



**O'BRIEN &
ASSOCIATES**
INTERNATIONAL

**AN INDEPENDENT FINAL EVALUATION
OF
THE STRENGTHENING UNIONS TO PROMOTE
VULNERABLE WORKERS' RIGHTS IN PERU PROJECT**

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This report describes, in detail, the final evaluation of the Strengthening Unions to Promote Vulnerable Workers' Rights in Peru Project that was conducted between November 5, 2014 and January 16, 2015. Dan O'Brien and Ena Lilian Nunez, independent evaluators, conducted the evaluation in collaboration with the project team and stakeholders and prepared the evaluation report according to the terms in the contract with the United States Department of Labor. Mr. O'Brien and Ms. Nunez would like to express sincere thanks to all parties involved in this evaluation for their support and valuable contributions.



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LIST OF ACRONYMS

| | |
|----------|----------------------------------------------------------------------------------------------------------------------------------------|
| ACTRAV | International Labor Organization's Bureau for Workers' Activities |
| AFL-CIO | American Federation of Labor and Congress of Industrial Organizations |
| CA | Cooperative Agreement |
| CATP | Central Autónoma de Trabajadores del Perú, Autonomous Central of Peruvian Workers |
| CEDAL | Centro de Derechos y Desarrollo, Center for Rights and Development |
| CGTP | Confederación General de Trabajadores del Perú, General Confederation of Peruvian Workers |
| CTP | Confederación de Trabajadores del Perú, Confederation of Peruvian Workers |
| CUT | Central Unitaria de Trabajadores del Perú, Unitarian Central of Peruvian Workers |
| FENTAGRO | Federación Nacional de Trabajadores de Agroindustria y Afines, National Federation of Agroindustry Workers |
| FLA | Fair Labor Association |
| FNTMMSP | Federación Nacional de Trabajadores Metalúrgicos y Siderúrgicos del Perú, National Federation of Metalworkers and Steelworkers of Peru |
| FNTTP | Federación Nacional de Trabajadores Textiles del Perú, National Federation of Textile Workers of Peru |
| FTTP | Federación de Trabajadores en Tejidos del Perú, Federation of Textile Workers of Peru |
| HIALPESA | Hilandería de Algodon Peruano S.A. |
| IESI | Instituto de Estudios Sindicales, Institute of Trade Union Studies |
| ILAB | USDOL Bureau of International Labor Affairs |
| ILO | International Labor Organization |
| IO | Immediate Objective |
| LFA | Logical Framework Approach |
| M&E | Monitoring and Evaluation |
| MPG | Management Program Guidelines |
| MSN | Maquila S Network |
| MTPE | Ministerio de Trabajo y Promocion de Empleo, Ministry of Labor and Employment Promotion |
| NGO | Non-governmental Organization |
| OSH | Occupational Safety and Health |
| OTLA | Office of Trade and Labor Affairs |
| PLADES | Programa Laboral de Desarrollo, Program of Labor Development |

| | |
|-----------|------------------------------------------------------------------------------------------------------------|
| PMP | Performance Monitoring Plan |
| PTPA | United States-Peru Trade Promotion Agreement |
| SC | American Center for International Labor Solidarity |
| SIE | Sindicato Industrias del Espino, Espino Industries Union |
| SINTRAPE | Sindicato de Trabajadores de Palmas de Espino, Palmas de Espino Workers Union |
| SITECASA | Sindicato de Trabajadores de la Empresa Camposol, Camposol Company Workers Union |
| SITESAV | Sindicato de Trabajadores de la Empresa Sociedad Agrícola Virú, Viru Agriculture Corporation Workers Union |
| SITRAMINA | Sindicato de Trabajadores de Antapaccay, Antapaccay Workers Union |
| SITRIN | Sindicato de Trabajadores Textil de Incalpaca, Incalpaca Textile Workers Union |
| SMS | Short Message Service |
| SUNAFIL | Superintendencia Nacional de Fiscalización Laboral, National Superintendence of Labor Inspection |
| SUTRATIN | Sindicato Único de Trabajadores Textiles Incalpaca, Incalpaca Textile Workers Trade Union |
| TAC | Technical Assistance and Cooperation Division |
| TOR | Terms of Reference |
| TOT | Training of Trainers |
| US | United States |
| USAID | United States Agency for International Development |
| USDOL | United States Department of Labor |
| USG | United States Government |

EXECUTIVE SUMMARY

In February 2013, the United States Department of Labor (USDOL) and the American Center for International Labor Solidarity (Solidarity Center or SC) signed a two-year Cooperative Agreement (CA) in which USDOL provided \$2.2 million to SC to support the implementation of union capacity strengthening projects in Peru and Haiti. One million dollars of the CA was designated for the implementation of the “Strengthening Unions to Promote Vulnerable Workers’ Rights in Peru” project. The original effective date of the agreement was December 27, 2012 to December 26, 2014. However, SC requested and has been provided a no-cost extension until April 30, 2015.

The goal of the project is to reduce the social and economic exclusion of Peru’s most vulnerable workers. The project consists of two immediate objectives: (1) strengthening unions’ capacity to organize and effectively represent vulnerable workers in key export-oriented sectors and (2) improving union advocacy for vulnerable workers in labor rights enforcement and policy reform. The heart of the project strategy is training, technical assistance, and advocacy initiatives designed to strengthen unions.

The evaluation was conducted between November 5, 2014 and January 16, 2015. The evaluation team reviewed project documents, developed data collection instruments, and prepared for the fieldwork from November 5-13. Fieldwork was conducted in Peru from November 17-28. The evaluation team interviewed 84 persons including four USDOL grant managers, four SC and project staff, and 63 trade union representatives. These interviews account for 75% of the total interviews. The remaining interviews were conducted with representatives from Peruvian NGOs, international labor organizations, and the labor ministry.

Findings and Conclusions

The findings and conclusions address the key questions listed in the terms of reference and are presented according to the major evaluation categories: project design, relevance, progress and effectiveness, efficiency and use of resources, project management, impact orientation, and sustainability.

Project Design

The project’s design is coherent and logical. The activities, outputs, outcomes, and immediate goals are logically linked. The assumptions address important external factors that influence the project’s logic. However, several important assumptions, that could have affected achievement of objectives, did not hold. These include institutional instability at the labor ministry, lack of commitment of some unions to include vulnerable workers in leadership positions, and employers that do not engage in collective bargaining in good faith. The indicators used to measure outcome achievement are appropriate. The immediate objectives, however, do not have indicators that make assessing their achievement difficult. Furthermore, the project did not set indicator targets at the beginning of the project as required by the MPG.

Relevance

The project design was based on the experience and lessons of a previous union-strengthening project funded by USAID. The project’s objectives and strategies address important needs of the federations and unions. These include management and leadership, outreach and education (affiliation campaigns), collective bargaining, and advocacy focused on short-term contracting, outsourcing, and occupational

health and safety standards. The needs of the federations and unions have not changed since the beginning of the project in ways that would have affected the relevance of the objectives and interventions.

Progress and Effectiveness

Based on the data in the project's database (M&E system), the project appears to be behind in achieving several of its indicator targets. These include the percent of vulnerable workers in leadership positions, number of representation and defense actions to support vulnerable workers, number of workers contacted during affiliation campaigns, and number of collective bargaining agreements. However, there appears to be data quality issues with the M&E system that might affect the accuracy of the indicator target achievements.

The project has effectively collaborated with a range of national and international labor organizations. Some of the most effective collaboration has been with international organizations to address violations of labor rights such as short-term contracting. The project's partners have been committed to working with the project to build capacities and implement advocacy initiatives. The labor ministry, on the other hand, has been less committed to exercising the political will to support unions on key issues such as short-term contracting and outsourcing.

The training methodologies have been participatory and dynamic, which participants found to be highly effective. Some unions, however, have not successfully applied new knowledge and skills due to low capacity or an anti-union environment at their companies. The project did not conduct a training needs assessment that would have allowed it to more effectively design and target training based on the needs, capacities, and interests of its partner unions. Some unions were not able to fully benefit from the training because of a lack of capacity and readiness to apply new knowledge and skills.

The project effectively coupled its training interventions with technical assistance meetings. The technical assistance meetings supported the trainings and often focused on current and important events affecting unions such as collective bargaining negotiations, affiliation campaigns, documentation of labor rights violations, and filing complains for labor rights violations. Supporting the training with technical assistance meetings is considered a good practice.

Efficiency and Use of Resources

The average cost to build the capacity of a union is \$7,159 while the average cost to train a union representative is \$707. The average cost to contact and provide labor rights education to a worker is \$311. The evaluators did not have access to standards to compare these costs. It should be noted that these costs are based on the data in the project's database. If these data were determined to be inaccurate, these costs would need to be recalculated.

The allocation of resources (budget line items) appears to be consistent with other labor projects with the exception of salaries and indirect costs. Salaries and fringe benefits account for 47% of the budget, which seems high when compared to other NGOs implementing labor projects. The project is currently underspent by about 23% but has received a no-cost extension until April 30, 2015. The project will have to increase its average monthly expenditure rate by 50% to expend funds by the new end date.

Project Management

Overall, the support from the project's union partners has been effective. The relationship and support from the textile sector has been the most fluid and effective while the relationship with the mining

sector has been most strained due to the insistence of the mining federation that it review and approve communications and interventions. The support from the labor ministry has been less effective due to institutional instability and lack of political will to engage and support unions on key issues such as short-term contracting and outsourcing.

Internal and external collaboration and communication, in general, has been effective. The exception has been the level of communication and engagement from USDOL, which has been less frequent and consistent. As required by the MPG, the project developed a PMP that includes the indicators and data sources. The M&E system is comprised of the PMP along with the union capacity building tracking form. There appears to be data quality issues with the data in the project's database that could affect the accuracy of the indicator target achievements.

Impact and Sustainability

The project is having an important impact on workers that is not being captured by the project's indicators. The impact typically occurs because of collective bargaining when unions are able to negotiate improvements in salary, benefits, work schedules, and working conditions. In addition, leadership training has contributed to building confidence in some union representatives that has increased their effectiveness at addressing labor rights violations.

As required by the MPG, the project developed a sustainability plan at the beginning of the project. However, the project did not update the sustainability plan or develop an exit strategy with explains how the project's interventions and results will be sustained. While it is unlikely that union partners will sustain the training and technical assistance interventions, it is likely that the more capable partners will continue to apply new knowledge and skills to collective bargaining negotiations and affiliation campaigns. It also appears that the federations will continue to work on the advocacy plans and proposals once the project ends.

Recommendations

1. SC should focus the remaining months of the project on institutionalizing the documentation of labor rights violations in the target unions so unions are able to continue to systematically document and store cases of violations of labor rights. The documentation of labor rights cases that were used to produce the three sector studies was an important process but is not being continued by many unions.
2. SC should conduct a thorough review of its data to ensure their quality and integrity and that reporting is based on reliable information. It was observed during the course of the evaluation that information and reports generated by the database were sometimes inaccurate and inconsistent.
3. SC should consider training unions to use modern technologies to more effectively reach and communicate with youth. This recommendation stems from the observation that many of the current union officials represent a generation accustomed to using written literature while youth communicate primarily with mobile phones and social media.
4. Time permitting; SC should consider developing and delivering training on workplace harassment for both female and male union representatives. This recommendation is based on the observation that female union leaders believe that female workers are often harassed in the workplace by supervisors and, thus, require effective tools and strategies to confront harassment situations.

5. USDOL and SC should increase the level of communication during the remaining months of the project that might include regularly scheduled telephone calls and face-to-face meetings. USDOL should provide written and verbal feedback on progress reports. SC should provide USDOL with an updated indicator-tracking table and its plan to increase expenditures by the amount required to expend project funds by April 30.
6. USDOL should require SC to develop and submit an exit strategy as required by the MPG. The exit strategy should define the interventions and results that will be sustained, the strategy for sustaining them, the individuals or organizations responsible, timeframes, and the required resources and sources.
7. In future projects, SC should develop and administer a training needs assessment that assesses and documents the needs, capabilities, and interests of unions for capacity building training. The needs assessment would be used to tailor the training to the specific needs and capabilities of unions rather than using a generic, one size fits all approach.
8. USDOL should ensure that grantees adhere to the requirements in the MPG document that, in turn, should help improve overall project administration, management, and impact. USDOL should also consider developing and using a checklist tool to monitor the most important deliverables such as the project logic model with assumptions, PMP with baseline and indicator targets, project document and budget, workplan, M&E system based on the PMP, technical progress reports, financial reports, and sustainability plan with exit strategy.
9. USDOL should consider requiring grantees to develop a strategy to institutionalize training in projects where training is a major component. The institutionalization of training might include several different approaches such as training of trainers (TOT) capacity and linkages to universities or NGOs with strong training capabilities to unions.
10. USDOL should consider requesting its grantees to develop and use a set of quantitative and qualitative indicators designed to capture the impact that interventions have on workers. Quantitative impact indicators might include increases in wages and benefits and improvements in health and safety conditions. Qualitative indicators might include improvements in self-esteem and confidence, addressing workplace harassment issues successfully, or changes in attitudes regarding the role of women in union leadership positions.
11. USDOL and SC should leverage the codes of conduct, certifications, and other corporate social responsibility mechanisms of international brands and buyers to address local violations of labor rights. USDOL should consider building this approach into future solicitations. SC, which has effectively used this approach during this project, should look for new opportunities to leverage codes of conduct and certifications of international brands and buyers in this and other union strengthening projects.

I PROJECT DESCRIPTION AND BACKGROUND

In February 2013, the United States Department of Labor (USDOL) and the American Center for International Labor Solidarity (Solidarity Center or SC) signed a two-year Cooperative Agreement (CA) in which USDOL provided \$2.2 million to SC to support the implementation of union capacity strengthening projects in Peru and Haiti. One million dollars of the CA was designated for the implementation of the “Strengthening Unions to Promote Vulnerable Workers’ Rights in Peru” project. The original effective date of the agreement was December 27, 2012 to December 26, 2014. However, SC requested and has been provided a no-cost extension until April 30, 2015.

The goal of Strengthening Unions to Promote Vulnerable Workers’ Rights in Peru (referred herefrom as “the project”) is to reduce the social and economic exclusion of Peru’s most vulnerable workers. The project consists of two immediate objectives: (1) strengthening unions’ capacity to organize and effectively represent vulnerable workers in key export-oriented sectors and (2) improving union advocacy for vulnerable workers in labor rights enforcement and policy reform. The project’s immediate objectives and their outcomes are summarized in the following table.

Table 1: Summary of Project's Immediate Objectives and Outcomes

| Immediate Objectives and Outcomes |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>IO 1: Strengthen unions’ capacity to organize and effectively represent vulnerable workers in key export-oriented sectors</p> <ol style="list-style-type: none"> 1. Unions improve internal practices 2. Unions implement worker organizing initiatives 3. Unions improve negotiation skills |
| <p>IO 2: Improve union advocacy for vulnerable workers in labor rights enforcement and policy reform</p> <ol style="list-style-type: none"> 1. Workers improve labor rights monitoring 2. Unions implement advocacy campaigns 3. Unions strengthen engagement with labor ministry and authorities |

The heart of the project strategy is training, technical assistance, and advocacy initiatives designed to strengthen unions. Table 2 summarizes the project strategies by the related outcome.

Table 2: Strategies by Outcome

| Outcome | Capacity Building and Advocacy Strategies |
|---------------------------------------------|-------------------------------------------|
| Improved internal practices | Administration and leadership |
| Implement worker organizing initiatives | Organizing and outreach |
| Improved negotiation skills | Collective bargaining |
| Improved labor rights monitoring | Labor rights monitoring |
| Implement advocacy campaigns | Advocacy and communications |
| Strengthened engagement with labor ministry | Social dialogue |

The project aims to address the institutional and cultural obstacles that exist within Peruvian trade unions in proposed key export sectors based on the specificity of each sector’s gender, age, and contracting demographics. The targeted sectors include export-oriented agriculture, mining, and textile/apparel. These sectors were selected primarily on the following criteria:

- Percentage of vulnerable workers in the overall sector.
- Existence of legal reform and legal enforcement opportunities specific to these sectors.
- Openness and institutional commitment of the federations and corresponding confederations to support capacity building that result in new union leaders and practices.
- Availability of vulnerable workers to participate in SC training and activities.

According to the project document, the project is targeting approximately 6,000 workers and 70 union representatives located in the departments of Lima, Piura, Arequipa, and San Martín as direct beneficiaries. The direct beneficiaries work or represent workers in the three targeted export sectors. Indirect beneficiaries include the labor ministry, regional directors of labor, inspectors, and other regional-level labor authorities.

The evaluation team believes it is important to understand the context in which the project is operating. The context includes a variety of labor laws that are dispersed and inconsistent. Peruvian worker organizations believe these laws and their interpretation have had a negative affect on basic labor rights such as the freedom of association, collective bargaining, discrimination, stable employment, occupational health and safety (OSH), and effective workplace inspections.

- **Law 22342.** The Promotion of Non-Traditional Exports was passed in 1978 to promote investment in non-traditional manufacturing and encourage exports. It consists of a range of tax, administrative, and labor benefits for investors. One of the more controversial elements is the creation of short-term contracting that allows employers to contract workers to work on specific export orders that might range from one to three months. Since the law allows employers to re-hire the same workers repeatedly, employers can undermine the original intent of the law, and in so doing, deny their workers the benefits of full-time employment.
- **Law 27360.** The Special Scheme for Promotion of the Agricultural Sector is aimed at promoting agriculture businesses by creating a differentiated remuneration scheme that lowers wage standards for agriculture workers. The law was originally scheduled to expire in 2006 but it has been extended until 2021.
- **Law 29245.** The Outsourcing Law was passed in June 2008. It allows the creation of companies that specialize in contracting workers that work for its clients, who are often the main employers. A loophole in the law also allows the main employer to establish outsourcing or contracting companies that contract workers to work for it. The outsourcing law is controversial because workers hired by the outsourcing company are hired on temporary contracts at salary and benefit levels that are usually below what the main company pays its permanent employees. In addition, mining companies are required to pay 8% of its profits to fulltime workers through a profit sharing scheme. They do not have to share profits with contracted workers.
- **Procedural Labor Law.** Passed in January 2010, the Procedural Labor Law provides for oral proceedings, specialized judges trained in oral proceedings, and an expedited judicial process. However, the law has not been fully implemented and there is a significant shortage of judges trained in oral proceedings. This means that a limited number of workers that have filed complaints regarding labor rights violations have access to an expedited judicial process.

- **Law 29981:** Modification of the Labor Inspection System was enacted in December 2012. It amended the General Labor Inspection Act by creating the Superintendencia Nacional de Fiscalización Laboral (SUNAFIL) as a specialized and independent entity attached to the labor ministry. SUNAFIL is still in the process of being implemented and is, therefore, not functional in many areas of Peru. Workers located in areas where SUNAFIL is not functional must rely on the traditional labor inspection system that unions consider highly ineffective.
- **Law 30222.** Amendment to the Law on Safety and Health at Work (Law 29783). Law 30222 amended Law 29783 in July 2014 to allow employers to hire third party entities to implement, manage, and monitor workplace safety and health requirements. The amendment also extends the period to conduct medical exams to two years, reduces the criminal liability of employers, limits the amount of fines SUNAFIL can levy on employers by 35%, and makes the role of the inspection preventative rather than punitive.
- **Law 30288.** The Law Promoting the Access of Youth to the Labor Market and Social Protection, which was adopted in December 2014, creates a temporary (five years) period to formalize employment for young people between 18 and 24 years. The law requires payment of minimum wage, health insurance, pension insurance and holiday leave but reduces employee benefits already recognized by the labor system. In addition, it does not recognize payment for length of service, bonuses, family allowances, and life insurance. It also reduces annual paid leave from 30 to 15 days. Labor NGOs, unions, and the media have voiced concerns that this legislation will create a new precarious workforce of approximately three million workers. These organizations are also concerned that the legislation will be used to replace older workers with young workers who will not seek to unionize or claim their labor rights. On December 31 2014, a group of Peruvian lawmakers filed a formal constitutional complaint against the law.

In addition to these laws, it should be noted that the mining federation (FNTMMSP) has filed a formal complaint under the United States-Peru Trade Promotion Agreement (PTPA) against the Government of Peru for breach of labor standards as stated in Chapter 17 of the PTPA. The complaint was submitted to the General Office of Cooperation and International Affairs in the Ministry of Labor on October 7, 2014.

II EVALUATION PURPOSE AND METHODOLOGY

2.1. EVALUATION PURPOSE

The overall purpose of the evaluation is to provide USDOL and SC with an independent assessment of the project's performance and experience to date. The evaluation aims to assess the project's design and relevance, review the progress made toward the achievement of the outcome indicator targets, assess the effectiveness and efficiency of the project's interventions, and identify lessons learned from the implementation of the project's strategies and services.

The evaluation results are intended to allow the key stakeholders to determine whether the project is on track to achieve its stated objectives and outcomes, identify strengths and weaknesses in the project approach and implementation, and provide recommendations to improve its effectiveness and efficiency. More specifically, the evaluation results will help USDOL determine the following:

1. Whether the project's interventions have improved the ability of unions to effectively represent the most vulnerable workers through (democratic) consultative practices and measurably resolve their problems.
2. The project's impact on Peru's unions within export-oriented sectors and the potential for unions in Peru to expand the project's piloted structures and processes to reach more vulnerable workers.
3. Lessons that may be learned from the project that could be applied in other existing and potential future USDOL-funded programs.

USDOL and SC developed a set of questions to guide the evaluation. The questions address key issues in (1) validity of the project design; (2) its relevance to the situation in Peru; (3) progress and effectiveness in achieving the project's objectives and outcomes; (4) efficiency and use of resources; (5) effectiveness of project management; and (6) impact orientation and sustainability of the project's interventions. The evaluation questions appear in the Terms of Reference (TOR) in Annex A.

2.2. METHODOLOGY

The evaluation used primarily qualitative data collection methods. Quantitative data were also obtained from project documents and reports, to the extent that they were available, and incorporated into the analysis. Data collection methods and stakeholder perspectives were triangulated, where possible, to increase the credibility and validity of the results. The interview process incorporated flexibility to allow for additional questions, ensuring that key information was obtained. A consistent protocol was followed during each interview.

Evaluation Schedule. The evaluation was conducted between November 5, 2014 and January 16, 2015. The evaluators reviewed project documents, developed data collection instruments, and prepared for the fieldwork from November 5-13. Fieldwork was conducted in Peru from November 17-28. The fieldwork culminated with a presentation and discussion of the preliminary findings with key project stakeholders on November 28 in Lima. The bulk of the data analysis and report writing occurred from December 1-19. The complete schedule of evaluation activities appears in the TOR Annex A.

Data Collection and Analysis. USDOL and SC developed a list of evaluation questions that served as the basis for the evaluation. The questions were used to develop guides and protocols for the key informant interviews and document reviews. The master key informant interview guide is listed in Annex B. The following methods were employed to gather primary and secondary data.

1) *Document Reviews.* The evaluator read a variety of project documents and other reference publications. These documents included the cooperative agreement, project document, technical progress reports, performance monitoring plan and updates, and the pre and post assessment reports. Annex C shows the complete list of documents that were reviewed.

2) *Key Informant Interviews.* The evaluator conducted 84 individual and group interviews with USDOL, SC, the labor ministry, trade unions, workers, non-governmental organizations (NGOs), and international labor organizations. A complete list of interviews appears in Annex D.

The document reviews and key informant interviews generated a substantial volume of raw qualitative data. The evaluator used qualitative data analysis methods, including matrix analysis, to categorize, triangulate, synthesize, and summarize the raw data captured from the interview notes. The results of the data analysis provided tangible blocks of information, which the evaluator used to write the evaluation report. The data analysis was driven by the evaluation questions in the TOR.

Sampling Methodology. The evaluator used a purposeful, non-random sampling methodology to select the interviewees. Table 3 summarizes the organizations interviewed, the interviewing methodology, the sample size, and a description of the sample.

Table 3: Population, Methodology, Sample Size, and Sample Characteristics

| Organization | Interview Method | Number | Description of Interviewees |
|-----------------------------------|-----------------------|-----------|-------------------------------------------------------------------------------------------------------------------|
| USDOL | Group interview | 4 | Grant managers and international relations officer |
| Solidarity Center | Individual interview | 1 | Senior program officer |
| Project | Individual interviews | 3 | Country program director, project director, program officer |
| Labor ministry | Individual Interviews | 2 | Ministry advisor and former departmental director |
| Union Confederations | Individual interviews | 4 | CGTP |
| Union Federations | Group interviews | 14 | Union officials from FENTAGRO, FNTMMSP, FNTTP, FTTP |
| Workplace Unions | Group interviews | 49 | Union officials from Ricky, Michell, SINTRAPE, SITECASA, SITESAV, SITRAMINA, SITRIN, STIE, SUTANTAPACAY, SUTRATIN |
| Peru NGOs | Group interviews | 2 | PLADES and Peru Equidad |
| International labor organizations | Individual Interviews | 3 | International Labor or Organization, Maquila Solidarity Network, Fair Labor Association |
| Labor lawyers | Individual interviews | 2 | Labor lawyers assisting with training and support |
| Total Interviews | | 84 | |

The evaluator interviewed 84 persons including four USDOL grant managers, four SC and project staff, and 63 trade union representatives. These interviews account for 75% of the total interviews. The remaining interviews were conducted with representatives from Peruvian NGOs, international labor organizations, and the labor ministry. Project staff selected the workplace unions that were interviewed and arranged the interview schedule in advance of the fieldwork.

Limitations. Several important limitations that could have affected the evaluation findings deserve mention. The most significant limitation was the time allotted to conduct fieldwork. The evaluation team had two weeks to conduct interviews with project staff, union representatives, government officials, and NGOs. While interviews with the project staff, government officials, NGOs, and some union officials were conducted in Lima; the evaluators were required to travel to Trujillo, Arequipa, and Santa Lucia (in San Martin) to interview union representatives. The travel to Santa Lucia, while very important, was time consuming given the remoteness of the area and represents another important limitation.

The evaluation team was able to interview ten unions or 16% of the unions that the project is working with because of the short amount of time allocated to fieldwork combined with the travel. This is an important limitation because the evaluators are not certain to what extent the views of the unions that were interviewed represent the opinions and views of the 84% that were not interviewed.

The final limitation that will be discussed is data quality. The evaluators reviewed the process for retrieving data from data sources, conducting preliminary analysis, and entering data into the database. The evaluators noted several issues with data quality that included incomplete information provided by unions, lack of protocols in coding information provided by unions, and inconsistencies in reports generated by the database. While the evaluation team made an effort to seek clarifications and adjust inconsistencies in the data, it did not have enough time to perform quality checks on all of the data provided. The evaluation findings are based on information collected from documents and interviews. The accuracy of the findings is predicated on the integrity of information provided to the evaluators from these sources and the ability of the evaluator to triangulate this information.

III FINDINGS

The following findings are based on the review of key project documents and interviews conducted during the fieldwork phase. The findings address the key questions listed in the TOR and are presented according to the major evaluation categories: project design, relevance, progress and effectiveness, efficiency, project management, and impact orientation, sustainability, and lessons learned.

3.1. PROJECT DESIGN

This section addresses issues related to the project design. It begins with an assessment of the project design’s internal logical consistency (i.e. cause and effect logic) between the outputs, outcomes, immediate objectives, and the overall goal as well as the assumptions. This section also reviews and discusses the appropriateness and effectiveness of the indicators.

3.1.1. Project Design’s Logic

USDOL uses a document referred to as Management Procedures and Guidelines (MPG) that provides general management guidance for grant and cooperative agreements entered into by the Bureau of International Labor Affairs (ILAB)/Office of Trade and Labor Affairs, Division of Technical Assistance and Cooperation (TAC). The 2009-MPG was in effect at the time USDOL awarded the grant to SC.

The 2009-MPG requests grantees to use the Logical Framework Approach (LFA). The LFA requires programmers to develop a logical sequence of cause-and-effect events that include the goal, purpose, outputs, activities, and inputs. The goal is the higher aspiration that the project’s purpose contributes to but is not expected to attain. The purpose level consists of the immediate objectives or outcomes (changes in policies, knowledge, skills, behaviors, or practices) that managers are expected to accomplish. The outputs, on the other hand, are the specific products, services, or systems that achieve the immediate objectives and are achieved by implementing activities.

A project’s logic model is the cause and effect relationship of the activities, outputs, outcomes, and the intended impact. Table 4 provides an analysis of the project’s logic model by assessing the goal, immediate objectives, outcomes, and outputs against the criteria in the LFA. The project’s logical framework appears in Annex E.

Table 4: Logical Integrity of the Project Design

| Goal | Analysis |
|---------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Reduce the social and economic exclusion of Peru’s most vulnerable workers | According to the LFA criteria, the project goal addresses a fundamental condition in the target population that the project is expected to contribute to but achieve alone. The reduction of social and economic exclusion of vulnerable works meets this criterion. |
| Immediate Objectives | Analysis |
| IO 1. Strengthen unions’ capacity to organize and effectively represent vulnerable workers in key export-oriented sectors | The immediate objectives are equivalent to the purpose level in the LFA. According to the LFA, the purpose level describes changes in conditions, behaviors, or systems that contribute directly to the achievement of the goal. Strengthening union capacity to effectively organize and represent vulnerable workers satisfies the purpose level criteria in the LFA. However, it should be noted that the project design does not include indicators for the immediate objectives. This is discussed in more detail under the analysis of indicators. |
| IO 2. Improve union advocacy for vulnerable workers in labor rights enforcement and policy reform | Improving the ability of unions to advocate for the labor rights and policy reform that affects vulnerable workers reflects changes in behavior (capacity to advocate) and potential systems (policy reform) that, if achieved, would contribute directly to the goal. Therefore, this immediate objective meets the LFA |

criteria for the purpose level.

| IO 1 Outcomes and Outputs | Analysis |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Outcome 1.1: Unions improve internal practices</p> <ul style="list-style-type: none"> • 60 workers trained in admin. and leadership <p>Outcome 1.2: Unions implement worker organizing initiatives</p> <ul style="list-style-type: none"> • 75 workers trained in organizing • 3 peer networks developed <p>Outcome 1.3: Unions improve negotiation skills</p> <ul style="list-style-type: none"> • 3 collective bargaining databases developed • 75 workers trained in CB | <p>These three outcomes meet the criteria of the purpose level of the LFA (changes in behavior). However, they represent an additional level of hierarchy that is not part of the LFA. The immediate objectives or outcomes could be interpreted as the purpose level. However, using both in the project represents a variation from the LFA. Since the immediate objectives do not have indicators, these three outcomes could have been modified and used as indicators for IO 1.</p> <p>According to LFA criteria, outputs are the products of activities that contribute directly to achieving the purpose level objective(s). The outputs meet the LFA criteria since they define the result of training and other capacity building activities. The number of persons trained and how the training should contribute to the outcome is clear. However, the peer networks and CB databases are not as clear. It would have been helpful if the project design document had provided definitions and explanations of these indicators.</p> |
| IO 2 Outcomes and Outputs | Analysis |
| <p>Outcome 2.1. Workers improve labor rights monitoring</p> <ul style="list-style-type: none"> • L3 documentation teams developed <p>Outcome 2.2: Unions implement advocacy campaigns</p> <ul style="list-style-type: none"> • 75 workers trained in advocacy • 3 sector advocacy plans developed <p>Outcome 2.3: Unions strengthen engagement with labor ministry and authorities</p> <ul style="list-style-type: none"> • 3 consensus plans developed | <p>The comments made above for IO 1 outcomes apply to IO 2 outcomes. While these outcomes meet the criteria of the LFA purpose level (behavior changes), they represent an additional level in the LFA cause and effect hierarchy. As is the case with the IO 1 outcomes, the IO 2 outcomes could have been adjusted and used as indicators for IO 2.</p> <p>The comments made above for the IO 1 outputs also apply to the outputs organized under the IO 2 outcomes. Outcome 2.2 refers to implementing advocacy campaigns but does not describe what the campaigns are intended to achieve. This outcome should have been written to describe the intended result of the advocacy campaigns. Furthermore, the project design document would have benefited from having operational definitions for the sector advocacy and consensus plans. The operational definitions would have defined the term and explained the link between the output and outcome.</p> |

3.1.2. Assumptions

Assumptions are factors in the operating environment, outside the control of the project, which the project design assumes will occur or not occur. The project’s logical consistency (cause and effect) depends on these assumptions. The project’s logical framework includes a set of assumptions that the TOR asks the evaluation team to assess. Table 5 show the assumptions linking each level of hierarchy along with an assessment of whether those assumptions occurred or did not occur.

Table 5: Assessment of Assumptions

| Assumptions Linking: Immediate Objectives to Goal | Assessment |
|-----------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Relative political stability is maintained in Peru to allow unions space to organize freely and advocate. | The project staff and other key stakeholders that were interviewed believe that the political situation in Peru has been stable during the project’s implementation timeframe. However, institutional stability and the political “will” to allow unions space to organize freely has been problematic. |
| Relative economic stability and investment in key sectors is maintained. | Project staff and stakeholders commented that while economic stability in Peru has fluctuated over the past two years, the fluctuation has not affected project implementation. In an attempt to be more competitive, some stakeholders feel that the government’s efforts to promote flexible contracting have impeded efforts to address short-term contracts and outsourcing that negatively affect workers’ rights. |
| Unions are committed to new processes to increase democracy, inclusion, and transparency. | The degree of commitment to new processes varies from sector to sector. The agroexport and mining sectors have been the most resistant to inclusion, especially of women. The textile sector has been the most open. Project staff note that the laws themselves are structural factors that make it difficult for unions to integrate temporary, female and young workers into leadership positions because when they join unions or take on leadership positions their contracts are not renewed. Another reason noted by project staff is a lack of capacity of many unions to implement new processes to increase democracy, inclusion, and transparency. |
| Existence of continued political will of the Peruvian government to improve compliance with worker | Project staff and other key stakeholders commented that the lack of institutional stability has been problematic. For example, the labor ministry has changed five times during the life of the project. They also |

| | |
|----------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| and labor rights. | commented that the government is not willing to address controversial issues such as short-term contracting and minimum wage adjustments. |
| Outcomes to Immediate Objectives | Assessment |
| Unions are committed to new processes to increase democracy, inclusion and transparency. | See previous comment on union commitment to implement new processes. |
| Unions are willing to work collaboratively within their sectors and with strategic actors to strengthen advocacy efforts. | This assumption, according to project staff, has had mixed results. The textile sector has generally worked collaboratively with minimal internal conflict. On the other hand, the mining and agroexport sectors have been characterized by internal conflict and, in the case of the agroexport federation, inexperience. |
| Outputs to Outcomes | Analysis |
| Workers trained in new skills are given space in their unions to apply them. | This assumption has not held in all cases and tends to vary from sector to sector. Unions are traditionally male dominated and entrenched in traditional values (machismo), which is difficult to overcome. In the mining sector, unions are further removed from federation leadership and generally have more autonomy. However, males dominate the sector. While the textile sector has been most effective at addressing transparency, democracy, and inclusion issues; project staff believe it still requires significant attention. The agroexport sector is the weakest and least experienced sector. |
| Employers engage in collective bargaining. | In general, employers engage in collective bargaining but do not always engage in good faith. According to union officials, many employers do not provide the information that the law requires such as financial information. |
| Unions have sufficient infrastructure to maintain databases. | The ability to maintain databases varies from federations to unions and from union to union. The federations and larger and better-financed unions (i.e. mining sector) have the infrastructure to maintain databases. The smaller unions, especially those in the agroexport sector, do not have the infrastructure and capacity. The larger issue raised by project staff is whether the unions have the capacity to use the information contained in the databases. |
| Employers, workers, and government are committed to and engage in tri-partite social dialogue | Project staff noted that tri-partite dialogue is related to advocacy and advocacy is just now being addressed by the project. Therefore, it would be premature to comment on the extent to which employers, workers, and government are committed to tri-partite dialogue. Project staff acknowledge that the labor ministry is weak and employers are not fully committed to dialogue. Nevertheless, they feel optimistic that if unions can present a technically sound proposal, employers and government officials will listen. This is especially true for the textile sector. |
| Activities to Outputs | Analysis |
| Employers do not commit reprisals against workers who participate in project activities. | According to project staff and union officials, this assumption has not held. Many employers continue to commit reprisals against short-term contract workers who participate in union activities. For example, some female workers in the textile sector have not had contracts renewed based on their participation. The evaluation team discovered examples of this in all three sectors where workers were fired for participating in union activities related to the project. |
| Employers allow workers, especially vulnerable workers, to take time away from work for project activities. | The evaluation team documented several cases where employers did not permit union officials to take time away from work to participate in project activities or they did not provide paid leave as required by law. |
| Union partners commit to encouraging participation of vulnerable workers. | In general, this assumption has held. The union partners have been committed to encouraging participation of vulnerable workers, especially the short-term contract workers. The agroexport and mining sectors have been more reluctant to include women in leadership positions. Young workers under 30 years of age are underrepresented in all three sectors. |
| Changes in leadership or staff at the union and government levels do not affect commitment to or participation in project. | According to project staff, there have been leadership changes in unions but these changes have not affected the overall commitment to the project. However, the changes in labor ministers and key personnel have affected implementation and the ministry's commitment to issues. Project staff believe that the government has become less committed to project objectives. |

This assessment suggests that many assumptions did not hold or only partially held, which may have impeded the project's logic. Of the 14 assumptions listed in the project's logical framework, only two completely held. On the other hand, five assumptions did not hold and seven partially held.

3.1.3. Indicators

The project document includes the Performance Monitoring Plan (PMP) that lists the immediate objectives, outcomes, and outcome indicators. The PMP does not include indicators for the immediate objectives, outputs, or output targets. The project currently is using eight outcome indicators, which are listed and analyzed below in Table 6. The analysis includes an assessment of the effectiveness and appropriateness of the indicators in measuring the corresponding outcome and suggestions for improvements. The achievement of the indicator targets is assessed in Section 3.3 while the Monitoring and Evaluation (M&E) System is discussed in Section 3.4.

Table 6: Assessment of Project Indicators

| Outcome 1.1. Unions improve internal practices | |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicators | Analysis |
| 1) Percent of leadership positions held by vulnerable workers. | This indicator would have been more accurately stated as the percent increase in leadership positions held by vulnerable workers from January 2013 through December 2014 (or April given the no-cost extension). Percent of leadership positions does not necessarily measure the increase in leadership positions that can be attributed to the project's interventions. The percent increase would involve measuring the increase from the baseline value at the beginning of the project and the endline value when the project ends. It would also have been useful to have developed more detailed definitions of what constitutes a vulnerable worker. The evaluation team agrees that temporary or short-term contract workers are vulnerable. However, women and youth may not be as vulnerable if they have long-term employment arrangements or other benefits. |
| 2) Number of union representation and defense actions that reflect the interests and priorities of vulnerable workers. | The indicator measures actions (behaviors) that unions take on behalf of vulnerable workers. Representation and defense actions indicate improved union practices (in support of vulnerable workers). |
| Outcome 1.2. Unions implement worker organizing initiatives | |
| Indicators | Analysis |
| 1) Number of affiliation campaigns undertaken by unions in targeted sectors. | The number of campaigns is an accurate indicator for the outcome, which is to implement organizing initiatives. However, the number of campaigns does not measure how effective they are at educating workers on their labor rights and increasing the number of new affiliates. The evaluation team understands that new affiliates is not an entirely accurate measure of a successful campaign since aspirants or new affiliates may not have their contracts renewed by employers. However, the number of workers that join the union after an affiliation campaign would be a relatively accurate measure of the campaign's effectiveness. |
| 2) Number of workers contacted that receive labor rights information during affiliation campaigns in prioritized sectors. | While the number of workers contacted is an accurate measure for the outcome of implementing organizing initiatives, it does not capture the effectiveness of the interaction between union members and workers (information about labor rights and unions). A more precise indicator to capture the effectiveness of the interaction is the percent of workers contacted that can repeat the messages (labor rights, importance of unions). However, this measure would require taking a sample of those contacted and administering a short questionnaire. |
| Outcome 1.3. Unions improve negotiation skills | |
| Indicators | Analysis |
| 1) Labor-management agreements signed by democratically elected union representatives and representatives of employers that address labor relations (including, but not limited to: compensation, working conditions, conflict resolution and prevention, health and safety, training, etc.). | On one hand, collective bargaining agreements reflect, to a certain extent, improved negotiation skills. However, the evaluation team discovered that many of its targeted unions have agreements in place that are required to be renegotiated every one to two years. The evaluation team also discovered that some of the unions have successfully negotiated important labor rights gains for workers while others were unable to negotiate new gains or improvements in worker conditions. Therefore, a more accurate indicator of improved negotiation skills would have been an increase in the number of new gains in labor rights and or worker conditions that the unions are trying to negotiate. |
| Outcome 2.1. Workers improve labor rights monitoring | |
| Indicators | Analysis |

| | |
|-----------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1) Number of reports of labor rights violations and efforts to seek remedy through national and international mechanisms completed by unions. | The project worked with the federations and unions to document labor rights violations that were used to produce reports for the three targeted sectors: agroexport, mining, and textiles. Based on the reports, the federations and unions are developing plans to implement advocacy initiatives. During interviews with unions, the evaluation team discovered that while they participated in documenting labor rights violations for the reports, most have not continued to document cases. This could be explained by the lack of capacity or the fact that some unions have not seen the benefit of documenting labor violations. Nevertheless, a more accurate outcome indicator would have been the number or percent of unions that consistently document labor rights violations (on-going). |
|-----------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

Outcome 2.2. Unions implement advocacy campaigns

| Indicators | Analysis |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1) Number of proposals presented by unions to improve labor legislation, labor relations, social dialogue and increased labor rights compliance that are advocated as part of a campaign plan. | The labor rights violation reports and advocacy plans described under Outcome 2.1 are intended to lay the groundwork for the proposals noted in this indicator. Under the previous discussion of outcomes (Table 5), it was noted that Outcome 2.1 should have been written to describe the intended result of the advocacy campaigns. Therefore, the appropriate indicator for this outcome would have been the number or percent of proposals accepted or implemented by the corresponding authority or organization. |

Outcome 2.3. Unions strengthen engagement with labor ministry and authorities

| Indicators | Analysis |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1) Number of consultations between unions and authorities regarding improvements to labor legislation, labor relations, social dialogue, and increased labor rights compliance. | An increase in the number of consultations between unions and the labor ministry or other authorities would demonstrate an increase in the capacity and confidence of unions to engage key stakeholders. The outcome and indicator does raise the question if engagement is sufficient or whether the outcome and indicator should have been written as the desired outcome or result of the engagement. |

3.2. RELEVANCE AND STRATEGIC FIT

One of the evaluation questions asks whether the project is consistent with the needs of project beneficiaries and whether their needs have changed since the beginning of the project. This section provides a short overview of the project’s target groups (beneficiaries) and examines their needs and expectations.

3.2.1. Overview of the Target Groups

Direct Beneficiaries. The project’s primary direct beneficiaries are the targeted federations and unions and their leadership in the agroexport, mining, and textile sectors. During interviews with representatives of key reference organizations in the labor sector, the evaluation team asked whether the project’s focus on the three non-traditional export sectors was the appropriate approach. The nearly unanimous response was that, given the economic importance and concerns regarding labor rights violations (often stemming from short-term contracting and outsourcing mechanisms), the three focus sectors were the appropriate sectors. A couple of confederation officials opined that the project should have broadened its approach to include other sectors where labor rights violations are prominent such as the food and beverage and hotel sectors.

The project is working with four federations. In the agroexport sector, the project works with the Federación Nacional de Trabajadores de Agroindustria y Afines (FENTAGRO). The project works with the Federación Nacional de Trabajadores Metalúrgicos y Siderúrgicos del Perú (FNTMMSP) in the mining sector. For the textile sector, the project works with two federations, the Federación Nacional de Trabajadores Textiles del Perú (FNTP) and the Federación de Trabajadores en Tejidos del Perú (FTTP).

Table 7 shows the number of unions and workers affiliated with each federation as well as the number and percentage of affiliated unions and workers that the project is reaching. It should be noted that a

union is counted as “reached” if at least one member participates in at least one training event. Some unions have participated in multiple training events while others have only participated in one event. According to the country program director, the project typically works intensively with six to eight unions per sector.

Table 7: Number and Percentage of Unions and Workers Affiliated by Federation

| Federations | Number of Unions and Workers Affiliated* | | Number and Percentage of Unions and Workers Targeted by the Project* | | | |
|---------------|------------------------------------------|---------------|----------------------------------------------------------------------|------------|---------------|------------|
| | Unions | Workers | Unions | Percent | Workers | Percent |
| FENTAGRO | 12 | 6,800 | 9 | 75% | 6,570 | 97% |
| FNTMMSP | 108 | 26,000 | 34 | 31% | 12,085 | 46% |
| FTTP | 9 | 850 | 8 | 89% | 729 | 86% |
| FNTTP | 31 | 2,750 | 10 | 32% | 1,385 | 50% |
| Totals | 160 | 36,400 | 61 | 38% | 20,769 | 57% |

* Information provided by the project in consultation with unions

The four federations have 160 union affiliates that account for 36,400 worker affiliates. Overall, the project is reaching 61 unions and their affiliates, which represent 38% of the affiliated unions and 57% of their affiliated workers. In the agroexport sector, it is reaching 75% of the unions and 97% of all affiliated workers. This would suggest that virtually all of the affiliated workers belong to the nine unions targeted by the project. The project is reaching 31% of the mining unions and 46% of the affiliated workers, which would suggest the project is targeting the unions with larger affiliations. As noted above, the textile sector consists of two federations. The project is reaching 89% of the unions affiliated with FTTP and 86% of their affiliated workers. On the other hand, the project is reaching 32% of the unions and 50% of the workers affiliated with FNTTP. The complete list of unions targeted by the project appears in Annex F.

Indirect Beneficiaries. The project also intended to reach indirect beneficiaries consisting of short-term contracted workers through affiliation campaigns and other outreach initiatives. These campaigns and outreach initiatives are designed to provide information to workers on labor rights and the benefits of union affiliation. In addition to the outreach activities, the project intended to benefit the short-term contracted workers through its advocacy initiatives by addressing labor rights violations.

3.2.2. Beneficiary Needs and Expectations

To address the question as to whether the needs of the project’s beneficiaries were adequately met and whether these needs changed since the inception of the project, evaluation team incorporate questions designed to solicit this information from union representatives during interviews. The project has focused primarily on training and providing technical assistance on union management and leadership, outreach and education (affiliation campaigns), collective bargaining, and documenting cases of labor rights violations.

According to union representatives, these four areas are highly relevant and important. A union official from the textile sector told the evaluation team that these capacity building areas are related and mutually reinforcing. He explained that strengthening union organization through leadership and management training helps build its capacity to conduct outreach and education campaigns and conduct

collective bargaining. The outreach and education campaigns help attract new affiliates that increases its negotiating position and generates more revenue through membership fees. The collective bargaining training helps, on the other hand, to provide the union negotiators with skills to negotiate improvements in labor rights and conditions for workers that help to attract new affiliates.

To validate the finding that unions believe that the project’s interventions were relevant and met their needs, the evaluation team specifically asked union representatives what training or technical support they would like to have if the project were going to be redesigned. The vast majority of interviewees said that they would not change the interventions. However, more than 50% of female union representatives that were interviewed explained that they would like to have more training on workplace harassment and that the training should involve men so they are more sensitive to harassment that female workers face from male supervisors.

At the time of the evaluation the project was in the process of working with the federations to build advocacy plans and proposals based on the documentation of labor rights violations and sector studies. Although the advocacy component is still work-in-progress, the federation representatives that were interviewed told the evaluation team that the documentation of labor rights violation cases, the sector studies, and the on-going support to develop advocacy plans and proposals is highly relevant and timely.

3.3. PROGRESS AND EFFECTIVENESS

This section examines the progress that the project is making towards achieving its objectives and indicator targets. It also examines the effectiveness of the union capacity building and advocacy interventions as well as the effectiveness of its relationships and collaborative arrangements with other labor organizations.

3.3.1. Achievement of the Project’s Indicator Targets

Table 8 shows the indicator targets and the progress the project has made in achieving the targets for the period January 2014 through October 2014. The table includes the indicator target, the actual achievement, and a short analysis of the progress in achieving the targets. It should be noted that USDOL did not request and SC did not develop indicator targets at the beginning of the project as stipulated in the 2009-MGP. The indicator targets were not set until July 2014 when USDOL requested an update on the progress in achieving indicator targets. The evaluation team understands that the indicator targets were set on what the project team thought could be realistically achieved rather than on a baseline study.

Table 8: Progress in Achieving Indicator Targets

| Indicators | Target | Actual* | Comments |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|-------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Percent of leadership positions held by vulnerable workers. <ul style="list-style-type: none"> • Women • Youth • Temporary | | 13% 17% 36% | It is not possible to assess the progress in achieving this indicator because an indicator target was not set. As of October 2014, the project is reporting that the percent of vulnerable workers that are elected union officials include 13% women, 17% youth, and 36% temporary workers (contracted). |
| Number of union representation and defense actions that reflect the interests and priorities of vulnerable. | 70 | 33 | The project is reporting 33 representation and defense actions to support vulnerable workers. These include four for the agroexport sector, five for the mining sector, and 24 for the textile sector. It should be noted that project staff believe that the number of representation and defense actions reported by the M&E system is inaccurate. Staff believe that the project has |

| | | | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|-------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | | | achieved more than 33 actions to support vulnerable workers. The issue of data quality is addressed in more detail under the discussion of M&E in Section 4.5. |
| Number of affiliation campaigns undertaken by unions in targeted sectors. | 25 | 24 | The project is reporting that unions have undertaken 24 affiliation campaigns against the target of 25 campaigns. These include six each in the agroexport and mining sectors and 12 in the textile sector. |
| Number of workers contacted that receive labor rights information during affiliation campaigns in prioritized sectors. | 6,000 | 1,405 | While the project has nearly met its target for affiliation campaigns, it has only achieved about 23% of its target for providing workers with labor rights information according to the data in the M&E system. Again, it should be noted that project staff believe that the number of workers reached with labor rights information exceeds 1,405 and that the data in the M&E system is not accurate. |
| Labor-management agreements signed by democratically elected union representatives and representatives of employers that address labor relations. | 50 | 28 | The project is reporting 28 collective bargaining agreements signed by unions and employers, which represents 56% of the targeted number of 50. The majority of the agreements are renewals and not new agreements. They are typically renegotiated every one to two years. |
| Number of reports of labor rights violations and efforts to seek remedy through national and international mechanisms completed by unions. | 200 | 229 | The documentation of labor rights violations started during the USAID funded project and continued in the USDOL funded project. According to the project director, the project used nearly 470 cases to inform and produce the three sector reports that included 229 from the USDOL funded project, which exceeds the target by nearly 15%. |
| Number of proposals presented by unions to improve labor legislation, labor relations, social dialogue and increase labor rights compliance that are advocated as part of a campaign plan. | 3 | 0 | The goal is for each sector to develop at least one proposal. At the time of the evaluation, the project was in the process of working with the federations to develop advocacy plans and proposals. The agroexport sector is focusing on establishing safety and health standards and regulations, the mining sector is focusing on reforming the outsourcing law, and the textile sector is focusing on adjustments to the short-term contract law. In addition to the three proposals, it should be noted that the project has worked successfully on several policy proposals with textile sector unions in coordination with brands and labor rights NGOs. |
| Number of consultations between unions and authorities regarding improvements to labor legislation, labor relations, social dialogue and increased labor rights compliance. | 3 | 0 | According to project management, consultations with authorities are related to the advocacy plans and proposals and will not be initiated until the proposals are completed. |

* The actual achievement values come from the project's database as of October 2014

The project is reporting that vulnerable workers (women, youth, and temporary contract workers) hold 13%, 17%, and 36% of union leadership positions, respectively. However, progress on achieving the indicator target cannot be properly assessed because, as discussed previously, the project has not set a target for this indicator. The project appears to be on track to achieve the targets for the number of affiliation campaigns and has actually exceeded the target for documented labor rights violation cases by 15% (229 vs. 200).

It appears, however, that the project is behind in achieving targets for representation and defense actions in support of vulnerable workers, workers contacted during affiliation campaigns, and signed collective bargaining agreements. The number of workers that receive labor rights education during the campaigns appears to be significantly underachieved (6,000 vs. 1,405) while the number of representation and defense actions and collective bargaining agreements indicators have only attained 47% and 56% of their targets, respectively. As noted previously, project staff believe that the data in the M&E system is inaccurate and significantly more than 1,405 workers were contacted during the affiliation campaigns.

The project has recently started its advocacy initiatives that are being built on the documentation of labor rights violations and the three sector reports. According to the project director, each federation is

in the process of developing advocacy plans and proposals for its sector. The agroexport sector intends to establish safety and health regulations that can be enforced by law to better protect workers against occupational-related accidents, disease, and other health problems. The mining sector plans to launch an ambitious campaign to reform the outsourcing law, which currently places subcontracted workers in a precarious position in terms of salary, job security, and benefits. The textile sector, on the other hand, aims to make amendments to the contracting law (Decree Law 22342) that also place workers at a disadvantage. As noted previously, the consultations with authorities regarding improvements to labor legislation, labor relations, social dialogue and increased labor rights compliance will not begin until the advocacy proposals have been developed.

In addition to overall project achievement of indicator targets, the project is monitoring key capacity indicators based on information collected from a sample of six unions, two from each of the three focus sectors. These include Sindicato de Trabajadores de la Empresa Sociedad Agrícola Virú and Sindicato Único de Trabajadores de la Empresa Agrícola Chapi from the agroexport sector; Sindicato Único de Trabajadores de Carahuacra-Yauli and Sindicato Único de Trabajadores Antapaccay from the mining sector; and Sindicato de Obreros de Franky y Ricky and Sindicato de Trabajadores de Topitop from the textile sector. The criteria the project used to select the sample include the following:

- Unions that SC works with regularly and that would be benefiting from the project’s formal training activities and technical assistance processes; and would be able to demonstrate change over time due to their participation in the project.
- Unions at workplace with vulnerable workers.
- Unions that could provide information in a reliable manner, with whom SC had a trusting and cordial relationship.

The project is tracking seven indicators related to capacity building. The indicators, measures, and values for the baseline and endline are shown below in Table 9. The table also includes a column that shows the increase (+) or decrease (-) from the number reported in the baseline. It should be noted that the project database contains insufficient data to calculate baseline and endline values for three indicators. These include composition of other union committees, attendance of vulnerable worker at assemblies, and number of affiliates.

Table 9: Progress in Achieving Capacity Building Indicator Targets

| Indicator | Measures | Baseline | Endline* | Change + - |
|------------------------------------------------------------------------------------------------------|---------------------------------------------------|-----------------|----------|------------|
| Composition of elected union leadership committees. | No. male workers | 37 | 37 | 0 |
| | No. female workers | 17 | 14 | -3 |
| | No. youth workers | 21 | 19 | -2 |
| | No. temporary workers | 36 | 39 | -3 |
| Composition of other union committees. | No. male workers | Incomplete Data | | |
| | No. female workers | | | |
| | No. youth workers | | | |
| | No. temporary workers | | | |
| Key articles in collective bargaining agreements addressing issues of concern to vulnerable workers. | No. of articles addressing concerns of vulnerable | 9 | 9 | 0 |
| Composition of unions committees elected to negotiate collective bargaining agreements. | No. male workers | 23 | 26 | +3 |
| | No. female workers | 11 | 9 | -2 |
| | No. youth workers | 8 | 10 | +2 |

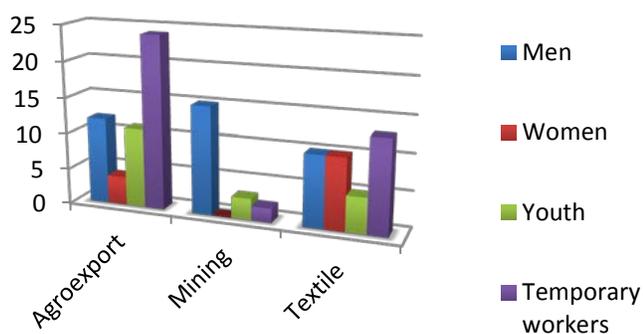
| | | | | |
|---------------------------------------------------------------------------------|--------------------------------------------------------------------------------------|-----------------|----|----|
| | No. temporary workers | 16 | 14 | -2 |
| Issues addressed in union assemblies that relate to vulnerable worker concerns. | No. issues addressed | 5 | 4 | -1 |
| Increased attendance of vulnerable workers at assemblies. | No. male workers No. female workers No. youth workers No. temporary workers | Incomplete Data | | |
| Number of vulnerable workers affiliated to union. | No. male workers No. female workers No. youth workers No. temporary workers | Incomplete Data | | |

* Endline values come from the project's database as of October 2014

The unions in the sample actually saw a decrease in the number of vulnerable workers in leadership positions. While the number for men remained the same, the numbers for women, youth, and temporary workers decreased by three, two, and three, respectively. The number of articles in collective bargaining agreements addressing issues of concern to vulnerable workers also remained the same. However, the composition of the negotiating committees varied. The number of men and youth increased by 3 and 2, respectively while the number of women and temporary workers decreased by two. The number of issues addressed in union assemblies that related to vulnerable workers also decreased by one issue.

Figure 1 provides a visual representation of the number of men, women, youth, and temporary workers in leadership positions in the sample of six unions as of October 2014. The agroexport sector is reporting the largest number of temporary workers in leadership positions with 24. There are 12 men and 11 youth in leadership positions but only four women.

Figure 1: Number of Vulnerable Workers in Union Leadership Positions by Sector



Men dominate union leadership positions in the mining sector. Men hold 15 leadership positions while youth and temporary workers hold three and two positions, respectively. There are no women in leadership positions. Federation officials explain that the lack of women in leadership positions is because 90% of the workforce is male.

They also noted that youth comprise about 65% of the mining workforce while temporary workers make up 68%. Based on these percentages, one might expect a slightly higher participation rate from women and a higher participation rates from youth and temporary workers. Federation officials believe the low participation rates for youth and temporary workers are based on their fragile employment status and the fear of not having their temporary contracts renewed.

The two unions in the textile sector have the most balanced participation rate in leadership positions for men, women, and temporary workers at 10, 10, and 13, respectively. Youth, however, appear to be underrepresented. While, according to textile federation officials, more than 60% of the workforce is comprised of youth, only five or about 13% hold leadership position in the two sample unions. Union

officials that were interviewed agreed that more could and should be done to attract more youth into leadership positions.

3.3.2. Effectiveness of Project Interventions

The project is conceptualized into two components: capacity building and advocacy. The *capacity building component* consists primarily of training on union management, affiliation campaigns, and collective bargaining and technical assistance to support these and other related areas. Table 10 shows the number of trainings per topic, number of participants by sector and topic, and the total number of participants by topic.

Table 10: Number of Trainings and Union Officials Trained by Topic and Sector

| Training Topic | Trainings | Participants by Sector | | | Total Participants by Topic |
|-----------------------|-----------|------------------------|------------|------------|-----------------------------|
| | | Agroexport | Mines | Textile | |
| Union management | 4 | 34 | 22 | 32 | 88 |
| Union affiliation | 4 | 37 | 34 | 59 | 130 |
| Collective bargaining | 4 | 61 | 20 | 37 | 118 |
| Case documentation | 7 | 77 | 69 | 44 | 190 |
| Advocacy | 3 | 16 | 38 | 18 | 72 |
| Social Dialogue | 1 | | | 20 | 20 |
| Total | 23 | 225 | 183 | 210 | 618 |

The project has conducted 23 trainings in six different topic areas in which 618 persons participated. The agroexport sector had the largest number of participants totaling 225 followed by the textile sector with 210 and the mining sector with 183. The project conducted seven trainings on documenting labor rights violation cases in which 190 persons participated. This comprises the largest training category. The project conducted four trainings each in the areas of affiliation, collective bargaining, and management in which 130, 118, and 88 persons participated, respectively. The project also conducted three trainings on advocacy where 72 persons participated. In addition, 20 representatives from the textile sector were trained.

Figure 2: Number of Union Officials Trained by Training Topic

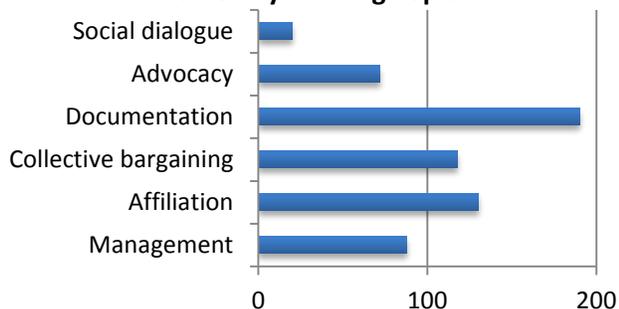


Figure 2 shows a visual representation of the number of union representatives trained for each of the six training topics. The labor rights documentation training is by far the largest area in terms of number of trainings and participants. Affiliation, collective bargaining, and management comprise the next largest training areas.

There are at least three methods to measure the effectiveness of the training interventions. The first is to administer pre and post tests to participants to assess and measure learning gains that can be attributed to the training. These would

include new knowledge and skills in the areas of collective bargaining negotiation, organizing affiliation campaigns, communicating labor rights information to workers, encouraging workers to join unions, and leadership. The project did not administer pre and post tests, which is a technique that SC might consider in other projects with significant training components.

The second method is assessing how effectively participants applied new knowledge and skills to the training areas such as affiliation campaigns, collective bargaining, and management of the unions. As discussed above under the achievement of the project’s indicator targets, the project is behind in achieving targets in the areas of defense actions to support vulnerable workers, collective bargaining agreements, and workers contacted during affiliation campaigns. Data from the union capacity building database show that most unions have not been able to increase the number of vulnerable workers that are in union leadership positions. The assessment of indicator targets suggests that the majority union officials that participated in the trainings were not able to effectively apply new knowledge and skills. However, the evaluation team acknowledges that the project is operating within a difficult labor environment and that there exist a variety of constraints that impede union officials from effectively implementing new knowledge and skills such as strategies that employers use to discourage affiliation and weaken unions.

The third method is largely qualitative and involves interviewing training participants to determine and document how useful they believe the training was and how they tried to use new knowledge and skills. The evaluation team employed this method. In general, the majority of union officials that were interviewed said they thought the training was highly effective. They thought the training topics were relevant and appreciated the participatory training methodology that the project used. The major complaint expressed was that the project should have helped the unions develop a training capacity to replicate trainings to reach more affiliates. The following table summarizes paraphrased statements made by union officials during interviews regarding the effectiveness of the trainings.

Table 11: Paraphrases from Union Officials Regarding Effectiveness of Training

| Federation/Union | Paraphrases from Union Official |
|------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| FNTMMSP | The training we received has been very helpful. However, we would like to see the training address the areas in our strategic plan and be conducted more consistently (on-going). In addition, the project needs to ensure that the federation agrees with and approves all training events planned for our affiliates. |
| FNTP | Collective bargaining was the most helpful training. It gave us new negotiating skills that we now use. We would like the affiliation training include strategies to reach more youth. We also think the project should help our federation develop a training capacity so we can replicate trainings using participatory techniques. |
| Franky Ricky | The leadership training helped us become stronger leaders. Before the training, we were afraid to speak. Now we have more confidence and we are not afraid to speak to company supervisors and managers. We would like to learn how to train so we can replicate the trainings for more union affiliates. We also think the training should focus more on gender issues. |
| Michell | Overall, the training has been very useful. We used the collective bargaining training to negotiate additional bonuses for workers. However, we would like to have more training in Arequipa so more affiliates can participate. We also think more training on harassment would help female workers. |
| SITESAV | Training has been very helpful but the company puts up obstacles to recruiting new affiliates such as locating police at the entrance to the plant. Workers are afraid to talk to union officials because they might be fired. More training and support for a communication strategy would be helpful. |
| SINTRAPE | We thought the collective bargaining training was interesting and important. We tried to use what we learned in training in our recent collective bargaining negotiation with the company. Unfortunately, we were not able to negotiate new benefits or improvements for workers such as risk pay, inspections, use of personal protective equipment, or improved conditions for the contract workers. |
| SITECASA | We used the collective bargaining training to negotiate leave time for medical treatments. The leadership training helped our leaders increase their confidence to confront supervisors if worker rights are abused. |
| SITRAMINA | The training has been helpful, especially the methodology that is very participative and dynamic. We would like to have more help on replicating the training so we can reach more workers. We do not have much training experience or capacity. |
| SUTRATIN | We participated in leadership, affiliation, and advocacy training. All were very useful and we learned many new things. However, we would like to see training on workplace harassment because it is a problem in our factory. |
| SUTANTAPACCAYA | The affiliation training and campaigns helped improve the image of the union and helped us educate more workers about their labor rights. It also helped us increase the number of affiliates from 40 to 350. We think the project should help us learn modern training methods so we can train our affiliates. |
| Topitop | Affiliation training was the most important. It helped our union increase the number of affiliates by 100 members. |

The evaluation team observed that there appears to be a relatively strong correlation between the capability of a union and its ability to effectively apply new knowledge and skills ascertained from training events. The evaluation team noted that capacity seems to be determined by education level, income, and experience of the union leaders. The mining sector has some of the strongest unions while the agroexport sector has some of the weakest. The implication, for example, is that the weaker unions might benefit from more leadership training to build confidence before providing them collective bargaining training and expect them to use the knowledge and skill to effectively negotiate with employers. The stronger unions, on the other hand, might benefit from more advanced training such as the effective use of technologies in communication strategies.

The SC country program director suggests an alternative interpretation. She believes that the project has had an equal or greater impact on the unions in the textile and agriculture sectors because they have had effective access to and coordination with their federations and because the federations have facilitated sustained relationships between their unions and project interventions (i.e. training and technical assistance). She also notes that the unions that have experienced some of the most significant gains on democracy are the weakest in other areas. The evaluation team agrees with the country program director when she emphasized that what constitutes a strong and weak union should be rigorously defined along with the associated mitigating factors. This way, project interventions might be more effectively targeted based on capacity and need.

The project coupled the training with technical assistance that has been delivered primarily through group or one-on-one meetings. Table 12 shows the number of technical assistance meetings, the number of participants, and the average number of participants by sector for 2013 and 2014. The information comes from the project's database.

Table 12: Number of TA Meetings and Participants by Sector for 2013 and 2014

| Sector | Number TA Meetings | Total Number Participants | Average Number Participants |
|--------------------|--------------------|---------------------------|-----------------------------|
| 2013 | | | |
| Agroexport | 4 | 32 | 8 |
| Mines | 15 | 123 | 8 |
| Textile | 10 | 71 | 7 |
| <i>Total</i> | <i>29</i> | <i>226</i> | <i>8</i> |
| 2014 | | | |
| Agroexport | 21 | 298 | 14 |
| Mines | 45 | 199 | 4 |
| Textiles | 43 | 251 | 6 |
| <i>Total</i> | <i>109</i> | <i>748</i> | <i>7</i> |
| Grand Total | 138 | 974 | 7 |

Since the inception of the project, staff conducted 138 technical assistance meetings in which 974 union representatives participated. While the average size of a technical meeting was seven persons, the meetings ranged from many meetings with one union represent to several large fora where up to 50 persons participated. The topics of the meetings reflected the training topics or current events for which unions needed technical support, which included labor rights, collective bargaining, affiliation

campaigns, coordination with international organizations, management and leadership, documentation of labor rights violations, coordination and communication, and advocacy.

In 2013, the project conducted 29 technical assistance meetings that involved 226 participants. These meetings tended to be larger and focused on collective bargaining, labor rights, affiliation campaigns, and management and leadership. In 2014, the number of meetings increased to 109 with 748 participants while the size of the meetings decreased. For example, approximately 50% of the technical assistance meetings conducted in the mining and textile sectors had one to two participants. The meeting topics in 2014 focused more on the documentation of labor rights violations and advocacy.

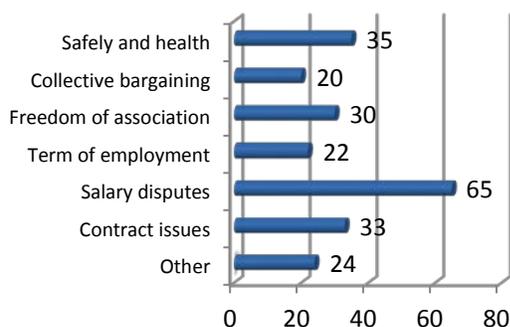
The project’s strategy of coupling training with the technical assistance meetings appears to have been effective. Project staff commented that the meetings were an important way to provide follow up support after training events, especially when unions tried to apply what they learned in the training. This happened frequently with collective bargaining negotiations, affiliation campaigns, and in some cases where unions requested inspections from the labor ministry or filed formal complaints. The meetings were also helpful in supporting the process of documenting labor rights violations. The union representatives that the evaluators interviewed opined that the technical assistance was both timely and effective.

The documentation of labor rights violations serves as the foundation for the *advocacy component*. The documented labor rights violation cases were used to develop studies for each sector. In turn, the federations are using the sector studies to develop advocacy plans and proposals. As discussed previously, the project used 470 cases to develop the sector reports of which 229 cases were documented during this project. Figure 3 shows the number of documented labor rights violation cases per sector.



Nearly 40% of the cases were documented in the agroexport sector while another 34% were documented in the textile sector. Even though the project is reaching about twice as many mining unions with interventions, only 27% of the documented cases come from the mining sector.

Figure 4: Number of Labor Violation Cases by Type



The cases are classified into seven areas that include safety and health, collective bargaining, freedom of association, termination of employment, salary and benefits disputes, and contracting issues. The other category includes violations around work schedules, rest periods, and discriminatory behavior. Figure 4 shows the number of labor rights violations for each of these classifications.

Salary and benefits disputes were by far the most common labor rights violation, which account for 28% of the cases. Violations of labor rights in the areas of safety and health, contracts, and freedom of association account for 15%, 14%, and 13%, respectively.

Termination of employment (contracts) and collective bargaining issues account approximately 10% of the labor rights violation cases.

It is too early to assess the effectiveness of the advocacy component because the project is in the process of assisting the federations develop advocacy plans and proposals. Although not reflected in the project's M&E system, the project has achieved important policy reforms (proposals) in the textile sector. According to federation and union officials that were interviewed, the documentation of labor rights violations and the three sector studies have been highly effective and are important building blocks for the advocacy plans and proposals.

3.3.3. Interaction with Labor Organizations and Labor Rights Initiatives

The project has developed a variety of collaborative relationships with national and international labor organizations. Key national organizations include the Programa Laboral de Desarrollo (PLADES), Perú Equidad, Aurora Vivar, RedGE, Commission of Human Rights, Instituto de Estudios Sindicales (IESI), Centro de Derechos y Desarrollo (CEDAL), and the National Coordinator of Radios. International organizations include the International Labor Organization (ILO), IndustriALL, USDOL, Worker Rights Consortium, Maquila Solidarity Network (MSN), and the Fair Labor Organization (FLA). The evaluation team was able to interview representatives from PLADES, Peru Equidad, IESI, ILO, USDOL, MSN, and FLA to ascertain opinions regarding the degree and effectiveness of interactions between these organizations and the project. These are reflected in the following paragraphs.

The project has maintained a collaborative relationship with PLADES, Perú Equidad, and IESI on labor rights publications and actions around the Labor Affairs Council. In addition to these collaborative efforts, the project contracted a consultant from PLADES to develop the three sector studies on labor rights violations. The project also contracted Perú Equidad to conduct training on labor rights.

The more interesting relationships and interactions have been with international organizations, especially USDOL, MSN, and FLA. The project has developed and maintained a relationship with the division in USDOL's Office of Trade and Labor Affairs (OTLA) that is responsible for monitoring and enforcing the United States-Peru Trade Promotion Agreement (PTPA). According to the international relations officer, the project shares information such as the labor rights violation sector studies and provides other reports on the status of labor rights as they pertain to the PTPA. He went on to explain that labor affairs council for PTPA used the reports to inform its agenda and talking points during its meetings with the Government of Peru in January 2014, which focused on compliance with the PTPA labor chapter.

The project has collaborated with MSN and FLA for nearly three years to address short-term contracting in the textile and apparel sector. In March 2012, MSN helped organize a multi-stakeholder meeting to discuss the negative impact of short-term contracting on workers and to convince several large brands to apply pressure on the government and factories to address the issue. The meeting resulted in the formation of a working group consisting of MSN, SC, FLA, PLADES, FTTP, FNTTP, and several brands. The brands eventually decided to draft and send a letter to the President Humala asking him to work towards the repeal of Decree Law (DL) 22342, which allows non-traditional exporting companies to employ workers on fixed-term contracts. In the letter, the brands expressed concern that DL 22342 encourages and condones violations of labor rights that serves as an obstacle to the brands fulfilling their codes of conduct.

The working group held another high-level meeting in November 2013 to discuss how to move forward with addressing short-term contracting. According to the MSN’s executive director, the letter did not have the intended impact that the working group had hoped. She explained that the working group is trying to get at least a couple of major brands with significant production in Peru to apply pressure to local factories to convert short-term contract workers, after the required probationary period, to full time employees. The problem, she noted, is that the brands that are willing to apply pressure to their suppliers do not have significant production in Peru and the brands that do have significant production are not willing to pressure their suppliers.

In addition to the working group, the project has collaborated with FLA on a complaint filed by the HIALPESA (Hilandería de Algodon Peruano S.A.) union against HIALPESA for a variety of labor rights violations including short-term contracts. The complaint was filed with the FLA because HIALPESA is a supplier to New Balance, which is a member of FLA. SC helped the union file the complaint and subsequently worked with FLA to schedule meetings with the representatives from FNTTP and the union and provide important information for FLA’s investigation. A FLA consultant told the evaluators that while the HIALPESA case is complicated and has not been resolved; it did lead FLA to include a set of recommendations in the HIALPESA investigation report for its members regarding the potential labor violation issues associated with short-term contracts.

3.4. EFFICIENCY AND RESOURCE USE

To assess efficiency and use of resources, the evaluation team conducted a simple cost benefit assessment, analyzed the amount and percentage of resources allocated to the different line items in the budget, and analyzed expenditure rates.

3.4.1. Cost-Benefit Assessment

The project is organized according to two immediate objectives: capacity building and advocacy. The project budgeted \$436,681 for capacity building activities and \$495,615 for the advocacy activities, which together represent about 90% of the \$1 million project budget. The remaining 10% is allocated for M&E and contingency. The evaluation team conducted a simple cost-benefit analysis that calculated the cost per beneficiary for training and technical support to union officials and the organization. The analysis is intended to provide USDOL and SC with a general idea of the cost per direct and indirect beneficiaries. The analysis is not intended to be a formal cost-benefit analysis that quantifies benefits to the beneficiaries. Furthermore, the evaluation team does not have access to cost per beneficiary standards for similar projects to make efficiency comparisons.

Table 13 shows the direct and indirect beneficiaries for the capacity building component, the number of beneficiaries per type, and the US dollar cost per beneficiary unit.

Table 13: Cost per Direct and Indirect Beneficiaries

| Direct and Indirect Beneficiaries | Number of Beneficiaries | US Dollar Cost per Beneficiary |
|-----------------------------------|-------------------------|--------------------------------|
| Direct beneficiaries | | |
| • Federations and unions | 61 | 7,159 |
| • Union representatives | 618 | 707 |
| Indirect beneficiaries | | |
| • Workers contacted | 1,405 | 311 |

The project document describes two kinds of direct beneficiaries of the training and technical assistance interventions. These include the federations and unions that are intended to benefit as an organization and federation and union representatives that participate in the training events and follow-up technical support. According to the project’s M&E system, as of November 2014, 61 federations and unions and 618 officials have benefited from the project’s capacity building activities. Based on the \$436,681 allocated to capacity building activities, the project has spent \$7,159 per federation and union and \$707 per union representative to build capacities. These costs per beneficiaries decrease if the project intends to train more unions and union representatives.

The project document also notes that workers that receive information about labor rights and unions during affiliation campaigns are indirect beneficiaries. The project’s M&E system is reporting that 1,405 workers have been contacted during affiliation campaigns, which is one of the capacity building activities. This translates into \$311 per worker who receives labor rights education messages. The per worker cost could decrease further if the project is able to increase the number of workers contacted during affiliation campaigns.

3.4.2. Allocation of Resources

Table 14 shows the allocation of resources to the different line items as reported in the project budget. The single largest line item is for personnel consisting of the national project team and international supervisory and support staff based in Washington, DC. The project team consists of the country program director, project director, project officer, accountant, administrative assistant, and office help. The Washington based staff consist of the regional program officer, senior program officer, M&E specialist, and internal auditor. It should be noted that the country program director is allocated 50% to the project while the regional program officer, senior program officer, and assistant program officer are allocated at 8.3%. The M&E specialist and internal auditor are allocated at about 2% each to the project. Approximately 47% of the budget is allocated for salaries and fringe benefits.

Table 14: Allocation of Resources to Budget Line Item

| <i>Item</i> | <i>Amount</i> | <i>Percent</i> |
|--------------------------------|---------------|----------------|
| Project management and support | 476,122 | 47% |
| Consultants | 38,070 | 4% |
| Travel | 111,340 | 11% |
| Equipment | 4,476 | .5% |
| Supplies | 9,826 | 1% |
| Other direct costs | 145,033 | 14% |
| Indirect costs | 215,133 | 22% |
| Total | 1,000,000 | 100% |

* Amount is US Dollars

The next largest line item is indirect costs, which accounts for 21.5% of the project budget followed by other direct costs and travel that account for 14% and 11%, respectively. It should be noted that travel includes in-country travel to attend training events. The consultant line item account for approximately 4% while equipment and supplies, combined, make up less than 2% of the budget. In other USDOL funded labor projects that the evaluation team has evaluated, salaries and fringe benefits tend to account for approximately 25%-30% of a project’s budget while indirect costs account for 10% to 12%.

3.4.3. Expenditure Rate

The expenditure rate for each line item in the budget is presented in Table 15. As of October 31, 2014, the project had spent \$706,061 or 71% of its total budget over a 22-month period. During this evaluation, SC received a no-cost extension until April 30, 2015. Without the no-cost extension and at the current monthly expenditure rate of \$32,090, the project would have been underspent by about \$230,000 or 23%. The no-cost extension provides the project six months to expend \$294,000, which is the amount remaining in the budget. However, to expend this amount, the project will have to increase its monthly expenditure rate from \$32,090 to \$49,000 or about 50%.

Table 15: Expenditure Rates by Budget Line Item as of October 31, 2014

| <i>Item</i> | <i>Amount Budgeted</i> | <i>Amount Expensed</i> | <i>Expenditure Rate</i> |
|--------------------------------|------------------------|------------------------|-------------------------|
| Project management and support | 476,122 | 369,015 | 78% |
| Consultants | 38,070 | 23,249 | 61% |
| Travel | 111,340 | 123,166 | 111% |
| Equipment | 4,476 | 5,844 | 131% |
| Supplies | 9,826 | 2,469 | 25% |
| Other direct costs | 145,033 | 31,430 | 22% |
| Indirect costs | 215,133 | 150,888 | 70% |
| Total | 1,000,000 | 706,061 | 71% |

* Amount is US Dollars

The project is actually overspent for travel and equipment by 11% and 31%, respectively. On the other hand, the project has only spent 25% of the budgeted amount for supplies and 22% for the other direct costs line item, which has a substantial budget amount of \$145,033. It appears that the project will have to reallocate some of the funds in the other direct cost line item to travel to cover the costs of the remaining trainings and other technical assistance activities. It is not clear to the evaluators whether the project can realistically increase its monthly expenditure rate by 50% to expend funds by April 30.

Finally, it should be noted that, according to the CA, SC is required to provide about a 4% contribution or \$42,845 (cost share) to the project. As of October 31, SC has exceeded its cost share obligation by \$11,267 or 1.4%.

3.5. PROJECT MANAGEMENT

The TOR contains several questions regarding the effectiveness of project management arrangements. This section provides an overview of the project's management structure including staff, staff responsibilities, and reporting arrangements. It also addresses adequacy of staffing, internal and external communications and collaboration, and the project's M&E system.

3.5.1. Overview of Project Staffing

As discussed previously, the project staffing consists of the project team based in Peru and SC project staff based in Washington, DC that provide supervisory, technical, financial, and administrative support. Table 16 describes the staffing position including the roles and responsibilities.

Table 16: Project Staffing Position and Responsibility

| Position | Responsibilities |
|------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Peru Based Project Staff | |
| Country Program Director | Supervise and support SC programs in the Andean region. In Peru, the program director supervises the project staff and provides strategic direction, conducts trainings, and provides technical assistance. She has focused more on the agroexport sector. |
| Project Director | Overall responsible for the project and supervises the M&E officer. In addition, the project director takes the lead on organizing events and conducts training. The project director has focused on the textile sector. |
| Project Officer | The project officer is a lawyer with significant labor and union specific experience. In addition to providing legal support and options, he conducts training and provides technical assistance. The project officer has focused on the mining sector. |
| M&E Officer | Responsible for preliminary analyses of data and inputting data into the Excel database. She also generates queries and reports that are used for USDOL and SC reporting. |
| Accountant | Performs basic accounting tasks and prepares financial reports. Also participates in internal and external audits. |
| Administrative Assistant | Performs basic administrative tasks to support the project team. |
| Washington DC Based Support Staff | |
| Regional Program Director | Provides supervision and overall strategic direction to SC programs in Latin America. Specifically supervises and supports the country program director. |
| Senior Program Officer | Provides technical and administrative report to the project that includes preparation of technical progress reports and M&E backstopping. She also represents the project to USDOL and other key agencies. |
| M&E Specialist | Provides general guidance and support on M&E issues. |
| Internal Auditor | Conducts internal audits for SC and provides accounting training and advice to the project's accountant. |

3.5.2. Internal Communication and Support

The evaluators asked the project team about the effectiveness of the management structure, communication and support among the Peru based staff. The country program director explained that each of the core team members have taken primary responsibility for a particular sector. The program director focuses mainly on the agroexport sector, the project director focuses on the textile sector, and the project officer focuses on the mining sector. She further explained that although the team members have primary responsibility for the assigned sector, they support each other and are able to fill-in or take the lead on activities in another sectors if necessary. She told the evaluators that communication and support among the project team is highly effective. In separate interviews, the project director and project officer agreed that the management structure and allocation of responsibilities have worked well and that the level communication, supervision, and support have been effective.

The evaluation team also asked both Peru and Washington based staff about the level of communication, supervision, and support. The country program director told the evaluators that the senior program officer provides important support on reporting and M&E issues while the regional program director provides valuable support on strategy and political guidance. According to the country

program director, the level of communication and support has been both timely and effective. The Washington-based program officer echoed these comments. She also said that the project team has been responsive in terms of requests for information and submission of reports. She added that the Washington-based staff are sometimes slow to respond due to the number of countries and programs they are supporting. For example, the regional program director is overseeing SC programs in 15 countries that limit the amount of time she can dedicate to any one project.

3.5.3. External Communication and Collaboration

The project has a key set of external stakeholders that include the federations and unions, labor ministry, national and international labor organizations, and USDOL. According to the project team, the level of communication and collaboration with federations and unions have been mixed. The country program director explained that the communication with the agroexport and textile sectors has been fluid and, generally, effective. She noted, however, that communication and collaboration with the mining sector has been more difficult because the federation president requires all communication be channeled through the federation, which can be bureaucratic and inefficient. As an alternative, the project uses training events and meetings to communicate directly with mining unions.

The country program director explained that effective communication and collaboration with the labor ministry has been difficult to achieve. One reason is that the labor ministers and key staff have changed five times since the inception of the project. Nevertheless, she cited several examples where the project successfully engaged with the labor ministry such as consultations on strikes and an inspection of one of the agroexport companies at the request of the union.

The evaluation team interviewed a range of national and international labor organizations that have collaborated with the project. These include the ILO, PLADES, Perú Equidad, IESI, MSN, and FLA. In all cases, the representatives from these organizations opined that the level of communication and collaboration has been effective and useful to promoting labor rights issues in Peru. The ILO's ACTRAV representative noted that while the collaboration with the project has been acceptable, he would like to have more substantive interaction around both union capacity building and advocacy issues.

The project has interacted with USDOL at two levels. The first, which was described previously, has been with OTLA's monitoring and enforcement division. The level of communication and collaboration has been valuable in helping OTLA understand labor rights issues as they pertain to the PTPA. The other level of interaction has been with OTLA's technical assistance and cooperation division and the project's grant manager. According to the SC country program director and senior program officer, the relationship has been mixed. On one hand, the project has enjoyed a constructive relationship with the grant manager who has been appreciative of the difficult operating environment in Peru and the challenges it presents. On the other hand, the project has received minimal feedback on the PMP and technical progress reports. SC would like to have a deeper level of engagement with the grant manager that might include periodic calls and meetings to discuss the project's advances and obstacles. SC would also like to have more interaction with the M&E specialist on the project's M&E system, PMP reporting, and USDOL standards and expectations for M&E.

3.5.4. M&E System

As required by the 2009-MPG, the project developed a PMP with indicators and data sources but it does not have a timeframe for collecting indicator data from sources, which is required by the MPG. The MPG

also states that the grantee is to set indicator targets as part of the PMP finalization process. However, the indicator targets were not set until USDOL requested a progress report in July 2014. The project set targets and reported progress against those targets in the same report. When asked why the targets were not set at the beginning of the project, the country program director explained that since USDOL did not request indicator targets, the project did not provide them. The other inconsistency that the evaluation team observed was that the MPG requires that grantees develop and use a data-tracking table (Attachment D in the MPG) to report on indicator target achievement. The data-tracking table was not developed.

The project's M&E system is grounded in the indicators and their data sources in the PMP. The data sources, in many cases, are union documents such as notes from assemblies and meetings and collective bargaining agreements. It should be noted that the PMP refers to a variety of registers and calendars under data sources that do not exist within the project. The most common data collection practice, according to the project director, is to request assembly and meeting notes and collective bargaining agreements. The project's M&E officer analyzes these documents to ascertain indicator information such as the composition of union committees, actions taken to support vulnerable workers, affiliation campaigns, and number of signed collective bargaining agreements and their contents. Once analyzed, the M&E officer enters the data into the Excel database, which is used to generate reports.

The evaluators noted several issues that could affect data quality. The country program director told the evaluators that ascertaining accurate information from the federations and unions is a major challenge. The project director added that some unions, as policy, do not share documents and other information while other unions provide incomplete and sometimes inaccurate information. He said that the project team tries to collect missing information or confirm the accuracy of information during training events or meetings. Missing or inaccurate information provided by unions could affect indicator reporting.

Another data quality issue involves several inconsistencies between indicator values reported in the July 2014 PMP update report and indicator values in the database as of November 2014. For example, the July PMP report lists 42 representation and defense actions while the database lists 33. One would expect the number to increase, not decrease. Another inconsistency is the number of affiliation campaigns undertaken. The July PMP report lists 25 campaigns but the number of campaigns listed by sector sum to 22 instead of 25. The July PMP report also notes that 1,665 workers were contacted during the campaigns while the database lists the number at 1,405. Again, one would expect the number to increase since it is cumulative. The same is true for the number of collective bargaining agreements. The July PMP report lists 33 agreements while 28 is recorded in the database. The evaluation team also noted that the database printouts for Result 1.1, 1.2, and 1.3 added the baseline values to the total achieved values for 2013 and 2014, which is a mistake. The 2013 and 2014 achievements should be added and compared to the baseline value.

Project staff are aware of the data quality issues and inconsistencies in the project database and believe that the achievement of the indicator targets is higher than that reported by the M&E system. The country program director expressed concern that the evaluation team based its assessment of the indicator targets on the data in the database, which she agrees are inaccurate and inconsistent. However, since it was beyond the scope of the evaluation to collect data on indicator targets, the project database was the only source of quantitative data that the evaluators had access to for assessing indicator target achievements. The urgent need to address data quality and accurately assess the achievement of indicator targets is addressed later in this report as a recommendation.

The evaluators also discussed how management uses the M&E system and its information to make decisions. The project team told the evaluators that the team meets periodically to review progress in meeting indicator targets. The country program director explained that the M&E system demonstrated that the project was not meeting targets for women in union leadership positions. She said this helped the project focus more on women’s participation and seek advice from SC Washington on how other SC projects are addressing the participation of women in unions. She also noted that the project team could do a better job of meeting more consistently to discuss the information and use it to learn and adjust strategies.

3.6. IMPACT ORIENTATION

The evaluators were not able to empirically measure impact on vulnerable workers for a couple of reasons. First, this is an implementation evaluation and not an impact evaluation. An impact evaluation would have required a rigorous random sample survey and control groups that is beyond the scope of this evaluation. Another less rigorous way to measure impact would have been to analyze data for the project’s goal and immediate objective indicators. However, as discussed under the project design section, the project’s goal and immediate objectives do not have indicators.

The project does have indicators for the six outcomes. Most of the outcome indicators are relatively strong measures for effect level changes that could be used to infer impact. However, as discussed in the effectiveness section, the project is generally behind in achieving its capacity building outcome indicator targets and is only currently starting to focus on the advocacy plans and proposals. This would suggest that, based on the achievement of indicator targets, the project is not having the intended impact on unions or workers at the time of the evaluation. Nevertheless, within a difficult labor rights and anti-union environment, the project has been able to achieve important victories and gains for workers as captured in Table 17.

The majority of benefits to workers resulted from the collective bargaining agreements where union representatives negotiated increases in wages and benefits and improvements in safety and health conditions and work schedules. Many of these gains, according to union officials, stem from the training and technical assistance the project provided. They also cited the leadership training as being responsible for building their confidence to raise labor rights violations with company supervisors and managers. The evaluation team documented many of these impacts during interviews with union officials as paraphrases. The paraphrases are presented in the following table by the corresponding union and its representatives.

Table 17: Paraphrases from Union Officials Regarding Impact on Workers

| Federation/Union | Paraphrases from Union Official Regarding Impact on Workers |
|------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Franky Ricky | In the 2012 collective bargaining process, we only achieved an increase in salary. During the 2013 collective bargaining process, we were able to negotiate an increase in salary as well as a revision to the salary scale that awarded workers that are more experienced. |
| Michell | During the last collective bargaining negotiations, we were able to negotiate time for new mothers to breastfeed based on the national breastfeeding law. We also negotiated a bonus for workers with older children. |
| SINTRAPE | We negotiated a 1% increase over the minimum wage and the required use of personal protective equipment. |
| SITECASA | We are stronger and more confident leaders. If we think a worker’s right is being violated, we are not afraid to speak to the supervisors. For example, some supervisors were harassing female workers. We spoke to them and the harassment has decreased. |
| SITESAV | We requested inspections from the labor ministry that led to changes in the management of dangerous chemicals, improved drinking water for workers, and a more hygienic cafeteria. We also negotiated a childcare facility and death benefits for workers. |
| SITRIN | The last collective bargaining negotiation resulted in several benefits for our workers. These include a 9% salary |

| | |
|----------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | increase, S/12,000 death benefit to families, vacation benefit based on length of time with the company, scholarships for high performing children of workers, free meals during overtime work, and an increase in bonuses to families with children. |
| STIE | We were able to negotiate an inspection by the labor ministry to investigate four recent accidents to determine whether the company was responsible and, if so, what its liability is. |
| SUTANTAPACCAYA | We have improved our negotiating skills. In the last collective bargaining negotiation, we were able to get a rest period after eight hours of work as well as an increase in a risk bonus. |
| Topitop | We, with the help of the project, launched a successful affiliation campaign that increased our number of affiliates by 100 and made us a stronger organization. |

The discussion on impact raises an interesting question as to whether the project’s indicators are accurately capturing the project’s impact on vulnerable workers, especially within a difficult labor rights environment in Peru. For example, the outcome indicators for capacity building, technically, are designed to capture improvements in union administration, outreach and education, and collective bargaining negotiations. However, when unions try to apply what they learned in training or technical assistance meetings, employers often implement strategies to weaken unions. These include terminating or threatening to terminate contracts, filing criminal charges against union leaders, placing security or police on facilities to discourage outreach and education activities, providing incomplete financial information during collective bargaining negotiations, and trying to influence labor ministry inspectors during inspections.

In some cases, companies create parallel structures or worker committees that are favorable to the company. They compete with the unions for influence and membership and, in many cases, weaken the unions. These anti-union strategies, which the evaluators documented during interviews, minimize or decrease quantitative gains that the indicators are built upon.

To complement the quantitative indicators, it would be helpful to the project, unions, and other labor organizations if the project had a set of qualitative indicators that captured these positive impacts on workers including changes in attitudes, confidence, and skills. The issue of qualitative indicators is discussed in more detail as a recommendation in the recommendations section.

3.7. SUSTAINABILITY

The 2009-MPG, which was in place at the time the cooperative agreement was awarded to SC, states that the project document must include a sustainability plan that addresses detailed strategies, assumptions, and conditions for sustainability. The MPG also states that the sustainability plan must include a clear exit strategy that states how project components will be transferred to national stakeholders by the end of the project as well as a process to monitor progress towards achieving the different areas of sustainability. Finally, the MPG notes that the sustainability plan must be updated or revised as the operating environment changes.

SC completed and included the sustainability matrix (Annex L in the 2009 MPG) in the project document that addresses strategies, assumptions, and conditions for sustainability. However, the sustainability matrix has not been updated or revised. Furthermore, the sustainability matrix does not include an exit strategy that describes and monitors what will be sustained, who will sustain it, and how it will be sustained. The lack of an updated sustainability matrix and exit strategy made it difficult for the evaluators to objectively assess whether the project is on track to sustain key interventions and gains on strengthening unions and protecting the rights of vulnerable workers (social and economic inclusion).

To assess sustainability, the evaluation team asked project staff, unions, and other labor organizations to what extent they thought the project's key interventions and results would be sustained once the project ended in April 2015. The following discussion on sustainability is organized according to the project's two components: capacity building and advocacy.

Capacity building. It appears that the training and technical assistance support will not be sustained once the project ends. The project team organizes and conducts the majority of the training. The training that the project team does not facilitate is contracted to other individuals or organizations that specialize in the topic. The project team conducts the technical assistance meetings and associated support to unions. During interviews with federation and union leaders, the evaluators asked whether they had the capacity and resources to continue these interventions. They explained that they have tried to disseminate important messages from trainings to their affiliates via meetings and talks but they do not have the capacity or resources to replicate the trainings. A CGTP advisor told the evaluators that sustainability among the agroexport unions is not likely because they are immature and inexperienced.

When asked, virtually all of the unions opined that the project should have focused more on helping them build a capacity to conduct training using the same dynamic and participatory methods that the project team uses. One mining union representative said that the project should have had a training of trainers (TOT) component to help the unions develop a cadre of trainers who could train more affiliates. Another textile union representative echoed this opinion and said that several of the union's affiliates are former educators and that they could have been trained to be effective trainers. A representative from another mining union told the evaluators that his union had a previous affiliation with a university in Arequipa to provide training and this could be another option to sustain training.

The evaluators also asked union representatives if they would continue to use the knowledge and skills that they gained from the training and technical assistance meetings. Again, virtually all the interviewees commented that they intended to use new knowledge and skills in organizing affiliation campaigns, educating workers about their rights, and negotiating future collective bargaining agreements with employers. Several union representatives, especially in the agroexport sector, explained that they would need refresher training and training for new officials after they are elected. The evaluation team observed a potentially strong correlation between the capacity of the union and its ability to effectively use the knowledge and skills gained from the project's training and technical assistance interventions. This correlation would probably also apply to the union's ability to implement any sort of TOT approach.

In fairness to the project, it should be noted that neither the project's design nor sustainability matrix mention that the project intended to sustain the capacity building and training activities. The country program director reflected this view when she explained that the sustainability of the training is based on whether individuals or organizations have an increased capacity and will be able to use new skills in the future rather than whether they will be able to conduct or replicate trainings once the project ends.

Advocacy. As discussed earlier in the report, the advocacy component is built on the documentation of 470 violations of labor rights cases in the three participating sectors. These cases were used to develop the three sector study reports, which, in turn, are being used by SC and the federations to develop advocacy plans and proposals for the three sectors. During interviews with confederation and federation officials, the evaluators asked to what extent they thought the sector proposals would be sustained once the project ended. The Vice President of the Confederación General de Trabajadores del Perú (CGTP) told the evaluators that CGTP and its federations intended to continue the work on the proposals because the issues were priorities. When asked about resources to continue the advocacy work, he said

while he would welcome financial support from USDOL and the SC, CGTP was committed to finding resources to support the advocacy proposals.

The evaluation team interviewed ten unions. All ten unions commented that the documentation of labor rights violations was an important and necessary procedure. They also noted that while the original form used to document the cases was complicated and difficult to use, it was important and useful. However, SITECASA was the only union of the ten interviewed that reported and demonstrated to the evaluators that it still documents and files labor rights violation cases (it uses a simplified version of the form). SITESAV and Franky Ricky commented that they are using more informal and less rigorous ways to document cases. The nine unions that have not continued to use the original form and procedure to document violations told the evaluators that they should continue because rigorous documentation would provide tangible historic evidence to support requests for labor inspections and filing complaints with courts or even international organizations such as FLA or MSN (textile sector). Continued documentation would also be important to support future advocacy initiatives.

3.8. GOOD PRACTICES AND LESSONS LEARNED

Leveraging International Organizations. SC has been especially effective at leveraging its relationships with international labor organizations to call attention to labor rights violations in Peru and collaborate with these organizations to address these violations through a variety of advocacy initiatives. SC has also been effective at involving unions in this process, especially confederations and federations, and linking them to international labor organizations. Examples include the following:

- PTPA labor affairs council regarding compliance with Chapter 17 (labor chapter).
- MSN and brands that requested the Peru government to consider repealing the short-term contracting law (DL 22342).
- FLA concerning the complaint filed against HIALPESA by the workers union for violations of labor rights including short-term contracts that violated the buyer's code of conduct.
- IndustriALL, FNTMMSP, the workers union of Antapaccay-Tintaya, and a Swiss shareholder NGO that managed to get a union's leadership reinstated after they were dismissed.

Unifying Themes to Create Powerful Advocacy. Often, union confederations and federations are meshed in disagreements and turf struggles that serve to separate rather than unite them. The identification of themes that can unify and unite the labor movement can yield powerful advocacy results. One example is how CGTP, Central Unitaria de Trabajadores del Perú (CUT), Central Autónoma de Trabajadores del Perú (CATP), and Confederación de Trabajadores del Perú (CTP) collaborated on the production of an important advocacy study entitled "The Pending Labor Agenda of the Peru-United States Free Trade Agreement". Many of the labor rights violation cases documented by the project were used in the study. Another example is an event held in April 2013 on Capital Hill where Peruvian, Mexican, and Canadian unions discussed the impact of US Free Trade Agreements on workers with congressional staffers, US Government officials, and civil society. CGTP, CUT, and CATP from Peru participated in the event. It should be noted that the American Federation of Labor and Congress of Industrial Organizations (AFL-CIO) organized and paid for the event; not the project.

Alternate Forms of Affiliation. Unions in Peru are typically formed as company unions, which historically meant that they could only represent workers who work for that legally registered company. In an attempt to weaken unions and their influence, some employers established multiple companies under

the primary company even though it is the same business or economic activity. This meant that an existing company union could not represent workers in the new companies. Rather, new unions had to be formed for each company that resulted in several smaller and weaker unions instead of a larger, more unified union. It also meant that if the company transferred workers to a new company, their affiliated union could no longer represent them.

Relatively recent changes in the law allows a union to be formed under the primary company to represent all workers even though the primary company might have several companies under its umbrella. However, the companies and workers have to be part of the same economic activity (i.e. palm oil production). The project is exploiting this alternative form of affiliation by encouraging workers to organize and form unions under the primary company rather than under the different companies. This form of affiliation strengthens unions by increasing and unifying numbers of affiliates and provides protection to affiliates who are transferred to other companies.

Focusing on Youth. The project considers youth as a category of vulnerable worker since they tend to be hired on short-term contracts that are not converted into longer-term employment arrangements with benefits and job security. Youth represent an interesting and promising potential for the future of unionization. When motivated, youth are dynamic and committed. They also have well developed communication channels such as text messaging and social networks. The project believes they would make effective change agents in the workplace and have seen that young union activists are more willing to adopt new rights defense tools, such as the Labor Rights Violation Documentation Form. The challenge, however, has been to convince youth to affiliate. Many do not understand the purpose of unions and the advantages of organizing. Others are reluctant to affiliate because they might not have their contracts renewed. If these challenges can be addressed, a focus on youth could help strengthen and sustain unions in Peru.

Establishing Multiple Contacts in Labor Ministry. During the course of the project, the labor minister has been changed five times. Each time the labor minister was changed, other high level labor ministry officials were also changed. Some these officials were important reference points and contacts for the project, especially for some of its advocacy and social dialogue activities. The project learned that it needed to develop multiple contacts including more mid-level labor officials that would be less likely to be changed. Additionally, project team members took advantage of visits by strategic international actors, including global union federations such as IndustriALL and global apparel brands, to build relationships with labor ministry officers. These relationships leveraged interest and focus on issues where government involvement is key. According to the project team, this lesson has evolved into a good practice that has helped the project maintain relatively strong relations with the ministry despite the high degree of turn over at the top levels.

Coupling Training and TA Meetings. The project has developed an approach of coupling training with technical assistance meetings that has increased the effectiveness of the training and its effects. Often the technical assistance meetings are scheduled around specific “live” topics such as collective bargaining negotiations, affiliation campaigns, labor inspections, and complaints for labor rights violations. For example, the project team might target a technical assistance meeting for a union that participated in collective bargaining training and that is currently preparing to negotiate the renewal of the agreement with the employer. The meeting might focus on negotiating strategies and tactics including the provision of financial information from the company and new points to include in the negotiation process. The project and unions believe this has become an important and effective good practice.

Promoting Vulnerable Workers to Federations. According to project staff, the plight of vulnerable workers was not necessarily a priority for federations when the project started. Through persistent efforts to raise awareness about vulnerable workers during training events, seminars, and meetings, the project has managed to make important gains in raising the federations' understanding of the problems that vulnerable workers face and how unions can assist them. Being consistent and persistent about raising awareness regarding vulnerable workers is an important lesson learned.

Working with Unions at the Grassroots Level. Many national and international labor organizations work directly and almost exclusively with the confederations and federations. Few provide direct capacity building and support services to workplace unions. According to some international labor organizations such as the ILO, the project's approach of working with federations and their unions has been both effective and appropriate. It has created an interesting synergy and gained SC and the project credibility. It also builds on what many believe is one of SC's core strengths, which is the development of grassroots worker organizations.

IV CONCLUSIONS

The following conclusions represent what the evaluators have “concluded” from the analysis of the findings and are organized according to the seven evaluation sections: project design, relevance, progress and effectiveness, efficiency and use of resources, project management, impact orientation, and sustainability.

4.1. PROJECT DESIGN

- The project’s design is coherent and logical. The activities, outputs, outcomes, and immediate goals are logically linked.
- The project’s design did not adhere to the guidance in the 2009-MPG as required by USDOL. The 2009-MPG stipulates using the LFA that includes activities, outputs, purpose, and goal. The project’s design consists of activities, outputs, outcomes, immediate objectives, and the goal. The outcomes and immediate objectives represent two levels of purpose level objectives.
- The assumptions address important external factors that influence the project’s logic. However, several important assumptions, that could have affected achievement of objectives, did not hold. These include institutional instability at the labor ministry, lack of commitment of some unions to include vulnerable workers such as women in leadership positions, and employers that do not engage in collective bargaining in good faith and that commit reprisals against workers who participate in union activities.
- The outcomes include effect level indicators that are appropriate. The immediate objectives, however, do not have indicators that make assessing their achievement difficult. The project did not set indicator targets at the beginning of the project as stipulated in the MPG.

4.2. RELEVANCE

- Although the project did not conduct a baseline survey to inform the project’s design and implementation as required by the MPG, the design was built on the experience and lessons of a previous union-strengthening project funded by USAID.
- The project’s objectives and strategies address important needs of the federations and unions. These include management and leadership, outreach and education (affiliation campaigns), collective bargaining, and advocacy focused on short-term contracting, outsourcing, and occupational health and safety standards.
- The needs of the federations and unions have not changed since the beginning of the project in ways that would have affected the relevance of the objectives and interventions.

4.3. PROGRESS AND EFFECTIVENESS

- The project appears to be behind in achieving several of its indicator targets. These include the percent of vulnerable workers in leadership positions, number of representation and defense actions to support vulnerable workers, number of workers contacted during affiliation campaigns, and number of collective bargaining agreements. However, there appears to be data quality issues with the M&E system that might affect the accuracy of the indicator target achievements.
- The project has effectively collaborated with a range of national and international labor organizations. Some of the most effective collaboration has been with international organizations to address violations of labor rights such as short-term contracting.

- The project's partners (federations and unions) have, in general, been committed to working with the project to build capacities and implement advocacy initiatives. The labor ministry has been less committed to exercising the political will to support unions on key issues such as short-term contracting and outsourcing.
- The training methodologies have been participatory and dynamic, which participants found to be highly effective. However, some unions have not successfully applied new knowledge and skills due to low capacity or an anti-union environment at their companies.
- The project did not conduct a training needs assessment that would have allowed it to more effectively design and target training based on the needs, capacities, and interests of its partner unions. Some unions were not able to fully benefit from the training because of a lack of capacity and readiness to apply new knowledge and skills.
- The project effectively coupled its training interventions with technical assistance meetings. The technical assistance meetings supported the trainings and often focused on current and important events affecting unions such as collective bargaining negotiations, affiliation campaigns, documentation of labor rights violations, and filing complains for labor rights violations. Supporting training with technical assistance is considered a good practice.

4.4. EFFICIENCY AND USE OF RESOURCES

- The average cost to build the capacity of a union is \$7,159 while the average cost to train a union representative is \$707. The average cost to contact and provide labor rights education to a worker is \$311. The evaluators did not have access to standards to compare these costs. It should be noted that these costs are based on the data in the project database. If the data were determined to be inaccurate, these costs would have to be recalculated.
- The allocation of resources (budget line items) appears to be consistent with other labor projects with the exception of salaries and indirect costs. Salaries and fringe benefits account for 47% of the budget, which seems high when compared to other NGOs implementing labor projects.
- Based on the original end date of December 2014, the project is underspent by about 23%. However, it received a no-cost extension until April 30, 2015. The project will have to increase its average monthly expenditure rate by 50% to expend funds by the new end date.
- The project used training materials produced by the USAID funded union strengthening project as well as other projects. The project has also used labor rights education materials produced by other organizations when appropriate.

4.5. PROJECT MANAGEMENT

- In general, the support from the project's union partners has been effective. The relationship and support from the textile sector has been the most fluid and effective. The relationship with the mining sector has been most strained due to the insistence of the mining federation that it review all communication with its membership and that it approve training events, technical assistance meetings, and other activities. The support from the labor ministry has been less effective due to institutional instability and lack of political will to engage and support unions on key issues such as short-term contracting and outsourcing.
- The project team members have collaborated and communicated effectively among themselves. The project team has also received effective supervision and administrative and technical support from SC headquarters. The level of communication and engagement from USDOL has been less frequent and consistent.

- As required by the MPG, the project developed a PMP that includes the indicators and data sources. The M&E system is comprised of the PMP along with the union capacity building tracking form. The project is collecting, analyzing, and entering data into an Excel-based database that the project uses to generate reports. Based on incomplete data collected from some unions and errors in reports generated by the database, there could be issues with data quality.
- USDOL did not request and the project did not develop indicator targets at the beginning of the project. In addition, the project has not used the indicator-tracking table to report progress on achieving the indicator targets. Both are requirements according to the MPG.

4.6. IMPACT ORIENTATION

- The project is having an important impact on workers that is not being captured by the project's indicators. The impact typically occurs because of collective bargaining when unions are able to negotiate improvements in salary, benefits, work schedules, and working conditions. In addition, leadership training has contributed to building confidence in some union representatives that has increased their effectiveness at addressing labor rights violations.

4.7. SUSTAINABILITY

- As required by the MPG, the project developed a sustainability plan at the beginning of the project that included the strategies, assumptions, and conditions for sustainability. However, the project did not update the sustainability plan or develop an exit strategy with explains how the project's interventions and results will be sustained. These are requirements in the MPG.
- It is unlikely that union partners will sustain the training and technical assistance interventions once the project ends. Project partners do not believe they have the resources or capacity to conduct training. However, it is likely that the more capable partners will continue to apply new knowledge and skills to collective bargaining negotiations and affiliation campaigns.
- It appears that the federations will continue to work on the advocacy plans and proposals once the project ends because the advocacy themes are a priority. Given the importance of the advocacy themes, federations, with support from their confederations, will try to find the resources and support to sustain gains made during the project.

V RECOMMENDATIONS

The following recommendations are based on the findings and flow from the conclusions. They are intended to help the project make adjustments that can increase its effectiveness over the remaining life of the project. The recommendations are also intended to provide USDOL and SC important findings and lessons that might be applied future projects that aim to strengthen worker organizations.

5.1. INSTITUTIONALIZE DOCUMENTATION OF LABOR RIGHTS VIOLATIONS

SC should focus the remaining months of the project on institutionalizing the documentation of labor rights violations in the target unions so unions are able to continue to systematically document and store cases of violations of labor rights. The documentation of labor rights cases that were used to produce the three sector studies was an important process but is not being continued by many unions. SC and the corresponding federations should revisit the documentation process and provide the necessary technical support to institutionalize the process, which might include training, technical assistance meetings, and revisions to the forms used to document the cases of labor rights violations. Systematically documented labor rights violations should prove to be invaluable resources for filing formal complaints, requesting labor inspections, and undertaking advocacy initiatives.

5.2. CONDUCT A DATA QUALITY AND INTEGRITY CHECK

SC should conduct a thorough review of its data to ensure their quality and integrity and that reporting is based on reliable information. The review might examine the accuracy and completeness of information provided by or ascertained from unions, the effectiveness of the analysis and information put into the database, and integrity and consistency of the data stored in the database that are used to generate reports and queries. It was observed during the course of the evaluation that information and reports generated by the database were sometimes inconsistent. There were also formula errors in the Excel spreadsheets. A thorough review of the project's information system would help increase the level of confidence that USDOL has in the accuracy of project reporting and give the project credit for its achievements.

5.3. USE TECHNOLOGIES TO REACH YOUTH

SC should consider training unions to use modern technologies to more effectively reach and communicate with youth. This recommendation stems from the observation that many of the current union officials represent a generation accustomed to using written literature such as pamphlets and radio programs to communicate with workers. However, youth communicate primarily with mobile phones using text messaging (SMS) and social media such as Facebook and Twitter. Since youth tend to be underrepresented in union leadership positions as well as affiliations, the use of modern technologies might be an appropriate and effective communication strategy. SC might consider selecting several unions with capabilities, resources, and interest to pilot a communication strategy using technologies and assess its effectiveness.

5.4. PROVIDE WORKPLACE HARASSMENT TRAINING

Time permitting; SC should consider developing and delivering training on workplace harassment for both female and male union representatives. This recommendation is based on the observation that female union leaders believe that female workers are often harassed in the workplace by supervisors. Female workers require effective tools and strategies to confront harassment situations. In addition, union leaders (primarily men) require a thorough knowledge and understanding of what constitutes

harassment and why it is a violation of labor rights. This way, they can more effectively support female leaders and affiliates of their unions.

5.5. INCREASE COMMUNICATION BETWEEN USDOL AND SC

USDOL and SC should increase the level of communication during the remaining months of the project. Increased communication should include regularly scheduled telephone calls (or face-to-face meetings if and when appropriate) with the appropriate USDOL and SC staff. USDOL should provide written and verbal feedback on technical progress reports and financial reports. SC, on the other hand, should provide USDOL with an updated indicator-tracking table (as required by the MPG) and narrative that would be used to discuss what the project realistically expects to achieve by April 30. SC should also provide USDOL with its plan to increase expenditures by the amount required to expend project funds by April 30. In turn, USDOL should engage SC in a conversation and provide advice and feedback on indicator achievement and the expenditure plan.

5.6. DEVELOP AN EXIT STRATEGY

USDOL should require SC to develop and submit an exit strategy as required by the MPG. The exit strategy should define the interventions and results that will be sustained, the strategy for sustaining them, the individuals or organizations responsible, timeframes, and the required resources and sources. It would be useful if SC provided a basic set of exit strategy indicators and dates so USDOL can track the progress of implementing the exit strategy. Progress towards achieving the exit strategy indicators should be included in the USDOL-SC telephone calls or meetings noted under Recommendation 5.5.

5.7. TAILOR TRAINING BASED ON NEEDS AND CAPABILITIES OF UNIONS

In future projects, SC should develop and administer a training needs assessment that assesses and documents the needs, capabilities, and interests of unions for capacity building training. The results of the training needs assessment would be used to tailor the training to the specific needs and capabilities of unions rather than using a generic, one-size-fits-all approach. This recommendation is based on the observation that the level of capacity differs significantly between unions. Some unions require more training on leadership, confidence building, and the basics of communicating labor rights information to workers. Other unions, for example, have the capacity and interest to learn how to effectively use technologies in affiliation campaigns to reach youth or use distance learning to train more affiliates

5.8. ADHERE TO MPG REQUIREMENTS

USDOL should ensure that grantees adhere to the requirements in the MPG document. The MPG is an important resource that clearly defines requirements for project design, the project document, monitoring and evaluation, reporting, sustainability, and other management producers. Adhering to the MPG should help improve overall project administration and management and the impact it has on the intended beneficiaries. USDOL should consider developing and using a checklist tool to monitor the most important deliverables such as the project logic model with assumptions, PMP with baseline and indicator targets, project document and budget, workplan, M&E system based on PMP, technical progress reports, financial reports, and sustainability plan with exit strategy. Each deliverable should adhere to the corresponding requirements in the MPG document.

5.9. INSTITUTIONALIZE TRAINING COMPONENT

USDOL should consider requiring grantees to develop a strategy to institutionalize training in projects where training is a major component. The institutionalization of training might include several different approaches. One is to develop a training of trainers (TOT) capacity in the confederations, federations, or workplace unions to initially replicate training and eventually continue training activities once the

project ends. Another approach is to link universities or NGOs with strong training capabilities to unions. The USDOL funded project would have to nurture the linkage initially with the goal of eventually sustaining the linkages and relationships. The strategy might also include a distance-learning component that could be a cost-effective way to train union officials and affiliates that have the technological resources (computers and access to internet) as do some of the mining and textile unions.

5.10. DEVELOP AND USE QUANTITATIVE AND QUALITATIVE INDICATORS TO CAPTURE IMPACT

USDOL should consider requesting its grantees to develop and use a set of quantitative and qualitative indicators designed to capture the impact that interventions have on workers. One of the primary impacts is economic that results from increases in wages and benefits. Improvements in health and safety conditions are also important impacts. These can be captured in collective bargaining agreements when these gains for workers are negotiated and implemented. In addition, there are important impacts that are more difficult to measure quantitatively. These might include improvement in self-esteem and confidence, addressing a workplace harassment issue successfully, or changes in attitudes regarding the role of women in union leadership positions. These impacts lend themselves to qualitative data collection techniques such as focus group interviews. Case studies are another effective method for qualitatively capturing impacts.

5.11. LEVERAGE THE CODES OF CONDUCT AND CERTIFICATIONS OF INTERNATIONAL BRANDS AND BUYERS

USDOL and SC should leverage the codes of conduct, certifications, and other corporate social responsibility (CSR) mechanisms of international brands and buyers to address local violations of labor rights. This approach would be most effective with brands and buyers with significant local production and with well-defined CSR strategies that include codes of conduct and certifications. During audits, often required by brands and buyers as part of a certification process, auditors should be encouraged to meet with and interview the unions to discuss labor rights issues within the broader code of conduct and certification frameworks. USDOL should consider building this approach into future solicitations. SC, which has effectively used this approach during this project, should look for new opportunities to leverage codes of conduct and certifications of international brands and buyers in this and other union strengthening projects.

ANNEXES

ANNEX A: TERMS OF REFERENCE

FINAL EVALUATION OF THE *STRENGTHENING UNIONS TO PROMOTE VULNERABLE WORKERS' RIGHTS IN PERU PROJECT*

Introduction and Rational for the Evaluation

The U.S. Department of Labor (USDOL) has retained O'Brien & Associates, Inc. to undertake a final evaluation of the American Center for International Labor Solidarity (Solidarity Center) project entitled "Strengthening Unions to Promote Vulnerable Workers' Rights in Peru," which USDOL began funding in December 2012 and is expected to end by mid-2015. The evaluation is intended as a hybrid formative/summative evaluation (as distinct from either a standard mid-term or final evaluation), which will allow the project implementers to recognize achievements as well as to address problems and make modest adjustments to implementation to improve outcomes. In this regard, the stated purpose of the evaluation is to assess the design of the project, review the progress made toward the achievement of its immediate objectives, and identify lessons learned from its program strategy and its key services implemented to date, with particular focus on its approach to strengthening worker organizations.

Peru's annual GDP growth has averaged 6-7 percent in the last few years, according to the International Monetary Fund. Export-oriented sectors have been major engines of this expansion, with exponential growth in non-traditional exports such as agricultural products and textiles, whose value has increased by 450% since 2002. In the agricultural sector alone, worker productivity increased by over 200% from 2000 – 2010, bringing with it an increase in profit of \$5,333 per worker. In the mining sector, Peru is now Latin America's leading producer of gold, lead, and silver. However, economic growth in Peru's export-driven sectors is not perceived as having resulted in better working conditions, equitable distribution of wealth, or increased respect for worker rights. Workers in many of these sectors are categorized as working poor and in the agricultural sector—where young women comprise half the workforce—wages have stagnated.

Persistent inequality and labor rights violations in export-related sectors are perpetuated by two factors that are intimately linked: laws that allow for short-term, fixed-term contracts and subcontracts, resulting in precarious employment; and the lack of union density in these sectors. The lack of union density, in particular, prohibits effective advocacy for improvements or compliance within labor-management dialogue or at policy-level discussions with labor authorities, employers or other stakeholders. This combination of factors increases labor informality—even in traditionally formal, key economic sectors—fostering underemployment, while adding to the growing economic and social exclusion that affects so much of Peru's population.

USDOL support for this project stems from its belief that if Peru is to successfully tackle the enormous challenge of social and economic inequality, Peruvian unions, as the democratic representatives of workers, must play a central role in defining the framework that governs decent economic opportunity. The Solidarity Center project was designed to provide unions in export-related sectors with the skills and technical support necessary for them to fulfill their role in this social dialogue process as successful advocates for the most vulnerable workers. The Solidarity Center would also work with Peruvian unions on internal union practices to make them more responsive to vulnerable workers'

needs. The project strategy would work with mining, agricultural, and textile/apparel sectors to build and increase the number of democratic, inclusive trade unions and to improve union advocacy for vulnerable workers.

In order to contribute to the reduction of social and economic exclusion of vulnerable workers in key export-oriented sectors, the Peru Union Strengthening project has the following immediate objectives:

- (a) To strengthen unions' capacity to organize and effectively represent vulnerable workers in key export-oriented sectors; and,
- (b) To improve union advocacy for vulnerable workers in labor rights enforcement and policy reform.

The results of this evaluation will help USDOL assess the impact of project funding and provide insights useful to broader USDOL efforts to strengthen worker organizations. In particular, USDOL seeks to better understand:

- 4. Whether the project's interventions have improved the ability of unions to effectively represent the most vulnerable workers through (democratic) consultative practices and measurably resolve their problems;
- 5. The project's impact on Peru's unions within export-oriented sectors and the potential for unions in Peru to expand the project's piloted structures and processes to reach more vulnerable workers; and
- 6. Lessons that may be learned from the project that may be applied in other existing and potential future USDOL-funded programs.

USDOL anticipates that this formative/summative evaluation will produce valuable lessons relevant to other current or potential trade union strengthening programs USDOL and other donors (such as USAID and US Department of State) are funding.

Moreover, while USDOL funding for the Peru portion of this project is slated to end in 2015, other donors may be interested in the possibility of providing support to SC to continue to expand the program. This evaluation will undoubtedly catch the attention of prospective donors and help them target funding to the most promising strategies.

Background of Strengthening Unions To Promote Vulnerable Workers' Rights in Peru Project

National and regional tripartite labor councils in Peru have been unable to promote social dialogue, and employers often refuse to negotiate with their unions. Additionally, employers have few positive examples of industry leaders who develop their business models on building competitiveness through enhanced relations with their workforce.

At the time of this project's conception, experts at the International Labor Organization's (ILO) Regional Office in Lima and at the Department of Fundamental Rights of the MTPE concurred that the political will to improve laws and their enforcement would result from compelling arguments and quality policy proposals based on documented cases and analysis of the impact of current policies and practices on workers and their families. USDOL decided to support this project in order to provide unions in export-related sectors with the skills and technical support necessary to fulfill their role in this social dialogue process as successful advocates for the most vulnerable workers.

In December of 2012, USDOL provided \$1,000,000 to the Solidarity Center for a period of two years to build the organizational and technical capacity of trade unions to effectively represent and defend vulnerable workers, and to engage with institutions responsible for labor administration to advocate for vulnerable workers' needs. The proposed program strategy would engage key Peruvian unions in these sectors in structured, ongoing training and mentorship to build networks of union organizers, negotiators, and democratic leaders, who would ultimately become the support for one another in sharing best practices in union representation and internal governance.

The Solidarity Center aims to address the institutional and cultural obstacles that exist within Peruvian trade unions in proposed key sectors based on the specificity of each sector's gender, age, and contracting demographics. Target sectors include the textile/apparel sector, the mining and extractive sector, and the export-oriented agriculture sector. These sectors were selected based on a set of criteria developed by the Solidarity Center during its program work in Peru, including: the percentage of vulnerable workers in the overall sector; the existence of legal reform and legal enforcement opportunities specific to these sectors; the openness and institutional commitment of the union federation and corresponding confederation to supporting processes of capacity building that result in new union leaders and practices; and the availability of vulnerable workers to participate in SC training and activities.

Geographically, the project was designed to reach vulnerable workers on three levels: national (Lima), multiregional (North—Piura; Central—Lima; South—Arequipa/Tacna; East—San Martín); and regional (Arequipa, La Libertad, San Martín). The geographic focus was to be determined by the type of activity, with plans for national-level trainings and exchanges in Lima; follow-up trainings, site visits, and peer network activities conducted at the regional level; and workplace-level rights accompaniment and social dialogue activities taking place at the regional, provincial, and local level. This approach was selected in order to optimize resources, promote the cross-germination of ideas and best practices at the multiregional level between peer unionists from different sectors and to enable the Solidarity Center to work in conjunction with MTPE, the ILO, union confederations, and the federation-level leadership. The Solidarity Center planned to focus on the regions where there was the highest possibility for bipartite and tripartite social dialogue to succeed.

The direct target groups for the project are 6,000 workers receiving labor rights information during affiliation campaigns in prioritized sectors and 70 union representations reflecting the interests and priorities of vulnerable workers. Special emphasis was given to newly elected trade union leaders, women, young, or subcontracted workers. The direct beneficiaries came from select export-oriented economic sectors, specifically textile and apparel assembly, agriculture, and mining. As union leaders and activists implement direct outreach programs to subcontracted and fixed-term workers unfamiliar with their rights, they would reach additional groups of vulnerable workers as indirect beneficiaries. Other indirect beneficiaries include the Department of Fundamental Rights of the Peruvian, MTPE, regional directors of labor, inspectors, and other regional-level labor authorities. This evaluation is an opportune moment to assess the effectiveness of these activities in light of the project's stated objectives and to identify adjustments that may be needed to maximize the desired results on the target groups and beneficiaries.

DOL seeks an analysis of available evidence that might offer insights into the extent to which the project's interventions have contributed to increased effectiveness of union leaders and other target groups.

Purpose, Scope and Audience of Evaluation

Purpose

The overall purpose of this evaluation is to assess the program's design, review the progress made toward the achievement of the immediate objectives and identify lessons learned from its program strategy and its key services implemented to date, with particular focus on its approach to building union/worker capacity at both the national, multi-regional and regional level.

USDOL has a particular interest in understanding the channels through which project strategies affect outcomes. This interest is implied in all questions concerning effectiveness, impact and outcomes listed in Section IV. It is understood that the evaluator may not be able to verify the exact contribution of the project to each observed outcome. However, the evaluator should take care when discussing "impacts" to describe the extent to which observed changes (or lack thereof) can be attributed to the project; the possible influence of outside forces (e.g., other projects, labor law reform, etc.); and the contribution of specific project activities and/or complementarities across them.

Scope

The Solidarity Center project to strengthen Peruvian worker organizations will be evaluated through the lens of a diverse range of stakeholders that participate in and/or are intended to benefit from the project's interventions, placing heavy emphasis on their perceptions of the program. The evaluator's assessment will cover direct target groups associated with a sample of vulnerable worker organizations and other export-sector stakeholders in the target employment sectors in the following areas: Lima, Arequipa/Tacna, San Martín, and Trujillo.

Audience

The primary audience of the report is USDOL and its current and future grantees, in particular, the Solidarity Center, including its country programs and its broader international efforts, and other donors. This evaluation report will be used by USDOL to determine the strengths and weaknesses of the project's design and implementation, and to determine its possible use as model for improving workers' ability to claim their rights through participation in such a program.

Evaluation Criteria and Questions

To serve these purposes, this evaluation will focus on the validity of the project's design, the relevance of the project's services to the target groups' needs, the project's efficiency and effectiveness, the impact of the results, and the potential for sustainability. These criteria are explained in detail below by addressing their associated questions:

A. Validity of the project design

1. To what extent is the project'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 project sufficiently taken into consideration?

B. Relevance and strategic fit

3. Was a sufficient needs analysis carried out at the beginning of the project's design and implementation?

4. To what extent are the project's immediate objectives consistent with the needs identified at the beginning for the project's direct and indirect target groups?
5. Have the needs of these stakeholders changed since the beginning of the project in a way that affects the relevance of the project or its interventions?

C. Project progress and effectiveness

6. Is the project 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?
7. How do other labor-related initiatives (e.g., ILO, USDOL, USAID, others) and organizations (e.g. MTPE, ILO, NGOs) in the country interact with the project's interventions, and how do they affect implementation and outcomes?
8. What is the level of commitment of the government, the workers' and employers' organizations to interact with the project? How has their commitment and participation (or lack thereof) affected its implementation?
9. What are the key strengths and weaknesses of the training services provided by the project in terms of targeting, quality of design, application, and effect on the participants?

D. Efficiency of resource use

10. 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?
11. 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.
12. Did the project use or share its materials with other projects, organizations, or partners or incorporate existing materials where appropriate?

E. Effectiveness of management arrangements

11. Does the project receive adequate political, technical and administrative support from its national and international partners?
12. How effective is the communication between the project team, its regional and global headquarters, and the donor (i.e. USDOL)?
13. How could the relationship between USDOL and the project's technical team be improved?
14. 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?
15. How was the gathered data used? How could it be used better?

F. Impact orientation and sustainability

16. How has the project benefited workers (based on either tangible evidence or anecdotal information)?
17. Can any unintended or unexpected positive or negative effects be observed as a consequence of the project's interventions? If so, has the strategy been adjusted?
18. 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 project 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?

19. Is the project scalable? Can the project be expanded to reach workers and workers' representatives in other contexts? If so, in what ways and with what (minimal) resources?
20. What are the good practices and key lessons learned that might benefit other similar labor rights projects?

Roles and Responsibilities

The Evaluator is responsible for conducting the evaluation according to the terms of reference (TOR). S/he will:

- Review the TOR and provide input, as necessary
- Review project background documents
- Review the evaluation questions and refine the questions, as necessary
- Develop and implement an evaluation methodology (i.e., surveys, conduct interviews, review documents) to answer the evaluation questions, including a detailed discussion of constraints generated by the retrospective nature of this evaluation methodology and data collection and how those constraints could be avoided in future projects.
- Conduct planning meetings, as necessary, with USDOL and implementing organization
- Decide composition of field visit interviews to ensure objectivity of the evaluation
- Present verbally preliminary findings to project field staff and other stakeholders as determined in consultation with USDOL and the project
- Prepare an initial draft of the evaluation report and share with USDOL and project
- Prepare draft and final reports

The USDOL Project Manager is responsible for:

- Drafting the initial TOR
- Finalizing the TOR with input from the implementer and the evaluator
- **REVIEWING PROPOSED EVALUATOR**
- Providing project background documents to the evaluator (responsibility is shared with project staff)
- Obtaining country clearance
- Briefing project field staff on upcoming visit and work with them to ensure coordination and preparation for evaluator
- Reviewing and providing comments of the draft evaluation report
- Approving the final draft of the evaluation report
- Participating in the post-trip debriefing
- Including USDOL evaluation contract COTR on all communication with evaluator(s)

Implementing organization is responsible for:

1. Reviewing the TOR and providing input, as necessary
2. Providing project background materials to the evaluator

3. Participating in any team planning meetings
4. Preparing a list of recommended interviewees
5. Scheduling all meetings for field visit and coordinating all logistical arrangements
6. Reviewing and providing comments on the draft evaluation report
7. Organizing and participating in the stakeholder debrief
8. Including USDOL Program Office on all communication with USDOL Project Manager and/or evaluator

Evaluation Methods

Performance shall be assessed in terms of six criteria: relevance and strategic fit; validity of project design; project progress and effectiveness; efficiency of resource use; impact orientation and sustainability of the project; and effectiveness of management arrangements.

The evaluation shall draw on six methods: 1) review of documents, 2) review of operating and financial data, 3) interviews with key informants, 4) field visits, 5) a stakeholder debrief in-country, and 6) a post-trip meeting.

1. **Document Review:** The evaluator will review the following documents before conducting any interviews or trips in the region.
 - Project document
 - Quarterly Progress Reports
 - Reports on specific project activities
 - Training materials
 - Reports of trips, field visits, meetings, needs assessments and other reports
 - Strategic framework, PMP, & performance indicators
 - Work plans
 - Any other relevant documents
2. **Review of operating and financial data:**
 - Project budgets
 - Federal Financial Reports
3. **Interviews with key informants:** Interviews are to be conducted with key program stakeholders (by phone or in-person) including (but not limited to):
 - Solidarity Center international, regional and local staff, including the project director
 - Relevant ILO representatives, especially ACTRAV representatives
 - Representatives of NGOs that collaborated with the project
 - Representatives relevant trade union stakeholders (International Trade Union Confederation, Industrial, and other key international trade union organizations as appropriate)
 - Peruvian government officials who have been involved in or are familiar program implementation
 - Officials of related employer organizations
 - Union representatives that were involved with or interacted with the project

- USDOL Project Manager(s)
- US Embassy Labor Attachés
- Other donor representatives who have been involved with the project

4. **Fieldwork in Peru:** Field visits will be planned to cover a sample of field sites located in the following areas: Lima, Arequipa/Tacna, San Martín, and Trujillo. The evaluator should plan to meet with workers and their representatives off-site, in addition to any on-site meetings that may occur at the factories or other places of work. The evaluator is expected to meet with a representative selection of the above listed stakeholders. The evaluator will base his/her evaluation primarily on information obtained through these field visits and interviews. The evaluator should note how key informants were selected and how the selection may influence findings.

The exact itinerary will be determined later based on scheduling and availability of interviewees. Meetings will be scheduled in advance of the field visits by the implementing partners' staff, coordinated by the designated project staff, in accordance with the evaluator's requests and consistent with these terms of reference. *The evaluator should conduct meetings without the participation of any project or implementing partner staff.*

5. **Stakeholder Workshop:** Prior to departure from Peru, the evaluator will conduct a debrief workshop with project staff and key stakeholders to present and discuss the initial findings. The workshop will be planned in consultation with USDOL and conducted based on the schedule of the evaluators and availability of the key stakeholders (typically on the last day of fieldwork).
6. **Post Trip Debrief & Meeting:** Upon return from Peru, the evaluator will provide a post-trip debrief by phone or in person to relevant USDOL staff to share initial findings and recommendations and seek any clarifying guidance needed to prepare the report. Upon completion of the report, the evaluator will provide a debriefing to relevant USDOL staff on the evaluation findings, conclusions, and recommendations, as well as the evaluation process. In discussing the evaluation process, the evaluator will clearly describe the constraints generated by the retrospective nature of this evaluation methodology and data collection and how those constraints could be avoided in future projects.

Duration and Milestones of Evaluation

| Activity | Date | Products/Comments |
|-------------------------------------------------------|------------|---------------------------------------------------------------------|
| Submit draft TOR for Grantee and USDOL review/comment | Nov. 5 | Draft TOR |
| Logistics call (grantee and evaluator) | Nov. 7 | By phone |
| Finalize and submit TOR | Nov. 11 | -Final evaluation questions -Methodology section -Instruments |
| Cable clearance request | Nov. 11 | Clearance granted |
| Fieldwork | Nov. 17-28 | Preliminary findings |
| Stakeholder workshop | Nov. 28 | Presentation of preliminary findings |

| | | |
|------------------------------|----------------|------------------------------|
| Post evaluation debrief call | Dec. 3 | |
| 48 hour review | Dec. 22-23 | Draft Report 1 |
| 2-week review | Dec. 29-Jan. 9 | Draft Report 2 |
| Submit final draft report | Jan. 14 | Draft Report 3 (final draft) |
| Submit final report | Jan. 16 | Final Report |

Deliverables

- A. Finalized TOR with USDOL and Solidarity Center consensus, November 11, 2014.
- B. Method to be used during field visit, including itinerary, November 14, 2014.
- C. Pre-trip meeting / phone call, by November 7, 2014.
- D. Stakeholder workshop (including slides of initial findings), by November 28, 2014.
- E. Debrief call, December 3, 2014.
- F. Draft Report by December 22, 2014.
- E. Final Report to USDOL and Solidarity Center by January 16 in accordance with the IDIQ and task order.

Report

The evaluator will complete a draft report of the evaluation following the outline below and will share it with the USDOL COR, USDOL Project Manager(s), and implementing organization who will review the report. USDOL and the implementing organization will have one week (five business days) to provide comments on the draft report. The evaluator will produce a re-draft incorporating the USDOL and implementing organization comments where appropriate, and provide a final version within three days of having received final comments.

The final version of the report will follow the format below (page lengths by section illustrative only) and be no more than 30 pages in length, excluding the annexes:

Report

1. Title page (1)
2. Table of Contents (1)
3. Acronyms (1)
4. Executive Summary (2)
5. Background and Project Description (1-2)
6. Purpose of Evaluation (1)
7. Evaluation Methodology (1)¹
8. Project Status (1)
9. Findings, Conclusions, and Recommendations (no more than 20 pages)
This section should be organized around the TOR key issues and include findings, conclusions and recommendations for each.

Annexes

1. Terms of Reference
2. Strategic Framework
3. Project PMP and Data Table

¹ This section should include a discussion of how future projects of this nature could be implemented to allow for evaluation methods that can more confidently assert causal impacts.

4. Project Workplan
5. List of Meetings and Interviews
6. Other relevant documents

ANNEX B: INTERVIEW GUIDE

SC Management

Validity of project design

1. To what extent did the assumptions in the project logical framework hold true? Review list and comment on each assumption.
2. If SC were going to design a new and similar project, what would you recommend to improve the project and its impact on workers?

Relevance and strategic fit

3. Was a sufficient needs analysis carried out at the beginning of the project's design and implementation?
4. To what extent are the project's immediate objectives consistent with the needs identified at the beginning for the project's direct and indirect target groups?
5. Have the needs of these stakeholders changed since the beginning of the project in a way that affects the relevance of the project or its interventions?

Project progress and effectiveness

6. Is the project achieving its output and outcome indicator targets as planned? Review indicator targets and comment on each indicator.
7. Has the project confronted obstacles that affected project implementation and achievement of output and outcome targets? Please describe these obstacles.
8. Has the project collaborated with other labor projects and organizations such as the MOL, ILO, USAID, and NGOs? Please describe the degree of collaboration and impact on the project.
9. How effectively have government, unions and employers interacted with the project? Describe the level of interaction and impact on the project.
10. What are the key strengths and weaknesses of training in terms of targeting, quality of design, application, and effect on the participants?

Efficiency of resource use

11. Do you believe that the project activities/strategies have been efficient and cost effective?
12. To what extent have planned activities been implemented on time?

Effectiveness of management arrangements

13. Do you believe that the project has received adequate political, technical and administrative support from its national and international partners? From its SC regional and global headquarters?
14. How effective is the communication between the project team, its regional and global headquarters, and the donor (i.e. USDOL)?
15. How could the relationship between USDOL and the project's technical team be improved?
16. 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?
17. How effectively did the project use data? How could it be used better?

Impact orientation and sustainability

18. Do you believe the project has strengthened the capacity of union partners to organize and represent vulnerable workers? Please explain and provide examples.
19. Do you believe the project has improved the capacity of union partners to advocate for vulnerable workers? Please explain and provide examples.
20. How has the project benefited workers?
21. Can any unintended or unexpected positive or negative effects be observed? How have they affected the project's strategy?
22. Do you think that the project stakeholders will continue offering the services using the knowledge/tools acquired during the project once the project ends?
23. Do you think that the project can be expanded to reach workers and workers' representatives in other contexts? If so, in what ways and with what resources?
24. What are the good practices and key lessons learned that might benefit other similar labor rights projects?

Union Partners

Validity of project design

1. If SC was going to design a new and similar project, what would you recommend to improve the project and its impact on workers?

Relevance and strategic fit

1. Do you think that the project's objectives are consistent with the needs of the unions? What could be improved?
2. Have the needs of unions changed since the beginning of the project? If so, how and did the project make any adjustments to meet new needs?

Project progress and effectiveness

3. How effectively have unions interacted with the project? Describe the level of interaction and impact on the project.
4. What are the key strengths and weaknesses of the technical assistance and training in terms of targeting, quality of design, application, and effect on the participants?

Efficiency of resource use

5. Do you believe that the project activities/strategies have been efficient and cost effective?

Effectiveness of management arrangements

6. Do you believe that the project has received adequate support from the unions? Please explain.

Impact orientation and sustainability

7. Do you believe the project has strengthened the capacity of union partners to organize and represent vulnerable workers? Please explain and provide examples.
8. Do you believe the project has improved the capacity of union partners to advocate for vulnerable workers? Please explain and provide examples.
9. What are the most important achievements of the project?
10. How has the project benefited workers? Please provide examples.
11. Do you think that the union partners will continue offering services and using the knowledge/tools acquired during the project once the project ends?

12. What are the good practices and key lessons learned that might benefit other similar labor rights projects?

Collaborating Organizations

Validity of project design

1. If SC were going to design a new and similar project, what would you recommend to improve the project and its impact on workers?

Project progress and effectiveness

2. Has the project effectively collaborated with your organization? Please describe the degree of collaboration and impact on the project.
3. How effectively have government, unions and employers interacted with the project? Describe the level of interaction and impact on the project.
4. What are the key strengths and weaknesses of technical assistance and training in terms of targeting, quality of design, application, and effect on the participants?

Effectiveness of management arrangements

5. Do you believe that the project has received adequate political, technical and administrative support from its national and international partners?

Impact orientation and sustainability

6. Do you believe the project has strengthened the capacity of union partners to organize and represent vulnerable workers? Please explain and provide examples.
7. Do you believe the project has improved the capacity of union partners to advocate for vulnerable workers? Please explain and provide examples.
8. How has the project benefited workers?
9. Based on what you know about the project, what do you believe are its most important achievements?
10. So you think that the project stakeholders will continue offering the services using the knowledge/tools acquired during the project once the project ends?
11. Do you think that the project be expanded to reach workers and workers' representatives in other contexts? If so, in what ways and with what resources?
12. What are the good practices and key lessons learned that might benefit other similar labor rights projects?

ANNEX C: LIST OF DOCUMENTS REVIEWED

1. Project Document
2. Project Logical Framework
3. USDOL-SC Cooperative Agreement (February 2013)
4. Project Line-Item Budget
5. Project Expenditure Report Against Budget
6. Workplan
7. Performance Monitoring Plan
8. Technical Progress Reports (January 2013 to September 2014)
9. PMP Progress Report (July 2014)
10. 2009 Management Procedures Guidelines
11. 2014 Management Procedures Guidelines
12. Federal Financial Report (December 2012 to June 2014)
13. Pre-post Assessments Capacity Building and Advocacy
14. Training Modules and Materials
15. Letter from brands to President Humala regarding DL 22342
16. La Agenda Laboral Pendiente del TLC Perú-Estados Unidos: Cuando la Competitividad se Basa en la Reducción de los Derechos Laborales
17. Investigación Sobre Las Condiciones de Incumplimiento de los Derechos Laborales en el Sector Agroindustrial en el Perú
18. Investigación Sobre Las Condiciones de Incumplimiento de los Derechos Laborales en el Sector Minero en el Perú
19. Principales Incumplimientos de los Derechos Laborales en el Sector Textil-Confecciones en el Perú
20. Queja de Incumplimiento Derechos Laborales del TLC Perú-Estados Unidos por Parte del Gobierno de Perú

ANNEX D: LIST OF PERSONS INTERVIEWED

ANNEX E: PROJECT LOGICAL FRAMEWORK

Development Objective

Social and economic exclusion of vulnerable workers in key export-oriented sectors reduced

Purpose (Immediate Objectives)

Unions' capacity to organize and effectively represent vulnerable workers' strengthened

Union advocacy for vulnerable workers improved

Outcomes

Unions improve internal practices

Unions implement worker organizing initiatives

Unions improve negotiation skills.

Workers improve labor rights monitoring

Unions implement advocacy campaigns

Unions strengthen engagement with Labor Ministry and authorities

Outputs

60 workers trained in administration and leadership

75 workers trained in organizing

3 peer networks developed

3 collective bargaining databases developed

75 workers trained in collective bargaining

3 documentation teams developed

75 workers trained in advocacy

3 sector advocacy plans developed

3 consensus plans developed

Activities

Administrative and leadership capacity building

Organizing and outreach capacity building

Collective bargaining capacity building

Training on labor rights monitoring in the workplace

Support for advocacy and communications

Social dialogue sessions

Assumptions Linking Outcomes to Purpose:

- Unions are committed to new processes to increase democracy, inclusion and transparency.
- Unions are willing to work collaboratively within their sectors and with strategic actors to strengthen advocacy efforts.

Assumptions Linking Outputs to Outcomes:

- Workers trained in new skills are given space in their unions to apply them.
- Employers engage in collective bargaining.
- Unions have sufficient infrastructure to maintain databases.
- Employers, workers and government are committed to and engage in tri-partite social dialogue.

Assumptions Linking Activities to Outputs:

- Employers do not commit reprisals against workers who participate in project activities.
- Employers allow workers, especially vulnerable workers, to take time away from work for project activities.
- Union partners commit to encouraging participation of vulnerable workers.
- Changes in leadership or staff at the union and government levels do not affect commitment to or participation in project.

ANNEX F: LIST OF PROJECT'S UNION PARTNERS

| Sector | Federation | Unions |
|------------|------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Agroexport | FENTAGRO | <ol style="list-style-type: none"> 1. Sindicato de Trabajadores de la Empresa Sociedad Agrícola Virú S.A. 2. Sindicato Único de Trabajadores de la Empresa Agrícola Chapi S.A. 3. Sindicato de Trabajadores de Palmas de Espino S.A. 4. Sindicato de Trabajadores de la Empresa Talsa S.A. (SITETSA) 5. Sindicato de Trabajadores de la Empresa Camposol S.A. (SITECASA) 6. Sindicato Industrias del Espino (SIE) 7. Sindicato de Trabajadores de la Empresa AGROKASA 8. Sindicato de Trabajadores Sunshine Export S.A.C 9. Sindicato San Fernando Zona Sur |
| Mining | FNTMMSP | <ol style="list-style-type: none"> 1. Federación Minera de VOLCAN 2. Sindicato Mineros de Mar Thunel 3. Sindicato Minero de Andaychahua 4. Sindicato Minero de San Cristobal 5. Sindicato Minero de Carahuacra-Y 6. Federación Minera de Huancavelica 7. Sindicato de Mineros La Recuperada 8. Sindicato Mineros de San Genero 9. Sindicato Minero Caudalosa-Chica 10. Sindicato de Obreros de Julcani 11. Sindicato de Empleados Julcani 12. Sindicato de Obreros de Orcopampa 13. Sindicato Empleados de Orcopampa 14. Sindicato de Trabajadores Arcata 15. Sindicato de Trabajadores de Antapaccay-Tintaya 16. Sindicato Mineros Obreros de ARES 17. Sindicato de Trabajadores de Milpo - El Porvenir 18. Sindicato de Obreros de Cerro Lindo 19. Sindicato de Obreros de Atacocha 20. Sindicato de Obreros de Chicrin 21. Sindicato Unificado-SUT-ILO 22. Sindicato Unificado de Cujone 23. Sindicato de Trabajadores Toquepala 24. Sindicato de Trabajadores Mineros de Uchucacua y de Empleados 25. Sindicato de Trabajadores Shougang 26. Sindicato de Empleados de Shougang 27. Sindicato de Tercerizados de Casapalca 28. Sindicato de Trabajadores Mineros de Doe Run 29. Sindicato de Trabajadores Metalurgicos de Doe Run 30. Sindicato de Trabajadores de Minera Huansala 31. Sindicato de Empresas Especializadas de Marsa-Trujillo 32. Sindicato de Trabajadores Mineros de Raura 33. Sindicato de Empleados de Sider Perú- Chimbote 34. Sindicato de Trabajadores de Sider Perú - Chimbote |
| Textile | FTTP | <ol style="list-style-type: none"> 1. Sindicato de Trabajadores de CIA Industrial Romosa 2. Sindicato Unión y Solidaridad de Incatops S.A. 3. Sindicato de Trabajadores de Tecnología Textil 4. Sindicato de Trabajadores de Tejidos Pisco 5. Sindicato de Trabajadores Incatops SA – ex Prosur 6. Sindicato de Trabajadores de Nuevo Mundo 7. Sindicato de Trabajadores de Parcela 8. Sindicato de Trabajadores de la Compañía Industrial Textil CREDITEX |
| | FNTTP | <ol style="list-style-type: none"> 1. Sindicato de Obreros de Franky y Ricky 2. Sindicato de Trabajadores de Topitop 3. Sindicato de Trabajadores de Hilandería de Algodon Peruano S.A. HIALPESA 4. Sindicato de Obreros Michell y Cia S.A. 5. Sindicato de Trabajadores Textil de Incalpaca TPX SITRATIN 6. Sindicato Único de Trabajadores Textiles Incalpaca TPX SUTRATIN 7. Sindicato de Trabajadores de la Compañía Industrial Textil CREDITEX 8. Sindicato de Trabajadores Textil Mundial 9. Sindicato de Textiles y Quimicos Aris Industrial 10. Sindicato de Trabajadores Industrial Hilandera |