront. These may include hiring consultants, the cost of equipment and materials, renting facilities for workshops, and the travel and accommodation costs of participants.

The resource plan provides the basis for the preparation of the budget and the identification of the source of funding and other required resources.

Template 14: Resource plan with illustrative example						
Outputs	**Sub-activities**	**Type of resource**	**No. of units**	**Unit cost (currency)**	**Total cost (currency)**	**Source of funding**
1. Upgraded website	*Redesign website content*	*Communication consultant*	*10 days*	*50*	*500*	*SDI regular budget*
	Engage website developer	*IT consultancy firm*	*1*	*1,000*	*1,000*	
	Train secretariat staff	*IT training firm*	*5 days*	*50*	*250*	
	Develop communication strategy	*Communication consultant*	*10 days*	*50*	*500*	
	Launch the website	*Venue hire with refreshments*	*1*	*250*	*250*	
		Participants' travel	*50*	*5*	*250*	
Total cost of output 1					*2,750*	

▶ **3. Consultation event or process to gather feedback on the draft report and action plan**

The results of the assessment and the draft action plan need to be shared with a broader group of SDI members and leaders if their involvement in the process has so far only been limited.

The aim is to solicit and take on board the comments and suggestions of this broader group of people, reach consensus on the content of the final action plan and secure everyone's commitment to take the work forward.

There are many different ways of organizing a consultation, for example, in a single event,[70] an online consultation process, a series of meetings with the different constituent groups, a special plenary session of the SDI, or a combination of methods. Whatever option is chosen, it is important to allow sufficient time and space for the SDI members, and other key stakeholders as deemed appropriate, to express their views in a meaningful way. The success of the action plan will depend very largely on their commitment.

You may consider the following guiding questions for the preparation of the consultation.

Consultation process on the draft report and action plan
a. Who should be included in the consultation process? Should it involve only the SDI's leaders and members, or any external actors as well?
b. How should the consultation be organized? Who will take responsibility for organizing it?
c. Are there any specific local traditions or practices to consider when planning the consultation? How can it be made inclusive of all groups whose voices need to be heard?
d. Are there any aspects of the assessment report or action plan that might create tension or a reluctance by some parties to endorse them? What measures could be taken to seek to reduce such tensions and build consensus?
e. Are there specific parts of the assessment report or action plan that could be improved upon or further developed through the consultation?
f. How will the outcomes of the consultation be recorded for integration into the draft report and action plan?

▶ **4. Finalizing and disseminating the self-assessment report and action plan**

Following the consultation process or event, the draft report on the self-assessment process and the action plan should be adjusted accordingly.

Once finalized, the report should be disseminated to all SDI members and other concerned stakeholders. If certain comments have not been reflected in the final report, it would be advisable, for reasons of transparency, to explain why not.

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[70] Guidelines on the organization of a consultation event are provided in Annex 6.

The communication should be clear in indicating how and when implementation is expected and inviting the full and active participation of SDI members.

▶ Further reading and resources

ILO (n.d). "Basic principles of monitoring and evaluation", Geneva.

ILO (2010). *Project design manual: A step-by-step tool to support the development of cooperatives and other forms of self-help organization*, International Training Centre of the ILO, Turin.

The manual provides cooperatives and other types of self-help organizations with practical guidance to formulate project proposals that are economically, socially, politically and environmentally viable. It covers all the steps of project design, from the identification of the main problem to be addressed to the planning of the project implementation, monitoring and evaluation.

ILO (2015). *Development cooperation internal governance manual*, Geneva.

An ILO manual for use in the design and implementation of development cooperation projects. This manual is intended for ILO staff, but the principles and techniques are relevant for other development practitioners and project planners.

ILO (2018). "Guide on measuring decent jobs for youth monitoring: Evaluation and learning in labour market programmes", Note 3, Establishing a monitoring system, Geneva.

At the end of this note, readers will be able to:

▶ develop a visual theory of change diagram and translate this into a results chain which maps out the intervention logic from inputs through to higher-level goals

▶ choose SMART (specific, measurable, attributable, relevant and time-bound) indicators that describe and explain change

▶ select appropriate measurement tools and specify the timing and responsibilities for data collection

▶ deploy a monitoring system to aggregate, analyse and report on results.

Association for Project Management (APM) (2018). "Project risk analysis and management", Buckinghamshire.

This guide provides an introduction to the processes involved in project risk analysis and management, offering a simple, but robust and practical framework to help new practitioners get started. Some of the commonly used techniques and methods are described: a more comprehensive list and description can be found in the full APM guide. Project risk analysis and management can be used on all projects, whatever the industry or environment, and whatever the timescale or budget.

MindTools (2019). "Risk analysis and risk management: Evaluating and managing risks".

In this article and video, learn how to use risk analysis to identify and manage risk effectively.

OECD (2010). *Glossary of key terms in evaluation and results based management*, Paris.

South Med Social Dialogue (SOLiD) (2016). "What indicators to measure the efficiency of social dialogue?"

This guide, produced by a project funded by the European Union known as "SOLiD", implemented by the International Trade Union Confederation, the Arab Trade Union Confederation and other partners, describes a set of possible indicators to measure the efficiency of social dialogue.

UNDP (2009). *Handbook on planning, monitoring and evaluating for development results*, New York.

The handbook recognizes that planning, monitoring and evaluation require a focus on nationally-owned development priorities and results, and should reflect the guiding principles of national ownership, capacity development and human development.

Step 5: Implementing the action plan

Contents

Step 5

▶ Step 5: Implementing the action plan

It is now time to act on the results of all the work accomplished so far – namely, to implement the action plan. Of course, the process of implementation will depend entirely on the objectives and actual content of the action plan you have developed. Step 5 of the SAM-SDI therefore contains only general guidance and tips, based on good practice, to help ensure the successful implementation, monitoring and evaluation of the action plan. It does not propose a specific method or process to be followed, as in the previous steps.

▶ Objective

The objective of Step 5 is the successful implementation, monitoring and evaluation of the action plan.

▶ Tips for successful implementation

▶ The importance of leadership

In the context of the action plan, it is important at the outset to establish who is ultimately responsible and accountable for its delivery. Is it, for example, the governance body of the SDI? Is it considered to be the responsibility of the head of the secretariat team? Is the responsibility shared? Will the assessment team members have any continuing role in leading the implementation of the action plan? In Step 4, the question of the allocation of responsibility for the delivery of the individual outputs and activities set out in the plan was addressed, but not the overall responsibility for the delivery of the plan and its results.

Sound leadership means providing the right direction for a project, while listening to the ideas and concerns of the team members and motivating them to achieve the goals. Good leaders foster a work environment in which open communication and mutual respect are core values.

The person(s) identified to lead the implementation of the action plan should be ready and able to invest time and effort in this role, while having the autonomy and authority to make decisions regarding the allocation of human and financial resources, and should enjoy the respect and confidence of all the SDI's constituencies.

▶ Understanding roles and responsibilities

It is important for all those concerned within the SDI, and possibly some others who work in external partner institutions, to be aware of their role and involvement in implementing the action plan. Everybody should have a shared understanding of the plan, including its global vision, objectives and outputs, and be aware of when and in what capacity their participation will be sought.

▶ Adaptive management

It is essential to keep the implementation of the action plan under continuous review. Be ready throughout the implementation period to adapt it in response to changing circumstances. *Adaptive management* is a useful method to monitor and update your plan according to the changing environment and can help lead to results that are closer to the needs of the SDI. As implementation progresses, new opportunities may emerge, and it is important to try where possible to capitalize on such opportunities by being flexible in the implementation of the plan.

▶ Being realistic

The action plan will be implemented alongside the regular work of the SDI, its leaders, members and secretariat. It is important to phase in the activities over time in a realistic way and to avoid trying to accomplish too many things at once or in a very limited time period. This could result in confusion and fatigue among the SDI members, undermining commitment to the action plan. Pacing the activities sensibly will help to keep everyone concerned on board.

▶ Communicating

Maintaining regular communication with the concerned stakeholders is the best way of sustaining commitment and managing expectations during implementation. Communication helps to foster a respectful work environment, gather useful feedback and encourage the generation and flow of ideas. It can happen in a wide variety of ways – through SDI meetings, newsletters, face-to-face or written briefings, videos or interviews posted on the SDI website, social media or any other means. Sharing the results of key events or activities, showing how they are helping to increase the inclusiveness and effectiveness of the SDI, will help maintain the motivation of those involved to continue implementation of the action plan.

▶ Managing and mobilizing resources

It is crucial to closely monitor expenditure, checking value for money and ensuring budgets are respected. Look for cost-saving opportunities, for example, by identifying synergies with other planned activities of the SDI or related institutions. Look for ways to mobilize additional resources to support any unfunded elements of the action plan, for example through partnerships with other institutions or donor agencies.

▶ Prioritizing quality

The delivery of the activities/outputs in the quantity and by the date specified in the workplan should not be achieved at the cost of the quality of the work and results. It is important to allow

sufficient time for each activity to be properly planned and delivered. Various capacity-building activities for the members of the SDI or the secretariat may well be part of the action plan, and will themselves contribute to ensuring consistently high-quality results.

▶ Monitoring progress and evaluating results

Follow the monitoring plan rigorously, gathering the required information on the indicators at the specified intervals and communicating the results clearly to the leaders and members of the SDI. Monitoring is crucial to understanding progress in the implementation of the action plan and to identifying any constraints or bottlenecks. It provides the basis for determining where changes need to be made to the plan. When any such modifications are made, the indicators and monitoring schedules may need to be adjusted accordingly.

Monitoring data are also essential for the mid-term and/or final evaluations, as discussed in Step 4 of the SAM-SDI. The lessons learned through independent evaluation should feed into the revision and renewal of the action plan over time.

The discussion of monitoring in the SAM-SDI has focused on its importance in relation to measuring progress in the implementation of the action plan. However, it is of course extremely important for the SDI to undertake monitoring of the results and impact of the social dialogue that occurs within the institution. This relates, in particular, to the "policy influence" dimension of effectiveness. Applying the SAM-SDI offers the SDI an opportunity also to reflect on how to monitor those broader results and impact. Leaders and members of the SDI and its secretariat may wish to consider drawing up a list of possible indicators (if this does not exist already) to help track whether or not the SDI is achieving the "higher order" objectives or goals set out in its founding document. A common challenge with indicators at this level is to demonstrate whether or not the changes observed can be linked, whether directly or indirectly, to the work of the SDI.

Some possible examples of indicators of impact are given below. The SDGs include a comprehensive set of indicators across all the goals, which may serve as a source of inspiration. The ILO database on labour statistics, ILOSTAT, includes national time-series data on a wide range of labour- and employment-related indicators.

▶ Examples of indicators of impact

- ▶ annual rate of growth of real Gross Domestic Product (GDP) per capita
- ▶ income inequality (as measured by the Gini coefficient)
- ▶ proportion of the population living below the national poverty line (by sex and age)
- ▶ rate of unemployment and underemployment (by sex and age)
- ▶ labour force participation rate (by sex and age)
- ▶ proportion of informal employment in agricultural and non-agricultural employment (by sex)
- ▶ proportion of population who believe decision-making is inclusive and responsive, by sex, age, disability etc.
- ▶ annual number of strikes and lockouts by economic activity
- ▶ annual days not worked due to strikes and lockouts by economic activity

▶ Repeating the SAM-SDI process

Rather than being a "one-off" exercise, the application of the SAM-SDI could be repeated periodically by the SDI. Repeating the self-assessment, or undertaking a partial reassessment at specified intervals, would help the SDI chart its progress over time with respect to its inclusiveness and effectiveness, and allow for a regular update and renewal of the action plan.

▶ Further reading and resources

Center for Progressive Reform (CPR) (2011). "Making good use of adaptive management", White Paper 1104, Washington DC.

This paper is intended to help legislators, agency personnel and the public better understand and use adaptive management.

Ladner, D. (2015). "Strategy testing: An innovative approach to monitoring highly flexible aid programs", The Asia Foundation, Working Politically in Practice Series, Case Study No. 3, San Francisco.

The paper describes a new monitoring system developed by The Asia Foundation. Traditional monitoring methods track progress in linear, largely pre-planned projects where the result and the path to achieving it are known from the outset. Such methods are poorly suited to contexts where results emerge over time during implementation, and where there is a need to track shifts in programme strategy. The paper provides a detailed description of a monitoring method designed to fill this gap.

Ripley, M. and S. Jaccard (2016). "The science in adaptive management", The Lab, ILO, Geneva.

A short essay on adaptive management which explains the principles underpinning this approach to management, derived from natural resource science.

▶ Notes

Annexes

▶ Annex 1: Glossary of key terms

▶ Collective bargaining

Collective bargaining is a form of social dialogue involving only employers' and workers' representatives. The Collective Bargaining Convention, 1981 (No. 154), defines collective bargaining as:

"all negotiations which take place between an employer, a group of employers or one or more employers' organisations, on the one hand, and one or more workers' organisations, on the other, for--

a. determining working conditions and terms of employment; and/or

b. regulating relations between employers and workers; and/or

c. regulating relations between employers or their organisations and a workers' organisation or workers' organisations." (Article 2).

▶ Consultation

Consultation is the most widespread practice of social dialogue. It is the process by which governments and the social partners not only share information on policy issues, but also engage in more in-depth discussion on them. While consultation itself does not carry decision-making power, it can take place as part of a decision-making process. Consultation is about asking others for their views and involving them openly in discussion.[71] The Consultation (Industrial and National Levels) Recommendation, 1960 (No. 113), urges member States to take measures to promote effective consultation and cooperation between government and the social partners, with the general objective of "promoting mutual understanding and good relations between public authorities and employers' and workers' organisations, as well as between these organisations, with a view to developing the economy as a whole or individual branches thereof, improving conditions of work and raising standards of living" (Paragraph 4).[72]

▶ Decent work

Decent work for all is the over-riding policy goal of the ILO. It means work that is productive and delivers a fair income, security in the workplace and social protection for families, better prospects for personal development and social integration, freedom for people to express their concerns, organize and participate in the decisions that affect their lives and equality of opportunity and treatment for all women and men.[73] Decent work is as much concerned with the unemployed, and with policies to overcome unemployment and underemployment, as it is with the promotion of rights at work. Therefore, employment promotion, including creating an enabling environment for enterprise development, is a central objective. Social dialogue is one of the four pillars of the ILO Decent Work Agenda.

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[71] ILO (2013a), op. cit.
[72] ILO (2017), op. cit.
[73] ILO (n.d.). "Decent work".

▶ Efficiency

Efficiency is the accomplishment of a task with a minimum expenditure of time and effort.

▶ Equal footing

The participation in tripartite social dialogue of the government and the social partners on an equal footing means that the voices of all three parties carry equal weight in the discussions.

▶ Freedom of association

Freedom of association is the right of workers and employers to establish and join organizations of their own choosing without prior authorization.[74] The Freedom of Association and Protection of the Right to Organise Convention, 1948 (No. 87), is one of eight fundamental ILO Conventions, as referenced in the 1998 ILO Declaration on Fundamental Principles and Rights at Work. It sets out the right of all workers and employers, without distinction whatsoever, to establish and, subject only to the rules of the organization concerned, to join organizations of their own choosing without previous authorization. It states that public authorities shall refrain from any interference which would restrict this right or impede the lawful exercise of it.

▶ Gender mainstreaming

Mainstreaming a gender perspective is the process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in any area and at all levels. It is a strategy for making the concerns and experiences of women, as well as of men, an integral part of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres, so that women and men benefit equally, and inequality is not perpetuated. The ultimate goal of mainstreaming is to achieve gender equality.[75]

▶ Governance

The manner in which power and authority are exercised by both public and private bodies. Covers management, the legal framework, accountability and transparency.[76]

▶ Monitoring and evaluation

Monitoring involves the collection, analysis, communication and use of information about in progress the implementation of a project, plan, programme or policy. Evaluation is the assessment of the efficiency, effectiveness, impact, sustainability and relevance of a project, given its stated objectives.

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[74] ILO (n.d.). *ILO Thesaurus.*
[75] ILO (n.d.). "Gender Equality Tool".
[76] ILO. (n.d.). *ILO Thesaurus.*

▶ Negotiation

Negotiation is the most formal and binding form of social dialogue, which in most cases takes place in formal institutions. If successful, it often results in some sort of formal agreement which is binding on the parties to the negotiation. Tripartite negotiations aim to achieve agreements between the government and the social partners.[77]

▶ Risk and threat

A risk is the probability of liability, loss, or any other negative occurrence that is caused by external or internal vulnerabilities, and that may be avoided through pre-emptive action. A threat is an external event that is likely to cause damage, harm or loss. Threats cannot be removed, but action can be taken to minimize or reduce their impact.

▶ Social dialogue

According to ILO's broad working definition, which reflects the wide range of practices found worldwide, social dialogue includes all types of negotiation, consultation or information sharing among representatives of governments, employers and workers or between those of employers and workers, on issues of common interest relating to economic and social policy. Social dialogue is both a means to achieve social and economic goals and an objective in itself, as it gives people a voice and stake in their societies and workplaces. It can be bipartite, between workers and employers, or tripartite, including government. It can take place at different levels from the local to the global. Social dialogue can improve the design of policy measures, contribute to their effective implementation and improve the quality of the outcomes.[78]

▶ Social dialogue institution

In the context of the SAM-SDI, a social dialogue institution refers to any institution, mechanism or process in or through which social dialogue occurs between or among government, employers' and workers' organizations on an institutionalized, rather than ad hoc, basis. The term covers a wide range of institutions of various sizes and known by different names depending on the national context, such as tripartite labour advisory council, national tripartite committee, economic and social council or national council for social dialogue.

▶ Social partners

Workers' and employers' organizations are the ILO's social partners. They are key actors for the good governance of the labour market and for the development of sound industrial relations, which in turn promote stability, social justice and peace.[79] Employers' and workers' organizations should be representative and defend the interests of their members, as well as of the broader employer and worker constituencies. Social partners need the technical capacity, skills and confidence to be able to participate in an informed manner in social dialogue for policy

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[77] ILO (2013a), op. cit.
[78] ILO (2013a), op. cit.
[79] Ibid.

consultation, to negotiate with each other and with the government on an equal footing and to deliver and implement the agreements concluded.[80]

▶ Tripartism

Tripartism is a foundational principle and fundamental value of the ILO. It is defined as "the interaction of government, employers and workers (through their representatives) as equal and independent partners to seek solutions to issues of common concern" (*ILO Thesaurus*). Tripartism requires the views of each constituency to be given equal consideration in any forum, even if they do not have equal numbers of representatives present. Tripartism does not imply that the responsibilities of the three parties are the same; rather, each side has a specific role and function to fulfil.[81]

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[80] Ibid.
[81] Ibid.

▶ Annex 2: ILO instruments of particular relevance to tripartite social dialogue

Freedom of Association and Protection of the Right to Organise Convention, 1948 (No. 87)

Convention No. 87 provides for the right of workers and employers to establish or join organizations of their own choosing without prior authorization, and for such organizations to establish and join federations and confederations and to affiliate with international organizations. Organizations have the right to draw up their rules and constitutions, elect their representatives and formulate their programmes without interference from public authorities. Any State ratifying the Convention undertakes to take all necessary measures to ensure that employers and workers can freely exercise the right to organize. [82]

Right to Organise and Collective Bargaining Convention, 1949 (No. 98)

Convention No. 98 provides for the right of workers to be protected against discrimination by their employer as a result of their membership of a trade union or participation in union activities. Workers' and employers' organizations must enjoy protection against any acts of interference by each other. Measures appropriate to national conditions have to be taken to promote the use of machinery for voluntary negotiation between workers' organizations and employers or their organizations to regulate terms and conditions of employment by means of collective agreements.

Tripartite Consultation (International Labour Standards) Convention, 1976 (No. 144)

Member States commit to institute procedures for effective consultations between representatives of the government, of employers and of workers in respect of five specific matters concerning the activities of the ILO (as listed in Article 5). Such procedures are determined in accordance with national practice, after consultation with the most representative organizations of employers and workers enjoying the right of freedom of association.

Employers and workers have to be represented on an equal footing on any consultation bodies established. The organizations of employers and workers must be able to freely choose their own representatives to participate in the procedures. Consultations have to occur at appropriate intervals fixed by agreement, but at least once a year.

Tripartite Consultation (Activities of the International Labour Organisation) Recommendation, 1976 (No. 152)

Consultations may be undertaken through a variety of means, including a specifically constituted committee, a body with general competence in the economic, social or labour field, different bodies specialized in particular subject areas or through written communications, where this is agreed by all the parties concerned.

The competent authority should consult the representative organizations to determine whether these procedures should be used for consultations on other matters of mutual concern. It should also assume responsibility for the administrative support and financing of the consultation procedures, including of associated training where necessary.

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[82] ILO (2014). *Guide to internation al labour standards*, International Training Centre of the ILO, Turin.

Consultation (Industrial and National Levels) Recommendation, 1960 (No. 113)

Measures should be taken to promote effective consultation and cooperation at the industrial and national levels between public authorities and employers' and workers' organizations, as well as between these organizations, for certain specified purposes and other matters of mutual concern as agreed by the parties.

The general aim of such consultation is to promote mutual understanding and good relations between the parties with a view to developing the overall economy or individual sectors, improving conditions of work and raising standards of living.

In particular, the consultations should aim to achieve agreed solutions between employers' and workers' organizations on matters of mutual concern, and to ensure that the public authorities seek the views of employers' and workers' organizations, in an appropriate manner, in respect of matters, including laws and regulations and national institutions, relating to employment, vocational training and labour protection, and economic and social development planning.

▶ Annex 3: Toolbox for decision-making and consensus-building

This toolbox includes various resources to help explore different methods of trust-building and effective communication for inclusive decision-making and consensus-building.

▶ Mutual Gains Approach (MGA)

The Mutual Gains Approach (MGA) uses four steps to negotiate better outcomes, which in this case, means deciding whether to undertake the self-assessment and highlighting the mutual gains of such an exercise. The approach is based on the notion that all parties to a negotiation or a common decision have different interests that may be reconciled through trust building, as well as a careful analysis of the mutual gains and final outcomes benefitting all parties.

The first step is to understand the interests of all the members. The second is to create value by exploring options without committing, and separating interests (needs) from positions (demands or wants). The third step is aimed at developing options from which all parties can gain and benefit. The fourth step is to consider future challenges and their solutions, by imagining the types of issues that could derail the outcome or produce future conflict or uncertainty.

Reading

> **CBI (n.d.).** "Mutual Gains Approach to Negotiation", Consensus Building Institute.
>
> The Mutual Gains Approach to Negotiation (MGA) is a process model, based on hundreds of real-world cases and experimental findings, which lays out four steps for negotiating better outcomes while protecting relationships and reputation.

▶ Theory of Change (ToC)

The Theory of Change (ToC) can be used for the planning, participation in, evaluation and promotion of social change. The theory is based on long-term goals and the mapping of influential links and preconditions for success. This method could be applied to help conceptualize the entire self-assessment process and its desired outcome. Developing a ToC involves a comprehensive description and analysis of how and why a desired change (in this case, the increased inclusiveness and effectiveness of the SDI) is expected to happen in a given context.

The ToC uses six steps to define the necessary and sufficient conditions required to achieve a stated long-term outcome, as follows: [83]

1. Identifying the long-term goal

2. Backwards mapping to identify the preconditions or requirements necessary to achieve that goal

3. Identifying underlying assumptions

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[83] Center for Theory of Change (n.d). "How does theory of change work?"

4. Identifying interventions to create the desired change

5. Developing indicators to measure the progress and impact of the interventions

6. Writing a narrative to explain the logic of the initiative

Readings

ILO (n.d.). "Theory of change", Guidance Note 1.

A theory of change is the underlying logic linking together programme inputs and activities to a set of outcomes. It is the articulation of the way in which programme planners aim to produce results, and it might be premised on past research or, it might be created inductively through a consultation process.

Center for Theory of Change. Homepage.

The Centre exists to advance social change in human rights, public health, education and more.

Stein, D. and C. Valters (2012). *Understanding theory of change in international development: A review of existing knowledge*, JSRP Paper 1, The Justice and Security Research Programme and The Asia Foundation.

A review of the concepts and common debates within theory of change material, resulting from detailed analysis of donor agency and expert guidance documents.

Taplin, D., H. Clark, E. Collins and D. C. Colby (2013). *Theory of Change, Technical papers*, ActKnowledge, New York.

A series of papers to support development of theories of change based on practice in the field.

▶ Annex 4: Secondary sources of information for the self-assessment

Various background documents may be helpful for the self-assessment, including:

▶ National development plans, economic data and official economic and social reports and analysis

▶ National labour law and other relevant legislation

▶ A list of ratified ILO Conventions and the comments of the ILO supervisory bodies on the most relevant standards, in particular Conventions Nos. 87, 98 and 144

▶ The founding documents of the SDI, such as its statutes, constitution, tripartite agreement, Memorandum of Understanding, regulations, terms of reference, etc.

▶ Recent annual reports of the SDI

▶ Recent and current work plans of the SDI

▶ The budget and expenditure of the SDI for the current and recent years

▶ Opinions, recommendations, reports, tripartite agreements and any other policy outputs of the SDI

▶ Information on recent policy or legal reforms or other initiatives in which the SDI has been involved or influential (and others where it has not)

▶ Media coverage or other communication material on or about the SDI

▶ Annual reports of the social partner organizations

▶ National industrial relations data on, for example, trade union and employer organization density, industrial disputes etc.

▶ Academic articles on social dialogue, industrial relations, economic and social development issues

▶ Contact details for:

- current leaders and members of the SDI
- secretariat staff of the SDI
- former leaders and members of the SDI
- parliamentarians, government officials, academics or consultants/experts who have an interest in, or past involvement with, the work of the SDI.

▶ Annex 5: Further sources of information and insights

Desk research	Workshops and group activities	Interviews with key actors
The team can access additional useful information from secondary sources, including to fill gaps in the knowledge or experience of team members. Sources can be found through the Internet, university or public libraries, government archives, press clippings, personal contacts, or in many other ways.	You may find it helpful to try out different group activities to make the work of the assessment team more interactive, creative and fun. Activities can help stimulate better discussion and outcomes than would be achieved through a straightforward conversation or round-table discussion.	You may wish to consult individuals or institutions beyond those represented in the assessment team. Should you wish to conduct interviews, it is advisable to prepare flexible guidelines or checklists in advance.
Secondary sources: ▸ national legislation and official gazettes ▸ government webpages ▸ the websites of workers' organizations ▸ the websites of employers' organizations ▸ national and international academic journals ▸ reports of ILO-AICESIS global conferences ▸ NORMLEX (the ILO database on international labour standards). ▸ NATLEX (the ILO database of national labour, social security and related human rights legislation). ▸ The website of the ILO	Group activities: ▸ Five whys ▸ Open Space ▸ Round Robin ▸ 1-2-4-All ▸ Brainstorming ▸ Brainwriting ▸ World Cafe ▸ TRIZ ▸ Wicked Questions	Key informants: ▸ officials of the Ministries of Labour, Finance, Economy, Planning, etc. ▸ parliamentarians ▸ former officers of workers' and employers' organizations ▸ past members of the SDI ▸ members of other social dialogue bodies ▸ academics or experts in specific technical fields ▸ journalists and political commentators ▸ officials of international or regional institutions

▶ Annex 6: Guidelines for the organization of a consultation event

1.   Determining the format of the consultation

First, decide how to organize the consultation process for the review and endorsement of the self-assessment report and action plan by SDI members and other concerned stakeholders. Different methods can be used to foster a collaborative and inclusive consultation. Reaching consensus and creating ownership of the plan are important aims of the process.

Various methods are proposed below, and you should choose the approach that best suits the context.

▶ Possible methods for the consultation

- ▶ single validation workshop
- ▶ several workshops with different constituent groups
- ▶ online consultation
- ▶ plenary session of the SDI
- ▶ special meeting of the SDI

2.   Identifying the main issues for discussion

Given the assessment team's in-depth knowledge of the self-assessment process and its outcomes, the team members should together identify the key points on which feedback and inputs are desired from the participants in the consultation process or event. Compile a list of key unresolved issues, questions, information gaps and so on. Prepare the programme for an event or a process that will meet the objectives of the consultation.

3.   Planning the consultation

Make a list of the participants to be included in or invited to the consultation.

If the event(s) is face-to-face, consider the selection of a suitable and accessible venue, and the technical/material requirements, such as microphones, projectors, and writing materials. Plan for the travel (as required) of the participants and provide them with information on the objectives, programme and logistical arrangements. Make sure that the materials and location accommodate the diversity of the participants.

If the event(s) is online, make sure that all participants understand the technical modality of the process, have the required IT equipment and are comfortable participating in this way.

Share the agenda in advance with the participants, as well as the draft report and action plan.

The following guiding questions may be useful in planning the process or event.

Planning a consultation event
a. What are the objectives of the event(s)?
b. How will the agenda/programme be structured?
c. Who should make opening and closing remarks? Who will present the findings of the self-assessment and the draft action plan?
d. What is the cost of the event(s) and who will provide the funding/other resources?
e. Who should be invited to participate? Should any observers be invited?
f. How can a gender balance be ensured among the participants?
g. Who should facilitate the event? For example, is it necessary to hire a professional facilitator or external expert?
h. How can the participants be involved in an interactive and engaging way, for example through group work or break-out sessions, including to encourage the participation of groups or individuals who may be less willing or able to express their views?
i. What logistical arrangements need to be made and who is responsible? Do special arrangements need to be made for participants with a disability or who have other personal needs?
j. How will the discussions be recorded and the report prepared on the outcome of the event?

4. Holding the event

The following are some tips to help ensure a productive consultation, regardless of the method(s) chosen.

▶ Try to create an engaging atmosphere from the beginning.

▶ If the event is face-to-face, make sure the venue is set up appropriately.

▶ Introduce the approach or methodology to be used.

▶ Explain the objectives of the consultation clearly.

▶ Explain the ground rules for participation in the event: for example, all mobile telephones must be switched off; all participants are treated with courtesy and respect; the role of the chairperson(s) and facilitators; confidentiality of the proceedings etc.

▶ Develop engaging activities to foster active participation and encourage everybody to contribute, regardless of their background or profile.

▶ Ensure that each participant has prior access to the documentation. Keep extra copies of the report and action plan at hand.

▶ Make sure that the discussions, recommendations and conclusions of the event are written up accurately and in full.

▶ Annex 7: Activities and tools to facilitate participatory and productive team work

▶ Activities

Many types of activity can help create honest, respectful and open communication, which contributes to building trust, making the work more interactive, productive and enjoyable, and facilitating discussions. You can find further activities on The Compass website.

The list provides links to various activities that may be useful at different stages of the SAM-SDI process.

▶ **Five Whys**

The Five Whys formula helps to clarify the aims of a team's project or an individual's task.

▶ **Heard, Seen, Respected (HSR)**

This activity stimulates the ability of participants to empathize through three simple steps: listening, recognizing and responding. The art of listening increases mutual trust, and participants become more conscious and responsive listeners.

▶ **Open Space**

Open Space allows participants to drive the development of an agenda that deals with multiple issues around a central theme. It uses the self-organizing capacity and ingenuity of participants to achieve learning objectives.

▶ **Purpose to Practice (P2P)**

P2P brings focus to an initiative involving a large number of stakeholders, defining the elements to be implemented by them. The group focuses on purpose, principles, participants, structure and practices to scale up for success.

▶ **TRIZ**

The TRIZ method poses the provocative question of which actions could lead to the worst possible results. In a relaxed and playful atmosphere, participants acknowledge ineffective activities and habits, leaving space for best practice ideas.

▶ **15% solution**

This method focuses on drawing out the contributions, major and minor, that one team member can make, with a view to identifying a breakthrough on an issue or problem.

▶ **Agreement and certainty matrix**

Challenges can be classified into simple, complicated or complex and be matched with an appropriate change method. This activity helps to label and match challenges to the right solution, thereby optimizing effort and avoiding mismatches between the challenge and a suitable solution.

▶ **25/10 Crowd Sourcing**

25/10 is a group activity in which 20 minutes can be long enough for a large team to generate and organize great and daring ideas. It creates a playful atmosphere and allows for dynamic team thinking and bold steps.

▶ Jigsaw

A jigsaw is a cooperative learning strategy that encourages people to develop their own understanding and then share knowledge with the group as a whole.

▶ After Action Review

After Action Review is a participatory reflective tool to review and critique completed actions, in order to improve performance and solutions in the future.

▶ Round Robin

The Round Robin is for rapid and intense engagement with the subject matter. Participants address the subject matter in a series of rotations within small groups.

▶ Online tools

Online tools can help organize the work, manage projects, develop and monitor work plans and action plans, and provide online spaces for collaboration between the members of the team. Links to a selection of such tools are provided below.[84]

▶ Google Sheets
Online and collaborative spreadsheet tool

▶ How to make a Gantt Chart in Excel
Tutorial on creating a Gantt chart using Excel

▶ Google Doc
Platform to work together on a shared document

▶ Dropbox
Platform to work together on a shared document

▶ Google Meet
Platform for online meetings

▶ Webex
Platform for online meetings

▶ Zoom
Platform for online meetings

▶ Typeform
Platform to develop and implement a survey

▶ SurveyMonkey
Platform to develop and implement a survey

▶ Google Forms
Platform to develop and implement a survey

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[84] The inclusion of a commercial product in this list does not imply its endorsement by the ILO.

▶ Annex 8: Proposed outline for a report on the self-assessment

The following provides a proposed outline for the report on the self-assessment. This may be modified in light of the national circumstances and to reflect how the SAM-SDI was implemented in practice by the social dialogue institution.

Executive summary

1. **Introduction**

    i. Rationale for the self-assessment: How and why the decision was taken to apply the SAM-SDI

    ii. Composition of the self-assessment team

    iii. Methodology: How the SAM-SDI was applied in practice, including the main secondary sources of information used, persons and institutions consulted etc; critical evaluation of the method (including challenges encountered and how these were overcome)

    iv. Results of the "snapshot quiz" on the current status of the SDI

2. **History and context of the SDI**

    i. Objectives of the SDI

    ii. History/timeline of the SDI

    iii. Institutional environment of the SDI

3. **Assessment of the inclusiveness of the SDI**

    i. Summary of the findings regarding each dimension of inclusiveness that the team examined, highlighting the main strengths and weaknesses with respect to each one:

    - ▸ Membership
    - ▸ Decision-making body/ies
    - ▸ Gender, diversity and inclusion
    - ▸ Representativeness
    - ▸ Issues

    ii. Initial priorities and recommendations for action to enhance inclusiveness (objectives and possible action to take in the short and medium/long term), as well as risks.

4. **Assessment of the effectiveness of the SDI**

    i. Brief description of the assessment process – e.g. which of the five dimensions were retained (and why), any new dimensions that were added, list of the selected results of the SDI (achievements and disappointments) that formed the basis for the assessment, which team members were involved in each sub-step, any other stakeholders who were consulted.

ii. Summary of the findings regarding each *substantive* dimension of effectiveness that the team examined, highlighting the most important enabling and constraining factors, external and internal, with respect to each:

- ▸ Agenda effectiveness
- ▸ Consensus-building effectiveness
- ▸ Policy influence effectiveness
- ▸ Social peace effectiveness
- ▸ Any other substantive dimension(s)

iii. Summary of the findings regarding the *operational and communication* effectiveness dimension, highlighting main strengths and weaknesses regarding the SDI's:

- ▸ Internal procedures, working methods and tools
- ▸ Communication

iv. Main findings regarding prioritization of the influencing factors, and which ones may be acted upon

v. Initial priorities and recommendations for action to enhance effectiveness (objectives and possible action to take in the short and medium/long term), as well as risks.

5. The action plan

The full action plan, once endorsed by the SDI members and leaders, should be included in the final report of the self-assessment.

Advancing social justice, promoting decent work

The International Labour Organization is the United Nations agency for the world of work. We bring together governments, employers and workers to drive a human-centred approach to the future of work through employment creation, rights at work, social protection and social dialogue.

The self-assessment method for social dialogue institutions

The self-assessment method for social dialogue institutions (SAM-SDI) has been developed by the International Labour Organization to help constituents analyse and strengthen the inclusiveness and effectiveness of their social dialogue institutions.

The method is intended for social dialogue actors in all parts of the world and for institutions of various sizes, composition and mandate, and with different resource availability. It guides users through a series of steps, from taking the decision to undertake a self-assessment, through the process of assessing the inclusiveness and effectiveness of the institution to the development, implementation and monitoring of an action plan.

The method is flexible and may be adapted by each institution to suit its own particular circumstances, needs and priorities.

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