Immagine che contiene testo, bigliettodavisita, grafica vettoriale

Descrizione generata automaticamente

A self-assessment method for   
social dialogue institutions SAM-SDI

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* Introduction

Booklet no. 7 contains interactive versions of the templates, guiding questions and activities presented in the various steps of the SAM-SDI.

The interactive templates allow the findings and results of the self-assessment to be recorded electronically. Making use of the templates will enable the members of the self-assessment team to record, in a clear and concise way, the main outcomes of their work on a continuous basis as they go through the SAM-SDI steps. This will facilitate their drafting of the report on the self- assessment and of the action plan.

The templates in booklet no. 7 are made available in Word (.docx) format. The text of the templates is protected and cannot be altered. The blank spaces in which users of the SAM-SDI can enter their responses are mostly highlighted in the following way:

|  |
| --- |
|  |

or by this sign: [] . In certain templates, the existing instructions can be “overwritten” by users, and this is indicated accordingly in *blue italics*. You will see that the space expands as you enter text into it, allowing you to write as little or as much text as you wish in the templates.

Booklet no. 7 is organized according to the six steps of the SAM-SDI.  
The templates come in various forms:

|  |
| --- |
| **Guiding questions**  The guiding questions are reproduced in this booklet for ease of reference. Spaces are provided to write responses and keep a record of the main points covered in the team’s discussion of each question. |
| **Activities**  In several activities, including the snapshot quiz in Step 0, drop-down menus allow users to select options (emojis or scores) to indicate their response. Spaces are also provided to record textual responses. |
| **Templates**  The templates contain writeable text boxes. These boxes expand as text is entered. The files may be saved and used later for report-writing or sharing electronically. |

It may be desirable for the self-assessment team to set up a shared electronic working space (using readily available and free software), that provides all team members easy access to key documents and results recorded throughout the self-assessment process.

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

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



|  |  |
| --- | --- |
| **Assessing whether the SDI is in a position to undertake a self-assessment** | |
| * 1. Has the SDI been operational/active during the past two to three years or longer? * The SAM-SDI requires the SDI to have built up a certain amount of experience as a basis for the self-assessment. It is not designed for a newly-established SDI, or one which has been dormant or non-functional for many years. However, even in such cases, reading through the SAM-SDI may stimulate internal reflection about how to build the SDI’s inclusiveness and effectiveness. |
|  | |
| * 1. Does the SDI and its secretariat (where applicable) have leaders/members able and willing to invest time and energy in implementing the self-assessment? Would they receive the support and acknowledgement of their respective managers for taking on this additional responsibility? |
|  |
| * 1. Would the leaders and members of the SDI be committed to act on the outcomes of the self-assessment and implement the resulting action plan? |
|  |
| * 1. Are the SDI’s members ready to confront the reality of the institution openly and honestly, including its weaknesses and limitations? Are they ready to examine the SDI objectively, putting to one side any prior preconceptions or assumptions they may have about the institution?      + An existing basis of trust between the SDI’s members will make it easier for the team to work constructively on the self-assessment. However, the process can help build trust if it is weak at the outset. It is important to be aware that the different constituencies within the SDI may have divergent perceptions of it. |
|  | |
| * 1. Is there a relatively stable political climate in which the self-assessment can be undertaken without any major risk of external disruption or interference? |
|  |

## Snapshot quiz on the SDI’s current status



**Snapshot quiz on the SDI’s current status**

|  |  |
| --- | --- |
| **Part A. Assessing key aspects of the SDI’s current situation** | *Choose an emoji* |
| **a.** Is the legal basis of the SDI statutory or non-statutory? | |
| *Record your answer and evaluate your level of satisfaction (satisfied, dissatisfied or neutral) by selecting the corresponding emoji* | Choose an emoji |
| **b.** Is the competence of the SDI advisory/consultative, decision-making or a mix of both? | |
| *Record your answer and evaluate your level of satisfaction* | Choose an emoji |
| **c.** Does the SDI operate under the auspices of a government entity (such as the Ministry of Labour or the Office of the Prime Minister) or is it independent? | |
| *Record your answer and evaluate your level of satisfaction* | Choose an emoji |
| **d.** What are the chairing arrangements of the SDI? | |
| *Record your answer and evaluate your level of satisfaction* | Choose an emoji |
| **e.** Does the SDI have an internal governance or decision-making structure(s) e.g. a governing body, executive board or bureau? | |
| *Record your answer and evaluate your level of satisfaction* | Choose an emoji |
| **f.** How many times, on average, has the SDI met each year in the recent past? | |
| *Record your answer and evaluate your level of satisfaction* | Choose an emoji |
| **g.** Does the SDI have sub-committees or working groups (either permanent or ad hoc)? On what topics? | |
| *Record your answer and evaluate your level of satisfaction* | Choose an emoji |
| **h.** Does the SDI have a secretariat? If so, how many staff? Do they have the skills and experience to support the SDI efficiently? | |
| *Record your answer and evaluate your level of satisfaction* | Choose an emoji |
| **i.** What is the SDI’s annual budget? What is/are the source(s) of funding? Are the funds provided in a reliable and timely manner? | |
| *Record your answer and evaluate your level of satisfaction* | Choose an emoji |
| **j.** Has the country ratified ILO Conventions Nos. 87 and 98 (on freedom of association and collective bargaining) and No. 144 (on tripartite consultation)? Are the Conventions fully implemented and respected in practice? | |
| *Record your answer and evaluate your level of satisfaction* | Choose an emoji |
| **k.** Does the SDI have responsibility for undertaking tripartite consultations on labour standards-related matters as required under Convention No. 144? | |
| *Record your answer and evaluate your level of satisfaction* | Choose an emoji |
| **l.** Are the objectives and functions of the SDI, as stated in its founding document, still relevant and appropriate today? | |
| *Record your answer and evaluate your level of satisfaction* | Choose an emoji |
| Total for part A. |  |

|  |  |
| --- | --- |
| **Part B. Subjective assessment of the SDI’s inclusiveness and effectiveness** | *Choose an emoji* |
| **m.** Does the SDI include representatives of the government and of employers’ and workers’ organizations on an equal footing? | |
| *Record your answer and evaluate your level of satisfaction* | Choose an emoji |
| **n.** Are the SDI’s member organizations broadly representative of their respective constituencies?[[1]](#footnote-1) | |
| *Record your answer and evaluate your level of satisfaction* | Choose an emoji |
| **o.** Does the SDI have an equitable balance of women and men in its membership, and reflect other aspects of diversity in society? | |
| *Record your answer and evaluate your level of satisfaction* | Choose an emoji |
| **p.** Does the SDI discuss significant labour, social and economic policy issues? | |
| *Record your answer and evaluate your level of satisfaction* | Choose an emoji |
| **q.** Does the SDI generally succeed in building consensus among its members on policy issues, based on sound analysis? | |
| *Record your answer and evaluate your level of satisfaction* | Choose an emoji |
| **r.** Does the SDI influence legislative and policy-making processes and outcomes? | |
| *Record your answer and evaluate your level of satisfaction* | Choose an emoji |
| **s.** Does the SDI contribute to the maintenance of social peace in the country? | |
| *Record your answer and evaluate your level of satisfaction* | Choose an emoji |
| **t.** Does the SDI have efficient internal operations and communicate effectively about its work to its target audiences? | |
| *Record your answer and evaluate your level of satisfaction* | Choose an emoji |
| Total for part B. |  |
| Total for A. + B. |  |

## Template 1: Main outcomes of discussion in the snapshot quiz



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

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

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

## Selecting the assessment team



|  |  |
| --- | --- |
| **Selecting the assessment team** | |
| * 1. How many people in total should be in the assessment team, and how many from each constituency? |
|  | |
| * 1. Who should nominate the team members and what should the process be for their endorsement? Are any special measures needed to ensure a balanced number of women and men in the assessment team? |
|  |
| * 1. What knowledge, skills and experience are needed among self-assessment team members? Create a list of the desired attributes, which could include, for example: * In-depth knowledge and experience of the operations of the SDI and/or of the social partner organizations in recent years * An understanding of the broader national political, social and economic context (historical and current) * Professional qualifications, for example in law, economics, development studies, political science or industrial relations * Research and analytical capacity * Writing skills * Facilitation skills |
|  |
| * 1. What personal attributes are important? For example:      + Integrity and impartiality      + Results- and problem-solving orientation      + Leadership and coordination ability      + Communication skills      + Ability to work well in a team |
|  |
| * 1. Should there be a team coordinator? If so, how should she/he be selected? Or should this be a shared responsibility? |
|  |
| * 1. Should specific responsibilities be assigned to individual team members? Should terms of reference be drawn up for the self-assessment spelling out what is expected, and be endorsed by the managers of the team members? |
|  | |
| * 1. Should team members be released from some of their existing professional responsibilities for the duration of the self-assessment? * This will depend on how much time is envisaged for the exercise and how the work is scheduled. It is important for the managers of the team members to recognize the work involved in the SAM-SDI, and to ensure that it is not merely an addition to their existing workload. |
|  |

## Using a facilitator to assist in the self-assessment process



|  |  |
| --- | --- |
| **Using a facilitator to assist in the self-assessment process** | |
| * 1. What are the potential pros and cons of the team undertaking the self-assessment alone, on the one hand, or using the services of a third-party facilitator, on the other? |
|  | |
| * 1. Where might a suitable and impartial facilitator be found – for example, the ILO field office or headquarters, a government agency, academic institution, or a national or international consultant? |
|  |
| * 1. How should the facilitator be selected? |
|  |
| * 1. Over what period will the facilitator’s services be needed and for how many days/weeks of work in total (this is linked to the work plan for the self-assessment, addressed in subsection 3 below)? |
|  |
| * 1. How much will these services cost (including fees, travel and subsistence, as necessary) and how can these resources be secured? |
|  |
| * 1. What should the facilitator’s terms of reference include? Who will issue the contract? How will the facilitator’s performance be monitored and constructive feedback be provided during the process? |
|  |

## Devising a work plan



**Devising a work plan**

Resource availability

|  |
| --- |
| * 1. What material resources are currently available for the self-assessment (including meeting rooms, computers/laptops, projector, consumables like paper, pens, post-its, flip charts etc.)? |
|  |
| * 1. What costs are likely to be incurred for each step of the method e.g. fees for a facilitator, travel costs to attend meetings, hire of venue for final workshop, etc? |
|  |
| * 1. How will additional funds or other resources, if needed, be secured? |
|  |
| * 1. Are background materials and secondary sources of information accessible?  See Annex 4 for a list of potentially useful information sources. |
|  |

Scope of the self-assessment and planning the work

|  |
| --- |
| * 1. Is it intended to apply the SAM-SDI in full, or to focus only on certain aspects? |
|  |
| * 1. How will the work be scheduled - should it be a concentrated effort over a limited number of days/weeks, or be carried out in short “bursts” over a longer period? |
|  |
| * 1. What are the target start and end dates for each step, and for key milestones or events during the process? |
|  |
| * 1. How will the work be organized within the team? For example, should the whole team be involved throughout or should it be split into smaller groups to undertake different tasks? |
|  |
| * 1. How and by whom will the outcomes of each step of the work be recorded? |
|  |
| * 1. How, when and to whom will progress be communicated? |
|  |
| * 1. How will the process and outcomes of each step of the work be recorded? |
|  |
| * 1. How, when and to whom will progress be communicated? |
|  |

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

## Reviewing the SDI’s objectives



|  |
| --- |
| **Reviewing the SDI’s objectives** |
| 1. Is there any hierarchy, with certain objectives perceived to be of greater importance than others? |
|  |
| 1. Do the objectives match the current reality of the world of work in your country? |
|  |
| 1. Are there any missing objectives – that is, objectives that you believe the SDI ought to be pursuing, but for which it does not currently have a mandate? |
|  |
| 1. Are there any objectives that are no longer necessary or relevant in the current context, and should be dropped? |
|  |

# Step 2: Assessing the inclusiveness of the SDI



## 1. Scale for scoring the SDI against the benchmarks



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

## 2. Assessment of the ‘membership’ dimension



|  |  |
| --- | --- |
| **The SDI includes representatives of the government and of employers’ and workers’ organizations, on an equal footing** | **n/a or score 1  to 3** |
| **a.** The founding document of the SDI clearly specifies its composition.[[3]](#footnote-3) | Choose a score |
|  | |
| **b.** Representative employers’ and workers’ organizations participate on an equal footing with each other and with the government.[[4]](#footnote-4) | Choose a score |
|  | |
| **c.** Pre-established, precise and objective criteria exist for the selection of the organizations represented in the SDI, which are applied transparently in practice. | Choose a score |
|  | |
| **d.** Government representation in the SDI is drawn from the most relevant ministries or agencies concerned with labour, social and economic policy. | Choose a score |
|  | |
| **e.** The employers’ and workers’ organizations in the SDI are free to nominate their representatives to the SDI without interference from the government or from each other. | Choose a score |
|  | |
| **f.** The role of any other actors in the SDI complements the role of the social partners and does not undermine the latter in any way. | Choose a score |
|  | |
| **g.** The composition of the SDI is fully relevant in today’s world of work; transparent and appropriate procedures exist to review its composition at defined intervals. | Choose a score |
|  | |
| What are the SDI’s main strengths regarding the inclusiveness of its membership? | |
|  | |
| What are the SDI’s main weaknesses regarding the inclusiveness of its membership? | |
|  | |

## 3. Assessment of the ‘decision-making structure’ dimension

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



|  |  |
| --- | --- |
| **The decision-making body/ies of the SDI include balanced representation of its member/constituent organizations** | **n/a or score 1  to 3** |
| 1. The composition and role(s) of the SDI’s decision-making body/ies are clearly specified in its founding document(s). | Choose a score |
|  | |
| 1. The government, employers’ and workers’ organizations have an equal voice in the decision-making body/ies and processes. | Choose a score |
|  | |
| 1. The role of any other member organizations in decision-making in the SDI is clearly specified. | Choose a score |
|  | |
| 1. The chairing arrangements for the SDI’s decision-making body/ies are transparent, equitable and respected in practice. | Choose a score |
|  | |
| What are the SDI’s main strengths regarding the inclusiveness of its decision-making structures? | |
|  | |
| What are the SDI’s main weaknesses regarding the inclusiveness of its decision- making structures? | |
|  | |

## 4. Assessment of the ‘gender, diversity and inclusion’ dimension



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

## Assessment of the ‘representativeness’ dimension



|  |  |
| --- | --- |
| **The SDI’s member organizations are representative of their respective constituencies** | **n/a or score 1  to 3** |
| 1. The representative status of the employers’ and workers’ organizations which are members of the SDI was established on the basis of pre-established, precise and objective criteria; the participation of these organizations is not contested by others which are not members of the SDI; and procedures are in place to review, at appropriate intervals, the representative status of these organizations. | Choose a score |
|  | |
| 1. The membership of the employers’ and workers’ organizations in the SDI (including their affiliates) is broadly representative of the national labour market as a whole.[[5]](#footnote-5) | Choose a score |
|  | |
| 1. The employers’ and workers’ organizations in the SDI represent economic units and workers in both the informal and the formal economy, including new and emerging categories of employers and workers. | Choose a score |
|  | |
| 1. The participation of other actors in the SDI serves to bring a wider perspective on the issues it addresses. | Choose a score |
|  | |
| 1. The SDI’s member organizations consult proactively with other organizations or groups which are not represented in the SDI to seek their views and inputs regarding issues that directly concern them. | Choose a score |
|  | |
| What are the SDI’s main strengths regarding its representativeness? | |
|  | |
| What are the SDI’s main weaknesses regarding its representativeness? | |
|  | |

## Assessment of the ‘issues’ dimension



|  |  |
| --- | --- |
| **The SDI addresses issues of concern to a wide spectrum of employers and workers, including marginalized and excluded categories** | **n/a or score 1  to 3** |
| 1. The agenda of the SDI includes issues of concern to diverse categories of employers and workers. | Choose a score |
|  | |
| **b.** The SDI has set up working groups or committees to address the concerns of specific categories of employers and workers, including those who may be excluded from policy deliberations or considered to be of low priority in policy-making circles.[[6]](#footnote-6) | Choose a score |
|  | |
| **c.** The SDI takes other proactive measures to enable marginalized and excluded categories of employers and workers to bring their issues and concerns to the attention of the SDI. | Choose a score |
|  | |
| **d.** The SDI undertakes, commissions or accesses research on issues of concern to a wide spectrum of employers and workers, including marginalized and excluded categories. | Choose a score |
|  | |
| What are the SDI’s main strengths regarding its issues-inclusiveness? | |
|  | |
| What are the SDI’s main weaknesses regarding its issues-inclusiveness? | |
|  | |

## Template 2: Compilation of the results of the assessment of inclusiveness



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



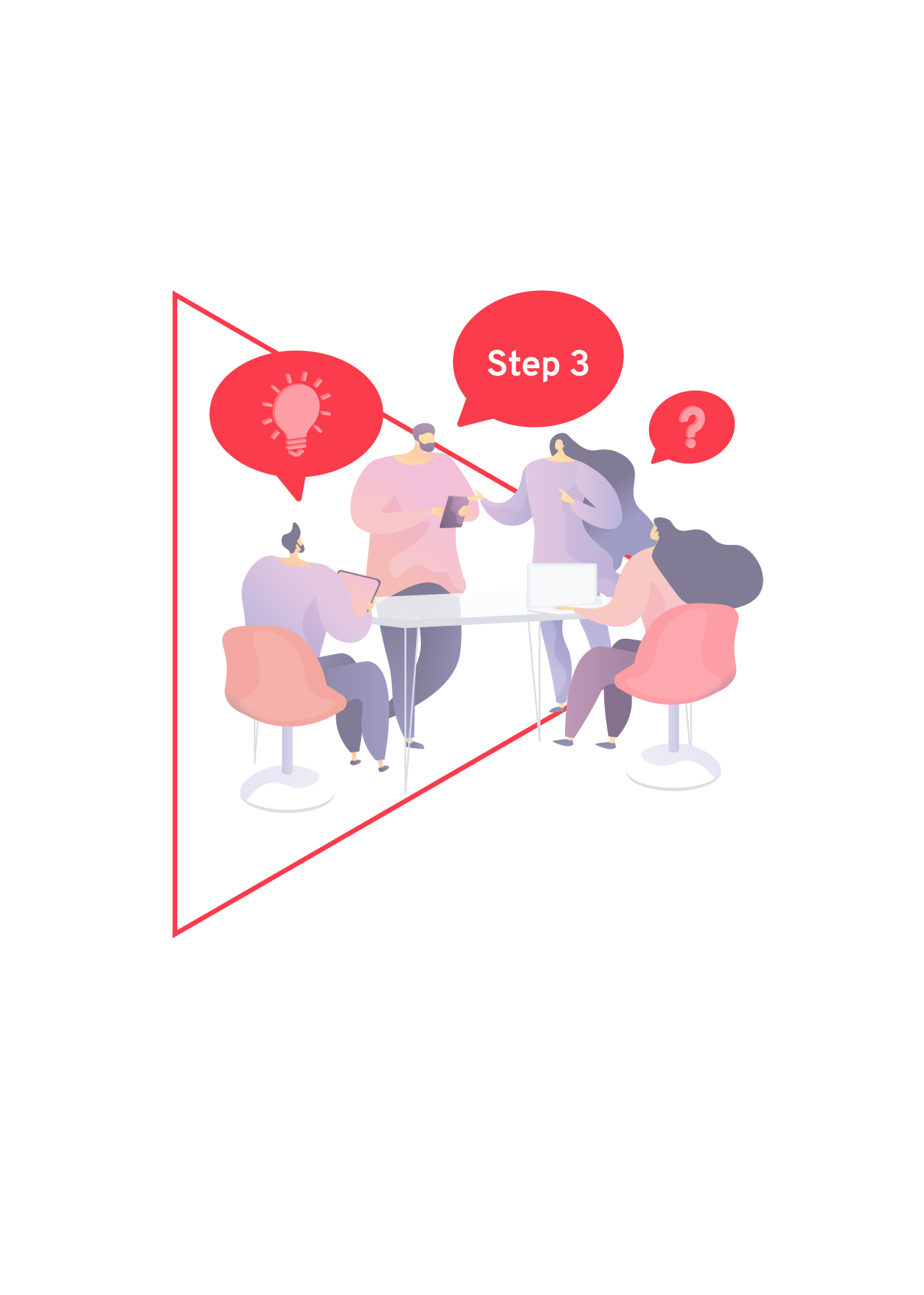
|  |  |
| --- | --- |
| **Interpreting the results to derive recommendations for action** | |
| **Score** | **Meaning** |
| **Mostly 1s** | This score implies that this dimension of inclusiveness represents an aspect of the SDI which may require some attention and remedial action. Consider the factors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

## Template 3: Outline of an action plan to improve inclusiveness



|  |  |  |  |
| --- | --- | --- | --- |
| **Template 3: Outline of an action plan to improve inclusiveness** | | | |
|  | **Short-term action (over the next**  **12 months)** | **Medium- & long- term action**  **(from 1 to 5 years)** | **Risks** |
| **Objective 1:** *Write the objective here* | *Write the proposed short-term actions to meet Objective 1* | *Write the proposed medium- and long- term actions here* | *Write possible risks here* |
| **Objective 2:** |  |  |  |
| **Objective 3:** |  |  |  |

# Step 3: Assessing the effectiveness of the SDI



## Template 4: Matching the SDI’s objectives with the effectiveness dimensions proposed in the SAM-SDI



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

## Selecting the dimensions for the assessment of the SDI’s effectiveness



|  |
| --- |
| **Selecting the dimensions for the assessment of the SDI’s effectiveness** |
| 1. Are there any areas of work of the SDI where you consider its effectiveness to be most challenged and which should be assessed as a priority? |
|  |
| 1. Are there areas in which the experience of the SDI is particularly rich, from which you think useful lessons could be derived for other areas of work? |
|  |
| 1. Are there any areas in which the SDI has had very limited or no experience until now, and which are not yet ready to be assessed? |
|  |
| 1. Could you tackle any dimensions that you do not assess now at a later date? |
|  |

## Template 5: Achievements of the SDI



|  |  |  |
| --- | --- | --- |
| **Template 5: Achievements of the SDI** | | |
| **Dimension** | **Date** | **Achievements** |
| * **Agenda** |  |  |
|  |  |
| * **Consensus- building** |  |  |
|  |  |
| * **Policy influence** |  |  |
|  |  |
| * **Social peace** |  |  |
|  |  |
| * **Operational and communication** |  |  |
|  |  |

## Template 6: Disappointments of the SDI



|  |  |  |
| --- | --- | --- |
| **Template 6: Disappointments of the SDI** | | |
| **Dimension** | **Date** | **Disappointments** |
| * **Agenda** |  |  |
|  |  |
| * **Consensus- building** |  |  |
|  |  |
| * **Policy influence** |  |  |
|  |  |
| * **Social peace** |  |  |
|  |  |
| * **Operational and communication** |  |  |
|  |  |

## Template 7: Key factors influencing effectiveness



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

## Dimension 1: Agenda effectiveness



|  |  |
| --- | --- |
| **Agenda effectiveness** | |
| **External influencing factors** | **Internal influencing factors** |
| **a.** Were there any particular social, political or economic developments (at the national, regional or international levels) that brought the issue to the SDI’s attention? | **a.** Did the SDI act on its own initiative in tabling the issue, or did it do so in response to a request, e.g. from the government, parliament or the public? |
|  |  |
| **b.** Were there any external influences or pressures on the SDI either to address or to prevent it from addressing the issue? | **b.** Did the issue fall within the SDI’s mandate? |
|  |  |
| **c.** Was the involvement of the SDI in discussion of the issue mandated by law? | **c.** Did all the SDI’s members/constituent groups have an equal say in setting the agenda? |
|  |  |
| **d.** Was the SDI the only competent institution in this field or did it compete, or collaborate, with others in dealing with the issue? | **d.** Was the SDI able to resolve any internal disagreement on whether or not to table the issue? |
|  |  |
| **e.** Did the SDI enjoy widespread recognition and respect in policy- making circles, or was it perceived as a marginal player? | **e.** Did the SDI have good procedures in place to establish its agenda well in advance? |
|  |  |
| **f.** Did the SDI have any external “champions” who supported its involvement in policy debates and development? | **f.** Did the SDI have the flexibility to modify its agenda/work plan in response to changing needs or opportunities? |
|  |  |
| **g.** Did the government or any other group seek to bypass the SDI in addressing the issue? | **g.** Did the SDI have access to the information, data, institutions and people necessary to determine whether this was a significant issue that required its attention? |
|  |  |
| **h.** Did the government systematically involve the social partners in the SDI in effective consultations regarding the International Labour Standards (ILS)- related matters specified in [Convention](https://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB%3A12100%3A0%3A%3ANO%3A%3AP12100_ILO_CODE%3AC144) [No. 144](https://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB%3A12100%3A0%3A%3ANO%3A%3AP12100_ILO_CODE%3AC144), at least once per year? | **h.** Were the SDI’s resources (human and financial) adequate to address the key policy priorities that it identified? |
|  |  |

## Dimension 2: Consensus-building effectiveness



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

## Dimension 3: Policy influence effectiveness



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

## Dimension 4: Social peace effectiveness[[7]](#footnote-7)



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

## Assessing the operational dimension of effectiveness: internal procedures, working methods and tools



|  |  |
| --- | --- |
| **Scale for scoring the SDI against the benchmarks** | |
| **Score** | **Meaning** |
| **n/a** | This benchmark is not applicable or relevant to the SDI[[8]](#footnote-8) |
| **1** | The SDI performs poorly against this benchmark |
| **2** | The SDI performs moderately well against this benchmark |
| **3** | The SDI performs very well against this benchmark |



|  |  |
| --- | --- |
| **The SDI has efficient internal procedures, working methods and tools** | **n/a or score 1  to 3** |
| 1. The SDI has a permanent secretariat, with a sufficient number of staff who possess the required skills and experience to do their jobs effectively. | Choose a score |
|  | |
| 1. The tasks of the secretariat are clearly specified and efficiently delivered in a way that fully meets the needs of the SDI. | Choose a score |
|  | |
| 1. The human resources practices for the secretariat are fair and transparent (for example, regarding recruitment, career development, remuneration, etc.). Diversity and inclusion issues are taken into account in staffing decisions. | Choose a score |
|  | |
| 1. The SDI and the secretariat have written, clear and effective procedures and rules governing their ways of working and which are respected in practice. | Choose a score |
|  | |
| 1. The SDI has working modalities that are adapted to the different work items on its agenda (for example, sub-committees or working groups). | Choose a score |
|  | |
| 1. The SDI has adequate facilities and equipment, such as offices and meeting rooms, furniture, computers and printers, documentation/ library, databases, consumables (paper, pens, etc.), internet connectivity, mobile phones, transport etc. | Choose a score |
|  | |
| 1. The budget of the SDI, including for the secretariat, is adequate to enable the SDI to carry out its mandate, the funds are disbursed on time and robust financial management, accounting and reporting procedures are followed. | Choose a score |
|  | |
| 1. The leadership of the SDI enjoys autonomy and independence regarding decision-making, including over the allocation of financial and human resources. Government and the social partners have an equal voice in such decision-making. | Choose a score |
|  | |
| 1. The SDI has productive partnerships with external institutions, including to access research and data. | Choose a score |
|  | |
| 1. The SDI has an annual work plan or other planning framework to guide its work, with performance indicators that are regularly monitored and adjusted. | Choose a score |
|  | |
| 1. The SDI innovates in order to increase the efficiency of its operations. | Choose a score |
|  | |
| 1. The SDI responds well to changed circumstances (such as those created by the Covid-19 pandemic), and adjusts its working methods accordingly, including by the use of remote ways of working. | Choose a score |
|  | |
| What are the SDI’s main strengths with respect to its internal procedures, working methods and tools? | |
|  | |
| What are the SDI’s main weaknesses with respect to its internal procedures, working methods and tools? | |
|  | |

## Assessing the operational dimension of effectiveness: communication



|  |  |
| --- | --- |
| **The SDI communicates effectively about its work to its target audiences** | **n/a or score 1  to 3** |
| 1. The SDI has a thorough understanding of its target audiences and their respective information needs. | Choose a score |
|  | |
| 1. The SDI systematically disseminates information on its outputs and achievements, using varied means of communication that are adapted to its target audiences. | Choose a score |
|  | |
| 1. The SDI has a communication strategy, covering both internal and external communication. | Choose a score |
|  | |
| 1. The secretariat includes staff with specific skills and experience in communication. | Choose a score |
|  | |
| 1. The SDI engages proactively with the media to promote fair and balanced coverage of its work. | Choose a score |
|  | |
| 1. The SDI/secretariat maintains a user-friendly, comprehensive and updated website. | Choose a score |
|  | |
| 1. The SDI is well-linked to networks of policy makers and influencers, and systematically makes use of these channels for communication and information exchange. | Choose a score |
|  | |
| 1. There is a prevailing culture of openness and freedom of speech in the country. | Choose a score |
|  | |
| 1. The national communications infrastructure is extensive and reliable, including for radio, television, internet and mobile phone, in both rural and urban areas. | Choose a score |
|  | |
| 1. The SDI has established a reputation as a neutral and impartial body. | Choose a score |
|  | |
| What are the SDI’s main strengths with respect to communication? | |
|  | |
| What are the SDI’s main weaknesses with respect to communication? | |
|  | |

## Template 8: Results of the assessment of the operational and communication effectiveness dimension



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

## Template 9: Compilation and prioritization of the factors influencing the SDI’s effectiveness



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

## Template 10: Sorting the influencing factors by the degree of control or influence exercised by the SDI



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

## Action to address the factors influencing the effectiveness of the SDI



|  |
| --- |
| **Action to address the factors influencing the effectiveness of the SDI** |
| 1. What action could the SDI take to capitalize on the enabling factors (both external and internal) and operational strengths of the SDI? |
|  |
| 1. What action could the SDI take to counter the constraining factors (both external and internal) and operational weaknesses of the SDI? |
|  |
| 1. Are the benefits of the action likely to outweigh its costs (in broad qualitative rather than precise quantitative or financial terms)? |
|  |
| 1. Are there risks associated with taking the action? |
|  |
| 1. Are there risks associated with not taking the action? |
|  |

## Template 11: Outline of an action plan to improve the effectiveness of the SDI



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

# Step 4: Formulating the action plan

## Initial considerations regarding the development of the action plan



|  |
| --- |
| **Initial considerations regarding the development of the action plan** |
| 1. Who should develop the action plan? Should this be done by the assessment team or the SDI secretariat, and should anyone else be invited to participate in the exercise? |
|  |
| 1. Does the team/SDI have experience of developing an action plan? Is the team/SDI familiar with the terms and techniques, or would external facilitation or expertise be helpful or necessary? |
|  |
| 1. Are the results of the self-assessment process recorded clearly and concisely, and ready to be shared with any new people involved in the development of the action plan? |
|  |
| 1. Should the action plan be a stand-alone document, or should it be integrated into any of the SDI’s other planning frameworks (such as its annual work plan)? |
|  |
| 1. What resources are available for the implementation of the action plan? From where and how could additional resources be raised, if necessary? |
|  |
| 1. What are the main potential risks or threats associated with developing and implementing an action plan? How might these risks be managed and mitigated? |
|  |
| 1. How can the commitment and ownership of the plan among the SDI leaders or members who have not been directly involved in the self-assessment process best be secured? |
|  |
| 1. Who should formally approve or endorse the action plan? |
|  |

## Template 12: Objectives, outputs and activities



|  |  |  |
| --- | --- | --- |
| **Template 12: Objectives, outputs and activities** | | |
| **Objectives** | **Outputs** | **Activities** |
|  |  |  |
|  |  |  |
|  |  |  |

## Template 13: Gantt chart for work planning



|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Template 13: Gantt chart for work planning** | | | | | | | | | | |
| **Outputs** | **Activities** | **Month 1** | | | | **Month 2** | | | | **Who is responsible** |
|  | | **Week 1** | **Week 2** | **Week 3** | **Week 4** | **Week 1** | **Week 2** | **Week 3** | **Week 4** |  |
|  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
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## Template 14: Resource plan



|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Template 14: Resource plan** | | | | | | |
| **Output** | **Activity** | **Type**  **of resource** | **No.  of units** | **Unit cost (currency)** | **Total cost (currency)** | **Source of funding** |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
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## Consultation process on the draft report and action plan



|  |
| --- |
| **Consultation process on the draft report and action plan** |
| 1. Who should be included in the consultation process? Should it involve only the SDI’s leaders and members, or any external actors as well? |
|  |
| 1. How should the consultation be organized? Who will take responsibility for organizing it? |
|  |
| 1. Are there any specific local traditions or practices to consider when planning the consultation? How can it be made inclusive of all groups whose voices need to be heard? |
|  |
| 1. Are there any aspects of the assessment report or action plan that might create tension or a reluctance by some parties to endorse them? What measures could be taken to seek to reduce such tensions and build consensus? |
|  |
| 1. Are there specific parts of the assessment report or action plan that could be improved upon or further developed through the consultation? |
|  |
| 1. How will the outcomes of the consultation be recorded for integration into the draft report and action plan? |
|  |

# Annexes

## Planning a consultation event



|  |
| --- |
| **Planning a consultation event** |
| 1. What are the objectives of the event(s)? |
|  |
| 1. How will the agenda/programme be structured? |
|  |
| 1. Who should make opening and closing remarks? Who will present the findings of the self-assessment and the draft action plan? |
|  |
| 1. What is the cost of the event(s) and who will provide the funding/other resources? |
|  |
| 1. Who should be invited to participate? Should any observers be invited? |
|  |
| 1. How can a gender balance be ensured among the participants? |
|  |
| 1. Who should facilitate the event? For example, is it necessary to hire a professional facilitator or external expert? |
|  |
| 1. How can the participants be involved in an interactive and engaging way, for example through group work or break-out sessions, including to encourage the participation of groups or individuals who may be less willing or able to express their views? |
|  |
| 1. What logistical arrangements need to be made and who is responsible? Do special arrangements need to be made for participants with a disability or who have other personal needs? |
|  |
| 1. How will the discussions be recorded and the report prepared on the outcome of the event? |
|  |

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

**The self-assessment method for social dialogue institutions**

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

**Booklet number 7** contains interactive versions of the templates, guiding questions and activities included in the SAM-SDI. The templates allow the results of the self- assessment to be recorded electronically on a continuous basis. This will help users of the SAM-SDI to put together the outcomes of their work in a clear and concise way, and facilitate the drafting of the report on the self-assessment and of the action plan.

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W: [ilo.org/socialdialogue](https://www.ilo.org/global/topics/workers-and-employers-organizations-tripartism-and-social-dialogue/lang--en/index.htm)

1. “Broadly representative” means that the employers’ and workers’ organizations in the SDI represent the voices and interests of a wide spectrum of employers and workers in today’s world of work. [↑](#footnote-ref-1)
2. “Not applicable” (n/a) would apply, for example, to the benchmark relating to the government representatives in the case of a bipartite SDI of which the government is not a member. [↑](#footnote-ref-2)
3. “Composition” means who are the constituent groups or members of the SDI and how many representatives each member has in the SDI. [↑](#footnote-ref-3)
4. The expression “on an equal footing” means that the voices of all three parties carry equal weight in the discussions and the views of any one party do not dominate those of the others. [↑](#footnote-ref-4)
5. Characteristics of the social partners’ membership to consider here may include, for example, gender, ethnicity, age, disability, national origin/migration status, status in employment, size of enterprise, economic sector, private and public sector etc. [↑](#footnote-ref-5)
6. Refer to the explanation of representativeness given in figure 10 for some examples of the categories of employers and workers who may be excluded from policy deliberations or considered as low priority in policy-making. [↑](#footnote-ref-6)
7. This dimension is relevant primarily to SDIs with a mandate that includes a dispute prevention and resolution function. A detailed checklist for the assessment of labour dispute prevention and resolution is available in ITCILO (2013). [Labour dispute systems: Guidelines for improved performance](https://www.ilo.org/ifpdial/information-resources/publications/WCMS_211468/lang--en/index.htm), Turin, pp. 38-49. [↑](#footnote-ref-7)
8. “Not applicable” (n/a) would be the case, for example, for the benchmarks referring to the secretariat in an SDI which does not have a secretariat. [↑](#footnote-ref-8)