



**O'BRIEN &
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**INDEPENDENT MID-TERM EVALUATION
OF THE
UNION CAPACITY DEVELOPMENT COMPONENT
OF THE BETTER WORK VIETNAM PROGRAM**

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This report describes in detail the mid-term evaluation of the Union Capacity Development component of the Better Work Vietnam program that was conducted between April 1 and May 15, 2013. Michele Gonzalez Arroyo, an independent evaluator, conducted the evaluation in collaboration with the project team and stakeholders and prepared the evaluation report according to the terms specified in her contract with O'Brien and Associates International, Inc. Ms. Gonzalez Arroyo would like to express sincere thanks to all parties involved for their support and valuable contributions.



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LIST OF ACRONYMS

ACTRAV	Bureau for Workers' Activities of the ILO
APHEDA	Australian People for Health, Education and Development Abroad
BWV	Better Work Vietnam
CBA	Collective Bargaining Agreement
DIALOGUE	Industrial and Employment Relations Office of the ILO
EA	BWV Enterprise Advisors
FOL	(Provincial) Federations of Labor
GRTU	Grassroots Trade Union (enterprise or factory-level union)
HCMC	Ho Chi Minh City
ILO	International Labor Organization
ILO IR	ILO Industrial Relations project (Hanoi)
ILS	International Labor Standards
IZ	Industrial Zone Union (district-level union)
MOLISA	Ministry of Labor Invalid and Social Affairs
PICC	Performance Improvement Consultative Committees
PMC	Project Monitoring Committee
PMP	Project/Performance Monitoring Plan
PSC	Project Steering Committee
TOR	Terms of Reference
UCD	Union Capacity Development component (of BWV program)
USDOL	United States Department of Labor
USG	United States Government
VCCI	Vietnam Chamber of Commerce and Industries
VGCL	Vietnamese General Confederation of Labor

EXECUTIVE SUMMARY

In September 2011, the U.S. Department of Labor (USDOL) provided \$640,000 to Better Work Vietnam (BWV) for a period of two years to improve the role of workers and their representatives in support of the larger BWV objectives, in particular increasing compliance with International Labor Standards (ILS) and domestic labor laws. The funds were used to support activities aimed at strengthening the capacity of trade union leaders and representatives in the apparel (garment) sector, at both the enterprise level and in the upper-level trade unions. The project, referred to as the Union Capacity Development (UCD) component of the larger BWV country program, was carried out by three implementing organizations: the Bureau for Workers' Activities (ACTRAV), the ILO's Industrial Relations project (ILO IR) in Hanoi, and the Better Work Vietnam program. The international solidarity agency of the Australian Council of Trade Unions, Union Aid Abroad APHEDA (hereafter APHEDA), served as ACTRAV's implementing partner in Vietnam.

The UCD component activities were carried out in the three target provinces of the BWV program: Ho Chi Minh City, Binh Duong and Dong Nai. The component's immediate objectives were as follows:

1. Strengthened capacity of the union members of the Performance Improvement Consultative Committees (PICCs) in BWV to contribute to the improvement process.
2. Increased capacity of enterprise level unions, the textile and garment workers union and the Federations of Labor in BWV-targeted provinces to effectively represent workers in export-oriented workplaces within the garment sector.
3. Strengthened capacity of the Vietnamese trade unions by piloting initiatives for the development of innovative approaches to union organization in an expanded number of BWV participating factories.
4. Increased capacity of the team of Enterprise Advisors on industrial relations issues and international labor standards.

The purpose of the mid-term evaluation was to assess the UCD component's progress toward achieving its immediate objectives; to identify lessons learned from its program strategy and key services implemented to date; and to provide feedback to the three implementing organizations (BWV, ACTRAV/APHEDA and ILO IR project) with regard to achievements and possible corrective actions for improving the overall component's outcomes.

The evaluation methodology was primarily qualitative in nature, involving an analysis of key project documents and interviews with project staff from the three implementing organizations, trade union social partners, direct beneficiaries (target groups), and other key stakeholders. The mid-term evaluation examined six areas based on the questions contained in the Terms of Reference: (1) relevance and strategic fit of the project; (2) validity of the project design; (3) efficiency and adequacy of project resources; (4) progress and effectiveness of project strategies; (5) effectiveness of management arrangements; and (6) impact orientation and sustainability. Following is a summary of the **findings and conclusions** according to these six areas.

RELEVANCE AND STRATEGIC FIT

The UCD component made timely contributions to the country's efforts to strengthen industrial relations in support of its transition to a full market economy with differing roles and responsibilities for worker and employer organizations, consistent with ILS. The implementing partners' ongoing and close relationship with trade unions at both the upper and grassroots levels also provided a strong foundation for the assessment of the target groups' relevant needs. Although these assessments provided important information, the implementing organizations did not coordinate efforts to gather baseline information during this initial assessment phase, which could have played an important role in the systematic monitoring of outcomes.

VALIDITY OF THE PROJECT DESIGN

The UCD component's use of a logical framework approach enabled the development of a coherent project design with cause-effect linkages between the activities and the capacity-building objectives. The inclusion of effective outcome and output indicators and their means of verification within the framework laid the foundation for an effective project monitoring plan (PMP), but these indicators were never fully integrated in the resulting PMP.

The target goals and timeframes established in the original work plan were based on a reasonable expectation of project efforts. The critical assumptions included mitigation measures that likely helped to prevent a weakening of project training strategies, particularly those dependent upon management approval.

PROJECT PROGRESS AND EFFECTIVENESS

The UCD component likely will achieve its target goals for each immediate objective, contingent upon the ongoing commitment of the social partners. In addition to this progress, further effectiveness of the component's capacity-building efforts was demonstrated through (a) the integration of effective teaching methodologies into union training programs, (b) the participation of trade union workers in democratic union activities and social dialogue, (c) the application of innovative bottom-up approaches, and (d) the strengthened focus on industrial relations in the BWV enterprise assessment process. While activities have primarily been directed to the Grassroots Trade Unions (GRTUs) and upper-level unions associated with BWV participating enterprises, a wider audience within the VGCL, international trade union solidarity support organizations and other Better Work country programs also benefitted from UCD component materials and experiences. In addition, activities related to Objective 3—the piloting of bottom-up approaches—demonstrated the successful application of project strategies to factories outside of BWV participating enterprises.

Capacity-building efforts specifically directed at the union PICC representatives have helped to build skills and confidence in the social dialogue process. The provision of additional training and follow-up support has served to reinforce these newly acquired skills. The ability and/or opportunity of union PICC members to adequately prepare or debrief with the GRTU executive committees were limited, but may be a result of little or no paid time off to prepare for PICC meetings or debrief their outcomes.

EFFECTIVENESS OF MANAGEMENT STRUCTURE

The UCD component successfully managed to coordinate the activities of the three implementing organizations by creating the central Project Monitoring Committee (PMC) to unify and leverage efforts in order to meet common goals. The additional advisory subcommittee of key social partners provided the necessary participation and buy-in to meet specific project objectives, with regard to the training activities under Objectives 1 & 2. The pilot activities of Objective 3 were further enhanced with the direct involvement of VGCL's Pilot Working Party, thus providing an effective platform for the commitment and participation of upper-level trade unions and the dissemination of the best practices and lessons learned throughout the VGCL.

The development of the logical framework in the project design phase laid the foundation for an effective monitoring plan. Its integration into the donor-approved project monitoring plan was primarily limited to the output indicators, however, necessitating the creation of a separate "internal" monitoring plan to measure progress toward achieving outcomes. The donor-approved PMP had limited use as a tool to assess progress toward achieving project outcomes. At the same time, insufficient project resources limited the opportunity to carry out rigorous monitoring of project outcomes. APHEDA, however, developed additional indicators that allowed for a deeper analysis of the project's effectiveness.

EFFICIENCY AND ADEQUACY OF PROJECT RESOURCES

The implementing organizations efficiently executed project activities with the additional support of in-kind staff from each of their respective organizations. It is unlikely that the training activities and technical assistance under Objectives 1, 2 and 3 could have been fully executed without significant in-kind contributions toward the expenses associated with staff time and materials production. With the support of BWV and APHEDA's prior union capacity-building work and leveraged assistance, implementation of project activities was highly cost effective.

The implementing organizations' ongoing and historical work relationship with key social partners has been instrumental to gaining the necessary commitment and buy-in of the social partners in order to efficiently and effectively carry out trade union capacity-building activities within Vietnam's social and political contexts.

IMPACT ORIENTATION AND SUSTAINABILITY

With the inclusion of a required social dialogue mechanism in the new Labor Code, the PICC process offers a model for social dialogue that has been tested within its own social and political contexts. The possible future impact of the PICC experience on social dialogue between grassroots trade union leaders and management in the area of collective bargaining remains to be seen.

The verbal commitment of the FOLs to continue offering training services to GRTUs, or to apply the knowledge/tools acquired after current project funding ends, will enable some degree of sustainability of training efforts. The continued support of APHEDA ensures to a greater extent the continuation of training activities aimed at the GRTU leaders. At the same time, any services that require expenditures drawn from the limited resources of trade unions,

or those of international solidarity organizations, will run the risk of having to downsize efforts.

At mid-term, there is no commitment by either the FOLs or APHEDA to continue implementing trainings for union PICC representatives without the support of outside funding; however, Better Work Global and the ILO are actively seeking funding to continue this work. While there is continued support for the PICC process by project stakeholders, the current trainings for union PICC members within BWV participating factories run the risk of ending with the life of the project.

The recent notification of additional funding for the ILO IR project in Hanoi will enable the project to offer continued financial and technical support to the VGCL as they scale-up the innovative bottom-up approaches with other Industrial Zone (IZ) unions, in other provinces, or in settings outside of the BWV factories. The VGCL's effort to promote these bottom-up approaches at the upcoming Congress demonstrates further commitment toward their sustainability.

As the BWV program grows, the need for additional industrial relations training for Enterprise Advisors also will increase. By integrating the Better Work Global Technical Specialist on Industrial Relations in Geneva, the BWV program has developed a built-in mechanism for providing ongoing training, thus decreasing or eliminating the reliance of external funding for additional IR training.”

The following **recommendations** are based upon the findings and conclusions. They are intended to inform on the design and implementation of the final six months of the UCD component, and for use in future union capacity-development projects.

PROJECT DESIGN

- 1) Develop a relevant project design that fits within the current social and political context of the host country, such as the current UCD component. Enhance the relevancy of this design by strategically assessing the needs of target groups, including information on knowledge, attitudes and practices that later can serve as a baseline for the monitoring of project outcomes.
- 2) Ensure that the creation of the project design follows a logical framework approach, with cause-effect linkages between activities, outputs and outcomes. Utilize the resulting framework as a foundation for the project monitoring plan.

PROJECT IMPLEMENTATION

- 3) Reinforce the cohesive coordination between training, application of skills and follow-up support in order to maximize the outcome of capacity-building efforts and their sustainability.
- 4) Formalize case studies of innovative “bottom-up” approaches and their results for application in other IZ unions, in other provinces, or other settings outside of the BWV participating factories. Create additional case studies of successful capacity-building strategies that have led to increased social dialogue and greater worker participation in democratic union processes.

PROJECT MANAGEMENT AND MONITORING

- 5) Continue to support and strengthen the advisory role of sub-committees including the Project Steering Committee and the Pilot Working Party in order to increase their input, buy-in, and commitment of social partners toward achieving project goals and sustaining project efforts.
- 6) Establish a single comprehensive monitoring plan, in future projects, with clearly articulated output and outcome indicators, and data collection procedures. Utilize this plan to obtain ongoing feedback on project progress and to implement potential strategic modifications that could enhance project effectiveness. Allocate sufficient funds to carry out resource-intensive monitoring of outcomes.

SUSTAINABILITY

- 7) Develop and implement mechanisms to share lessons, experiences, good practices, and innovations with a wider audience of trade union stakeholders in order to replicate and scale-up capacity-building efforts. Develop clear exit strategies for the continuation and support of key capacity-building strategies, particularly those that can be sustained without dependence on outside funding.
- 8) Investigate possible funding sources for the continued support of the union PICC trainings. Generate interest in future funding by documenting the good practices resulting from trade union participation in the PICC process.

I PROJECT DESCRIPTION AND BACKGROUND

In September 2011, the U.S. Department of Labor (USDOL) provided \$640,000 to Better Work Vietnam (BWV) for a period of two years to improve the role of workers and their representatives in support of the larger BWV objectives, in particular increasing compliance with International Labor Standards (ILS) and domestic labor laws. The funds were used to support activities aimed at strengthening the capacity of trade union leaders and representatives in the apparel (garment) sector, at both the grassroots (enterprise) level and in the upper-level trade unions. The project, referred to as the Union Capacity Development (UCD) component of the larger BWV country program, was carried out by three implementing organizations: the Bureau for Workers' Activities (ACTRAV), the ILO's Industrial Relations project (ILO IR) in Hanoi, and the Better Work Vietnam program. The international solidarity agency of the Australian Council of Trade Unions, Union Aid Abroad APHEDA (hereafter APHEDA), served as ACTRAV's implementing partner in Vietnam.

The garment and textile industry is the biggest export industry in Vietnam, employing more than 2 million mostly young workers.¹ The enormous growth of this sector has coincided with increased numbers of labor disputes and wildcat strikes, many of which have occurred in the component's target provinces of Ho Chi Minh City, Binh Duong and Dong Nai (see Fig. 1).²

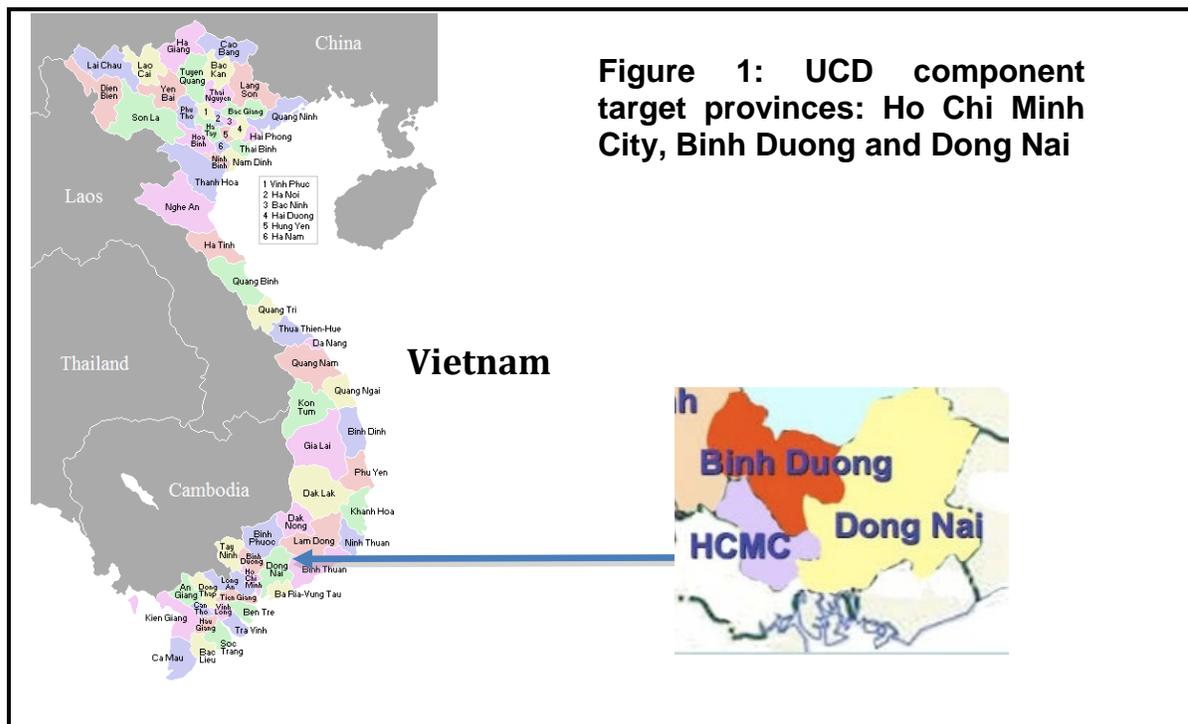


Figure 1: UCD component target provinces: Ho Chi Minh City, Binh Duong and Dong Nai

¹ Better Work Vietnam Newsletter No. 5, Jan-April 2012.

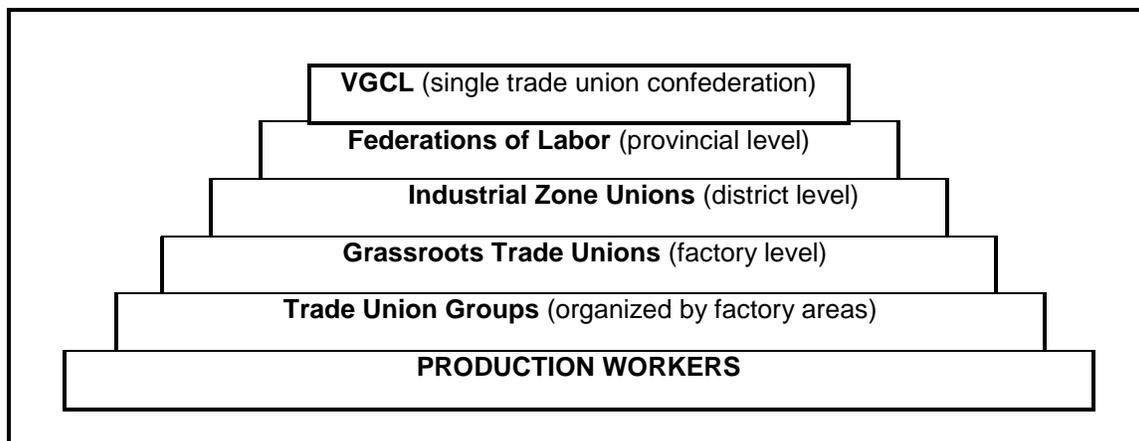
² Better Work Vietnam Newsletter No. 7, Sept-Dec 2012.

The UCD component activities were carried out in the three target provinces of the BWV program: Ho Chi Minh City, Binh Duong and Dong Nai (see Fig. 1). The component's immediate objectives are the following:

1. Strengthened capacity of the union members of the Performance Improvement Consultative Committees (PICCs) in BWV to contribute to the improvement process.
2. Increased capacity of enterprise level unions, the textile and garment workers union and the Federations of Labor (FOLs) in BWV-targeted provinces to effectively represent workers in export-oriented workplaces within the garment sector.
3. Strengthened capacity of the Vietnamese trade unions by piloting initiatives for the development of innovative approaches to union organization in an expanded number of BWV participating factories.
4. Increased capacity of the team of Enterprise Advisors on industrial relations issues and international labor standards.

Figure 2 outlines the key trade union target groups for Objectives 1-3 in the UCD component (organized from upper to lower levels). The BWV program Enterprise Advisors are the focus of activities associated with Objective 4.

Figure 2: UCD Component - Trade Union Target Groups



The timing of the UCD component implementation has coincided with important reforms of both the Trade Union Law and the Labor Code. These reforms entered into force in January and May 2013, respectively, and have provided stronger protection for workers' fundamental rights including the right to organize and engage in collective bargaining consistent with ILS. Currently, Vietnam faces the challenge of transforming political commitments into actual practice. Along these lines, many of the strategies implemented by the current UCD component have served to pilot and establish good practices, especially in the area of social dialogue.³ In addition, the UCD component was designed to contribute to the efforts of the Vietnamese General Confederation of Labor (VGCL) as they strive to meet their strategic objectives aimed at strengthening the linkages between upper-level unions and GRTUs, as well as the ability for these GRTU to effectively represent production workers.

³ Better Work Vietnam, *Better Work Vietnam: Garment Industry 6th Compliance Synthesis Report*, May 2013.

The responsibility of carrying out the various activities for achieving these objectives was divided among the three implementing organizations: ACTRAV (through its implementing partner APHEDA) was responsible for managing activities related to Objectives 1 and 2; ILO IR project in Hanoi was responsible for Objective 3; and BWV assumed responsibility for Objective 4. In addition, the BWV program provided the overall umbrella for the UCD component, given that the activities aimed to strengthen the GRTUs and upper-level unions associated with participating BWV garment factories (as of September 2012, there were approximately 176 participating factories).

II EVALUATION PURPOSE AND METHODOLOGY

2.1 EVALUATION PURPOSE

The purpose of the mid-term evaluation was to assess the UCD component's progress toward achieving its immediate objectives; to identify lessons learned from its program strategy and key services implemented to date; and to provide feedback to the three implementing organizations (BWV, ACTRAV/APHEDA and ILO IR project in Hanoi) with regard to achievements and possible corrective actions for improving the overall component's outcomes. Within this context, the mid-term evaluation focused on the validity of the component's design, the relevance of the component's services to the target groups' needs, the component's efficiency and effectiveness, the potential impact of component efforts, and the potential for sustainability.

The USDOL developed a specific set of questions to guide the evaluation. These questions addressed key issues related to the (1) relevance of the project; (2) validity of the project design; (3) efficiency and adequacy of project resources; (4) progress and effectiveness of project strategies; (5) effectiveness of management arrangements; and (6) impact orientation and sustainability. The entire list of evaluation questions can be found in the Terms of Reference (TOR) in Annex A.

2.2 EVALUATOR

An external evaluator with a background in labor, education and public health conducted the final evaluation. The evaluator has previous experience conducting project evaluations focusing on labor issues for USDOL and the ILO. The external evaluator was responsible for developing the methodology in consultation with USDOL and UCD component staff, conducting interviews and other data collection processes, analyzing the data, and preparing the evaluation report.

2.3 METHODOLOGY

The methodology for data collection was primarily qualitative in nature. Quantitative data were obtained from project documents and reports and incorporated into the analysis. Data collection methods and stakeholder perspectives were triangulated for many of the evaluation questions in order to bolster the credibility and validity of the results. A structured interview protocol was followed, with adjustments made for each person's level of involvement in project activities. The data collection process included a document review, development of data collection tools, field visits, stakeholder interviews, and the compilation of data into a matrix for final analysis.

Evaluation Schedule. The evaluation was conducted between April 1 and May 15, 2013. The evaluator contributed to the development of the TOR, reviewed project documents, and developed interview tools prior to departing for Vietnam. Fieldwork in Vietnam was conducted from April 15-26. The majority of the data analysis and report writing occurred from April 30-May 13. The complete schedule of evaluation activities appears in Annex B.

Data Collection. The evaluation questions developed by USDOL served as the basis for guides and protocols used in key informant interviews and document reviews. Stakeholders received interview questions that were adapted to their level of involvement or background knowledge. The master interview guide can be found in Annex C. The following methods were employed to gather primary and secondary data.

Document Reviews: The evaluator reviewed and referenced numerous project documents and other reference publications. These documents included the Project Document (PRODOC), project work plan, project monitoring plans, quarterly progress reports, needs assessments, internal evaluations, meeting minutes, and training materials. Annex D shows the complete list of documents that were reviewed.

Key Informant Interviews: The evaluator conducted interviews with stakeholders in all three of the component’s targeted provinces: Ho Chi Minh City, Dong Nai Province and Binh Duong Province. In addition, ILO representatives at the regional and global offices were interviewed by telephone in Bangkok and Geneva. In total, 72 stakeholders—including direct beneficiaries from upper-level unions, grassroots trade unions, and workers—were interviewed individually (2 or fewer people), in groups (3 or more people), by telephone, or by email. Table 1 provides a detailed summary of the stakeholder group interviewed, the methods employed, and the sample size. A complete list of individuals interviewed appears in Annex E.

Table 1: Stakeholders, methods and sample size

Stakeholder Group	Method of Interview (Individual, Group or Other)	Sample Size (Total number of individuals)
Implementing Partner Staff (BWV, APHEDA, ILO Hanoi)	Individual and Group	8
Enterprise Advisors from BWV	Individual and Group	5
Upper-Level Trade Unions: VGCL, IZ	Individual and Group	4
Project Steering Committee: FOL, upper level trade unions	Group	6
Grassroots Trade Unions: Leaders/Executive Committee members	Group	15
PICC Union Training Participants	Groups (2)	17
PICC Trainers	Group and Individual	9
ILO Regional and Global Reps	Telephone, E-mail	3
U.S. Government Representatives	Individual, Telephone, E-mail	3
Other: MOLISA and VCCI	Individual	2
TOTAL		72

Observations: The evaluator conducted a total of five observations of key project activities related to objectives 1, 2 and 4. This allowed the evaluator to validate the training methodology, obtain feedback from training participants, and observe the application of the knowledge and skills gained in the capacity-building activities. Observations included (1) Enterprise Advisor training on IR issues, (2) PICC 1 training in HCMC, (3) PICC 2 training in Dong Nai, (4) PICC meeting at a factory in Binh Duong, and (5) Enterprise Advisor Assessment of factory in Binh Duong.

Data Analysis. The document reviews, stakeholder interviews and observations generated a substantial amount of raw qualitative data. The evaluator used qualitative data analysis methods, including matrix analysis, to categorize, synthesize, and summarize the raw data captured from the interview notes. The data analysis process was driven by the evaluation questions appearing in the TOR.

Debriefings. The evaluator conducted a debriefing meeting with stakeholders in Vietnam to present preliminary findings and to solicit feedback. In addition, the evaluator conducted an evaluation debriefing conference call with USDOL officials to discuss the preliminary findings and the evaluation process.

Limitations. Barriers to communication served as the greatest limitation in this mid-term evaluation. As the evaluator did not speak Vietnamese, she relied on the accuracy and integrity of questions and answers relayed through an interpreter. Stakeholder responses were triangulated to the extent possible in order to strengthen the accuracy and reliability of the interview data. An additional limitation resulted from the lack of quantitative data in the project efficiency analysis. Efficiency was assessed using qualitative information obtained from interviews; it did not include a cost-efficiency analysis of financial records.

III FINDINGS

The following findings are based on three main sources: fieldwork interviews with project stakeholders in Vietnam, telephone interviews with regional and global ILO representatives, and a review of project documents and reports. The findings address key questions listed in the TOR and are presented by evaluation category: relevance and strategic fit, validity of the project design, effectiveness of the strategies and management, efficiency and adequacy of project resources, impact orientation and sustainability. Each of these sections ends with a summary of lessons learned and good practices based on the findings.

3.1 RELEVANCE AND STRATEGIC FIT

The evaluation TOR included several questions aimed at examining the extent to which the component's immediate objectives were consistent with the identified needs of the target groups, as well as the relevance of the project objectives in a larger country context.

3.1.1 Needs Analyses of the Target Groups

Union PICC Representatives, GRTU Leaders and FOLs: APHEDA began its capacity-building work directed toward union PICC representatives in 2009, with funding from other donors. At the end of this phase, APHEDA administered a survey to 44 training participants to assess the knowledge and skills gained, and to identify future training needs of union PICC representatives.⁴ In addition, APHEDA facilitated a workshop with members of the provincial FOLs during the initial implementation period of the current UCD component to obtain feedback on union capacity-building efforts to date.⁵ Finally, in 2012, APHEDA conducted another needs assessment in 38 BWV participating factories to identify the training needs of GRTU leaders.⁶ This assessment was pivotal for the development of relevant training courses to meet the specific needs of GRTU leaders. The initial pilot work, follow-up surveys, and needs assessments enabled APHEDA and its social/local partners to improve the PICC and GRTU training courses by infusing them with greater relevance and improved educational methodologies.

Interviews conducted with two groups of union PICC training participants described how the information obtained in the PICC training was directly applicable to strengthening their ability to serve as union representatives on the PICC. The PICC 1 training recipients stated that the course gave them a better understanding of the PICC, including their roles and responsibilities as union PICC representatives. The course also provided them with the basic skills necessary to engage in the social dialogue/problem solving process. PICC 2 training recipients also confirmed the value of the advanced course's contents, stating that it contained a greater depth of information, especially with respect to their knowledge and application of the Labor Code.

⁴ APHEDA, "Evaluation of PICC 1-Day Union Training Course and Identification of Future Training Needs," 2011.

⁵ APHEDA, "Trade Union Capacity Building Project Feedback Workshop," April 17, 2012.

⁶ APHEDA, "Training Needs Analysis for Grassroots Trade Union Leaders (GRTUL) from ILO Project," October 2012 (updated April 2013).

Upper-level Trade Unions: The current work under Objective 3 is a continuation of pilot initiatives that began in 2009, under the coordination of the ILO IR project in Hanoi. This initial work provided an opportunity to create models that would strengthen the interaction between upper-level trade unions and GRTUs, as well as increase the participation of factory-level workers in union activities through the development of “bottom-up” strategies. The momentum gained during this initial project phase was maintained through the continued support of the current UCD component. This allowed for the direct application of these strategies such as the coordinated wage negotiation among GRTUs in Binh Duong.

Enterprise Advisors: For Objective 4, a formal needs assessment was conducted with BWV Enterprise Advisors (EAs) to assess their training needs and knowledge of industrial relations issues. The results of this assessment will serve as baseline information for monitoring the capacity-building efforts carried out by this project sub-component. Four Enterprise Advisors interviewed discussed their relatively new awareness of industrial relations and international labor standards. They discussed the need to learn from the experiences of other countries as Vietnam has few examples for successfully promoting industrial relations in the garment industry.

“Industrial relations is new for us. In Vietnam we have no experience base from which to draw. We still need more time to apply what we learned, and learn from experiences in other countries.” —BWV Enterprise Advisor

3.1.2 Relevance within the Country Context

According to the UCD component’s implementing organizations, as Vietnam transitions to a full market economy, there is a greater need to focus on industrial relations issues. Evidence of this can be found in the rising number of wild-cat strikes experienced over the past 5-6 years. In 2011 alone, the garment industry experienced 267 strikes, and in the first half of 2012 there were 101 strikes within the same sector.⁷

Officials from MOLISA (Ministry of Labor Invalid and Social Affairs) and the VCCI (Vietnam Chamber of Commerce and Industries) stated in their interviews that workers often are not aware of any kind of social dialogue mechanism to voice their concerns. According to a MOLISA official from the Center for Industrial Relations Development, the first step in this process involves increasing worker participation in trade unions so that they can represent workers more effectively. At the same time, the upper-level trade unions must improve their linkages with the GRTUs, especially with regard to collective bargaining. These are, in fact, part of the current strategic objectives of the VGCL.⁸

3.1.3 Lessons Learned and Good Practices: Relevance and Strategic Fit

The following good practices and lessons learned were identified at mid-term regarding the project’s relevance and strategic fit:

⁷ Better Work Vietnam. *Better Work Vietnam Newsletter*, <http://betterwork.com/vietnam/wp-content/uploads/Better-Work-Vietnam-Newsletter-N%C2%B0-7-Sep-Dec-2012-en2.pdf>

⁸ ILO, Project Document, “Better Work Program Union Capacity Development,” Geneva, October 2011.

- Needs assessments can be developed and implemented using a variety of formats such as surveys and workshop discussions. The resulting information can be used in the development of a relevant project design; it can also be used as baseline information to assess the project’s effectiveness and impact over time.
- A union capacity-building project design that fits within the current social and political context enhances its relevancy and increases the potential effectiveness and sustainability of its strategies.

3.2 VALIDITY OF THE PROJECT DESIGN

The TOR had several questions pertaining to the validity of the project design. These included: (a) the extent to which the UCD component’s design was logical and coherent; (b) whether the outcomes, targets and timeframes were realistically set; and (c) whether the initial assumptions for project design were still valid.

3.2.1 Logic of the Project Design

Logical Framework Approach: The UCD component used a logical framework approach (results-based management approach) for planning the project design. The evaluator analyzed this design according to ILO’s Results-Based Management (RBM) guidelines, with specific emphasis on cause-effect relationships between project activities, outputs, immediate objectives (outcomes), and development objective; clearly identified indicators and their means of verification; and important assumptions or uncertainties beyond the control of the project.⁹ (It should be noted that USDOL did not require a logical framework of the grantee in its Solicitation for Cooperative Agreement. According to a USDOL program officer, however, the most recent USDOL Agreements and future “Management and Procedure Guidelines” require the inclusion of a logic model in the project design narrative.¹⁰)

Analysis of Logical Framework: The UCD logical framework (Annex F) included the component’s activities, outputs and immediate objectives, as well as a list of the indicators and means of verification, but did not identify the development objective. In a separate chart, the UCD component’s assumptions were identified, although these were not directly linked to the specific outputs identified in the logical framework.

The evaluator analyzed the logical framework to identify the cause-effect linkages between the development objective, immediate objectives, outputs and activities. The findings are summarized below in Table 2.

Table 2: Analysis of Logical Framework

Development Objective (DO):	The DO is not specifically stated in the UCD component’s logical framework; however, it is stated in other project documents: “To contribute to the creation of decent work opportunities in targeted export industries.” This overall goal does meet the criteria of a high-level impact goal that the project contributes to, but is not expected to achieve alone.
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⁹ International Labour Organization, *Applying Results-based Management in the ILO: A Guidebook*, Geneva, June 2011.

¹⁰ USDOL, *Management Procedures and Guidelines of USDOL-ILO Cooperative Agreements*, Washington D.C., 2010.

Immediate Objectives (Outcomes):	<p>Immediate Objectives 1&2 are related to the strengthened capacity of union members of PICC, grassroots trade unions, the Textile and Garment Workers Union, and Federations of Labor in BWV-targeted enterprises and provinces. The indicators associated with these immediate objectives measure changes in attitudes and behavior of the target groups (outcome-oriented).</p> <p>Immediate Objective 3 focuses on the strengthened capacity of the Vietnamese trade unions by piloting initiatives for the development of innovative approaches to union organization in an expanded number of BWV enterprises. The indicators associated with this objective measure the number of participating enterprises (output-oriented); validation by unions of the pilot conclusions is outcome-oriented.</p> <p>Immediate Objective 4 focuses on the increased capacity of the team of BWV Enterprise Advisors on industrial relations issues and international labor standards. The indicator associated with this objective measures number of PICC union representatives assisted by EAs and number of PICC processes facilitated by EAs (output-oriented); measure of the quality of EAs facilitation of PICC processes is outcome-oriented.</p>
Outputs and Activities:	<p>The outputs and activities linked to Immediate Objectives 1 and 2 focus primarily on training as well as the application of these trainings; they contribute directly to the outcomes of strengthened capacity of union PICC members, as well as GRTU and FOLs.</p> <p>The outputs and activities linked to Immediate Objective 3 focus on the pilot process and directly contribute to the strengthened capacity of trade unions through the development of innovative approaches to union organization.</p> <p>The outputs and activities linked to Immediate Objective 4 focus on training and the application or retention of this training through the direct work of EAs with enterprise-level unions.</p>

3.2.2 Assumptions

The project design was based on a set of assumptions that, if fulfilled, would enable the project to achieve its outputs and outcomes within the specified timeframe. These assumptions, as defined in the Project Document (PRODOC), are analyzed in Table 3.

Table 3: UCD Component Design Assumptions

Assumption	Mitigation Measures	Mid-term Evaluation Findings
BWV's social partners will continue to support the BWV program and the UCD component	Trust building through full consultation and continuous communication with social partners when developing project strategies and activities.	Social partners include the VGCL, provincial FOLs and GRTUs. Interviews with the three levels of social partners indicated a relationship built on trust and continuous communication when developing project strategies and activities.
Enterprise Advisors will commit to long-lasting employment with BWV	The management of BWV programme has given consideration to providing more incentives to EAs to work for the programme, including staff development scheme and designation of focal points with various responsibilities assigned.	Interviews with EAs revealed little turnover since the BWV program was established, with newer advisors being a result of program expansion rather than attrition.

<p>Provincial FOL trainers will see incentives for active participation in the program</p>	<ul style="list-style-type: none"> • Active engagement with FoL trainers so they can see personal and institutional benefits; • Selection of key trainers who can devote significant attention to the role. 	<p>Interviews with VGCL and provincial FOL leaders indicated a number of incentives for active participation: 1) capacity-building of the core group of FOL trainers, leading to a sustainable training program; 2) improved contact and communication with GRTU leaders and representatives, leading to better support of GRTU and possible subsequent improvements in collective bargaining, union organizing and union density rates; 3) capacity-building of GRTU leaders to increase skills and participation in union issues.</p>
<p>PICC members will not have regular turnover</p>	<p>PICC Guidelines call for PICC terms of 2 years and encourage more than 1 term. Training will be offered on yearly basis.</p>	<p>The established PICC Guidelines call for a term of 2 years, with the possibility of more than 1 term. Interviews with a limited number of PICC 2 training participants revealed a range of 1-3 years on the PICC, and participation in 5-15 PICC meetings.</p>
<p>Enterprises will be willing to participate in the PICC training.</p>	<ul style="list-style-type: none"> • Ongoing and active communication to enterprises regarding benefits of the training; • Strong partnership with VGCL and provincial FoLs, as well as with Vietnam employers' organisation VCCI, to encourage enterprises to participate. 	<p>While interviews with VCCI and observations in enterprises demonstrated employer support for the PICC process, union PICC participants have experienced significant difficulties in obtaining release time to attend trainings.</p>

3.2.3 Target Goals and Timeframes

The project target goals and timeframes established in the original work plan were based on several underlying factors: the assumptions, the accomplishments of previous capacity-building efforts, and the availability of human and financial resources. Social partners in the Steering Committee also mentioned the pressure that existed to some extent to produce training numbers. Steering Committee members pointed out that the timeframe may have been too compressed for some union members to obtain cumbersome management approval to attend the trainings, resulting in lower than expected target numbers. At the same time, UCD component staff expressed optimism that mitigation measures implemented to overcome the identified barriers would eventually result in the achievement of target goals. Further analysis of progress toward the achievement of target goals, barriers and additional mitigation measures can be found in Section 3.3.1.

3.2.4 Lessons Learned and Good Practices: Project Design

The following good practices and lessons learned were identified at mid-term regarding the project design:

- The creation of a project design that utilizes a logical framework approach can guide project designers in the outline of causal linkages between activities, outputs and outcomes. Furthermore, it can guide the establishment of clear indicators with means of verification, as well as the identification of underlying critical assumptions.
- A project design that includes the critical assumption of management approval of worker participation in trade union capacity-building activities can help abate risk by incorporating a number of mitigation measures into the design.

3.3 PROJECT PROGRESS AND EFFECTIVENESS

This section examines the component’s status in achieving its stated targets; the effectiveness of the capacity-building strategies to achieve project outcomes; the engagement of the PICC union representatives in the improvement process; the commitment and participation of trade union stakeholders and other key actors; and the coordination with other labor-related initiatives. The section ends with a summary of lessons learned, innovations, and good practices stemming from the implementation of project strategies to date.

3.3.1 Status in Achieving Target Goals

The project monitoring plan (Annex G) contains key output targets that are reported every six months. The most recent target numbers provided by the three implementing organizations are reported through December 2012 (project mid-term). The status of the key targets are summarized in Table 4, followed by additional qualitative information describing the difficulties encountered while achieving target goals, as well as strategies for overcoming those barriers.

Table 4: Key Indicators, Target Goals and Target Status at Mid-term

Immediate Objective 1: Strengthened capacity of the union members of PICCs in BWV to contribute to the improvement process.	
Key Indicators	Target Goals and Status at Mid-Term
(1) Number of PICC training courses for union PICC participants (2) Number of Union PICC training participants	(1) Target goal = 101 PICC trainings. Target status as of Dec. 2012 = 25 PICC training courses (25% of target goal). In the first quarter of 2013, there were an additional 5 PICC training courses, increasing the total to 30 (30% of target goal). (2) Target goal = 930 different union PICC training participants. Target status as of Mar. 2013 = 435 different union PICC training participants (47% of target goal).
Immediate Objective 2: Increased capacity of factory-level unions, the Textile and Garment Workers Union and the Federations of Labor in BWV-targeted provinces to effectively represent workers in export-oriented workplaces within the apparel sector.	
Key Indicators	Target Goals and Status at Mid-Term
(1) Number of FOL trainers trained (2) Number of training courses for GRTU	(1) Target goal = 24 FOL trainers trained. Target status as of Dec. 2012 = 31 (129% of target goal). (2) Target goal = 84 training courses. Target status as of Dec. 2012 = 18 training courses (21% of target goal).

Immediate Objective 3: Strengthened capacity of the Vietnamese union by piloting initiatives for the development of innovative approaches to union organization in an expanded number of BWV participating enterprises.	
Key Indicators	Target Goals and Status at Mid-Term
(1) Number of GRTU setting up trade union groups in pilot enterprises (2) Number of GRTU demonstrating “bottom-up” activities in pilot enterprises	(1) Target goals = 11 grassroots trade unions setting up trade union groups in their respective enterprises. Target status as of Dec. 2012 = 10 GRTUs setting up trade union groups (91% of target goal). (2) Target goal = 24 GRTUs demonstrating new “bottom-up” trade union activities (e.g. active participation in dialogue mechanism). Target status as of Dec. 2012 = 20 GRTUs demonstrating bottom-up trade union activities (83% of target goal).
Immediate Objective 4: Increased capacity of the team of Enterprise Advisors on industrial relations issues and international labor standards.	
Key Indicators	Target Goals and Status at Mid-Term
(1) Number of training days for EAs (2) Number of in-factory shadow visits of EAs (3) Joint seminars between EAs & FOLs	(1) Target goals = 104 training days for BWV EAs. Target status as of May 2013 = 147 training days (141% of target goal). (2) Target goal = 12 in-factory “shadow visits” to observe application of skills. Target status as of May 2013 = 14 (117% of target goal). (3) Target goal = 4 joint seminars. Target status as of Dec. 2012 = 1 joint seminar (25% of target goal).

Discussion: Based on the target numbers reported in Table 5, three of the four indicators related to Objectives 1 & 2, and one of the three indicators related to Objective 4, have yet to reach 50% of target goals by the project’s mid-term. Regarding Objectives 1 & 2 whose indicators currently are below 50%, APHEDA representatives offered further explanation and remedial actions for activities related to those indicators:

Objective 1: During 2012, scheduled courses were cancelled due to the insufficient recruitment of participants. A commonly stated reason involved the unwillingness on the part of management to authorize release time for union PICC members due to “production peaks.” FOL course organizers felt that better tracking of union PICC participants would help with the proactive follow-up of members and their GRTU. In response to the cancelled courses, BWV developed a new database in 2013 enabling the tracking of union PICC representatives/training participants by FOLs. This is expected to improve participation rates and reduce the number of canceled courses.

Additional remedial efforts were put into place in 2013 that included better promotion and communication between the BWV program and enterprises with regard to benefits of the PICC training. Logistical changes also were made to improve the accessibility or organization of the training program. The fact that the BWV program has added new factories at a slower

rate than anticipated also may be impacting the total number of factories that need union PICC training, thus affecting the achievement of target goals for total number of participants.

Objective 2: According to APHEDA representatives, the FOLs who coordinate and implement the trainings for GRTU leaders have been preoccupied with their provincial congresses, particularly in anticipation of the upcoming VGCL National Congress (which occurs once every five years). In addition, training course curricula (negotiation/communication and CBA) have been in the process of revision, in anticipation of new provisions specified in the new Labor Code. As a result, APHEDA and the social partners have agreed to move some of the scheduled 2012 training courses to 2013 in order to take advantage of the new curricula within the new Labor Code. Training courses still are expected to reach target goals by the end of 2013.

3.3.2 Effectiveness of Capacity-Building Strategies

The capacity-building strategies primarily have involved training, application of training, and pilot initiatives. Table 5 summarizes the major strengths and weaknesses of these strategies based on data collected during the mid-term evaluation. See Section 2.3 for a description of the data collection methodology.

Table 5: Strengths and Weaknesses for Key Capacity-Building Strategies

Immediate Objective 1: Strengthened capacity of the union members of PICCs in BWV to contribute to the improvement process.	
Strategies	Strengths and Weaknesses
<ul style="list-style-type: none"> •Develop PICC 2 training programs and materials and further develop PICC 1 training materials •Train FOL trainers to carry out PICC trainings, emphasizing active learning methodology •Implement PICC training courses for union PICC representatives 	<p>Strengths:</p> <ul style="list-style-type: none"> •Development of comprehensive PICC training guides based on active-learning principles; easy-to-read (English versions) and informative supporting materials •Use of methodologies that promote critical thinking and active participation of union PICC participants •Integration of active-learning methodologies with FOL trainers •Promotion of sustainable training model through capacity building of FOLs <p>Weaknesses:</p> <ul style="list-style-type: none"> •Limited opportunity of FOL trainers to observe and provide follow-up for the application of skills obtained in PICC training courses •Logistical issues related to course planning and execution (see Section 3.3.1)
Immediate Objective 2: Increased capacity of factory-level unions, the Textile and Garment Workers Union and the Federations of Labor in BWV-targeted provinces to effectively represent workers in export-oriented workplaces within the apparel sector.	
Strategies	Strengths and Weaknesses
<ul style="list-style-type: none"> •Develop training programs in four areas: collective bargaining, negotiation, communication skills, dispute resolution 	<p>Strengths:</p> <ul style="list-style-type: none"> •Constant improvements to GRTU training programs and training guides as a result of ongoing dialogue between APHEDA, social partners and training participants

<ul style="list-style-type: none"> •Train trainers to carry out training programs, emphasizing active learning methodology •Train GRTU leaders on the four topics •Provide pilot support and advice on CBA to limited number of factory-level union committees post-training 	<ul style="list-style-type: none"> •Integration of active-learning teaching methods with a larger number of provincial FOL trainers, with opportunity to conduct direct observations of training skills •Potential for documenting good CBA practices through pilot support to small number of enterprises •Promotion of sustainable training model through capacity building of FOLs <p>Weaknesses:</p> <ul style="list-style-type: none"> •Limited opportunity to provide follow-up for the application of skills obtained in training courses •Logistical issues related to course planning and execution (see Section 3.3.1)
<p>Immediate Objective 3: Strengthened capacity of the Vietnamese union by piloting initiatives for the development of the development of innovative approaches to union organization in an expanded number of BWV participating enterprises.</p>	
<p>Strategies</p>	<p>Strengths and Weaknesses</p>
<ul style="list-style-type: none"> •Capacity building of VGCL/upper-level trade unions to pilot innovative bottom-up approaches to organizing and collective bargaining •Capacity building of factory level “trade union group” leaders to effectively participate in union work and organizing activities 	<p>Strengths:</p> <ul style="list-style-type: none"> •Creation of ‘good practice’ models through the application of bottom-up approaches •Pilot initiatives included some non-BWV factories, demonstrating its application in sectors outside of apparel factories. •Positive potential for sustainability as upper-level trade unions develop, promote and adopt bottom-up approaches <p>Weaknesses:</p> <ul style="list-style-type: none"> •Inadequate timeframe for achieving tangible outcomes when providing technical assistance in the piloting of “bottom-up” models
<p>Immediate Objective 4: Increased capacity of the team of Enterprise Advisors on industrial relations issues and international labor standards.</p>	
<p>Strategies</p>	<p>Strengths and Weaknesses</p>
<ul style="list-style-type: none"> •Capacity building of BWV Enterprise Advisors on industrial relations topics •Provide technical support to EAs on the assessment and advising of BWV enterprises on IR issues; further EAs skills in facilitating the PICC process •Case study documentation of good practices in industrial relations in the Vietnamese context 	<p>Strengths:</p> <ul style="list-style-type: none"> •Balanced combination of training and follow-up support for the application of skills and knowledge learned in training •Ongoing support, training and follow-up on IR issues for Enterprise Advisors provided by BWV and BW Global staff •Development of training program and training guides on IR issues established •(Future) development of IR case studies for documenting good practices within the country context <p>Weaknesses</p> <ul style="list-style-type: none"> •Sustainability of capacity-building efforts dependent on low turnover of EAs

3.3.2 Engagement of Union PICC Representatives

PICC Process: The BWV Enterprise Advisors conduct independent assessments of participating factories, all of which must establish a Performance Improvement Consultative Committee (PICC) made up of equal numbers of management and trade union members. The PICC members then engage in a social dialogue process, at times facilitated by the EAs, to tackle the issues on the Improvement Plan. The main goal of the UCD component's PICC training is to prepare union PICC representatives for this social dialogue process, which is not meant to take the place of dialogue that should be occurring between the GRTU and management. While the PICC's scope is limited to issues within the Improvement Plan, it does serve as a model for future dialogue between GRTU and management. During the mid-term evaluation interviews, both union PICC representatives and GRTU executive committee members acknowledged the limited opportunity for PICC representatives to discuss Improvement Plan issues with executive committee members before or after PICC meetings. According to APHEDA, this may be due to PICC representatives having little to no paid time off to prepare for PICC meetings or debrief their outcomes.

Effectiveness of Union PICC Trainings: As part of the mid-term fieldwork, the evaluator interviewed union PICC representatives, observed PICC trainings for union representatives, attended a PICC meeting, and participated in one BWV enterprise assessment. Interviews with 11 union PICC representatives who had been on the committee for 1-3 years and participated in 5-15 PICC meetings described their personal experience. They related how they had become more active and self-assured as members, although it had taken time for them to gain confidence in the dialogue process. They also stated that PICC 1 and 2 trainings had given them practical tools to be more effective on the committee. The selection process for their union PICC representation was mixed, with some being appointed and others being elected. This may have been due to a change in PICC selection policy in 2012.

Application of Skills in PICC Meeting: Observation of the PICC meeting, facilitated by the BWV EA, showed active dialogue between management and union representatives on an issue contained in the Improvement Plan, followed by the development of a resolution plan. More importantly, the EAs expressed genuine commitment toward doing their part in helping to facilitate effective PICC meetings. One EA commented, *“Improved industrial relations and social dialogue is a process, but if we do a good job in helping establish an effective PICC, then it can serve as a model for a social dialogue tool.”*

3.3.4 Commitment of Trade Union Stakeholders and Other Key Actors

Upper-Level Trade Unions: The UCD component works in close alliance with trade union social partners, primarily the VGCL and provincial FOLs. Interviews with high-level officials of the VGCL highlighted the effectiveness of union-strengthening strategies that have allowed for stronger engagement between upper-level unions and grassroots trade unions. While the activities of the current UCD component are a continuation of many activities carried out over the past several years, VGCL officials emphasized the significance of seeing tangible results right now, particularly in light of the upcoming VGCL National Congress. These results have included improved collective bargaining processes and an increase in union density rates.

Government Sector: An industrial relations expert in MOLISA interviewed at the mid-term evaluation revealed indirect support and keen interest in project outcomes, especially regarding the pilot strategies of bottom-up approaches and the PICC process. Both of these strategies offered examples of good practices for increasing the participation of workers in their grassroots trade union.

Employer Sector: A key representative from the VCCI described support from the employer organization for any union capacity-building strategies that would lead to effective social dialogue, including greater participation of workers within their grassroots trade unions. For this reason, the pilot strategies of strengthening the trade union groups were especially interesting for the VCCI. At the same time, however, the VCCI representative stated that there are still large gaps between the support of employer organizations and its active members for these union capacity-building efforts, with that of factory-level management.

3.3.5 Coordination with Other Labor-related Initiatives

There is evidence of the UCD component coordinating efforts with other ILO IR initiatives at the country and regional level, facilitating the application of strategies related to Objective 3 to settings outside of BWV participating apparel factories, such as footwear and mechanical products. Project information and materials were also being shared with broader VGCL audiences and international trade union solidarity support organizations.

There is also evidence of coordinating with global ILO/IFC offices, particularly the Better Work Global program, the Bureau for Workers' Activities (ACTRAV), and the Industrial and Employment Relations Office (DIALOGUE). While the UCD component is coordinating with larger ILO initiatives, a representative from the US Government (USG) stated that, of at least three other labor-related USG-funded projects in Vietnam, none appeared to be coordinating efforts. A USDOL official stated that greater information sharing between projects, including other USG-funded projects, would better enable the UCD component to target their efforts. According to UCD component representatives, however, this was never an expected outcome.

3.3.6 Lessons Learned and Good Practices: Effectiveness of Project Strategies

The following good practices and lessons learned were identified at mid-term regarding the effectiveness of project strategies:

Good Practices:

- Project effectiveness can be enhanced through the implementation of capacity-building strategies that integrate training, application of skills, and follow-up support.
- Involvement of trade union social partners in the development and implementation of component strategies can lead to greater commitment toward achieving project goals and sustaining program efforts.
- Inclusion of active-learning teaching methodologies in settings where traditional didactic methods have been used may result in sustained use of more participatory and effective training strategies.

Lessons Learned:

- Documentation of innovative “bottom-up” approaches can provide examples of good practices that can be duplicated or adapted to other sectors, as component strategies are promoted and expanded.
- Strategies that include ongoing support and follow-up of training participants as they apply newly gained knowledge and skills offer great potential for sustainability and continued opportunities for learning.
- Ongoing monitoring of project target goals and their level of achievement permits the adjustment of strategies, or creation of new strategies, for overcoming barriers to implementation.

3.4 EFFECTIVENESS OF MANAGEMENT STRUCTURE

The TOR includes evaluation questions on the adequacy of support received by the UCD component from its national and international partners, as well as the effectiveness of communication between implementing partners and the ILO regional and global offices and USDOL. Additional questions focus on the effectiveness of the performance monitoring system, including any problems encountered with project indicators, collection of data or reporting.

3.4.1 Support Structure and Project Communication

The Union Capacity Development component was implemented to support the larger Better Work Vietnam program—its umbrella structure. At the same time, three independent implementing organizations carried out the UCD component: APHEDA, ILO IR project in Hanoi, and BWV. APHEDA received further support from ILO ACTRAV in Bangkok; the ILO IR project received further support from the ILO Regional Office in Bangkok; and BWV program received further support from the BW Global office in Geneva. At the country level, APHEDA and ILO IR worked closely with their social partners—namely the provincial FOLs and VGCL—throughout the design and implementation of component activities. Furthermore, APHEDA worked under the guidance of a Project Steering Committee (PSC) comprised of provincial FOL representatives. To unify all three implementing organizations together, the UCD component established a Project Monitoring Committee (PMC), made up of representatives from the VGCL, ACTRAV, ILO IR, APHEDA and BWV. More importantly, the good working relationship that existed within and between the three implementing organizations contributed to the unification of efforts under one component.

APHEDA representatives described the guidance of the PSC as essential to the day-to-day execution of project activities under Objectives 1 & 2. Representatives from the ILO IR and BWV stated that the PMC helped to ensure efficient coordination between the three implementing partners. The ILO IR project staff described the importance of VGCL’s direct involvement with activities related to Objective 3. This “Pilot Working Party” provided a platform for upper-level trade unions to participate and disseminate best practices and lessons learned throughout the VGCL. Their direct participation was described as “instrumental” in bringing the pilot experiences as a key point of reference in preparation for discussions in the upcoming VGCL Congress in July 2013.

The support and communication between implementing organizations and USDOL was described as “adequate,” with no further need to increase communication or technical support. The UCD component implementers have dealt with some sensitive industrial relations issues, and therefore emphasized the importance of remaining independent in order to focus on their capacity-building efforts in conjunction with the social partners.

3.4.2 Performance Monitoring System

Effectiveness of project indicators: The data reported to the donor (USDOL) corresponded to the indicators outlined in the donor-approved PMP (see Annex G). These indicators primarily measured project outputs (i.e. numbers of trainings, numbers of participants, etc.); however, Objective 3 indicators were more outcome-oriented (i.e. number of GRTU demonstrating change). At the same time, the implementing organizations identified additional indicators that measured both outputs and outcomes, many of which were defined in the original logical framework. Most notably, APHEDA and the Project Steering Committee developed a variety of indicators to measure both outputs and outcomes related to Objectives 1 & 2. The BWV program also developed additional indicators to measure outcomes related to Objective 4. The measurement of outcomes—such as changes in actions, behaviors or attitudes—required time and resources, neither of which was plentiful according to implementing partners. Still, the donor set forth in its Management Procedures and Guidelines the expectation that the grantee effectively measure both outputs and outcomes.¹¹

Comparison of Indicators: Table 6 highlights the indicators reported to USDOL, and some of the additional outcome indicators developed by the UCD component organizations for Objectives 1, 2 and 4 that they currently are monitoring, but not reporting to the donor.

Table 6: Indicators Reported to USDOL & Additional Outcome Indicators

Immediate Objective 1: Strengthened capacity of the union members of PICCs in BWV to contribute to the improvement process.	
USDOL PMP Indicators	Additional Outcome Indicators being Monitored
(1) Number of PICC training courses for union PICC participants (2) Number of Union PICC training participants (3) Number of GRTUs participating (4) Number of union PICC members increasing their understanding as a result of training	<ul style="list-style-type: none"> • Change in level of PICC participation by union PICC members • Change in levels of preparation and reporting by PICC members after training
Immediate Objective 2: Increased capacity of factory level unions, the Textile and Garment Workers Union and the Federations of Labor in BWV-targeted provinces to effectively represent workers in export-oriented workplaces within the apparel sector.	
USDOL PMP Indicators	Additional Outcome Indicators being Monitored

¹¹ USDOL, *Management Procedures and Guidelines of USDOL-ILO Cooperative Agreements*, Washington D.C., 2010, p. 17.

<p>(1) Number of FOL trainers trained (2) Number of GRTU training courses and participants (3) Percent (%) of unionized workers in participating factories (4) Number of unions supportive of BWV</p>	<ul style="list-style-type: none"> • Change in confidence level and skills of FOL trainers • Change in teaching methodologies of FOL trainers to incorporate active learning • Change in actions of GRTU leaders as a result of skills and knowledge learned from training • Improvements in CBA contents (as a result of Objective 2 pilot activities) • Change in attitude toward the union/union satisfaction
<p>Immediate Objective 3: Strengthened capacity of the Vietnamese union by piloting initiatives for the development of innovative approaches to union organization in an expanded number of BWV participating enterprises.</p>	
<p>Key Indicators</p>	<p>Additional Outcome Indicators being Monitored</p>
<p>(1) Number of GRTU setting up trade union groups in pilot enterprises (2) Number of GRTU demonstrating “bottom-up” activities in pilot enterprises</p>	
<p>Immediate Objective 4: Increased capacity of the team of Enterprise Advisors on industrial relations issues and international labor standards.</p>	
<p>Key Indicators</p>	<p>Additional Outcome Indicators being Monitored</p>
<p>(1) Number of training days for EAs (2) Number of in-factory shadow visits of EAs</p>	<ul style="list-style-type: none"> • Change in EA understanding and application of industrial relations issues

Data Collection Procedures: The implementing partners collected and reported data pertaining to the PMP once every six months. The PMP listed the indicators, target goals, frequency for *reporting* data, and footnotes regarding the type of data collected, but it did not clearly identify the means of verification, frequency of data collection, or persons responsible. APHEDA, however, produced a more detailed version of the PMP for Objectives 1 & 2 for their own internal use that included all of the components of a comprehensive plan. ILO IR representatives described the way in which they utilized monthly reports produced by their social partners to verify progress toward achieving outcomes. For Objective 4, the BWV collected data after each EA training to verify its progress toward achieving outcomes.

3.4. Lessons Learned and Good Practices: Effectiveness of Management Structure

The following good practices and lessons learned were identified at mid-term regarding the effectiveness of the UCD component’s management structure:

- Establishment of a central oversight committee, such as the Project Monitoring Committee (PMC), can help facilitate the coordination of multiple implementing partners; the synergy between the partners can help to strengthen project activities and subsequent results.
- Establishment of a subcommittee, such as the Project Steering Committee, to coordinate specific project activities with social/local partners can result in greater participation and buy-in to meet particular project objectives.

- Output and outcome indicators developed in the project’s logical framework can serve as a foundation for the development of effective output and outcome indicators in the project monitoring plan.
- A single comprehensive monitoring plan that includes output and outcome indicators and data collection procedures is more likely to provide useful feedback during project implementation; such feedback can be used to guide ongoing strategic modifications that ultimately can enhance project effectiveness.

3.5 EFFICIENCY AND ADEQUACY OF PROJECT RESOURCES

The evaluator examined the management of project resources, focusing on the adequacy of the available human and financial resources to carry out the activities outlined in the UCD component work plan. This examination also explored evidence of financial collaboration within the implementing organizations, and outside of these organizations, in order to fulfill the work plan objectives.

3.5.1 Resource Efficiency

Each of the implementing organizations described activities that preceded the current UCD component. APHEDA and BWV worked together since 2009 to develop capacity-building strategies targeting union PICC representatives. The ILO IR project worked with the VGCL to develop strategies and pilot “bottom up” approaches to union organizing. The implementing partners emphasized these previous phases in order to highlight the very short start-up period of the current UCD project as compared to many newly funded projects. Shortly after receiving the award, these organizations were able to begin implementing project activities. This was confirmed with information from the first Technical Progress Report indicating a number of first quarter trainings, curriculum revisions and monitoring activities. Little time was spent on organizing advisory committees, since each implementing organization had established a trusted relationship with the trade union stakeholders. In addition, each partner counted on the in-kind contributions of their larger organizational structure. This support from their individual organizational structures significantly contributed to the overall success of project activities.

3.5.2 Adequacy of Budget and Time Estimates

Roughly 46% of the total UCD component budget (\$640,000) was allocated to APHEDA to carry out the bulk of the UCD component activities under Objectives 1 & 2. This included all costs associated with material development, printing, and training. APHEDA staff described the budget as insufficient without their in-kind contributions. These contributions amounted to over \$40,000 USD to cover key personnel project time. The budget for training/educational materials for Objectives 1 & 2—roughly \$18,760—was described as an “underestimation” due to the high cost of outside translations and production. Additional resources for monitoring also were needed in order to conduct the time-intensive data collection and analysis for objectively measuring project outcomes. In reference to time estimates, activities-to-date showed a significant lag toward meeting target goals associated with numbers of trainings and training participants; however, APHEDA was confident that this gap would close during the second half of 2013.

The original scope of Objective 3—coordinated by the ILO IR project in Hanoi—initially had to be readjusted in order to fit within the budget and timeline. However, the resulting smaller number of pilot initiatives did lead to the successful application of some bottom-up models between GRTUs and IZ unions within the available budget and timeline. As in the case of APHEDA, the ILO IR project also had significant in-kind contributions of project staff time. The funding from the UCD-component, according to one ILO IR representative, was used only for activities with the local partners.

The BWV program applied its budget resources toward direct costs associated with the training of Enterprise Advisors on industrial relations issues. This included the hiring of outside consultants to (a) carry out an initial needs assessment of the EAs, (b) develop and execute the training program, and (c) provide in-house and on site coaching for the EAs. While the budget and timeline to carry out these activities was sufficient, this facet of the UCD component also counted on some in-kind support from the BWV management staff.

3.5.3 Collaboration efforts

The UCD component’s activities and objectives focused on the capacity building of trade unions associated with the BWV participating factories. As such, there was no evidence of specific collaboration with outside organizations or projects for UCD component activities. At the same time, however, both APHEDA and ILO IR were carrying out other trade union capacity-building activities outside of those directly related to the UCD component. According to one ILO IR staff, this synergy of activities contributed to the “receptiveness, momentum, mutual reinforcement and sustainability of project strategies.” In addition, strategies carried out within the BWV program can now be scaled-up and adapted to future union capacity-building efforts outside of this setting. This would include efforts conducted by other international solidarity organizations targeting trade unions within the apparel sector of Vietnam. There were numerous examples of collaboration between the three implementing organizations, their corresponding “umbrella” organizations, and the larger organizations of the participating social partners.

3.5.4 Lessons Learned and Good Practices: Efficiency and Adequacy of Project Resources

The following good practices and lessons learned were identified at mid-term regarding the efficiency and adequacy of the UCD component’s project resources:

- Implementation of trade union capacity-building projects in coordination with organizations already working with targeted trade unions can promote more efficient use of financial resources, particularly with regard to project activities that must be implemented within a relatively short time period.
- Consideration and inclusion in the budget of the financial and time resources necessary for effective project monitoring can enhance the likelihood that a monitoring plan will be developed and implemented, and require fewer outside or in-kind contributions.

3.6 IMPACT ORIENTATION AND SUSTAINABILITY

The TOR asked the evaluator to examine any unintended effects as a result of project activities. It also asked for an assessment of the sustainability strategies, stakeholder commitment, scalability of efforts and prospects for continued outside funding.

3.6.1 Impact Orientation: PICCs as a Model for Social Dialogue

Mid-term evaluation interviews with representatives from VCCI, MOLISA and VGCL all mentioned the increasingly high number of wild-cat strikes in Vietnam. In 2011 alone, the garment industry experienced 267 strikes and in the first half of 2012, there were 101 strikes within the same sector.¹² With the inclusion of a social dialogue mechanism in the new Labor Code taking effect in May 2013, stakeholders suggested that the PICC offers a model for a successful social dialogue mechanism. At the same time, a representative from MOLISA stated that it is a bit too early to be talking about the social dialogue mechanism when the country is just beginning to establish models for some of the basic elements involved in this process. This includes methods for achieving greater worker participation in the GRTU such as electing their union PICC representative:

“Seeing workers participate and elect a representative through the use of a secret ballot is something that has never been done before. What is interesting is not how to do a secret ballot election, but for workers to understand WHY to do it.” —MOLISA Representative

3.6.2 Sustainability Strategies, Stakeholder Commitment

The Project Document (PRODOC) describes strategies to ensure the sustainability of union capacity-building efforts beyond the life of the project. These strategies involve the FOLs, the GRTUs, the VGCLs, and the BWV Enterprise Advisors.

FOLs’ continued support of GRTUs: FOL representatives on the Project Steering Committee discussed ways in which the UCD component has given them the necessary tools—namely, a trained cadre of trainers and course curriculum—to continue capacity-building efforts aimed at GRTU leaders. They stated their continued commitment to offer existing training courses as well as develop new courses to cover the new Trade Union Law and Labor Code. At the same time, they stated that it would be difficult to offer the same level of training services that are currently being funded by the UCD component, which includes the cost for participants’ transportation and refreshments, without the continued support of outside donors.

GRTUs’ continued support of PICCs: The PICC guidelines developed for trade unions outline several strategies for the GRTUs to continue offering support—such as consultation with union PICC members and representation on PICC committees—in the BWV participating enterprises.¹³ During the mid-term evaluation interviews with GRTU leaders they stated their continued support of union PICC representatives and mentioned their awareness of PICC activities; however, they could not describe the specifics of any interaction between union PICC members and the GRTU executive committee. At the same time, UCD component staff clarified that union PICC representatives and GRTU executive committee members are often

¹² Better Work Vietnam. *Better Work Vietnam Newsletter*, <http://betterwork.com/vietnam/wp-content/uploads/Better-Work-Vietnam-Newsletter-N%C2%B0-7-Sep-Dec-2012-en2.pdf>

¹³ VGCL, *Understanding the PICC Guidelines* (Revisions), Hanoi, March 2012.

the same people, since a maximum 50% of the union PICC positions may be filled from members of the enterprise trade union executive committee.

VGCL’s continued work on promoting and expanding bottom-up approaches: During the mid-term evaluation interviews, a VGCL representative of the Organizing Department described the importance of the VGCL Congress in July 2013 (occurring once every 5 years) and the opportunity to promote the innovative bottom-up approaches to organizing and collective bargaining, with the hope of ultimately adopting these practices. Notwithstanding, the VGCL will continue to expand the pilot efforts to at least two more provinces, with the support of the ILO IR project.

BWV Enterprise Advisors’ continued commitment to industrial relations issues: BWV EAs interviewed during the mid-term evaluation fieldwork expressed their continued interest and commitment to improving industrial relations at the enterprise level. One EA summarized their collective support: *“We need to keep learning and doing our part in creating an enabling environment to improve industrial relations.”*

3.6.3 Prospects for Continued Funding or Support by Implementing Organizations

APHEDA: Representatives from APHEDA expressed their commitment to continue supporting the training of GRTU leaders provided by the FOL trainers. The ongoing support for the capacity-building efforts of both the FOLs and the GRTUs was described as *“part of our ongoing work with trade unions.”* They plan on expanding the training course curricula to include wage bargaining and providing additional training support to the FOLs in the area of dispute resolution. Regarding the PICC trainings, APHEDA representatives stated that they could not continue to directly support the trainings for union PICC members beyond the life of the project, without the support of outside funding. They explained that it was never the original intention of the project to sustain the PICC trainings; rather, sustainability efforts were focused on the capacity building of the GRTUs. At mid-term, no additional outside funding was being sought by APHEDA to continue the PICC trainings; however, Better Work Global and the ILO are actively seeking funding to continue this work.

ILO IR: The ILO IR project representative in Hanoi was optimistic that it will be able to support the VGCL in its effort to scale-up the innovative bottom-up approaches with other IZ unions, in other provinces, or in settings outside of the BWV factories. The ILO IR project also plans on continuing its technical support of MOLISA as they tackle the issue of effective social dialogue mechanisms. The ILO IR project was recently awarded additional funding from USDOL that will make possible the expansion of pilot approaches within or outside of the BW factories and continued support of MOLISA.

BWV: The BWV program has no immediate additional outside funding to support a parallel project focused on the capacity building of Enterprise Advisors in the area of industrial relations; however, industrial relations experts associated with the BWV and Better Work Global programs will provide ongoing support and future opportunities for exchange and feedback. As the BWV program grows, so will the need for additional training. The Better Work Global Technical Specialist on Industrial Relations in Geneva has been involved in the

development and delivery of the EA trainings, and will serve as an ongoing internal resource for the IR capacity-development program in Vietnam.

3.6.4 Lessons Learned and Good Practices: Impact Orientation and Sustainability

The following good practices and lessons learned were identified at mid-term regarding the UCD component's potential impact and sustainability:

- Increased worker participation and comprehension of democratic union processes should be a necessary first step toward obtaining a fundamental understanding of the social dialogue process.
- Provision of the necessary tools for the continuation of capacity-building efforts within key stakeholder groups, for example a skilled cadre of trainers and relevant training curriculum, can form an integral part of a sustainability strategy.

IV CONCLUSIONS

4.1 RELEVANCE AND STRATEGIC FIT

The UCD component made timely contributions to the country's efforts to strengthen industrial relations in support of its transition to a full market economy with differing roles and responsibilities for worker and employer organizations, consistent with International Labor Standards (ILS). This was accomplished through the use of a variety of formal and informal needs assessment tools and methods such as surveys and reflection meetings. The implementing partners' ongoing and close relationship with trade unions at both the upper and grassroots levels also provided a strong foundation for the assessment of the target groups' relevant needs. Although these assessments provided important information, the implementing organizations did not coordinate efforts to gather baseline information during this initial assessment phase, which could have played an important role in the systematic monitoring of outcomes.

4.2 VALIDITY OF THE PROJECT DESIGN

The UCD component's use of a logical framework approach enabled the development of a coherent project design with cause-effect linkages between the activities and the capacity-building objectives. The inclusion of effective outcome and output indicators and their means of verification within the framework laid the foundation for an effective project monitoring plan (PMP), but these indicators were never fully integrated in the resulting PMP.

The target goals and timeframes established in the original work plan were based on a reasonable expectation of project efforts. The critical assumptions included mitigation measures that likely helped to prevent a weakening of project training strategies, particularly those dependent upon management approval.

4.3 PROJECT PROGRESS AND EFFECTIVENESS

The UCD component likely will achieve its target goals for each immediate objective, contingent upon the ongoing commitment of the social partners. In addition to this progress toward achievement of target goals, further effectiveness of the component's capacity-building efforts was demonstrated through (a) the integration of effective teaching methodologies into union training programs, (b) the participation of trade union workers in democratic union activities and social dialogue, (c) the application of innovative bottom-up approaches, and (d) the strengthened focus on industrial relations in the BWV enterprise assessment process. While activities have primarily been directed to the GRTUs and upper-level unions associated with BWV participating enterprises, a wider audience within the VGCL, international trade union solidarity support organizations and other Better Work country programs also benefitted from UCD component materials and experiences. In addition, activities related to Objective 3—the piloting of bottom-up approaches—demonstrated the successful application of project strategies to factories outside of BWV participating enterprises.

Capacity-building efforts specifically directed at the union PICC representatives have helped to build skills and confidence in the social dialogue process. The provision of additional training and follow-up support has served to reinforce these newly acquired skills. The ability and/or opportunity of union PICC members to adequately prepare or debrief with the GRTU executive committees were limited, but may be a result of little or no paid time off to prepare for PICC meetings or debrief their outcomes.

4.4 EFFECTIVENESS OF MANAGEMENT STRUCTURE

The UCD component successfully managed to coordinate the activities of the three implementing organizations by creating the central Project Monitoring Committee (PMC) to unify and leverage efforts in order to meet common goals. The additional advisory subcommittee of key social partners provided the necessary participation and buy-in to meet specific project objectives, particularly with regard to the training activities under Objectives 1 & 2.

The development of the logical framework in the project design phase laid the foundation for an effective monitoring plan. Its integration into the donor-approved project monitoring plan was primarily limited to the output indicators, however, necessitating the creation of a separate “internal” monitoring plan to measure progress toward achieving outcomes. The donor-approved PMP had limited use as a tool to assess progress toward achieving project outcomes. At the same time, insufficient project resources limited the opportunity to carry out rigorous monitoring of project outcomes. APHEDA, however, developed additional indicators that allowed for a deeper analysis of the project’s effectiveness.

4.5 EFFICIENCY AND ADEQUACY OF PROJECT RESOURCES

The implementing organizations efficiently executed project activities with the additional support of in-kind staff from each of their respective organizations. It is unlikely that the training activities and technical assistance under Objectives 1, 2 and 3 could have been fully executed without significant in-kind contributions toward expenses associated with staff time and materials production. With the support of BWV and APHEDA’s prior union capacity-building work and leveraged assistance, implementation of project activities was highly cost effective.

The implementing organizations’ ongoing and historical work relationship with key social partners has been instrumental to gaining the necessary commitment and buy-in of the social partners in order to efficiently and effectively carry out the trade union capacity-building activities within Vietnam’s social and political contexts.

4.6 IMPACT ORIENTATION AND SUSTAINABILITY

With the inclusion of a required social dialogue mechanism in the new Labor Code, the PICC process offers a model for social dialogue that has been tested within its own social and political contexts. The possible future impact of the PICC experience on social dialogue between grassroots trade union leaders and management in the area of collective bargaining remains to be seen.

The verbal commitment of the FOLs to continue offering training services to GRTUs, or to apply the knowledge/tools acquired after current project funding ends, will enable some

degree of sustainability of training efforts. The continued support of APHEDA ensures to a greater extent the continuation of training activities aimed at the GRTU leaders. At the same time, any services that require expenditures drawn from the limited resources of trade unions, or those of international solidarity organizations, will run the risk of having to downsize efforts.

At mid-term, there is no commitment by either the FOLs or APHEDA to continue implementing trainings for union PICC representatives without the support of outside funding; however, Better Work Global and the ILO are actively seeking funding to continue this work. While there is continued support for the PICC process by project stakeholders, the current trainings for union PICC members within BWV participating factories run the risk of ending with the life of the project.

The recent notification of additional funding for the ILO IR project in Hanoi will enable the project to offer continued financial and technical support to the VGCL as they scale-up the innovative bottom-up approaches with other IZ unions, in other provinces, or in settings outside of the BWV factories. The VGCL's effort to promote these bottom-up approaches at the upcoming Congress demonstrates further commitment toward their sustainability.

As the BWV program grows, the need for additional industrial relations training for Enterprise Advisors also will grow. By integrating the Better Work Global Technical Specialist on Industrial Relations in Geneva, the BWV program has developed a built-in mechanism for providing ongoing training, thus decreasing or eliminating the reliance of external funding for additional IR training.

V RECOMMENDATIONS

The following recommendations are based upon the findings and conclusions. They are intended to inform on the design and implementation of the final six months of the UCD component, and for use in future union capacity-development projects.

5.1 PROJECT DESIGN

- 1) Develop a relevant project design that fits within the current social and political context of the host country, such as the current UCD component. Enhance the relevancy of this design by strategically assessing the needs of target groups, including information on knowledge, attitudes and practices that later can serve as a baseline for the monitoring of project outcomes.
- 2) Ensure that the creation of the project design follows a logical framework approach, with cause-effect linkages between activities, outputs and outcomes. Utilize the resulting framework as a foundation for the project monitoring plan.

5.2 PROJECT IMPLEMENTATION

- 3) Reinforce the cohesive coordination between training, application of skills and follow-up support in order to maximize the outcome of capacity-building efforts and their sustainability.
- 4) Formalize case studies of innovative “bottom-up” approaches and their results for application in other IZ unions, in other provinces, or other settings outside of the BWV participating factories. Create additional case studies of successful capacity-building strategies that have led to increased social dialogue and greater worker participation in democratic union processes.

5.3 PROJECT MANAGEMENT AND MONITORING

- 5) Continue to support and strengthen the advisory and monitoring role of sub-committees including the Project Steering Committee and the Pilot Working Party in order to increase the input, buy-in, and commitment of social partners toward achieving project goals and sustaining project efforts.
- 6) Establish a single comprehensive monitoring plan, in future projects, with clearly articulated output and outcome indicators, and data collection procedures. Utilize this plan to obtain ongoing feedback on project progress and to implement potential strategic modifications that could enhance project effectiveness. Allocate sufficient funds to carry out resource-intensive monitoring of outcomes.

5.4 SUSTAINABILITY

- 7) Develop and implement mechanisms to share lessons, experiences, good practices, and innovations with a wider audience of trade union stakeholders in order to replicate and scale-up capacity-building efforts. Develop clear exit strategies for the continuation and support of key capacity-building strategies, particularly those that can be sustained without dependence on outside funding.

- 8) Investigate possible funding sources for the continued support of the union PICC trainings. Generate interest in future funding by documenting the good practices resulting from trade union participation in the PICC process.

ANNEXES

ANNEX A: TERMS OF REFERENCE-EVALUATION QUESTIONS

A. Validity of the project design

1. To what extent is the UCD component's design logical and coherent? Were the objectives/outcomes, targets and timing realistically set?
2. Were the assumptions based on reason/experience, and were external factors that influence the implementation of the UCD component sufficiently taken into consideration?

B. Relevance and strategic fit

1. Was a sufficient needs analysis carried out at the beginning of the UCD component's design and implementation?
2. To what extent are the UCD component's immediate objectives consistent with the needs *identified at the beginning of the UCD* of:
 - i. PICC union members, PICC trainers, and roughly 15 BWV Enterprise Advisors (direct target groups)
 - ii. Garment sector workers in registered and non-registered BWV factories
 - iii. The country (i.e. How does the UCD component fit within the needs identified by the Government of Vietnam?)
3. Have the needs of these stakeholders changed since the beginning of the project in a way that affects the relevance of the UCD component?

C. Project progress and effectiveness

1. Is the UCD component on track to complete its targets according to schedule? If not, what obstacles to achievement have been presented by (a) factors that the project is able to influence and (b) external factors beyond the project's control?
2. How do other labor-related initiatives (e.g., ILO, USDOL, other) and organizations (e.g. VGCL) in the country interact with the UCD component's interventions, and how do they affect implementation and outcomes?
3. What is the level of commitment of the government, the workers' and employers' organizations to interact with the UCD project? How has their commitment and participation (or lack thereof) affected its implementation?
4. How effectively do PICC union representatives feel their views captured and incorporated in BWV's assessment reports? How accessible are BWV's factory-specific findings to PICC union representatives at those factories? Has this improved/declined since the onset of the UCD?
5. What are the lessons learned from the UCD component's involvement in the PICC establishment process so far and what are the recommendations for future PICC establishment?
6. What are the key strengths and weaknesses of the training services provided under the UCD component in terms of targeting, quality of design, and application?

D. Efficiency of resource use

1. Have resources been used efficiently? Have activities supporting the strategy been cost effective? Could the same (or better) results have been achieved with fewer resources?
2. To what extent have planned activities been implemented on time and within budget to the target groups, in relation to the original project document and to subsequent work plan(s)? Briefly discuss what impediments arose, how they were overcome, and at what cost.

3. Did the UCD component use or share its materials with other projects, organizations, or partners or incorporate existing materials where appropriate?

E. Effectiveness of management arrangements

1. Does the UCD component receive adequate political, technical and administrative support from its national and international partners?
2. How effective is the communication between the project team, Better Work Global, the sub-regional office and the donors, including USDOL?
3. How could the relationship between USDOL and the project's technical team be improved?
4. Is the performance monitoring system practical, useful, sufficient and cost effective for project management? What problems were encountered with project indicators? Collection of data? Reporting?
5. How was the gathered data used? How could it be used better?

F. Impact orientation and sustainability

1. Can any unintended or unexpected positive or negative effects be observed as a consequence of the UCD component's interventions? If so, has the strategy been adjusted?
2. What prospects are being explored (if any) for cost recovery for services currently being delivered by the UCD component?
3. What can be said about the commitment of project stakeholders to continue offering the services offered or using the knowledge/tools acquired during the project? To what extent will they continue carrying out activities started by the UCD component after the project ends and without USDOL funding? What will it take for them to continue applying the skills gained or undertaking the activities in the future?
4. Is the project scalable? Can the UCD model be expanded to reach workers and workers' representatives in other contexts? If so, in what ways and with what (minimal) resources?

Annex B: Evaluation Schedules

EVALUATION SCHEDULE OF ACTIVITIES

ACTIVITY	DATE
Prepare TOR	March 2013
Pre-meeting with USDOL	Mar 26
Preparation: Doc reviews, methodology, data collection instruments	March 2013
Fieldwork in/around Ho Chi Minh City	Apr 14-19
Fieldwork in Dong Nai Province	Apr 21
Fieldwork in Binh Duong Province	Apr 24
Debrief / exit meeting with project staff	Apr 25
Present initial findings at stakeholder workshop	Apr 26
Analysis and report writing	Apr 29-May 12
Send first draft report	May 13 (COB)
Revise draft based on 48 hour review	May 15-16
Send second draft report	May 17 (COB)
Revise second draft report based on comments	May 20-21
Send final report	May 28

INTERVIEW SCHEDULES APRIL 15-26, 2013

Timing	Content	Venue
Monday, Apr 15th, 2013 - HCMC		
9:00	Orientation for Evaluator	BW office HCMC
13:30	Participants of BWV's union capacity development training seminars	BW office HCMC
Tuesday, Apr 16th, 2013 - HCMC		
9:00	Observation of BW EA training	
11:00	Meeting with National Project Coord., ILO Industrial Relations Project	BW office HCMC
14:00 – 16:00	Meeting with 6-8 PICC trainers of 3 FOLs. Purpose: Evaluator to get understanding of training courses and trainers role under the project - current issues challenges and successes of the project	FOL HCMC office; 14 Cach Mang Thang 8 Road, Dist. 1, HCMC
Wednesday, Apr 17th, 2013 - Binh Duong Province (1 hour from HCMC)		
9:00 – 10:00	Meeting with members of Trade Union Executive committee who attended 1 or more trainings	Hansoll Vina Company, Song Than Industrial Zone, Binh Duong
10:00 – 10:30	Move to Pung Kook company (10 mins)	
10:30 – 11:30	Meeting with members of Trade Union Executive committee who attended 1 or more trainings	Pung Kook Sai Gon 2 Company, Song Than Industrial Zone, Binh Duong
11:30 – 14:00	Travel to Thu Dau Mot town, Binh Duong (30 mins)	
14:00 – 16:00	Meetings with Binh Duong IZ Union and possibly 1-2 GTUs participating in pilot activities	Binh Duong Industrial Zones Union, No.499 Yersin, Thu Dau Mot town, Binh Duong Province
Thursday, Apr 18th, 2013 - HCM City and Dong Nai		
8:30 – 10:30	Special Project Steering Committee meeting to meet and share with Evaluator (VGCL, FOL, APHEDA)	FOL HCMC office; 14 Cach Mang Thang 8 Road, Dist. 1, HCMC
11.00	Additional meeting with VGCL Organising Dept	FOL HCMC office; 14 Cach Mang Thang 8 Road, Dist. 1, HCMC
12:00 – 14:00	Travel from HCMC to DN (around 1.5 hours)	
14:00 – 15:30	Attend PICC 1 training at Dongnai FOL.	14 Hoàng Minh Châu Str., P.Hòa Bình, TP.Biên Hòa, Đồng Nai
15:30 – 16:30	Meeting with Enterprise-level PICC representatives	14 Hoàng Minh Châu Str., P.Hòa Bình, TP.Biên Hòa, Đồng Nai
Saturday, Apr 20th, 2013 – HCMC		

13:00 – 15:00	Attend PICC 2 training; FOL Trainer.	FOL HCMC office; 14 Cach Mang Thang 8 Road, Dist. 1, HCMC
15:15 – 16:00	Meeting with Enterprise-level PICC representatives	FOL HCMC office; 14 Cach Mang Thang 8 Road, Dist. 1, HCMC
Monday, Apr 22nd, 2013 - HCMC		
9:00	Meeting with BWV Program Representative	BW office HCMC
11:15 – 12:15	Meeting with BWV EAs	BW office HCMC
13:30 – 17:00	Advisory Observation with EA (Dung) in Binh Duong to observe PICC meeting and facilitation process	Depart from BWV office
Tuesday, Apr 23rd, 2013 -		
8:00	Assessment Observation with Han in Dong Nai enterprise	Depart from BWV office
14:00 – 15:00	Skype interviews - Decent Work team Bangkok	Hotel or BWV office
19:00	Flight to Hanoi	
Wednesday, Apr 24th, 2013 - Hanoi		
8:00 – 9:00	Meeting with ILO Industrial Relations Representative	ILO office 48 Nguyen Thai Hoc, Hanoi
10:00 – 11:00	Meeting with MOLISA Rep.	CIRD office, 2 Dinh Le, Hanoi
11:30 – 12:45	Meeting with USG Rep.	Café near Cathedral
13:30	Meeting with APHEDA Staff	Office in Hanoi
15:00	Skype interview DIALOGUE Representative, Geneva	ILO office 48 Nguyen Thai Hoc, Hanoi
17:00-18:00	Meeting with VGCL Headquarter Organizing Department	ILO office 48 Nguyen Thai Hoc, Hanoi
20:00	Flight back to HCMC	
Thursday, Apr 25th, 2013 - HCMC		
17:00	Meeting with VCCI Rep	New World Hotel - 76 Lê Lai, Ben Thanh ward, District 1, Ho Chi Minh City
18:30	Meeting with ILO Vietnam Reps.	New World Hotel - 76 Lê Lai, Ben Thanh ward, District 1, Ho Chi Minh City (or any convenience place)
Friday, Apr 26th, 2013 - HCMC		
9:00	Wrap Up meeting BWV/ APHEDA/ ILO, Project Advisory Committee members	BWV

ANNEX C: INTERVIEW GUIDE

Master Interview Guide

Interview Questions	Who to Ask
Project Design	
<ol style="list-style-type: none"> 1. Do you think the design of the component is well-planned in terms of its objectives, desired outcomes, targets and timeframe? Why or why not? 2. Are the initial assumptions still valid? E.g. Are the enterprises still committed to participating in the PICC trainings? Is the turnover of PICC members minimal? How have these assumptions changed? 	<ul style="list-style-type: none"> • Implementing partners • Upper level union reps • Implementing partners • EAs • Upper level union reps • PICC union members • GRTU leaders
Relevance and Strategic Fit	
<ol style="list-style-type: none"> 3. How were the needs of the target groups assessed? <ul style="list-style-type: none"> - PICC union members, PICC trainers, EAs? - Garment workers in registered and non-registered BWV factories? - VGCL? 4. Have any needs changed since the beginning of the project? Are the strategies still relevant? 	<ul style="list-style-type: none"> • Implementing partners • Target group members • Implementing partners • PICC union members • PICC trainers • EAs • Upper level union reps
Project Progress & Effectiveness	
<ol style="list-style-type: none"> 5. What are the key strengths and weaknesses of the training services provided under the UCD component in terms of targeting, quality of design, and application? Can you give specific examples on how the skills gained in the training are being applied? 6. Is the project on track to achieve its targets and planned activities on schedule? If not, why not? What barriers arose and how were they overcome? 7. How has the component collaborated or leveraged resources with other labor-related projects and organizations (e.g. VGCL)? Has this enhanced or hindered the project outcomes? 	<ul style="list-style-type: none"> • Implementing partners • Training recipients • Upper level union reps • Implementing partners • Implementing partners • Upper level union reps

<p>8. What is the level of commitment and participation of key players? How has their commitment and participation (or lack thereof) affected the UCD component?</p>	<ul style="list-style-type: none"> • Implementing partners • Upper level union • Employer and Gov't Reps • Steering Cte.
<p>9. Are there any lessons learned to date from the UCD component's involvement in the PICC establishment process? Are there recommendations for its future involvement?</p>	<ul style="list-style-type: none"> • Implementing partners • Upper level union reps • Steering Cte.
<p>Efficiency</p>	
<p>10. How well do you think the project used its financial and human resources? Could it have achieved the same outputs with fewer resources? What improvements could be made?</p>	<ul style="list-style-type: none"> • Implementing partners • Steering Cte.
<p>11. Were the budget estimates sufficient to carry out the original work plan or were additional resources needed in order to support activities?</p>	<ul style="list-style-type: none"> • Implementing partners
<p>12. Was there collaboration with other projects focusing on similar issues in terms of sharing materials or even collaborating on certain activities?</p>	<ul style="list-style-type: none"> • Implementing partners • Steering Cte.
<p>Management</p>	
<p>13. What kind of political, technical and administrative support did the project receive from Better Work Global, the sub-regional office and the donor (USDOL)? Is this effective or how can this be improved?</p>	<ul style="list-style-type: none"> • Implementing partners • ILO staff
<p>14. Are you satisfied with the level of support and supervision you received from USDOL? What could be improved?</p>	<ul style="list-style-type: none"> • Implementing partners
<p>15. Is the monitoring system practical and useful? Are there sufficient project indicators to measure both outputs and outcomes? Were there any problems with data collection or reporting?</p>	<ul style="list-style-type: none"> • Implementing partners
<p>16. How does the project use the data collected? How could it be used better?</p>	<ul style="list-style-type: none"> • Implementing partners
<p>Impact</p>	
<p>17. Were there any unexpected (positive or negative) effects that can be attributed to the project's interventions? Has the project had to adjust its strategy based on these effects?</p>	<ul style="list-style-type: none"> • Implementing partners • Upper level union reps • Steering Cte. • Employer and Gov't Reps
<p>Sustainability</p>	
<p>18. Can you describe any specific sustainability strategies? Will stakeholders continue with the activities started by the project once the funding ends? Which ones and to what extent?</p>	<ul style="list-style-type: none"> • Implementing partners • Upper level union reps • Steering Cte.
<p>19. Is the project pursuing any prospective strategies or funders to</p>	

help with future costs for services delivered?	
20. What additional support or follow-up is needed for stakeholders to apply the skills gained or carry out future activities?	
21. Can the UCD model be expanded to reach similar stakeholders or in other contexts? If so, how can this be done and what (minimal) resources are needed?	
Good Practices or Lessons Learned	
22. Are there any other lessons learned to date or anything that you would recommend that the project do differently, in order to have a more successful outcome?	Everyone

ANNEX D: LIST OF DOCUMENTS REVIEWED

General Project Documents

1. Project Document (PRODOC), “Better Work Vietnam: Union Capacity Development”
2. Project Work Plan
3. Project Monitoring Plan (PMP)
4. Technical Progress Reports (five quarterly reports)

Needs Assessments/Surveys/Evaluations/Internal Monitoring

5. Trade Union Capacity Building Project Feedback Workshop - 17 April 2012
6. Training Needs Analysis for Grass Roots Trade Union Leaders, Oct. 2012 (updated April 2013)
7. Evaluation of PICC 1-Day Union Training Course and Identification of Future Training Needs, 2011
8. VGCL Draft Report of Better Work Program, October 2012
9. Internal PMP for Objectives 1&2 (added outcome indicators, time and responsibility)

Observation Records

10. PICC Meeting Observation Sheet_Nam Yang - 1Mar13
11. PICC Meeting reflection sheet - 090812 HCM
12. Trainers Observation Sheet - Mr Ha - Dong Nai 15Mar2013
13. PICC Trainer survey results 12Mar13
14. PICC Course 1 HCMC Pre-Post Test results 9Mar13

Meeting Minutes for Project Steering Committee and Project Monitoring Committee

15. Agenda Project Steering Committee Feb 17 2012
16. Agenda Project Steering Committee Oct 23 2012
17. Agenda PSC meeting June 22 2012
18. Minute PSC meeting 22 June 2012
19. Minutes PMC meeting 17 Feb 2012
20. Minutes Project Monitoring Committee meeting 070912
21. MINUTES PSC meeting 23 Oct 2012
22. Minutes PSC meeting Feb 17 2012

Training Materials

23. PICC Training Course I
24. PICC Training Course II
25. Collective Bargaining Agreement Training Course
26. Negotiation Skills Training Course
27. Training Skills for Trade Union Trainers
28. Understanding the PICC Guidelines, March 2012

Other Reference Publications

29. Better Work Vietnam Newsletters Numbers 1-7, <http://betterwork.org/vietnam/?cat=15>
30. Better Work Vietnam, *Better Work Vietnam: Garment Industry 6th Compliance Synthesis Report*, May 2013
31. International Labour Organization, Geneva, *Applying Results-based Management in the ILO: A Guidebook*, June 2011

32. USDOL, *Management Procedures and Guidelines of USDOL-ILO Cooperative Agreements*, Washington D.C., 2010, p. 17.

ANNEX E: LIST OF PERSONS INTERVIEWED AND OBSERVATIONS

ANNEX F: PROJECT LOGICAL FRAMEWORK

Project Structure	Indicators	Means of Verification (MoV)
Development Objective:		
Immediate Objective 1: Strengthened capacity of the union members of PICCs in BWV to contribute to the improvement process.	<ul style="list-style-type: none"> Number of PICC with union committee members active in the improvement process 	<ul style="list-style-type: none"> Documentation of advisory services provided by BWV EAs especially PICC meeting records. Tracked evidence in regular assessment reporting in BWV's STAR system. Project baseline study and BWV M&E reporting.
Output 1.1. Demonstrated improvement in ability of the union members of the PICCs to represent workers voices in regard PICC issues.	Output 1.1 Indicator: <ul style="list-style-type: none"> Number of enterprises participating in the training and union members trained Inputs into PICC process from union members 	Output 1.1 MoV: <ul style="list-style-type: none"> Training records and evaluation reports.
1.1.1. 1,500 PICC representatives and Union Exec members in 300 enterprises over 30 months receive 1 day training on PICC. A total of 225 of these will also receive follow up 1 day course. A total of 1,725 training places will be provided.	<ul style="list-style-type: none"> PICC members and union committee members trained by course enterprises covered course content appropriate 	Training records and evaluation reports
1.1.2. Training of Trainers program of 6 days for 7 core trainers of PICC courses	<ul style="list-style-type: none"> Numbers trained course content appropriate 	Training evaluation report
1.1.3. 100 PICC training material + 1,500 PICC guidebooks revised and printed	<ul style="list-style-type: none"> number of material printed number of guidebooks distributed 	Administrative documentation. Progress reports.
1.1.4. Technical Advisors/Trainers recruited and placed	<ul style="list-style-type: none"> Trainings delivered Advice to PFOL Trainers Curriculum revised 	curriculum approved and printed Reports
1.1.5. 12 meetings of VGCL/PFOL/APHEDA Project Steering Committee	<ul style="list-style-type: none"> PSC meetings held 	Agendas and minutes
1.1.6. 4 BWV/PFOL Liaison meetings	<ul style="list-style-type: none"> Meetings held Range of issues covered 	Meeting records and minutes.
1.1.7. Monitoring and management	<ul style="list-style-type: none"> Activities to scheduled Reporting on time monitoring undertaken 	Meetings notes and minutes
1.1.8. Internal Evaluation carried out.	<ul style="list-style-type: none"> Report drafted from Review workshop Compare surveys from baseline prepared. Final Evaluation report completed 	Survey reports. Evaluation report. Progress reports.

Project Structure	Indicators	Means of Verification (MoV)
<p>Immediate Objective 2: Increased capacity of factory level unions, the Textile and Garment Workers Union and the Federations of Labour in BWV-targeted provinces to effectively represent workers in export-oriented workplaces within the Apparel sector.</p>	<p>Immediate Objective 2 Indicators:</p> <ul style="list-style-type: none"> • Unions of different levels show positive support to BWV programme and training project. 	<p>Immediate Objective 2 MoV:</p> <ul style="list-style-type: none"> • Project baseline study and BWV M&E reporting. • BWV's PAC meeting records
<p>Output 2.1. Greater ability of District and Provincial unions in targeted provinces to support enterprise level unions.</p>	<p>Output 2.1. Indicator:</p> <ul style="list-style-type: none"> • Number of trainers from district and federation unions trained by the project in delivering union and PICC training. 	<p>Output 2.1 MoV:</p> <ul style="list-style-type: none"> • Training records and evaluation reports.
<p>2.1.1. 24 trainers from PFOL trained 6-8 days to deliver 1 day courses in Negotiation skill, Collective Dispute resolution, intro to Collective bargaining, Communication skills</p>	<ul style="list-style-type: none"> • Training and curriculum meets need of union 	<p>Training records and evaluation reports.</p>
<p>2.1.2. Technical Advisors/Trainers recruited and active</p>	<p>Number of trainers recruited.</p>	<p>Administrative documentation.</p>
<p>Output 2.2. Increased union organisation capacity in export-oriented garment enterprises and greater understanding within unions of mechanisms and strategies to better represent workers interests.</p>	<p>Output 2.2. Indicator:</p> <ul style="list-style-type: none"> • Number of enterprises union leaders trained by the project on relevant issues. • Percentage of unionised workers in participating factories. • longer term tracking of level of disputes and resolutions 	<p>Output 2.2. MoV:</p> <ul style="list-style-type: none"> • Training records and evaluation reports. • Project baseline study, progress reports and BWV M&E reporting. • Assessment reporting in BWV's STAR system
<p>2.2.1. 200 trade union leaders from 48 enterprises trained via 40 x 1 day courses. (800 training places) in negotiation skill, collective dispute resolution, introduction to collective bargaining, communication skills</p>	<ul style="list-style-type: none"> • confidence level change • activity after training • engagement of members 	<p>Training agenda and reports. Management and monitoring reports.</p>
<p>2.2.2. Pilot support and advice to factory level union committees post training (1 day/ enterprise x 2)(focus on CBA)</p>	<ul style="list-style-type: none"> • Number of trainings delivered • Advice to PFoL Trainers • Curriculum revised 	<p>Training curriculum.</p>
<p>2.2.3. 1 x Study Tour to country in region to share knowledge on union development.</p>	<ul style="list-style-type: none"> • content and relevance of program • feedback from participants 	<p>Study tour programme and report.</p>
<p>2.2.4. 15,000 Union Info Pocket books for workers revised and printed.</p>	<ul style="list-style-type: none"> • number printed/distributed • appropriateness of content 	<p>Project documentation.</p>
<p>2.2.5. 42 Information session for 12,600 workers at enterprises conducted.</p>	<ul style="list-style-type: none"> • Number of sessions held • numbers of workers attending 	<p>Training agenda and reports.</p>

Project Structure	Indicators	Means of Verification (MoV)
2.2.6. <i>Management and monitoring maintained.</i>	<ul style="list-style-type: none"> • Activities to schedule • Reporting on time • monitoring undertaken 	Meeting minutes. Monitoring reports.
Immediate Objective 3: Strengthened capacity of the Vietnamese trade union through piloting initiatives for innovation of union organisation in an expanded number of BWV participating enterprises.	Immediate Objective 3 Indicator: <ul style="list-style-type: none"> • Number of participating enterprises. • Piloting conclusions validated by unions. • 	Immediate Objective 3 MoV: <ul style="list-style-type: none"> • Training records • Workshop reports • Survey reports and evaluation results.
Output 3.1. Enterprises identified for implementing the initiatives and implementing plans developed.	Output 3.1. Indicator: Implementation plans adopted.	Output 3.1. MoV: Project implementation plan. Progress reports.
3.1.1. <i>A survey carried out for assessing trade union situation at the selected enterprise trade unions at the enterprises in the apparel sector including BW-participating factories.</i>	Number of grassroots trade unions and members of their Executive Committee and shopfloor leaders contacted in the get-to-know process	Daily activity journal Report on the situation of each enterprise trade unions
3.1.2. <i>A workshop organised with the selected enterprise trade unions and the responsible pilot implementing units (PFoLs, industrial zone unions, etc.) for sharing the survey results and building up consensus.</i>	Number of participants from the participating enterprise trade unions and pilot implementing units	Agenda and conclusion of the workshop
Output 3.2 Pilot initiatives will be progressively expanded to BWV participating factories.	Number of participating enterprises	Project workplan Progress reports.
3.2.1. <i>A joint roadmap developed by upper-level and enterprise trade unions and activities for trade union capacity building planned.</i>	Roadmap/plan produced	Training workplan
3.2.2. <i>Preliminary proposals drafted by the responsible pilot implementing units.</i>	<ul style="list-style-type: none"> • Number of meetings with the (leaders) of enterprise trade unions • Number of activities organised for enterprise trade union leaders and members 	Daily activity journal Monthly report containing plan and report of activities
3.2.3. <i>A workshop organised for sharing and validating the roadmap and proposals.</i>	Number and representation of participants.	Workshop report
3.2.4. <i>Inclusion of the selected enterprise unions in the Pilot Initiative by the VGCL Working Party</i>	Number of selected unions.	Workplan
Output 3.3 Cross-factory communication and knowledge sharing promoted.	Number of participating enterprises	Training and progress reports
3.3.1. <i>Training for “team-leaders” as shopfloor union leaders for effective trade union work and organising activities</i>	Number of “team-leaders” participating in the training	Agenda and report of training activities
3.3.2. <i>Joint training conducted focusing on effective mechanism of labour-management communication and consultation, experience sharing and peer review within the framework of Pilot Initiative.</i>	Pilot implement unit personnel participate in the programme	Agenda and report of training session. Progress in establishing consultation

Project Structure	Indicators	Means of Verification (MoV)
<p>3.3.3. <i>Joint training carried out focusing on collective bargaining campaign, experience-sharing and peer review within the same framework.</i></p>	<p>Able to better plan consultation activities</p> <p>Pilot implementing unit personnel participate in the programme</p> <p>Improvement in members' participation in collective bargaining process</p>	<p>mechanisms.</p> <p>Agenda and report of training session.</p> <p>Report on collective bargaining preparation and outcome.</p>
<p>Output 3.4 Learning from the pilots validated together with VGCL and further implemented in additional BWV enterprises.</p>	<p>Number of additional participating enterprises.</p> <p>Analysis of piloting validated.</p>	<p>Implementation workplan.</p> <p>Progress reports.</p> <p>Discussion papers</p>
<p>3.4.1. <i>Review and evaluation of Pilot Initiative by the VGCL Working Party and all participating units.</i></p>	<p>Better design of future broad-based pilot programme on union organising and improving the work of upper-level trade unions in support of enterprise trade unions</p>	<p>Review and evaluation report</p>
<p>3.4.2. <i>Discussion paper on strengthening the role of upper-level unions in support of the work of enterprise unions developed and distributed in the VGCL</i></p>	<p>A detailed analysis of reform and innovation challenges produced</p>	<p>Discussion paper produced</p>
<p>3.4.3. <i>A workshop organised to review the changes in the relationship and interaction between the enterprise unions and PICC at BW enterprises.</i></p>	<p>Number of participants</p> <p>Better understanding and approach to relationship between consultative mechanism and trade union work</p>	<p>Workshop agenda and conclusion</p>
<p>Immediate Objective 4: Increased capacity of the team of Enterprise Advisors on industrial relations issues and international labour standards.</p>	<p>Number of PICC union representatives assisted by EAs.</p> <p>Number of enterprises in which EAs facilitate the process of PICC.</p> <p>Quality of EA's facilitating of PICC functionality.</p>	<p>BWV advisory services reports (twice per annum).</p> <p>Management and workers interviews.</p> <p>BWV's survey of service users' satisfaction).</p>
<p>Output 4.1 Training material and modules on comparative experience of industrial relations developed.</p>	<p>A modular training manual validated.</p>	<p>Project documentation</p> <p>Progress reports</p>
<p>4.1.1. <i>Qualified international consultant recruited.</i></p>	<p>Contract issued</p>	<p>Administration documentation</p>
<p>4.1.2. <i>EAs training needs in IR and social dialogue areas assessed.</i></p>	<p>An assessment survey carried out</p>	<p>Survey submitted to BWV</p>
<p>4.1.3. <i>Focused training material and modules developed and validated.</i></p>	<p>A consolidated training manual signed off by BWV</p>	<p>Manual adopted by BWV</p>
<p>4.1.4. <i>Training delivered on regular basis over 3 years.</i></p>	<p>Number of training completed and number of EAs trained</p>	<p>Training records</p> <p>Progress reports</p> <p>Evaluation results</p>
<p>Output 4.2. Guidance provided by ILO IR experts to EAs in the course of their advisory service delivery</p>	<p>Number and purpose of missions accomplished by the expert to the field</p>	<p>Mission reports of the expert;</p> <p>Communication related to IR expert</p>

Independent Mid-Term Evaluation of the Union Capacity
Development Component of the Better Work Vietnam Program

Project Structure	Indicators	Means of Verification (MoV)
		consultation recorded by BWV.
4.2.1. IR specialist mission to VN once a year	Number of missions	Mission reports
4.2.2. ILO Hanoi IR specialist	Number of missions	Mission reports
Output 4.3. EAs coached on skills facilitating an effective PICC process at factory level.	Number of EAs coached	BWV workplan
4.3.1. Qualified international consultant engaged.	Contract issued	Administrative documentation
4.3.2. In-office and on site coaching provided to the EAs.	Number of coaching activities and number of EAs coached	Training records including training evaluation Feedback from users
Output 4.4. EA's capacity retained in a sustainable way through regular interaction with local level unions.	Number of participation of EAs in PFoL training sessions.	BWV workplan and training records
4.4.1. A total of 5 joint seminars with PFoL carried out.	Number of seminars	Seminar reports
4.4.2. Joint in-factory activities with PFoL conducted.	Number of joint factory visits	EAs workplan

ANNEX G: PROJECT MONITORING PLAN

PROJECT MONITORING PLAN

ILO TC Code: VIE/50/11/USA
Project Title: Better Work Vietnam, Union Capacity Development
Reporting Period: July – December 2012 (updated May 2013)

DEVELOPMENT OBJECTIVE	To contribute to the creation of decent work opportunities in targeted export industries
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Immediate objective 1	To strengthen the capacity of the union members of PICCs in BWV to contribute to the improvement process.						
Indicator	Baseline or value of indicator at start of project		Period 1 Jan 12 - June 12	Period 2 July 12 - Dec 12	Period 3 Jan 13 - June 13	Period 4 July 13 - Dec 13	Total/ End of project
1. Number of courses, training places and participants in trainings on problem-solving capacity	0	Target	13 courses 156 training places, 156 participants	22 courses 264 training places	18 courses 396 training places	30 courses and 650 training places	1,525 training places and up to 930 Union PICC representatives
		Actual	9 courses , 129 participants	13 courses (9 PICC II Advanced courses)=160 participants			
2. Number of factory grass root trade unions participating in the training		Target	39	39	60	80	Up to 300
		Actual	49	65		-	
3. Number of PICC members that increased their understanding of their responsibility by attending Union PICC training.	0	Target	156	264	396	650	up to 930 Union PICC representatives
		Actual	129	160		-	

Comments/ Remarks:

- (1) The target for this period is the number of courses planned. The number of participants that actually attend is not targeted together with whether a particular course proceeds is based on ability of participants to obtain leave for PICC training, based on factory requirements such as orders.

Immediate objective 2		To strengthen the capacity of enterprise level unions, the Textile and Garment Workers Union and the Federation of Labour in BWV-targeted provinces to effectively represent workers in export-oriented workplaces within the garment sector.					
Indicator	Baseline or value of indicator at start of project		Period 1 Jan 12 - June 12	Period 2 July 12 - Dec 12	Period 3 Jan 13 - June 13	Period 4 July 13 - Dec 13	Total/ End of project
1. Number of trainers from district and federation unions trained by the project in delivering union and PICC training. (1)	0	Target	24	24 Upgrade skills	24 Upgrade skills	24 Upgrade skills	24
		Actual	31	22	-	-	
2. Number of union leaders that increased their capacity through attending training (negotiation, communication, organizing, dispute settlement etc) (2)	0	Target	20 training days 240 training places	30 training days, 360 training places	8 training days 96 training places	46 training days 540 training places	200 grass root union leaders trained through 84 training days
		Actual	13 courses and 140 training places	5 courses and 105 training places		-	
3. % of unionized workers in participating factories (4)	0	Target	60%	65%	70%	75%	Minimum 75%
		Actual	HCMC: 67%(5) BD: 89%	67% HCM 89% BD	-	-	
4. Number of unions that are supportive of BWV		Target	At least 35				
		Actual	38 (6)	38	-	-	

Comments/ Remarks:

January and February are the months leading up to and during Tet, which is the main traditional festival in Viet Nam. During this time it is difficult to deliver any training.

- (1) Most of these trainers are ongoing trainers who received advanced training through workshops during the period January –June 2012. Two are new trainers.
- (2) The targets established were for number of courses to be delivered. The information has been provided for number of courses as well as number of participants by Province/City (HCM) as well as the total number of participants.
- (3) The target applies to Phase 3 of the project which commenced in March 2012.
- (4) There is no baseline figure available at this time. It may be possible to update this information in the near future.
- (5) The HCMC figures are based on 11 of 13 Grass Roots Trade Unions. No figures were supplied for the other 2 participating in this project. Only figures for one Grass Roots Trade Union were provided for Dong Nai by the time of this report.
- (6) Based on 38 of 42 factories have joined BWV.

Immediate objective 3		To strengthen the capacity of the Vietnamese trade union through piloting initiatives for innovation of union organization in an expanded number of BWV participating factories.					
Indicator	Baseline or value of indicator at start of project		Period 1 Jan 12 - June 12	Period 2 July 12 - Dec 12	Period 3 Jan 13 - June 13	Period 4 July 13 - Dec 13	Total/ End of project
1. How many grassroots trade unions (GTU) have set up and/or re-organised system of "trade union groups" [a kind of shop-steward's district] for members' participation in trade union work?	11 out of 42 GTUs have not yet set up trade union groups (TUG) 31 out of 42 GTUs need to re-organised their TUGs	Target	3	8	16	15	
		Actual	2 in Bien Hoa IZU; 2 in Binh Duong IZU	2 in HCMC IZU; 2 in Dong Nai FoL; 1 in Binh Duong IZU; 1 in Bien Hoa IZU	15 GTUs re-organised/strengthened their union groups (3 in Dong Nai FOL, 7 in Bien Hoa IZU, 5 in Binh Duong IZU)		
2. How many GTUs are demonstrating characteristics of "bottom-up" trade union activities? ¹⁴	24 out of 42 have not yet had "bottom-up" trade union activities	Target	3 (new bottom-up unions)	20 (new bottom-up unions)	40 (total GTUs have bottom-up characteristics)	42	
		Actual	4	8 in Binh Duong IZU; 8 in Bien Hoa IZU	38 GTUs maintained their bottom-up characteristics	-	

¹⁴ [For example, organising of trade union activities through members' active discussion; preparation, engagement in the dialogue mechanism; preparation, engagement in collective bargaining.]

Comments/ Remarks:

- Trade union groups were mainly set up in GTUs where their congress had been organized
- Almost GTUs participating in the pilot program in this period are large GTUs and trade union groups have been set up. However, the problem is that in many cases, there are not intentional and/or clear criteria for setting up trade union groups and trade union group leaders. In many cases, the tasks of trade union groups and trade union group leaders are not clear; the relations between trade union groups and executive committee of GTUs are not institutionalized; trade union group leaders are not properly protected and not provided facilitation to work with workers and managers as well. Above-mentioned issues were key topics for discussions in the training/meetings which were organized by Pilot Working Groups in Dong Nai FoL , Binh Duong IZU and Bien Hoa IZU
- Bottom-up trade union activities were mainly taken place in GTUs in Bien Hoa IZU when they organized their congress, and in GTUs in Binh Duong IZU when they participated in a multi-employer wage negotiation coordinated by Binh Duong IZU

Immediate objective 4		To increase the capacity of the team of Enterprise Advisors on industrial relations issues and international labour standards.					
Indicator	Baseline or value of indicator at start of project		Period 1 Jan 12 - June 12	Period 2 July 12 - Dec 12	Period 3 Jan 13 - June 13	Period 4 July 13 - Dec 13	Total/ End of project
1. Number of EA training days on IR	0	Target	0	85	19		
		Actual	0	90	57		
2. Number of in-factory shadow visits.	0	Target	0	8	4		
		Actual	0	7	7		
3. Number of joint events with the federations of labour.	0	Target	0	2	2		
			0	1	0		

Comments/ Remarks:

The baseline assessment scheduled for August 2012 aimed to define the learning needs of Better Work Enterprise Advisors on ILO Core Labour Standards and Industrial Relations. Classroom and in-factory trainings for the initial group of 19 will be implemented in December 2012 and Spring 2013.