Performance Evaluation

Support for Implementation of the Decent Work Country Programme (DWCP) in Uzbekistan

Final Report

June 29, 2020

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DISCLAIMER

Funding for this evaluation was provided by the United States Department of Labor under Task Order number 1605DC-18-F-00417. Points of view or opinions in this evaluation report do not necessarily reflect the views or policies of the United States Department of Labor, nor does the mention of trade names, commercial products, or organizations imply endorsement by the United States Government.

ACKNOWLEGEMENTS

The following report is a final performance evaluation of the Support for Implementation of the Decent Work Country Programme (DWCP) in Uzbekistan. The evaluation report was prepared by lead evaluator Zehra Kacapor-Dzihic and Jasna Zarkovic who served as assistant evaluator. The evaluation team would like to thank government officials, social partners, and ILO officials who were interviewed remotely and shared their time, feedback and expertise throughout the evaluation. Special thanks go to the project staff who coordinated remote interviews for primary data collection during the COVID-19 pandemic.

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LIST OF ACRONYMS

CEU	Confederation of Employers
CCIU	Chamber of Commerce of Uzbekistan
CEACR	Committee of Experts on Application of Conventions and Recommendations
CL	Child Labour
CLM	Child Labour Monitoring
CMEP	Comprehensive Monitoring and Evaluation Plan
CTA	Chief Technical Advisor
DAC	Development Assistance Committee
DCT	Data Collection Table
DWCP	Decent Work Country Programme
DWT-CO	Decent Work Team/Country Office
FL	Forced Labour
FPRW	Fundamental Principles and Rights at Work
FTUU	Federation of Trade Unions of Uzbekistan
HQ	Headquarters
ILAB	Bureau of International Labour Affairs
ILO	International Labour Organization
ILS	International Labour Standards
ITC	International Training Centre
M&E	Monitoring and Evaluation
MOL	Ministry of Labour
OCFT	Office of Child Labour, Forced Labour, and Human Trafficking
OECD	Organization for Economic Co-operation and Development
OSH	Occupational Safety and Health
PES	Public Employment Services
TOC	Theory of Change
TOR	Terms of Reference
TOT	Training of Trainers
TPR	Technical Progress Report
UNDAF	United Nations Development Assistance Framework
UNEG	United Nations Evaluation Group
USDOL	United States Department of Labour
WDACL	World Day Against Child Labour

EXECUTIVE SUMMARY

In April 2014, the Republic of Uzbekistan signed a Memorandum of Understanding with the International Labor Organization (ILO) for the first Decent Work Country Program (DWCP). This enabled ILO to provide support to the Government of Uzbekistan to address recruitment practices in the cotton sector that may lead to child labor or forced labor, as well as other issues related to decent work. On December 19, 2014, the U.S. Department of Labor's (USDOL) Bureau of International Labor Affairs (ILAB) awarded the International Labor Organization (ILO) a cooperative agreement grants worth USD 2 Million to implement the Support for Implementation of the Decent Work Country Programme (DWCP) of Uzbekistan. During the project's lifetime (2014-2020), the project was modified seven times. It first received a US $6 million increase extending the project by 48 months, and later received a no-cost 21 months extension, which pushed the project end date to September 30, 2020.

The project aimed to "build the capacity among national and local stakeholders to advocate for a reduction in child labor and forced labor and to promote fundamental principles and rights at work through the framework of the Decent Work Country Program", areas that were recognized as priorities both by the government but also by international agencies monitoring child rights and fundamental principles and rights at work.

Evaluation Purpose

The purpose of this final performance evaluation is to assess progress toward achieving results as envisaged in the project document and described in the Terms of Reference. To this end, the evaluation scope covers all project objectives and project's performance over the period of over the period of December 2014 through May 2020. Specifically, this final performance evaluation assessed the extent to which the project achieved its stated goals and objectives, assessed effectiveness of project implementation and management, and provided recommendations to improve the performance, relevance, and sustainability of future USDOL-funded projects in similar contexts.

Methodology

The evaluation Terms of Reference outlines a set of evaluation questions guiding this evaluation, based on the evaluation criteria developed by the OECD Development Assistance Committee (DAC) except for impact which was not assessed within this evaluation. The evaluation methodology is guided by the Norms and Standards of the United Nations Evaluation Group (UNEG) and applied a mixed-methods approach drawing on a variety of sources of information collected through the evaluation process. The evaluation team was supposed to conduct a three-week field mission in Russia and Uzbekistan during the period of 10-27 March 2020. Given the COVID-19 pandemic, the evaluation team, in close consultation with the USDOL and ILO, modified the evaluation design to shift to virtual interviews with stakeholders in lieu of in-country field work. In line with this, evaluation primary data collection was based on phone and internet-based communication tools. Evaluators conducted 32 key informant interviews, out of which 13 were with external key

informants (i.e. beneficiaries, government actors, etc.) and 19 with representatives of ILO and USDOL. Primary data collection took place from March 10 to April 30, 2020. However, a significant number of institutions (9) could not be reached for virtual interviews or through submission of written responses. The team was not able to obtain feedback from the regional level government stakeholders either. This affected the evaluation team's ability to gather enough information from different sources and to draw reliable findings and conclusions to inform some of the evaluation questions. All three main types of data (document, quantitative and qualitative) were triangulated.

Findings and Conclusions

Relevance. Review of project documents across the period of implementation of the DWCP since December 2014 until May 2020, shows that even with iterations of project interventions, the project remained relevant to the country context and needs of national partners/constituents. In regard to project design, the evaluation team found that while the project has a theory of change it does not elaborate on how the three main components of the project (fundamental principles and rights at work, decent employment opportunities and improved working conditions and social protection), interact towards achievement of the project overall goal.

Evaluation data indicates that ILO has strategically positioned itself as a trusted and reliable partner of the government and national constituents, supporting the reform process in line with Uzbekistan's aspired and assumed international commitments. The project is very relevant and responsive to the government priorities and commitment to reforms agreed in the overall ILO DWCP in Uzbekistan since 2014, by providing technical assistance to development or application of a variety of laws, regulations, and policies related to child labor, forced labor and decent work in line with international labor standards.

Contributing Factors Towards the Achievement of the Project's Objectives: A strong driver of delivery of results has been the selection of ILO as USDOL's implementing partner for the DWCP through a sole source award. ILO brings strong technical expertise and strategic positioning in tackling reforms in the areas of child labor and forced labor, as well as decent work more generally. ILO's participatory approach to programming and implementation of activities is a driver of ownership over project and its results among constituents. Lastly, strong demand for reform of child/forced labor and decent work more generally from non-state actors, citizens and the international community is a driver to achieving project results.

***Hindering factors Towards the Achievement of the Project's Objectives*:** Staff turnover within the government institutions, particularly following political change, is a serious challenge. For instance, there have been frequent changes in the position of the Minister of Labor since 2016, which consequently brought changes in the Ministry administration. Other institutions, such as the Labor Inspectorate and the Chamber of Commerce and Industry of Uzbekistan also underwent significant institutional changes, which meant the project had to re-establish contacts. Other hindering factors include challenging political context; resistance to change (e.g. changing established norms and approaches to work in line with

international labor standards); absorption capacity of ILO constituents and beneficiary institutions; the state restructuring of farms; the slow pace of reforms in social protection and OSH, as well as decent work opportunities; and underrepresentation of social protection in the government's structure. At the same time, there are internal hindering factors such as ILO's structure for implementation of the project including lack of in-country sector expertise and a 'siloed' approach to implementation.

Effectiveness. The contribution of the project to its envisaged results is overall positive, with varying degrees in specific sectors. The DWCP has made notable contributions to improve the policy environment and regulatory frameworks related to realization of fundamental principles and rights at work. The main project strategies to contribute to regulatory changes included: (1) advocacy with their tripartite constituents; (2) technical assistance and support to adopt, design and apply international and national labor standards (e.g. ratification of C144, C87, C81, C129, P29 and revision of the Labor Code) and (3) capacity development among constituents. Project support improved the policy environment, grew institutional capacities, and promoted innovative solutions to rooted problems related to child and forced labor in cotton sector and social dialogue.

The evaluation team confirmed that ILO played a key role in supporting the government efforts to combat child and forced labor in the cotton sector. Joint efforts of government, social partners, ILO and other relevant development partners contributed to the elimination of systematic use of child labor during cotton harvest by 2016 and the significant decrease of forced labor in cotton picking seasonal work. Support to the government and social partners to maintain established systems (e.g. child labor and forced labor monitoring, built capacities of labor inspections, testing recruitment practices) and address capacity needs and social norms remain critical to sustain these positive practices, as there is a potential for incidence in child and forced labor in other seasonal and other types of labor.

The evaluation found evidence of ILO's direct contribution to strengthening of the tripartite dialogue in Uzbekistan that resulted in the approval of the Republican Tripartite Commission on Social and Labor Issues in 2019. With respect to capacity building of workers organizations, the project contributed to improvement of Federation of Trade Unions of Uzbekistan (FTUU) capacity for representation of workers. On the other hand, the evaluation team found that ILO's engagement with Chamber of Commerce of Uzbekistan (CCIU) brought important short-term gains, which were subsequently lost due to new legislative solutions and institutional changes.

The project's contribution to fostering decent employment opportunities in Uzbekistan was minimal. ILO conducted different advocacy activities with the Ministry of Employment and Labor Relations, which helped raise government interest for the topic of decent employment opportunities. However, besides technical support for strengthening the Public Employment Service, the project did not conduct planned activities as stated in the Project Document.

The Project's engagement in improvement of working conditions and social protection did not bring expected catalyst effects due to delayed, suboptimal and rather fragmented approach, despite being critical to a holistic approach to addressing decent work. For

instance, the project did not succeed to assist in the development of the National Occupational Safety and Health (OSH) Programme nor did it succeed to increase capacity of social partners to apply collective bargaining mechanisms and tripartite consultation principles in wage-setting. Throughout the period since 2016, ILO provided technical support to its constituents on implementation of OSH management system (e.g. working conditions of agricultural workers) and to strengthen the capacities of the Labor Inspectorate in this area. Some positive steps can be seen in the review of wage setting mechanisms and assessment of the social protection system. Given the early stages of the initiatives in both OSH and social protection, it is too early to assess the outcomes of the efforts.

Efficiency. ILO applied due diligence in management of funds. While project implementation saw a slow start at the beginning of the project along with significant delays, the evaluation findings indicate that such delays are justified given the operational environment in Uzbekistan, and the need for incremental change and sensitivity of topics tackled within the project intervention. This was reflected in the slow utilization of funds up to April 2017 (34% of total budget). The increase in the utilization of funds coincided with political transformation later in 2017 and faster pace of reforms that Uzbekistan encountered following the change. As of June 2020, the project had spent around 81.5 percent of its outcome-based budget over the 65-month period of implementation, which indicates that budget has been to some extent underspent. The project was modified seven time to allow for adjustments in line with contextual changes.

The project has been implemented by an experienced team of experts based in Uzbekistan and in the ILO Moscow office, which brings some challenges to efficiency. This type of structure creates difficulties and challenges in implementing projects that happen in a complex and rapidly changing environment such as Uzbekistan, particularly following the political change. Additionally, lengthy ILO and USDOL procedures for review, clearance, and approval of project modifications also affected the pace of project implementation.

Sustainability. The evaluation found mixed sustainability potential of achieved results. The current regulatory framework is strong (e.g. ratification of conventions, revision of Labor Code and other relevant legislation) and lays the foundation for further development and expansion of services and measures in line with international labor standards. The evaluation team found that the capacities of constituents' institutions have been developed and are sustainable as a critical mass of staff within these institutions have been exposed to the capacity building assistance in their respective areas of expertise. However, staff turnover, frequent institutional and organizational structure changes, and varying commitment for using the newly acquired competence, skills and knowledge reduce the benefits of capacity building investments. New social dialogue mechanisms and improved structures (e.g. Labor Inspectorate) have strong sustainability potential, and social partner institutions are reported to have an increasingly strong profile in their areas of work, albeit with variations (e.g. CCIU). The sustainability of the assistance to a large scale depended on the readiness and commitment of the national counterparts to institutionalize new practices and approaches. Additionally, the financial constraints that may materialize with economic crisis due to the COVID-19 pandemic may demand further dependence on external funds.

Lessons Learned and Promising Practices

Lessons Learned

- Projects operating within sensitive or politically challenging settings require an elaborate theory of change and results framework.
- Projects operating in countries encountering rapid reforms require full in-country expertise to provide timely response to needs and priorities.
- Decent work is a multidimensional concept encompassing a vast array of issues and challenges that needs to be tackled comprehensively to ensure full protection of rights and opportunities for workers.

Promising Practices

- Emphasis on the fundamental principles within the decent work agenda (such as elimination of child and forced labor) through evidence-based advocacy and institutional development with adherence to international human rights principles and standards brings higher returns in terms of realization of human rights.
- Combining ambitious and realistic expectation of what can be achieved in a given timeframe is of critical importance for good programming and implementation within a given operational framework.
- Interventions based on evidence, such as research and analysis of country context and piloting approaches, bring better and more sustainable results.

Recommendations

For USDOL

1. USDOL should consider continuing to fund decent work interventions in Uzbekistan. This (continued) support should be founded on a stronger Theory of Change and appropriate results framework which includes higher level outcome indicators to better measure change.
2. USDOL should continue monitoring child and forced labor across different sectors.
3. USDOL should boost efficiency of projects with mechanisms for faster approval of project modifications and changes.

For ILO

4. Projects implemented by ILO should ensure more coherence and synergies across components and use a more holistic approach to supporting government efforts to integration of international labor standards.
5. ILO should continue investing in Occupational Safety and Health and social protection.

6. ILO should consider investing further in Labor Inspectorate's institutional and human capacity development.
7. Projects implemented by ILO should support institutional development of partners, particularly MoL, CEU and FTUU and strengthen social dialogue
8. Projects implemented by ILO should support implementation of the new Labor Code through provision of training and advisory assistance to social partners.
9. ILO should consider supporting institutional development of other partners, particularly the Local Farmers Councils.

I. CONTEXT AND PROJECT DESCRIPTION

1.1. Context[1]

The Republic of Uzbekistan is a country located in Central Asia, with a population of 33.9 million, out of which 30.5% are under the working-age and 49.5% live in rural areas. [2] By GDP, Uzbekistan is the second-largest economy in Central Asia. The economy relies heavily on the agriculture sector, particularly the cotton industry. Uzbekistan was the seventh-largest cotton producer in the world in 2018/2019[3], with cotton production generating more than 1 billion USD in annual revenue (around 20% of GDP) [4].

The country's main challenge pertaining to the cotton sector continues to be the limited implementation of labor standards and international best practices related to child labor and forced labor. The root of this challenge is the long tradition of command economy, characterized by a quota system for the cotton production, low levels of mechanization in farming, and labor-intensive production methods. This led to poor working conditions, high levels of forced labor of children and adults and violation of ILO Convention 105[5]. As a result, USDOL placed cotton from Uzbekistan on the Executive Order list No. 13126 (Prohibition of Acquisition of Products Produced by Forced or Indentured Child Labor) in 2010. Cotton from Uzbekistan was removed from this list in 2020, after it was determined that "the use of forced child labor in the cotton harvest in Uzbekistan has been significantly reduced to isolated incidents"[6]. On March 6, 2020, the President of Uzbekistan signed a decree to remove a quota system for the cotton production that may further reduce the use of forced labor in the country.

The International Labor Organization (ILO) has cooperated with the Government of Uzbekistan to address child labor and forced labor issues since 2013, when the Government agreed to an ILO high-level mission to monitor child labor during the 2013 cotton harvest and enable assessment of implementation of Convention No. 182 (Worst Forms of Child Labor Convention, 1999 (No. 182). The following year, the ILO and the Government of Uzbekistan signed "A Memorandum of Understanding for the first Decent Work Country Programme for Uzbekistan (2014 – 2016)". This program was designed to address three main problem areas: (1) a limited capacity in Uzbekistan for the realization of Fundamental Principles and Rights at Work (FPRW), including the prevention and elimination of child labor (CL) and forced labor (FL), (2) an ineffective policy framework for decent employment opportunities, and (3) lack of a mechanism to promote decent work.

In the area of fundamental principles and rights at work, Uzbekistan had ratified 13 ILO Conventions prior to 2014. The ILO Supervisory Bodies noted a number of challenges in the

[1] The description of the project's context was taken largely from the Revised Project Document.
[2] State Committee of the Republic of Uzbekistan on Statistic, Demographic situation in the Republic of Uzbekistan (January – December 2019), https://stat.uz/en/press-center/news-committee/8337-6246246-2
[3] https://www.statista.com/statistics/263055/cotton-production-worldwide-by-top-countries/
[4] https://www.ecchr.eu/en/case/the-cases-against-european-cotton-traders/#case_case
[5] Ibid.
[6] US Federal Register (2019); Notice of Final Determination To Remove Uzbek Cotton From the List of Products Requiring Federal Contractor Certification as to Forced or Indentured Child Labor Pursuant to Executive Order 13126; https://www.federalregister.gov/documents/2019/03/25/2019-05360/notice-of-final-determination-to-remove-uzbek-cotton-from-the-list-of-products-requiring-federal#footnote-1-p11124

application of the conventions in Uzbekistan, particularly the conventions related to forced labor (C29, C105), child labor (C138, C182), as well as others related to working conditions, gender equality, employment policy, and collective bargaining. As mentioned by ILO in the Project Document, the risk of child labor and forced labor existed in the cotton sector, which required the labor-intensive practice of cotton picking. In 2014, USDOL reported that the Government of Uzbekistan "maintained policies in the cotton sector that mandate regional harvest quotas and set crop prices at levels that create incentives for local administrators to forcibly mobilize labor, creating an ongoing risk of mobilized child labor".[7] While there were around 3.2 million cotton pickers in 2014[8], it was difficult to recruit and retain adults on a voluntary basis due to poor working conditions and low pay. Over the lifetime of the project, the government of Uzbekistan undertook agricultural reform, with the aim to diversify and reduce raw cotton production in Uzbekistan. As a result, the number of cotton pickers needed during harvest was reduced by 55% as of 2019, compared to 2014. The 2019 the *Third Party Monitoring of Child Labor and Forced Labor During The Cotton Harvest* report noted that "systematic forced labor did not occur during the 2019 cotton harvest" [9], and noted that the "ILO continues to find that systematic or systemic child labor is no longer used during the cotton harvest in Uzbekistan"[10] since 2016.

At the beginning of the project, the government had low capacity to monitor child labor and forced labor, particularly in the cotton sector, and to meet the requirements of international labor standards. During the project implementation, a national monitoring system of child and forced labor was strengthened. In 2014, the first national child labor monitoring was conducted with coordination by Federation of Trade Unions of Uzbekistan (FTUU) and with participation of labor inspection representatives. National child labor monitoring was continuously supported by ILO. Following the political transformation in the country (by the change of the President of Uzbekistan at the end of 2016), the government has taken various measures to address the issue of child labor and forced labor together with the ILO.

Furthermore, at the start of the project, employers' and workers' organizations had several constraints in ensuring effective social dialogue on child and forced labor, due to limited capacities to present members' interests and necessary skills for collective bargaining, inadequate legislative and institutional frameworks. Throughout the project implementation, social partners directly tackled these issues with support from ILO.

With regards to fostering decent employment opportunities, during the pre-project award period, the Public Employment Service had faced a number of challenges. These included demographic growth, deceleration of the GDP growth, rapid sectoral transformation, an increase of youth unemployment rate (from 9.1% in 2012 to 9.6% in 2014; which was much higher than average unemployment rate in 2014 - 5.1%)[11], and weak private sector job creation.[12] Additionally, Uzbekistan lacked an overall employment framework, needed for effective active labor market policies, and was contending with the weakness of key labor

[7] USDOL (2014), Uzbekistan No Advancement – Efforts made but complicit, https://www.dol.gov/sites/dolgov/files/ILAB/child_labor_reports/tda2014/uzbekistan.pdf
[8] ILO (2017), Recruitment practices and seasonal employment in agriculture in Uzbekistan 2014-15
[9] ILO (2020), Third-party monitoring of child labor and forced labor during the 2019 cotton harvest in Uzbekistan, p. 4
[10] Ibid, p. 5
[11] https://data.worldbank.org/indicator/SL.UEM.1524.ZS?locations=UZ
[12] ILO (2018), Assessment of the Public Employment Service

market institutions. These challenges have continued to affect the labor market, as the youth unemployment rate reached 11.6% in 2019, and the GDP growth declined from 7.2% in 2014 to 5.6 % in 2019.[13]

In the area of working conditions and social protection, Uzbekistan lacked mechanisms to promote decent work in 2014. For instance, Uzbekistan did not ratify any of the relevant conventions on Occupational Safety and Health (OSH) (C129, C187) until 2014. During the project lifetime, Uzbekistan ratified C129 - Labor Inspection (Agriculture) Convention in 2019, while related legislation is still underdeveloped, despite the fact that a number of draft regulations were developed in 2017[14].

Worker and employer organizations had a weak training capacity for OSH and lacked a more comprehensive understanding of issues around wage negotiations. Furthermore, Uzbekistan has lacked a coherent approach to ensuring minimum standards as the coverage of social protection has been limited. This is shown by the huge number of workers that are in the informal economy, which was recorded to be around 50% in 2013[15], nearly 60% in 2018 with slight decrease in 2019, making up 58.2% of the total labor force[16]. The social protection system has been very fragmental and hindered by lack of a national social protection strategy and lack of a central government body responsible for social protection policy planning.

1.2. Project Description

The DWCP project was implemented by ILO through a Cooperative Agreement with the United States Department of Labor (USDOL), signed in December 2014. The project overall goal is to support the prevention and reduction of child labor and forced labor and promote decent work in Uzbekistan and addressed the following three main priorities:

- **"Strengthening social partnership in Uzbekistan for the realization of fundamental principles and rights at work"** by addressing problems with the application of international and national labor standards, child and forced labor in the cotton sector, poor working conditions, limited capacities of trade unions and employer organizations to ensure effective social dialogue and to implement fundamental principles and rights at work (FPRW);
- **"Fostering decent employment opportunities"** by addressing the lack of comprehensive employment policy frameworks that are developed based on tripartite consultation, lack of Active Labor Market Policies, and weak labor market information systems; and
- **"Improving working conditions and social protection"** by addressing wage

[13] http://pubdocs.worldbank.org/en/197351492011115514/mpo-uzb.pdf
[14] The following draft regulations were published: Model regulation on the organization of works aimed at occupational safety in organizations; Model regulation on the occupational health and safety service in organizations; Regulation on additional training and qualification training of OHS specialists; Regulation on the audit of occupational safety management system in an organization; Regulation on setting requirements for OHS service professionals and for maintaining a common registry of such professionals; Regulation on the state expert assessment of working conditions; Regulation on the investigation and record-keeping of occupational illnesses
[15] WB (2016), Systematic Country Diagnostic for Uzbekistan
[16] http://documents.worldbank.org/curated/en/866501562572675697/pdf/Uzbekistan-Toward-a-New-Economy-Country-Economic-Update.pdf

setting, weak occupational safety and health legislation, and social protection[17] The Results Framework is presented in Annex A: Terms of Reference.

The planned activities under these main priorities are:

- **Strengthening social partnership in Uzbekistan for the realization of fundamental principles and rights at work:**
  - Provide technical and legal advice in support of the ratification of various international rights and labor conventions and in the drafting of domestic labor laws,
  - Conduct research on recruitment practices and working conditions in the agricultural sector and facilitate the development of an appropriate policy response,
  - Provide technical support and training to establish and strengthen a regular mechanism for monitoring and enforcement for child labor,
  - Provide training to enhance the ability of workers' and employers' organizations to represent their constituencies in dialogue on labor issues.

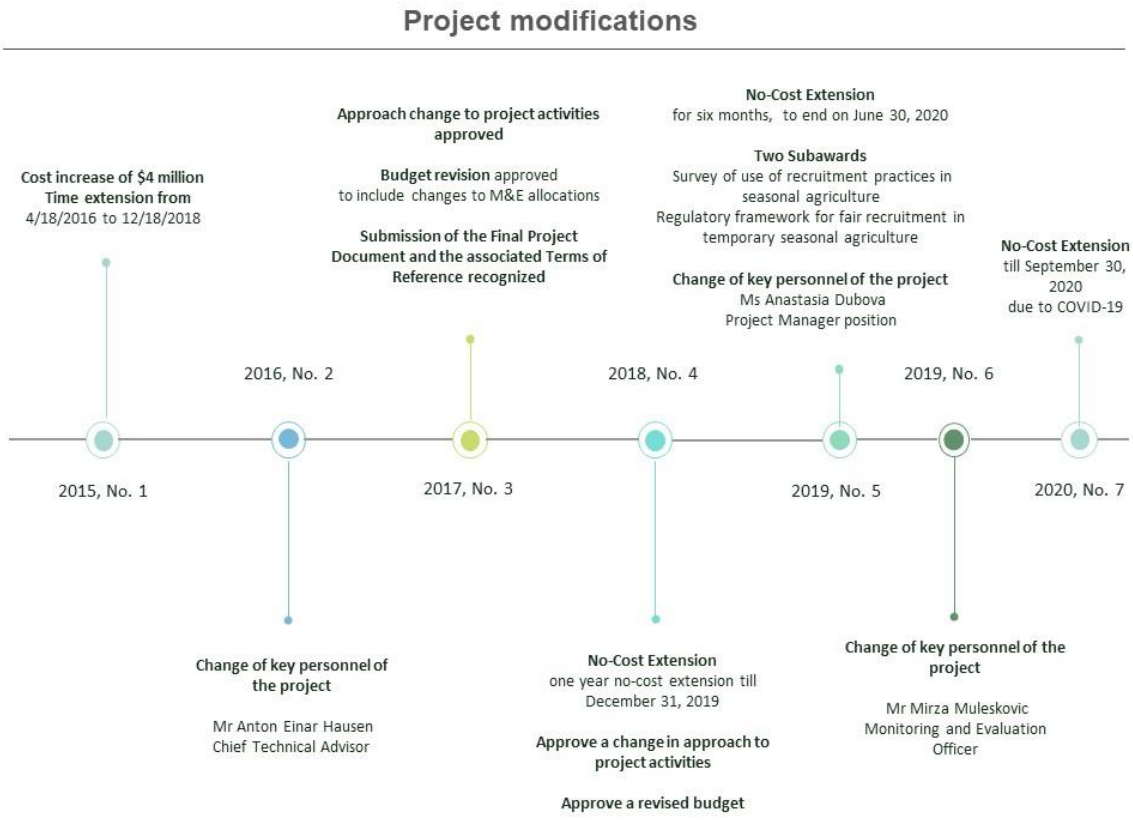
- **Fostering decent employment opportunities:**
  - Facilitate a peer review by another ILO member country on Uzbekistan's youth employment programs;
  - Assess Uzbekistan's labor market information system and develop recommendations in consultation with the tripartite constituents of government, workers', and employers' representatives.

- **Improving working conditions and social protection:**
  - Support tripartite review of present national occupational safety and health standards, national wages, and collective bargaining,
  - Train on social protection measures and ILO standards.[18]

The project was initially planned for 16 months, with a total budget of US $2 million. The project was modified seven times (See Figure 1 below). It first received a US $6 million increase extending the project by 48 months (Modification No. 1), and later received a no cost 21-months extension, which pushed the project end date to September 30, 2020 (Modification No. 7).

[17] Revised Project Document, page 6.
[18] USDOL (2017), Technical Cooperation Project Summary

Figure 1: Overview of Project Modifications



The direct beneficiaries of the project are: Government agencies (e.g. the Ministry of Labor, labor inspectors at national and local levels, Employment Services, and member organizations of the Coordination Council on Child Labor), Members of Parliament, organizations representing employers (the Chamber of Commerce and Industry of Uzbekistan (CCIU), newly established Confederation of Employers of Uzbekistan (CEU), the Uzbekistan Council of Farmers, organizations representing workers (the Federation of Trade Unions of Uzbekistan (FTUU), mahalla leaders, representatives of the local authorities, local government agencies, educational institutions, civil society organizations, etc.

The indirect beneficiaries of the project were: children and adults who have been involved in, or are at-risk of becoming involved in, child labor and/or forced labor, and the general working population.

II. EVALUATION PURPOSE AND METHODOLOGY

2.1. Evaluation Purpose

The purpose of this final performance evaluation is to provide USDOL and ILO with an independent assessment of the project's performance and experience. Specifically, the evaluation is intended to achieve the following objectives:

- Provide evidence-based conclusions, lessons learned, and actionable recommendations; and
- Assess the project's plans for sustainability at local and national levels and among implementing organizations and identify steps to enhance its sustainability.
- Ensure that USDOL, ILO, and other project stakeholders are informed about how project design, relevancy and efficiency have affected project results.
- Assess the project's plans for sustainability at local and national levels and among implementing organizations and identifying steps to enhance its sustainability.

USDOL and ILO developed a set of questions to guide the evaluation. The questions address key issues in (1) relevance; (2) effectiveness of strategies and interventions; (3) efficiency; and (4) sustainability. The evaluation questions appear in the Terms of Reference (TOR) in Annex A. The evaluation also focuses on lessons learned, emerging good practices and potential models that can be applied in the next phase of the project.

Intended Users - The intended users of this evaluation report include the United States Department of Labor's Office of Child Labor, Forced Labor, and Human Trafficking (OCFT), ILO, and stakeholders working to combat child labor, forced labor, and other labor violations more broadly in Uzbekistan. This evaluation report provides them with an assessment of the project's performance, its effects on project participants, and the factors driving the project results.

2.2. Methodology

The evaluation TOR outlines a set of questions guiding this evaluation, based on the evaluation criteria developed by the OECD Development Assistance Committee (DAC)[19] except for impact, which was not assessed within this evaluation. The evaluation methodology is guided by the Norms and Standards of the United Nations Evaluation Group (UNEG).

2.2.1 Implications of the COVID-19 situation on the evaluation process

The evaluation team was supposed to conduct a three-week field visit in Russia and Uzbekistan during the period of 10-27 March 2020. Due to the COVID-19 pandemic,

[19] The DAC evaluation criteria of relevance, effectiveness, efficiency, impact and sustainability were first outlined in 1991 under the OECD and reiterated in 2019.

Uzbekistan's government introduced prevention measures beginning 1 March 2020, which included travel restrictions for foreigners[20]. The restrictions were tightened throughout the month of March, when Uzbekistanis also became limited in their internal movements within the country.

As these limitations were unlikely to change during the evaluation data collection period, the evaluation team, in close consultation with USDOL and ILO, modified the evaluation methodologies to shift to remote KIIs in lieu of field work. Phone and internet-based communication were used to interview respondents. This prevented the ability to organize focus groups in Tashkent and in the Jizzakh and Fergana regions, as originally planned. The evaluation team managed to hold group interviews with the Ministry of Labor, CCIU, CEU and FTUU.

The decision to move primary data collection online was made taking into the consideration **four possible limitations and challenges** from shifting to such an approach, leading to adjustment in some expectations that were discussed and agreed with USDOL.

1. A possible limitation that was noted in the design phase was that even if stakeholders would be very familiar with online platforms and had strong internet connections, **online interviews tend to be less nuanced** than in-persons interviews, due to the fact that there is no in-person exchange and familiarization between interlocutors. However, the evaluation team did not encounter such a problem when conducting the KIIs, noting that overall content and substance were comprehensive.
2. **Some stakeholders were not available for remote interview, while others faced technological challenges that would have limited their participation**. To mitigate these challenges, the evaluation team developed a set of questionnaires for each of 11 stakeholder groups to allow for written responses in situations where a phone/internet-based interview was not possible (see Annex B).[21] Each questionnaire was translated into Uzbekistani. ILO distributed these questionnaires to each stakeholder along with the invitation for a remote interview. Despite these efforts, the evaluation team did not succeed in interviewing all identified stakeholders, mainly due to the changed work context in response to the pandemic. Four stakeholder groups (Ministry of Employment and Labor Relations, CCIU, Confederation of Employers and FTUU) agreed to an online interview, while there was no response from other invited organizations. This was an important limitation of the remote evaluation process.
3. During a typical evaluation, **face-to-face interactions, project site visits and observations** are particularly important for identifying intended and unintended consequences in the achievement of results. Remote data collection thereby reduced the degree to which achievements of results could be assessed.
4. Most key informants faced scheduling challenges and connectivity issues because they were working from home during the pandemic. The **evaluation's primary data**

[20] https://www.gazeta.uz/ru/2020/03/04/covid-19/ (in Russian)

[21] Questionnaires were prepared for: Chamber of Commerce and Industry of Uzbekistan (CCIU), Center for Secondary Specialized Vocational Education, Confederation of Employers, Farmers' Council of Uzbekistan, Federation of Trade Union of Uzbekistan, Labor Inspection, Ministry of Employment and Labor Relations, Ministry of Public Education, Public Employment Services, Women's Council, and Youth Council

collection required more time to be carried out due to the time needed to arrange the interviews within these constraints.

2.2.2 Other evaluation limitations

Table 1: Overview of main limitations and mitigation strategy

Limitation	Mitigation measures
Availability of key informants	The evaluation team, in close consultation with USDOL and ILO, identified key informants for the evaluation. However, as noted in Section 2.2.1, the evaluation shifted to virtual data collection. The ILO team in the Moscow office and in Uzbekistan helped organize interviews with 32 key informants, which were successfully conducted (see Annex C). However, nine key informants could not be reached through interviews or through submission of written responses (See Annex C for a list organization not interviewed). As discussed, and agreed with USDOL, there is understanding that this affects the evaluation team's ability to gather sufficient information and to triangulate data.
Consistency of data across various documentation	The evaluation team received a vast amount of project reports and other documentation, which at times presented inconsistent format of Technical Progress Reports (TPRs) and to some extent, issues with data accuracy and labeling. Particularly, the progress of the Pilot project on Decent Work in selected districts of Fergana and Jizzakh was not easy to follow as there are no specific indicators for this project in Annex A of the TPRs. To address this challenge, the evaluation team conducted a side-by-side analysis to reconcile information and, in instances where discrepancies remained, data quoted in this report are provided with specific references to the original source.

2.2.3 Methodologies applied

The evaluation team applied a **mixed-method approach**[22] including:

a. Desk Review: This consisted of an assessment of quantitative and qualitative information extracted from project reports and other ILO, USDOL, and national stakeholders' documentation. Sources included the Project Document, CMEP and technical progress reports (TPRs); budget, monitoring and financial reports; project studies and research; external studies; and policy documentation (see Annex D for complete list of documents reviewed).

b. Key Informant Interviews (individual and small group interviews): Qualitative interviews were conducted remotely during the period of March – April 2020. There were 32 participants, including 13 external key informants (i.e., beneficiaries, government representatives, etc.) and 19 representatives of ILO and USDOL (See Table 2 for details about the sample). The platforms used for these interviews included:

   i. Skype and Zoom interviews with US government representatives;

   ii. Skype, phone, and WhatsApp interviews with ILO specialists in the Moscow Office, ILO team in Uzbekistan, and former ILO Chief Technical Advisors (CTAs); and

   iii. WebEx interviews, with ILO interpreter support, with project partners from Government of Uzbekistan and other constituents (Federation of Trade Union of

[22] See Stern et al (2012), "Broadening the range of designs and methods for impact evaluations", DFID, Working Paper 38.

Uzbekistan, Confederation of Employers and Chamber of Commerce and Industry/Confederation of Employers).

Table 2: Qualitative Sample Size and Sample Characteristics

Stakeholder Group	Planned number of organizations	Actual number of organizations	Actual Sample Size(# of individuals)			Sample Characteristics
	Total	**Total**	**Female**	**Male**	**Total**	
National Government	4	2	0	2	2	Ministry of Employment and Labor Relations, Labor inspection
Social Partners	3	3	2	5	7	CCIU, Confederation of Employers (CEU), FTUU
Project Personnel	1	1	1	3	4	Project Manager, M&E officer, former Chief Technical Advisors
Consultants	3	2	0	2	2	National Consultants
UN Agencies	1	1	1	0	1	UNICEF
US Government	2	2	2	1	3	USDOL, US Embassy Tashkent
ILO	1	1	5	5	10	ILO Moscow
ILO	1	1	1	2	3	ILO Tashkent (excluded project personnel)
Public Employment Services	1	0				
Farmer Council	1	0				
Women Council	1	0				
CSSVE	1	0				
Labor inspections (Fergana, Jizzakh)	2	0				
Individual farmers (Fergana, Jizzakh)	2	0				
TU offices (Fergana, Jizzakh)	2	0				
Chamber of commerce offices (Fergana, Jizzakh)	2	0				
Other international organizations (WB, EC, IFC, Better Cotton)	4	0				
Private cotton investor	1	0				
Westminster International University in Tashkent	1	0				
Total	**34**	**13**	**12**	**20**	**32**	

2.2.4 Data Analysis Methods

All three main types of data (document, quantitative and qualitative) were triangulated. The evaluation team applied ***descriptive analysis*** to assess indicator data or criteria of interest within the quantitative data and ***qualitative iterative data analysis*** to help identify key thought units related to each evaluation question from KIIs. The findings outlined in this report are those emerging from multiple respondents and across multiple stakeholder categories. All data collected from different sources was triangulated in order to ensure balanced and evidence-based findings, conclusions and recommendations.

III. FINDINGS

The findings address the questions in the TOR and are organized according to the following evaluation areas: Relevance, Effectiveness, Efficiency and Sustainability. Evaluation findings are referred to as 'evidence' throughout the report and are derived from a thorough review of project documents made available by USDOL and ILO, relevant secondary sources gathered by the evaluation team, and remote interviews with key stakeholders.

3.1. Relevance and Project design

This section answers the following evaluation questions:

EQ 1a. Is the project's Theory of Change (TOC), as stated in the Project Document and as visualized in the project's Comprehensive Monitoring and Evaluation Plan (CMEP) Results Framework, valid?

EQ 2. To what extent was the project design relevant throughout the life of the project?

EQ 3. Have any changes to the national landscape impacted the critical assumptions and risks articulated in the Theory of Change?

EQ 7. What is the level of participation of the various stakeholders, their degree of commitment to project design, execution, and their contribution towards the project's objectives?

3.1.1. Project Design and Validity

Finding 1. The project has been relevant and responsive to government priorities and commitments to reforms.

The Government of the Republic of Uzbekistan has encountered criticisms from international actors on its human rights record, most notably the use of child and forced labor in the cotton industry, and not adhering to international child and forced labor standards prior to 2013 (See Context Analysis section). In 2013, ILO cooperated with the government to undertake the first child labor monitoring activity. This marked a step forward in re-establishing relations with ILO (and other international actors) and further deepening the government's efforts on the issues of child and forced labor in the cotton

sector. In 2014, the government adopted the Third National Action Plan (NAP) for the Application of Conventions C.138 (the Minimum Age Convention) and C.182 (the Worst Forms of Child Labor Convention) in Uzbekistan, for the period 2014-2016[23]. The National Action Plan stipulated the government's priorities for prevention and combating child labor, which provided the basis for partnership with ILO and a signed Memorandum of Understanding (MoU) in 2014. The MoU included government priorities offering a wider set of joint reform actions across different thematic areas including strengthening social partnership in Uzbekistan for the realization of fundamental principles and rights at work, fostering decent employment opportunities and improving working conditions and social protection. Project support (in the form of technical assistance, capacity building and advisory) to these areas was aligned with government priorities outlined in:

- Action Plan targeted on ensuring free recruitment cotton pickers and avoidance of the juvenile and compulsory labor during 2015 harvest season,
- Resolution of the Cabinet of Ministers № 132 on additional measures for implementation during 2014-2016 of conventions of the International Labor Organization (ILO)
- Action Plan on Improving Working Conditions, Employment, and Social Protection of Workers in Agriculture (2016–2018)
- Action Plan to enforce the ILO conventions on forced and child labor, № 02-1/1577;
- Cabinet of Ministers Resolution #703 and Cabinet of Ministers Resolution #752 on explicit ban on forced labor in the 2018 and 2019 harvest
- National Development Strategy (2017–2021)

The project continued relevance to recognized government priorities was also noted through review of a set of regulatory documents undertaken during the period 2014-2020. These include: Amendments to the law on Trade Unions (2016), Amendments to the law on Labor Protection (Occupational Safety and Health Act (2016), new Law on Youth policy in Uzbekistan (2016), the Law on "Private employment agencies" (PrEA, 2018), the draft Labor code and the draft Law "On employment of the population" (2019), amendments to the Administrative code of Uzbekistan (2019), amendment to Criminal Code of Uzbekistan. The project is also in line with United Nations Development Assistance Framework (UNDAF) for the Republic of Uzbekistan 2016-20120[24] and the Roadmap/Action Plan on further development of cooperation of the Republic of Uzbekistan with the UN system for 2017-2020.

[23] The government had subsequent National Action Plans for implementation of Conventions C. 138 and C. 182 since 2008, when these conventions were ratified by the government of Uzbekistan

[24] Specific activities are envisaged within UNDAF's Outcome 1 "By 2020, equitable and sustainable eco- nomic growth through productive employment, improvement of environment for business, entrepreneurship and innovations expanded for all" with its specific activities for: I*mproving labor market services, creation of a modern technological labor infrastructure; see more on: https://www.uz.undp.org/content/uzbekistan/en/home/library/un_in_Uzbekistan/the-united-nations-development-assistance-framework-for-the-repu.html*

The project conducted a situational analysis in 2016[25] to identify systemic measures supporting decent work in Uzbekistan. The situational analysis identified some key challenges including capacity and awareness/knowledge gaps across all thematic areas tackled by the project and challenges faced by key stakeholders including labor inspectors, social partners and farmers to integrate and promote decent work. The project, with its orientation towards capacity building and advocacy responds to these gaps and challenges and the unmet needs of national social partners to advocate for a reduction in child labor and forced labor and promote the fundamental principles of decent work.

Finding 2. DWCP contains a theory of change which does not capture synergies between the three project components.

The project objective aims to "promote decent work in Uzbekistan, with a focus on the prevention and reduction of child labor and forced labor"[26]. This is planned to be achieved through three intermediate objectives (IO 1) "capacity strengthened in Uzbekistan for the realization of fundamental principles and rights at work", (IO 2) "institutional supports for decent employment opportunities are enhanced" and (IO 3) "improved working conditions and social protection: Strengthened law and policy on working conditions and social protection in Uzbekistan". Four outcomes are defined under the first intermediate objective, two under the second, and three under the third intermediate objective (See Results Framework under Annex A). Review of the TOC shows some weaknesses in terms of lack of elaborated presentation of the overall intervention logic and the pathway of change with a clear pathway for how inputs, outputs and intended project outcomes lead to the project goal. While the project documents present the TOC as an integral part of DWCP design, the TOC does not present a full overview of how different components of the project interact towards achievement of intermediary and long-term outcomes and how these in turn contribute to long term impacts in the country. Indicators across the project results framework are concentrated at the output level, and there are insufficient outcome level indicators and weaknesses exist in the overall definition of results. While rather implicit in the results framework and project TOC, review of implementation shows a synergistic relationship between outputs and outcomes. The results framework offers for horizontal integration across project components (i.e. thematic areas tackled by the project: child and forced labor; social protection, improvement of working conditions, employment); however, the project's thematic areas tended to be implemented in a siloed approach. This weakness makes it difficult to clearly understand how ILO approaches the integration of interventions for capacity development, advisory and legislative support, advocacy and partnership building. While rather implicit in the results framework and project TOC, review of implementation shows a synergistic relationship between outputs and outcomes.

The evaluation team's review of the project's results framework shows a realistic overview of results to be achieved across the period of implementation. Even with the 2017 political change in Uzbekistan, the planned institutional changes in implementation across the decent work area were incremental and slow due to the consultative approach taken by ILO. The

[25] ILO (2017); Situational analysis to identify systemic measures supporting decent work in Uzbekistan under the Project "Support to implementation of the Decent Work Programme in the Republic of Uzbekistan

[26] ILO (2017), Revised Project Document

Ministry of Labor, FTUU and ILO agreed that the project's intervention pace and consultative approach proved to be appropriate for the given context and the political shift did not demand significant change in the Project's ToR.

While a certain number of indicators can be classified as outcome level (e.g. OTC 9: Training participants apply their knowledge in collective bargaining and/or tripartite consultations on wage setting and OTC 7: # of recommendations from project assessment implemented by PES or PrEA), some of the project's indicators of SOs are output-focused and do not fully capture the project's higher level outcomes over time. For example, the indicator *of SO1.2 Stakeholders' capacity to implement the National Action Plan for the Application of Conventions No. 138 and No. 182 in Uzbekistan increased* is *OTC 3 (a) Number and type of activities on promotion of implementation of C138 and C182 implemented*, which is defined at the level of output. Furthermore, the indicator of *SO 1.3 Stakeholders' capacity to address forced labor increased* is *OTC 4 (a) Number of institutions/stakeholders that implement FL-related activities covered within the Coordination Council on Child and Forced Labor Issues work plan*, which is also defined as an output indicator. This is a weakness of the results framework, which to some extent may be justified by the complex and challenging governance context in Uzbekistan. The political change and slow reforms create difficulties to plan for larger change interventions, particularly in the area of decent work.

During the project implementation, there was a drastic political change that occurred following the death of the long-time President of Uzbekistan, Islam Karimov. The Prime Minister Shavkat Mirziyoyev was named as acting president on September 8, 2016 and elected on presidential election on December 4, 2016.[27] This marked an important positive political change in Uzbekistan overall, and particularly change towards addressing child labor and forced labor issues as articulated in Mr. Mirziyoyev speech at the General Assembly of the United Nations (in September 2017), that confirmed renewed and stronger commitment to these issues. As one of the key relevant assumptions underlying the TOC *Political will towards further implementation of decent work principles is maintained* holding true after the political change, the TOC remains valid with the same relevant priorities and gaps across child and forced labor and decent work arising in both periods.

"We are deeply convinced: the people must not serve the government bodies, rather the government bodies must serve the people. In cooperation with the International Labor Organization, we have taken effective measures to eradicate the child and forced labor."[28]

President Shavkat Mirziyoyev at the UN General Assembly

Critical assumptions have been mostly valid, particularly for prevention and reduction of child labor and forced labor in the cotton sector before and after the political transformation. These assumptions were well identified at different levels (implementation, management, and operational level). Some more detailed critical assumptions linked to outputs (e.g. absorption capacity of national constituents; level of political stability that does not deteriorate; availability of financial and human resources on the side of national constituents

[27] https://www.silkroadstudies.org/resources/pdf/SilkRoadPapers/1803-Bowyer-Uzbekistan.pdf

[28] ILO (2018) Third-party monitoring of measures against child labor and forced labor during the 2017 cotton harvest in Uzbekistan, page 4.

to uptake practices and models) could have been added to provide further clarity of the project context.

All Technical Progress Reports present an overview of changes in the national context that could affect project implementation with proposal for mitigation actions, which is assessed as appropriate, taking into account the magnitude of political change in Uzbekistan. Table 3 highlights findings on the validity of the project's critical assumptions underpinning the TOC.

Table 3: Overview of the Critical Assumptions

Theory of Change Critical Assumptions	Findings
Political will towards further implementation for decent work principles is maintained	Document review and stakeholder interviews confirmed that this assumption was challenged during the period of 2014-2016, as the government showed limited willingness to engage in the project activities. This assumption became appropriate after the change in political climate towards the end of 2016, following the political transformation in the country.
Uzbek tripartite constituents are receptive towards ILO's technical and legal advice regarding the implementation of international labor standards, in particular the prevention and reduction of child labor and forced labor.	This assumption is largely valid when it comes to prevention and reduction of child labor. However, in other thematic areas the receptiveness of the national partners has been evolving (e.g. for social protection, OSH, labor inspection, collective bargaining). For instance, until 2017 there has been a lack of stakeholders' interest for training in collective bargaining on wage-related issues or social protection activities. To mitigate these risks, ILO has been flexible in the implementation of the project activities in accordance with the tripartite constituents' interests. ILO maintained a tripartite consultation process across the project to ensure buy in for project-related course corrections. This has been reflected in the change of several project outputs. For example, new activities were included (an assessment of the labor inspectorate and tailored capacity building activities) after the Minister of Employment and Labor Relations sought ILO support to strengthen the labor inspectorate and the ratification of ILO Conventions related labor inspection. Another example was the support to the newly established Confederation of Employers.
No major economic changes affecting the country's labor market occur throughout the lifecycle of the project.	This assumption has been mainly valid. Uzbekistan's economy has encountered a slowing growth rate since 2014 with its lowest growth in 2017 (at 4.4% according to the World Bank data) [29]. A 5.4% GDP growth was recorded in 2018, continuing to slightly accelerate in 2019 with 5.6 percent growth.[30] According to the World Bank, growth was supported by a 34% year-on-year increase in investment, more robust agricultural growth, and increased construction activity. These economic changes did not affect the project implementation, as the project did not work deeply on decent employment opportunities like was initially planned. Currently, it is hard to predict the full impact of COVID-19 and the resultant global economic slowdown has on the labor market in Uzbekistan.

[29] https://data.worldbank.org/indicator/NY.GDP.MKTP.KD.ZG?locations=UZ
[30] http://pubdocs.worldbank.org/en/197351492011115514/mpo-uzb.pdf

Finding 3. ILO has strategically positioned itself as a trusted and reliable partner of the government and national constituents, supporting reform processes in line with Uzbekistan's aspired and assumed international commitments. ILO's approach and spirit of partnership and participatory planning processes facilitates ownership over the project and its results among constituents.

The DWCP project was part of the agreed upon set of interventions stipulated in the 2014 Memorandum of Understanding between the Government of Uzbekistan and the ILO. This was a strategic partnership program, which enabled ILO to provide technical assistance to the Government of Uzbekistan to enforce compliance of national laws and practices with core labor international standards.[31] Review of project documentation shows a slow pace of project implementation during the project's first few years (December 2014 through October 2015[32]), due to a number of reasons. One of the reasons was that the DWCP MOU was signed in April 2014, when no funding (by ILO or USDOL) was in place for its implementation, creating a gap in the DWCP start-up. This caused some initial delays. Limited funding ($2 million) was provided by USDOL in December 2014. Additional funding ($4 million) was provided through the first modification in 2015. Then, delays were noted in the process to finalize the CMEP, which was under design in the period 2014-2015. Some delays were also noted due to lengthy Project Revision processes at both ILO and USDOL, with multiple revisions of submitted drafts, etc. Other reasons included limited Government capacity to engage in the areas of decent employment, working conditions (including OSH), and social protection activities, which are areas outlined in the DWCP implementation plan and had received commitment from the government through the MoU signed with ILO. During this period, the project focused mostly on building capacity of workers' and employers' organizations and conducting the surveys on forced labor towards establishing an evidence base on child and forced labor.

The presidential elections of 2016 brought sweeping changes in the country not only in the government but also across communities with a new momentum for reform. ILO strategically adapted its approach to respond to the emerging demands thereby maintaining its strategic position and continued relevance as a trusted development partner. This sustained the government's commitment to the "Decent Work Country Programme" with a new Memorandum signed in February 2017[33] updating the programme period to 2017-2020. With the country opening up following the political change in 2017, the project geared up towards more hands-on capacity development of stakeholders and provided support to the government to ratify and implement relevant ILO conventions and international standards, as well as strengthen partnerships towards better response to decent work demands across the country.

[31] Technical Cooperation Project Summary, page 1.

[32] In October 2015, ILO DWT/CO in Moscow received USDOL approval on the increase of the project's overall budget from USD 2,000,000 initially to USD 6,000,000 due to the extension of the project implementation until 18 December 2018.

[33] https://www.ilo.org/moscow/news/WCMS_546279/lang--en/index.htm

"Good communication was established between ILO and constituents of ILO. This brought new dynamics to this relation." - Quote from ILO Official

"All efforts of ILO were targeting big issues of child labor and forced labor, but in parallel, they widened interventions and opened new doors." - Quote from ILO Official

"When Uzbekistan authorities and constituents made their own solution on child labor and forced labor and took a decision at all levels to address the issue, they started owning it." - Quote from ILO Official

Document review and stakeholder interviews point to continued relevance of the project, particularly resulting from the flexible approach of the project. Interviews with Uzbekistan's government officials and other national stakeholders note that ILO's approach to work in close consultation with its constituents (Ministry of Employment and Labor Relations, Federation of Trade Unions of Uzbekistan [FTUU], Chamber of Commerce and Industry of Uzbekistan [CCIU], Confederation of Employers) and spirit of partnership has been a driver for the project to be tailored to meet Uzbekistan's needs and reflect the context of the country's priority to abolish child and forced labor and introduce/enhance international standards.

3.1.2 Internal and external factors affecting validity of the project design during implementation

This section responds to the following evaluation questions:

EQ 1b. What are the internal and external factors that have affected validity of the Project TOC in a positive and/or challenging way during project implementation?

EQ4a. What have been driving factors influencing the achievement or non-achievement of the objectives? What are the factors driving and/or hindering the timeliness of results so far?

Contributing factors

"ILO is one entity that gets more done than others because of its unique tripartite structure and also institutional culture of trying to get buy in. This is good example for other international organizations to check and try to replicate such models to get buy in from government in order to make progress."

- Quote from a KII

Inclusive implementing partner with strong positioning in the area of child and forced labor and decent work in Uzbekistan. The evaluation team found that a strong driver of results has been an appropriate selection of ILO as USDOL's implementing partner through a sole sourced project. Review of project documents (monitoring reports, mid-term evaluation) and in particular stakeholder interviews indicate that ILO is strategically positioned as a partner of choice for government when it comes to tackling reforms in the areas of decent work and social protection, as well as child labor and forced labor. National stakeholders interviewed within the scope of the evaluation note that ILO's technical capacity with a pool of international experts and advisers

has been a driver of achievement of results but also of continued buy-in by the national constituents. The DWCP presented a strong political opening for ILO to maximize its potential, particularly in advising the Government of Uzbekistan on international labor standards and conventions, on social dialogue and tripartite constituents' relations. Given ILO's deep experience in this area, the choice of the partner has direct linkage to the validity of the TOC, as other implementing agencies would not have had the same level of relevance and strategic positioning, as emphasized by interviewed national stakeholders.

Participatory approach in programming and implementation of activities is a driver of ownership. The stability and inclusiveness in which ILO supports the government to tackle the most sensitive issues, such as child and forced labor and increasingly other areas of importance for securing decent work across the country have ensured buy-in and ownership over the project interventions and outputs. This was achieved primarily through involving relevant government and development partners in all steps of planning and implementation of activities and ensuring constituents' absorption capacities are taken into account in planning and implementing interventions. Interviewed national stakeholders noted that ILO's tripartite constituents are involved in each step of the project development and implementation through consultation events. This helps them understand the purpose of a given activity and builds ownership to sustain outputs and outcomes.

Strong demand for reform of child/forced labor and decent work is a driver to achieving project results. Review of available assessments of child and forced labor produced by international organizations (e.g. USDOL, ILO, and human rights NGOs) as well as interviews with stakeholders across all key informant categories note a strong momentum for reforms of child and forced labor and decent work, as demanded by non-state actors, citizens and international community. The DWCP project started at an opportune time to respond to this momentum, by supporting tripartite constituents towards the achievement of reform priorities to meet the needs of the country's most vulnerable population and at-risk groups affected by forced labor.

Hindering factors

Staff turnover within the government institutions, particularly following the political change, is a serious challenge. With government staff turnover, capacity and institutional knowledge are lost and processes are slowed down. For instance, there have been frequent changes in the position of the Minister of Labor since 2016 which consequently brought changes in the Ministry administration[34], which meant the project had to re-establish contacts both with an incoming Minister as well as specialists in different fields. Changes also occurred within other types of institutions, such as Labor inspectorate and the Chamber of Commerce and Industry of Uzbekistan creating the same issues of re-engagement with new individuals.

Challenging political context is found to be an important factor impacting achievement and sustainability of results. Before the political change, the government's pace of reforms was slow, conversely the political transformation that happened since 2017 brought new

[34] The first reorganization of the Ministry of Labor and Social Protection of the Population into Ministry of Labor was on 22 February 2016, and the second reorganization of this Ministry to the Ministry of Employment and Labor Relations was on 24 May 2017.

momentum for change with fast paced reforms in each sector. However, the continuous turnover within government entities has created various challenges in the way reform processes are led. The challenging context and frequent changes within government institutions (as mentioned above) and at times ambiguities with how reforms should be undertaken (e.g. the CCIU institutional reform created a system that does not align with ILO standards as it stipulates obligatory membership, which is against international standards) create difficulties for projects to effectively operate. While the constituents' responsiveness to the project has been rather stable over the implementation of the project, overall instability and frequent staff changes within ILO's constituents presents a hindrance to achievement of project results.

Resistance to change is a challenge echoed by multiple key stakeholders interviewed and is a factor challenging the continued relevance and validity of the project design. The project's bulk of work focuses on changing established norms and approaches to work and ways in which labor interactions take place. These are important investments towards modernizing overall labor relations in Uzbekistan but require implementing difficult reforms (e.g. decent work requirement to protect rights of workers but can lead to higher cost for labor inputs) which at times present hindrances to the constituents. The ongoing commitment of the government has assisted in overcoming this obstacle, though the process of changing mindsets over a number of areas tackled by the project, including raised awareness on OSH, social protection, an alternative model for recruitment and employment that removes the need for low productivity forced labor, etc.

Absorption capacity of ILO constituents and beneficiary institutions. The project offered a range of relevant technical assistance (research, trainings, consultations, exchanges, support to legislative drafting, awareness raising materials, etc.) and advisory support to the national counterparts. However, quality of outcomes has been affected to a large extent by absorption capacity for such types of assistance across all partners, in terms of adoption and implementation of new procedures, policies and practices supported by the technical assistance. This is mainly due to a mix of factors discussed earlier around staff turnover and resistance to change. This is also due to the fact that, while thematic areas and policy priorities have been agreed between constituents and ILO, many of them (e.g. OSH, social protection, forced and child labor etc.) were not rooted in Uzbekistan's public administration and social partners' way of work, hence were in need of long term support to create the necessary change. To this end, according to project documentation, 50 labor inspectors were trained on recognizing and addressing child labor and forced labor and OSH in the cotton-growing sector. Interviews with stakeholders suggest that this represents 12.5% of the number of inspectors, which increased from 200 to 400 during the project implementation.

The state restructuring of farms is a factor that may hinder the interest of farmers to embrace OSH reforms. The large-scale farmers may lose land leased from the state, for reasons including the restructuring of farms or failure to comply with the state plan for the harvesting of cotton. Due to issues with land rights, large-scale farmers are not motivated to invest in land productivity, as well as in OSH[35].

[35] See more on http://documents.worldbank.org/curated/en/686761549308557243/pdf/134322-WP-P162303-PUBLIC-Report-Farm-Restructuring-in-Uzbekistan-eng.pdf

> "The productivity of small farms is higher than productivity of larger farms, although they need to pay more than large farms for material, and it is more difficult for small farms to mechanize production. The reason for this is that the rights of small farmers to land ownership are legally protected. The large farmers may lose land leased from the state, due to a number of reasons, as the restructuring of farms, or non-compliance with the plan for placing crops or failure to comply with the state plan for the harvesting of cotton and wheat, the responsibility for which is assigned to local authorities. This outdated system of control over the activities of farms is detrimental to their development and demotivates farmers to invest in the land allocated to them for the use of local authorities, not to mention investing in OSH. From 2020 the government stopped the centralized farming in cotton production, now it will be without the state control."
>
> Quote from a KII

Overall, the **slow pace of reforms in social protection and OSH, as well as more generally human rights and decent work opportunities** has affected the achievement of outcomes (changed government practices) in addressing underlying challenges within the sector and unmet needs of right holders in Uzbekistan. This was also compounded by the limited capacity of the sector to uptake models or approaches into policies, legislation and government mechanisms. These factors present hindrances to achievement of project results.

Social protection as a sector is not well defined and is generally underrepresented in the government's structure in Uzbekistan. The Ministry of Labor and Social Protection in its initial formation was structured to include social protection, however stakeholder interviews noted that even in such structure, the department of social protection was not well staffed and was generally underdeveloped. With reform at ministry level, the Ministry of Labor and Social Protection was transformed into the Ministry of Employment and Labor Relations, whereby the department of social protection was marginalized within this new structure. According to stakeholder interviews and limited secondary sources[36], currently the social protection sector is fragmented due to weakened central government body responsible for policy making in this area, but also due to divided and uncoordinated competencies among different bodies (the Ministry of Finance, State Pension Fund, the Ministry of Health, the Ministry of Labor and Social Protection, and the Ministry of Education)[37], which creates significant challenges for working in this area. Moreover, within ILO, the social protection specialist position was vacant from the end of 2016 until March 2018 , due to staff change. This also decreased the potential of the project to contribute to this sector more significantly (i.e. through provision of more continuous and stable support) during the implementation).

ILO's structure for implementation of the project. While ILO's expertise and support has been valued across the board of interviewed national stakeholders, the evaluation team found a number of cases where delays in activity implementation occurred due to limited schedules of ILO specialists from the Moscow office who in essence are in charge of thematic

[36] At the end of 2019, Government of Uzbekistan and United Nations launch joint programme to strengthen social protection system in the country with aim to address fragmentation of social protection functions across various ministries and agencies by establishing a single government body on social protection. http://www.un.uz/eng/news/display/354

[37] World Bank (2019) Strengthening the Social Protection System Project, http://documents.worldbank.org/curated/en/895931562292157182/pdf/Uzbekistan-Strengthening-Social-Protection-System-Project.pdf

interventions. Each specialist covers a range of countries, with substantial travel required, so the **focus on Uzbekistan was not granted full time**. At the time of slow pace of reforms in Uzbekistan (prior to political transformation at the end of 2016), this work structure did not affect project processes significantly. Following the political change, the pace of reforms was happening at a faster pace and the evaluation team believes the project would have benefited from hands-on support available in-country.

ILO's structure is such that each sector (e.g. social protection, workers' rights, employment) is covered by a sector specialist, which means that sector specialists visit the country when implementation of activities within their sector is scheduled. Limited to no opportunities for all specialists to visit the country at the same time affects coherence of the project, causing **significant 'siloed' approach to implementation,** i.e. limited possibility for collaborative cross-theme/sector interaction or synergies. The coordination of the project was done by a two-person team, which is considered sufficient if such structure is maintained. However, analysis of project reports and stakeholder interviews note that a full hands-on engagement with in-country thematic expertise would have brought stronger results.

3.2. Effectiveness

This section answers the following evaluation questions:

EQ 4. How effective has the project been thus far in achieving its objectives as stated in the project document and detailed in its Comprehensive Monitoring and Evaluation Plan?

EQ 5. How do project stakeholders perceive the project's efforts and contributions toward combatting child labor and forced labor/labor trafficking in the target areas?

EQ 6. How do project stakeholders perceive the project's efforts and contributions toward the promotion of decent work in Uzbekistan?

Finding 4. The DWCP has made notable contributions to improve the policy environment and regulatory frameworks related to realization of fundamental principles and rights at work. The main project strategies to contribute to regulatory changes included: (1) advocacy with tripartite constituents; (2) technical assistance and support to adopt, design and apply international and national labor standards; and (3) capacity development among constituents. Project support improved the policy environment, grew institutional capacities, and promoted innovative solutions to rooted problems related to child and forced labor in cotton sector and social dialogue.

There is evidence of direct contribution of DWCP to adoption and application of relevant ILO conventions (C144, C87, C81, C129, P29) in Uzbekistan. ILO's strategic positioning as partner to the Government of Uzbekistan and other constituents assisted in promotion of, and direct support to, the adoption and application of many international labor standards (ILS). Across the DWCP implementation, ILO worked to raise awareness of ILS through translation and dissemination of materials and publications on relevant ILO Conventions, protocols, and principles, along with the provision of technical advice and advocacy on issues of importance for Uzbekistan's reform of fundamental principles and rights at work. Data collected through document review and stakeholder interviews shows that, in both political

periods (prior to 2016 and since the elections in 2016), ILO managed to maintain constructive dialogue with the government, albeit with more commitment and readiness to invest among the post-election government. Respondents from Government of Uzbekistan and social partners confirmed that the support assisted decision makers and social partners to better understand the fundamental principles and to initiate reform of the Labor Code and more general labor rights, which led to the ratification of a range of Conventions, including Convention on Freedom of Association and Protection of the Right to Organize (No. 87), Tripartite Consultation Convention (no. 144); Protocol of 2014 to the Forced Labor Convention (no. 29), Labor Inspection in Agriculture Convention (no. 129); Labor Inspection Convention (no. 81) (See Figure 2 below).

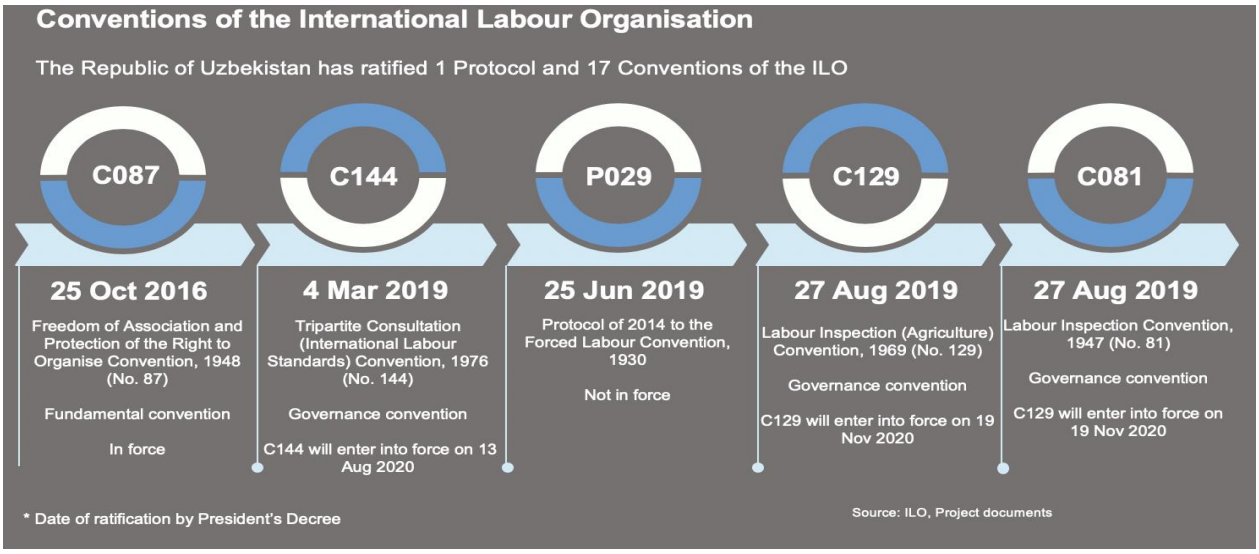


Figure 2: Ratified ILO conventions with support from DWCP in Uzbekistan

Document review and stakeholder interviews emphasized the **key role of ILO and the project specifically for revision of the Labor Code.** The old Labor law was inherited from the Soviet times and offered some outdated and traditional solutions for labor-related issues, which presented a number of obstacles for modernization of the labor system in Uzbekistan. The new government showed interest in changing the Code within the overall reform process, with ILO taking a proactive role in the labor code assessment process. ILO-outsourced this process to national expert to provide the analytical report that assessed the need for and the scope of labor law reforms in Uzbekistan since December 2017 to April 2018.[38]. This resulted in a number of recommendations and views on orientation of the draft revised Labor Code of the Republic of Uzbekistan and draft revised Law on Employment of Population to provide for just laws adapted to Uzbekistan's reality. Stakeholder interviews with ILO and ILO constituents revealed that the assessment process served as the basis for drafting of the revised Labor Code, which was then shared with ILO for comments. ILO provided comments on the level of alignment with international labor standards and practices, while also organizing two seminars where amendments were discussed with specialists from ILO Moscow and HQ in Geneva. According to key stakeholders, the project was instrumental to provide this assistance and to improve the text of the Labor Code, which

[38] ILO (2018), An Evaluation of the Scope of Labor Law Reform in Uzbekistan: Analytical Report

is expected to be adopted in 2020[39]. Some stakeholders noted that the new Code may not be the most modern of such laws; however, its positive side is that it will provide clarity on a number of labor issues and strike balance in the interest of employers and employees in such a way as to facilitate business operations. However, it was not possible to crosscheck these stakeholder perspectives and views on the new draft Code due to evaluation limitations during the COVID-19 crisis.

Table 4: Overview of Project Achievements within Objective 1

IO 1 Capacity strengthened in Uzbekistan for the realization of fundamental principles and rights at work (FPRW)			
Supporting Objectives	**Indicators**	**Achievement Status *(target/value as of October 2019)***	**Assessment of progress**
SO 1.1 A national strategy to apply international and national labor standards designed and implemented	**OTC 1**: Hazardous child labor list approved at the Prime Minister's level (C1)	**OTC 1: *Not achieved*** (1 target/0 achieved)	This target was not achieved since there is no commitment of the government to engage into review of the hazardous child labor list.
	OTC 2: Ratification of Conventions Nos 87, 144, 183, 129 and/or 81 and Protocol 29	**OTC 2: *Overachieved*** (3 target/5 achieved)	Ratified 4 ILO Conventions and 1 Protocol. Expressed interest and commitment in ratification of other ILO conventions: C097, C156, C177, C183 and C187.
SO 1.2 Stakeholders' capacity to implement the National Action Plan for the Application of Conventions No. 138 and No. 182 in Uzbekistan increased	**OTC 3a:** Number and type of activities on promotion of implementation of C138 and C182 implemented	**OTC 3 (a): *Partially achieved*** (14 target/7 achieved)	The project set a target of 14 activities to promote implementation of C138 and C182 and reported achieving 7 activities according to the plan developed under the framework of the Coordination Council on Child and Forced Labor. This target will not be achieved by the end of the project due to low demand for such activities, as child labor in cotton is no longer systematically used.

Finding 5. Joint efforts among the government, social partners, ILO and other relevant development partners contributed to the elimination of systematic use of child labor during cotton harvest by 2016 and the significant decrease of forced labor, particularly in cotton picking seasonal work. Support to the government and social partners to maintain established systems and address capacity needs and social

[39] The draft new edition of the Labor Code has been developed and its latest version was published for discussion in October 2019

norms remain critical to sustain these positive practices, as there is a potential for incidence in child and forced labor in seasonal and other types of labor.

Cotton sector revenue is 20% of Uzbekistan's GDP, requiring around 3.5 million seasonal workers during cotton picking season in 2015 and 1.75 million cotton pickers in 2019. Child labor and more general forced labor practices, particularly in cotton picking, were practices inherited from Soviet times and recorded across population cohorts in Uzbekistan. Uzbekistan was harshly criticized for these practices, leading to deterioration of relations between Uzbekistan's government and the international community (including ILO) in the period prior to 2010. The efforts to reestablish relations between the government and ILO resulted in an agreement to conduct a child labor monitoring mission in 2013 as a sign of good will and government readiness to address these issues. The monitoring mission provided important data on the extent of child labor, but also helped ILO establish links and position itself as an actor to support the government and social partners in the reform process.

Throughout the implementation of the DWCP, assistance was provided through ongoing monitoring of child and forced labor incidence in cotton picking (first by national monitoring run by FTUU, and subsequently by another ILO/World Bank Project for third party monitoring).[40] This was supplemented with capacity development and sharing of international best practices, as well as overall advocacy and awareness raising across the constituency groups on issues of child and forced labor and prevention measures.

One of the most important measures to establish evidence on forced labor in cotton picking was a study entitled "Recruitment practices and seasonal employment in agriculture in Uzbekistan", to understand how the agricultural labor market operates and to generate detailed information on the extent, dynamics, characteristics, and possible evolutions of recruitment practices and working conditions in agriculture in Uzbekistan, with a special focus on the cotton industry. The study sought to understand both the supply and demand side of the labor market for temporary jobs in agriculture, taking into account the plans for mechanization of cotton picking. The surveys were conducted in 2015 and 2016 (based on 2014 and 2015 cotton harvest data respectively), and findings were published in June 2017with a good overview of practices along with recommendations to address the risk of involuntary recruitment to the cotton harvest. In response to the recommendations, the Ministry of Labor with social partners and other stakeholders geared up to test various labor market measures to learn which would be the most effective to maximize voluntary cotton pickers. They desired to focus on locations where there is insufficient supply of local/rural voluntary cotton pickers to meet the needs of farmers. A set of pilot sites were established in Jizzakh and Fergana regions.

As a result, the Project assisted the Ministry of Labor to pilot a recruitment practice model in four districts within the Jizzakh and Fergana regions, with an aim to build capacity and knowledge about fair agriculture recruitment practices among various stakeholders involved in cotton harvesting (including PES, Labor inspectors, Farmers' council, TU, mahalla

[40] ILO has been monitoring child labor in Uzbekistan since 2013 when the ILO high-level mission on the monitoring of child labor was conducted during the 2013 cotton harvest. In 2014, the national child labor monitoring commenced and was later included in the Decent Work Country Programme. In 2015, ILO and the World Bank started third party monitoring on child and forced labor in Uzbekistan.

representatives, farmers, etc.). Additionally, the pilot targeted OSH for agricultural workers and working conditions and building the knowledge of farmers and workers on decent working conditions. Interviews with ILO and national stakeholders confirmed the utility of these trainings; however, this feedback could not be verified from pilot community sources due to evaluation limitations.

Regarding recruitment practices, document review shows that trainings on fair recruitment were conducted in summer 2018 (before the cotton harvest) for the main stakeholders in these regions. This included a Training of Trainer (ToT) training on Ethical and Fair Recruitment Practices for 19 participants from labor inspection, trade unions, Chamber of commerce, Farmers' council, Mahalla fund, and Youth council. In addition, 38 district labor inspectors and 85 trade union representatives were trained on child and forced labor identification and prevention in 2018. Six series of OSH trainings for farmers and their workers (20-25 participants per training) were conducted on the following topics: OSH in agriculture, risk in farms, first aid, farm fair safety, safe use of pesticides, and calculation of the economic costs of poor working conditions. Farmers were informed on practical and easy-to-implement solutions for improving safety, health and working conditions and provided with manuals and guidelines on OSH. Furthermore, the pilot project aimed to improve a regulatory framework and practices for hiring labor in temporary seasonal agriculture in Uzbekistan, which is underway. Evaluation respondents from the ILO and national consultants indicated that training conducted in the pilot regions increased the participants' knowledge in OSH conditions, and it has improved understanding of the risks of forced labor, as well as provided guidance of good practices to prevent forced labor. However, further evidence would have been beneficial.

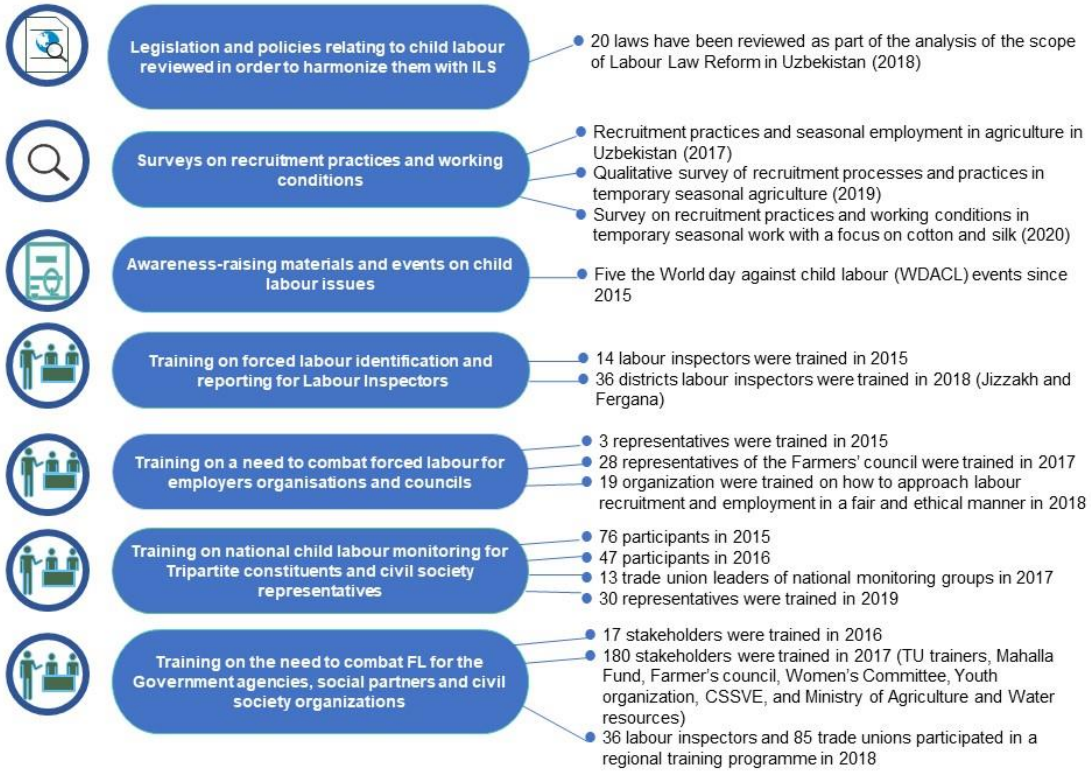
To further support evidence-based decision making on recruitment processes in agriculture, the Project conducted *Qualitative survey of recruitment processes and practices in temporary seasonal agriculture*, based on 2017 harvest data. The results were shared with constituents in 2019. The *Survey on recruitment practices and working conditions in temporary seasonal work in agriculture in Uzbekistan with a focus on cotton and silk* was planned to be conducted in 2020 (2018-2019 data), but this activity has been delayed due to COVID-19.

A range of trainings and capacity development activities have been implemented, engaging tripartite constituents and civil society representatives in national child labor monitoring and to address forced labor issues. An overview of training and capacity building activities related to child labor and forced labor issues organized by the project is presented in Table 5 below (See also Annex E: Analysis of Project Performance for more details on activities related to the stakeholder's capacity to address child labor and forced labor (SO 1.2 and SO 1.3).

In the later stage of the Project, labor inspectors were trained on forced labor identification and reporting, which increased labor inspectors' focus to monitor and combat forced labor within their activities, according to evaluation respondents from ILO and national stakeholders. While the Trade Union continues to monitor child and forced labor incidence, a separate ILO Project on Third Party Monitoring has invested efforts to transition such monitoring roles to civil society. The two ILO projects offer complementary support: the third-party monitoring project assists monitoring with trade union and labor inspections, while the DWCP has built capacities through training and other types of capacity building

support. ILO stakeholders emphasized that the Project deliberately kept trainings separate from third party monitoring to ensure independence and neutrality.

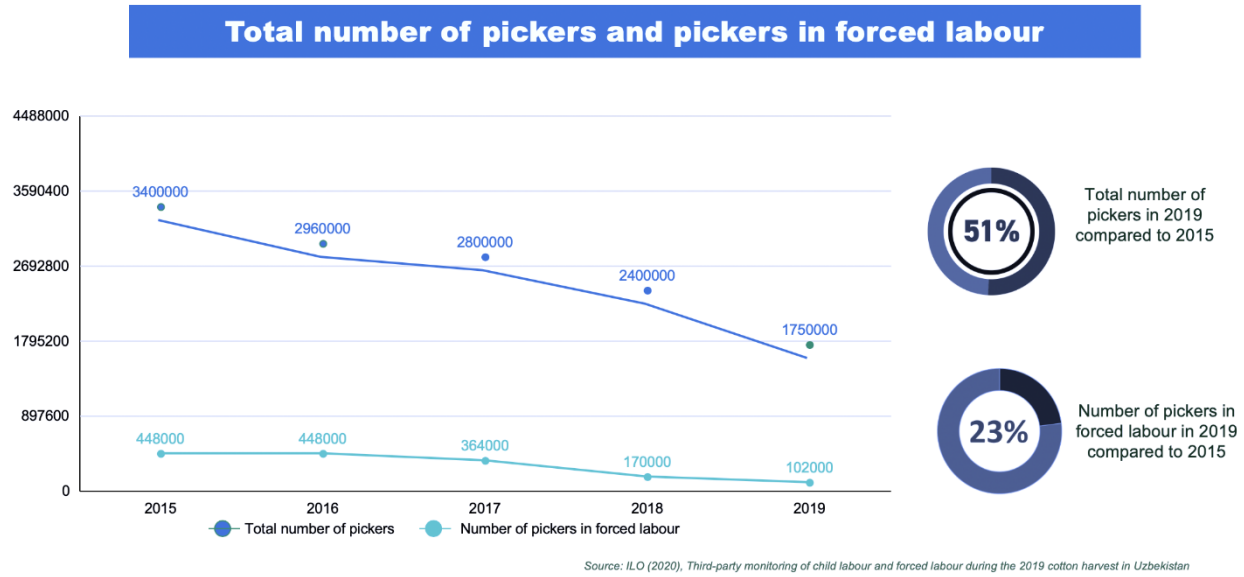
Table 5: Overview of training and other types of capacity building activities



Evidence collected through document review and as confirmed by interviewed stakeholders indicates that the practice of child labor was abolished in cotton production by 2016. Forced labor still occurs, though the most recent data show a decrease by 40% in 2019[41] (See Figure 3 below). Interviewed stakeholders across the spectrum of available key informant groups consider ILO's role as instrumental to this success. However, these opinions could not be further verified due to evaluation limitations.

[41] ILO (2020), Third-party monitoring of child labor and forced labor during the 2019 cotton harvest in Uzbekistan, page

Figure 3: Total number of pickers and number of pickers in forced labor 2015 -2019



Finding 6. ILO provided direct contribution to strengthening of the tripartite dialogue in Uzbekistan.

Document review and stakeholder interviews provide evidence of ILO's contribution to strengthening social partners' institutional capacities and tripartite dialogue in the country. According to available historical records on the status of social partner institutional capacities at the onset of the project and in its early years of implementation prior to political transformation, ILO constituents suffered from extremely weak and/or underdeveloped capacities to deal with decent work issues in the country, but also to engage in tripartite dialogue. The Ministry of Employment and Labor Relations (the then Ministry of Labor and Social Protection) had weak institutional capacities to engage in a number of issues, including social protection and employment, with frequent turnover of staff and lack of expertise due to limited exposure to various international practices and standards. With political transformation, the Ministry received new energy, although frequent changes of ministers and senior officials created delays and required reinvestments to build relations. ILO's investment in nurturing of relations with the Ministry resulted in inclusion of the ILO National Coordinator office at the Ministry's premises. Interviewed stakeholders viewed this as an important positive indicator of the government's/ministry's willingness and commitment to working with ILO on strengthening labor and decent work standards in the country.

The project contributed to improvement of FTUU's capacity for representation of workers. The Federation of Trade Unions of Uzbekistan (FTUU) had more stability over the years in comparison with the Ministry and employer's organization, yet it also faced capacity gaps and the need for further upgrading of skills and knowledge of its structures. The first step towards strengthening the FTUU ability to effectively represent the interests of its members was taken in 2015 when the Project conducted the trade unions' needs assessment. Based on the results of this assessment, the Project organized a series of five Trainings of Trainers (ToTs) for the representatives of FTUU. As a result, the Project reported the

achievement of 29 certified trainers of FTUU, out of which 22 conducted training in 2017 and 2018, and 20 of them continued to provide training in 2019. The Project organized a series of three ToT training for FTUU in 2019 and 2020 on modern education techniques, where 30 representatives of the TUs were trained. Available FTUU feedback noted the utility of these trainings in support to FTUU's work.

Following the October 2016 ratification of the Convention no. 87 on freedom of association and right to organize, ILO focused its work on raising awareness and understanding among trade unions about the convention and what benefits it can bring by promoting trade union independence and internal democracy. The Project organized a series of three trainings in 2018 in Tashkent and regionally to raise trade union knowledge on Convention 87 and other related ILO standards on implementation and reporting to the ILO. According to the document review and stakeholder interviews, these trainings helped to raise leaders' awareness of the Convention, resulting in effective changes to their approach to duties and rhetoric when discussing some labor law-related issues with government and employers. These stakeholders indicated that union leaders' demands to the government became more relevant following this training. Furthermore, ILO supported development of a Law on Trade Unions that was adopted in 2019 and went into effect in March 2020. Document review and interviews with key informants across stakeholder groups noted that the new Law strengthens the protection of workers' labor rights, by giving more authority to Trade Unions to control labor condition. This Law has not yet been reviewed by the ILO Supervisory Bodies.

ILO's engagement with CCIU brought important short-term gains, which were subsequently lost due to new legislative solutions and institutional changes. Over the years of the DWCP implementation, stable support was provided to CCIU through a number of activities to develop internal organizational capacities and services for CCIU members. The Project organized a range of trainings for management and carried out a strategic planning exercise in 2016 that led to drafting of the CCIU Strategic Plan in 2017. However, the Strategic Plan was never adopted by CCIU management. With Uzbekistan's political transformation, the entire CCIU management was discharged and new management was appointed to the CCIU, which led to a significant loss of institutional memory, as raised by interviewed ILO representatives. ILO invested efforts in reestablishing the links and partnership, but this process was slow due to weak interest from the new management to learn about previous efforts. Other challenges included CCIU's reorganized structure and mandate, and the new demands from the Law on Chamber. The Law is disputed by ILO and some other national and international actors for its requirement for obligatory membership, which goes against ILO's principle of freedom of association. As such, ILO has minimized its interaction with the employer's association since 2018. In the meantime, CCIU has expanded substantially -- before political transformation, CCIU had approximately 600-700 employees, while now it has between 3,000-4,000 staff. Additionally, CCIU's sector on OSH, which ILO helped develop, was canceled, so the institutional memory and capacity developed through trainings was lost (See Finding 8 on OSH below). According to some interlocutors, CCIU today is a totally different organization and system than before, which is seen as a huge setback by those respondents.

The Confederation of Employers was established in 2018 following advice from ILO, yet it underwent significant changes and fluctuations in its structures and frequent

reorganization, which provided obstacles to engage in dialogue with employers or other social partners. ILO has worked with the Confederation of Employers, which has the CCIU as one of the founding members, hence all activities aimed at CCIU were moved there. The Confederation is still not a fully functional organization and many activities are not implemented as the demand is small as well as the absorption capacity of the Confederation. Thus far, ILO conducted some trainings for members of the Confederation as well as study tours and participation in international events (e.g. ILO Training in Kyrgyzstan on effective management of employer's associations; training on social entrepreneurship in Georgia; and training on membership strategies in Kazakhstan with CCIU participation). According to evaluation respondents and document review, the trainings were useful for the Confederation to learn the basics on the above-mentioned topics. However, ILO did not manage to organize a master training for all people in the Federation.

There is evidence of ILO's direct contribution to establishment of the Republican Tripartite Commission on Social and Labor Issues. Ongoing awareness raising and advocacy carried out by ILO and its constituents on the need to invest and promote dialogue, as well as extensive training of each party to the dialogue and support to ratification of ILO Conventions 144, resulted in approval of the Republican Tripartite Commission on Social and Labor Issues in July 2019. This Commission was established by a Decree of the Cabinet of Ministers of the Republic of Uzbekistan No. 553 for which ILO provided comments and suggestions that were to a large extent included in the final version of the decree. Evaluation respondents noted that the Commission is still new and needs to strengthen its role and recognition, but its establishment was a confirmation of government's commitment to the ILO Convention 144 (Tripartite Consultation (International Labor Standards) Convention, 1976 (No. 144), which was also ratified in March 2019 and is to come into force in August 2020. Further efforts of ILO in relation to the ratification of the Convention no. 144 included trainings and international events on the Convention to share international practices and standards of social dialogue. The ratification of this Convention is an important milestone for Uzbekistan as it helped establish a national mechanism for dialogue, through which social partners can be engaged and voice their needs and views on the reform process. All interviewed stakeholders agreed that this was an important added value of ILO, and the review of documents and contextual data confirms this, as establishment of the social dialogue has been noted as important reform move in Uzbekistan.

Table 6: Overview of training and other types of technical assistance related to social dialogue

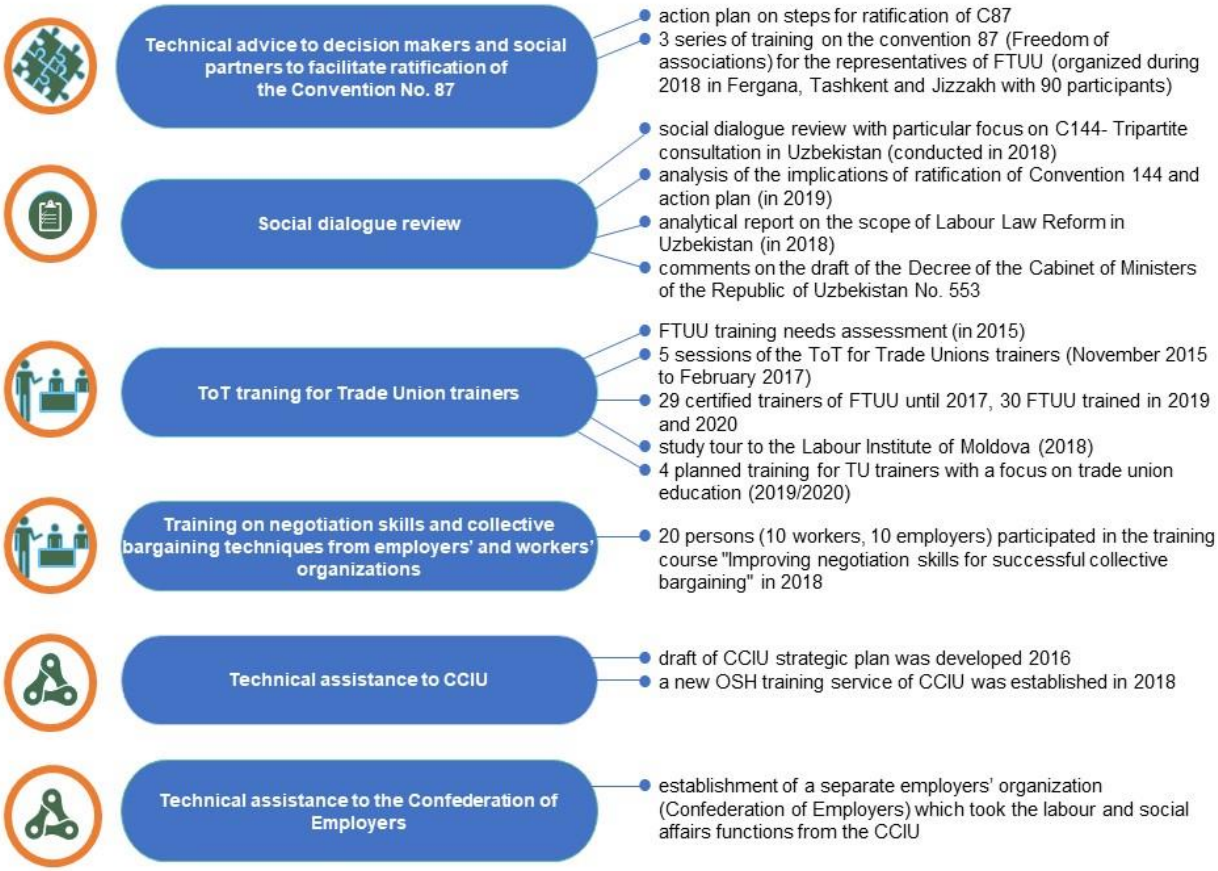


Table 7: Overview of Project Achievements under IO1

IO 1 Capacity strengthened in Uzbekistan for the realization of fundamental principles and rights at work (FPRW)			
Supporting Objectives	**Indicators**	**Achievement Status** ***(target/value as of October 2019)***	**Assessment of progress**
SO1.3 Stakeholders' capacity to address forced labor increased	**OTC 4 (a):** Number of institutions/stakeholders that implement FL-related activities covered within the Coordination council on child and forced labor issues work plan	**OTC 4 (a):** ***Achieved*** (4 target/4 achieved)	The project reported that all four national counterparts responsible for the implementation of this plan (Ministry of Employment and Labor Relations, FTUU, CCIU, and the Coordination Council) have been involved in the implementation of plan activities (such as national child and forced labor monitoring, third party monitoring, support of feedback mechanism, etc.). In 2019, the Subcommittee for Combating Forced Labor was established.
SO 1.4 Social dialogue mechanisms to promote FPRW improved	**OTC 5**: An official document approving the establishment, functions and operation of a tripartite dialogue mechanism is available.	**OTC 5:** ***Achieved*** (1 target/1 achieved)	The Republican Tripartite Commission on Social and Labor Issues has been established by a Decree of the Cabinet of Ministers of the Republic of Uzbekistan No. 553 of 3 July 2019, in line with ratified C144.

Finding 7. The project's contribution to fostering decent employment opportunities in Uzbekistan was minimal. ILO conducted different advocacy activities with the Ministry of Employment and Labor Relations, which helped raise government interest for the topic of decent employment opportunities. However, besides technical support for strengthening Public Employment Service, the project did not conduct planned activities as stated in the Project Document.

Document review and stakeholder interviews indicated that ILO conducted a range of advocacy activities with the Ministry of Employment and Labor Relations such as: (1) the ILO Moscow director discussion on the priorities with the Minister in 2017, (2) a round table "*State employment service in Uzbekistan - pressing issues*" in April 2018 with the lead of the ILO DWT-CO Moscow Specialist on Employment, and (3) support for five representatives of the Ministry to attend a course on Designing effective and inclusive national employment policies (held in ILO ITC Turin in September 2018). Besides, the DWCP delivered tailored training to PES Based on the results of a 52-person Assessment of the Public Employment Service (PES) conducted by the ILO in 2018, the project delivered tailored training to PES. This final evaluation could not establish concrete evidence on the level to which the Project contributed to strengthening of PES.

The Development of the National Employment Strategy is still a priority for the government, and it was included in the latest Action Plan for 2019-2020 "Road Map" for implementation of the Decent Work Country Project in Uzbekistan and extension of cooperation with the ILO.

However, activities related to employment that were planned under this project were taken over by another ILO regional project funded by Lukoil (Project titled: Partnership for youth employment in the Commonwealth of Independent States – YEP CIS[42]), which has a full focus on youth employment issues.

Table 8: Overview of project achievements under IO2

IO 2. Decent employment opportunities promoted: Institutional supports for decent employment opportunities enhanced			
Supporting Objectives	**Indicators**	**Achievement Status** ***(target/value as of October 2019)***	**Assessment of progress**
SO 2.1 A knowledge base on the national employment framework with focus on youth employment established	**OTC 6**: A national employment strategy document available	**OTC 6:** ***Not achieved*** (1 target/0 achieved)	The project intended to provide technical support for development of a national employment strategy, which was not achieved by October 2019, as no activities targeted at a national employment strategy were conducted. Different advocacy activities with the Ministry of Employment and Labor Relations were conducted by ILO, including a discussion on priorities between the ILO Moscow director and the Minister, a round table, and participation support for 5 representatives of the Ministry to attend a course on designing effective and inclusive national employment policies. The Project reported that employment is no longer considered a project priority because employment related activities will be taken over by the Lukoil project, thus funding is envisaged to be redirected to further intensifying fair recruitment related activities.

Finding 8. The Project's engagement in improvement of working conditions and social protection did not bring expected catalyst effects due to delayed, suboptimal and rather fragmented approaches, despite being critical to a holistic approach to addressing decent work. Given the early stages of the initiatives in both OSH and social protection, it is too early to assess the outcomes of the efforts.

Review of project documentation shows that the project focus, especially in the early years of implementation, was primarily on establishing the evidence base on child and forced labor

[42] For more information please see the following link: https://www.ilo.org/global/topics/youth-employment/projects/cis-partnership/lang--en/index.htm

and strengthening institutions to respond to challenges related to child and forced labor. With increased recognition and buy-in by the constituents, ILO started investing in a wider scope of institutional capacity development of national stakeholders beyond 'fundamentals' (i.e. child and forced labor issues), to include focus on reform of labor inspections to enhance their capacities for wider decent work issues, such as OSH and social protection. The main challenge addressed in this area was the state of labor inspection in Uzbekistan at the time, with struggled with severe staff shortages and weak capacities particularly in the regions outside the capital. Throughout the period since 2016, ILO invested significant efforts in training of its constituents on issues of OSH, particularly labor inspection but also in supporting the government to ratify Convention 81 and 129 that deal with labor inspection issues and to amend the Law on Labor Protection in 2016.

This evaluation found evidence of improvement of the tripartite constituent's capacity for implementation of the OSH management system. For example, with support of the project, FTUU organized a celebration of the World Day for Safety and Health at Work by organizing the summer youth camp (attended by 150 children in 2018). Project support also contributed to CCIU's establishment of a department in charge of OSH issues that has delivered training to its member since 2018. The evaluation team could not confirm the transformational potential of the youth camp or the wider results of the project's engagement in OSH.

Document review and stakeholder interviews confirmed that **the project did not succeed to assist in the development of the National OSH Programme**. The National OSH profile was planned to serve as a baseline study, but its preparation was postponed until 2017 (and finalized in 2018), which coincided with government's decision to prioritize strengthening capacities of the labor inspectorate. Hence, attention was shifted to working conditions of agricultural workers in Jizzakh and Fergana regions. This is noted as a missed opportunity of the project by some stakeholders.

The evaluation team could not find evidence of the Project's contribution to increase the capacity of social partners to apply collective bargaining mechanisms and tripartite consultation principles in wage-setting. Document review shows that, on the one hand, this was affected by the resignation of the ILO DWT-CO Moscow Wages Specialist (however, ILO HQ specialists have been present). On the other hand, there has been a lack of government interest in this topic compared to other areas of work. Still, some positive steps can be seen in the fact that, in June 2018, the tripartite constituents signed the Tripartite Review of Mechanisms of Consultations on Wages that was developed by the ILO Moscow Wages specialist. Furthermore, there is no strong evidence that can prove the improvement of social protection issues and relevant ILO standards, as activities related to this topic were postponed from end of 2016 until March 2018 when the new Social Protection Specialist joined ILO Moscow. The project succeeded to train 36 representatives of the trade unions on advocating for strengthened social protection system in 2019. Interviews confirmed that two prepared reports (the Assessment of the Social Protection System in Uzbekistan and Social Protection Country Profile) contributed to obtaining $2 million SDG funding for ILO-UNICEF-

UNDP Joint Programme on Accelerating Agenda 2030 in Uzbekistan through inclusive transformation of the social protection system [43].

Table 9: Overview of training and other technical assistance related to OSH, wage setting mechanism and social protection

Finding 9. The project has significantly supported the prevention and reduction of child labor and forced labor in cotton production and overall promotion of decent work in Uzbekistan.

Evaluation findings suggest that **progress towards enhanced compliance of Uzbekistan's legislation with international standards on child labor and forced labor has been the project's most important achievement that triggered various reforms**. The country made significant progress in aligning national legislation with international labor standards. By 2020, Uzbekistan had ratified 17 ILO Conventions and 1Protocol, out of which 4 ILO Conventions and 1 Protocol were ratified during the project implementation with significant support from the project as evidenced by this evaluation.

[43] This is a two-year programme to Design: "a national leadership and coordination entity that is capable of undertaking key policy decisions" (UNICEF lead component), "a comprehensive and costed national social protection strategy in line with international human rights mechanisms and social security standards" (ILO lead component) and "pilot the ICF and CRPD-compliant disability assessment and social service delivery schemes, analyze the lessons learnt from high impact integrated interventions for people with disabilities" (UNDP lead component).
https://www.ilo.org/moscow/projects/WCMS_745442/lang--en/index.htm

Document review and stakeholder interviews provide evidence of direct project contribution to the **prevention and reduction of child labor and forced labor since 2014, leading to the situation where systematic child labor in the cotton sector is not present in Uzbekistan, and forced labor has significantly decreased in the same sector**. Dialogue on forced labor is now institutionalized in Uzbekistan, which established a National Commission on Forced Labor and Human Trafficking in 2019 that replaced the Coordination Council on Child Labor and Forced Labor (functional since 2014). A draft law on amending the Criminal Code introduced criminal liability for the use of child labor. Furthermore, on 6 March 2020, the President signed the decree that ordered the abolition of a state quota system for cotton crops. According to available data, child labor in the cotton sector in Uzbekistan is abolished, while incidence of forced labor has significantly decreased in this sector, despite the fact that according to stakeholder interviews other sectors still suffer from such practices, particularly seasonal work.

Significant results have been achieved in introducing social dialogue, decent work practices and mechanisms, as well as OSH (to a lesser extent), which have a catalyst potential towards enhancing social partners' capacity to address the challenges and implement adequate and informed interventions to prevent and punish illegal and harmful practices. According to information provided by ILO:

> "*Participation of the social partners in the activity of the national tripartite commission on OSH has to be considered as an important contribution in designing and implementing more effective policies and strategies in this area, as well as the improvement of their capacities to participate in the OSH committees at the enterprise level. Important contribution from the project can be noticed as well by providing technical support to all three constituents and enhancing their capacity to participate in the development and implementation of an effective OSH management system. As result of the ILO intervention, important achievements can be noted in developing the institutional capacity of the Labor Administration system, particularly Labor Inspection, in improving working conditions through better compliance with the OSH and labor relation rules and regulations. The changes in the legal framework adopted in the years 2018-2019, followed by important improvement of the institutional organization of the Labor Inspectorate, conducted to significant contribution of this essential enforcing institution to the monitoring and control over working conditions in general and the utilization of forced labor in particular*"[44].

This evaluation could not triangulate this data with inputs from other stakeholders due to evaluation limitations. The evaluators cannot substantiate how output and emerging outcome level results noted above will bring transformative effects in the respective areas, as evaluation could not establish strong evidence beyond output level due to evaluation limitations.

[44] Information received in May 2020 by ILO on issue of OSH.

Table 10: Overview of Project achievements within IO3

IO 3. Improved working conditions and social protection: Strengthened law and policy on working conditions and social protection in Uzbekistan			
Supporting Objectives	**Indicators**	**Achievement Status** ***(target/value as of October 2019)***	**Assessment of progress**
SO 3.1 Effective occupational safety and health (OSH) management system developed	OTC 8: National OSH programme adopted by the Government of Uzbekistan	OTC 8: Not achieved (1 target/0 achieved)	The project set as a target adoption of the National OSH programme by the Government of Uzbekistan. Until March 2020, this indicator has not been achieved and the process of development of this plan has not started yet. In the TPR October 2019, the project reported that "the Government is prioritizing the capacity strengthening of the labor inspectorate, and within the timeframe of the project the OSH programme will not be developed".
SO 3.2 Capacity of social partners to apply collective bargaining mechanisms and tripartite consultation principles in wage setting increased	OTC 9: Training participants apply their knowledge in collective bargaining and/or tripartite consultations on wage setting (qualitative)	OTC 9: Not achieved (yes/no indicator: target: yes/ actual: no - not achieved)	The evaluation did not provide evidence that fully supports this statement. Document review shows that, on the one hand, this was affected by the leave of the ILO DWT-CO Moscow Wages Specialist (however, ILO HQ specialists has been present), and on the other, there has been a lack of government interest in this topic compared to other areas of work.
SO 3.3 Stakeholders' awareness of ILO instruments and approach on improving social protection increased	OTC 10: % of trainees completing the post-training questionnaire with a score over 85%	OTC 10: not achieved (80% target/0% achieved)	The evaluation has not found evidence that can prove the achievement of this target. In particular, activities related to this indicator were postponed until the Social Protection Specialist joined ILO Moscow in March 2018. Until October 2019, the project has conducted a 1.5 day workshop " Advocating for strengthened social protection system". The post-training knowledge test was not conducted.

3.3. Efficiency

This section answers the following evaluation question:

EQ 8. How have factors related to project management and design, including designation of key personnel and staff capacity, affected efficiency efforts? Please identify relevant efficiency challenges, good practices, etc. (human/financial/etc.).

Finding 10. ILO applied due diligence in management of funds. While project implementation saw a slow start at the beginning of the project along with significant delays, the evaluation findings indicate that such delays are justified given the challenging operational environment in Uzbekistan and the need for incremental change and sensitivity of topics tackled within the project intervention.

ILO has well defined procedures and processes that ensure due diligence in project implementation, as well as transparency and strong accountability, particularly through ongoing monitoring of project performance. Additionally, due to its international positioning with regards to labor standards, ILO's engagement ensures full adherence to international agreed labor standards and values, which are extremely important and valuable for sensitive work issues such as child/forced labor and decent work more generally.

Review of historical records and available financial information shows that the project saw slow utilization of funds up to 2016, due to the slow start of many activities[45] and according to the Mid-term Evaluation of the project, 34% of the budget had been spent by April 2017[46] ($2,010,939)[47]. Within the period between 2017-2018, $2,186,311 was spent, while $1,537,241 was allocated for 2019 and $620,576 for 2020. Evaluation team did not receive annual expenditure data for 2019 and 2020.

Overall, the project allocated 80% of resources to component I (Fundamental principles and rights at work), and the rest to component II (Decent employment opportunities) and III (Improved working conditions and social protection), which is slightly less than initially planned.[48] This confirms the status of child and forced labor as main focus of the project. As of June 2020, the project had spent 81.5 percent of its outcome-based budget over the 65-month period of implementation, which indicates that budget has been to some extent underspent.[49] The rest of the budget was planned to be spent by the end of the project, as the no-cost extension was approved to extend the project until September 30, 2020, for the project to address the issue of forced labor, support the application of International Labor Standards, improve Social Dialogue and Social Protection and strengthen the work of the Labor Inspectorate.

[45] ILO Mid term evaluation 2017, p. 34

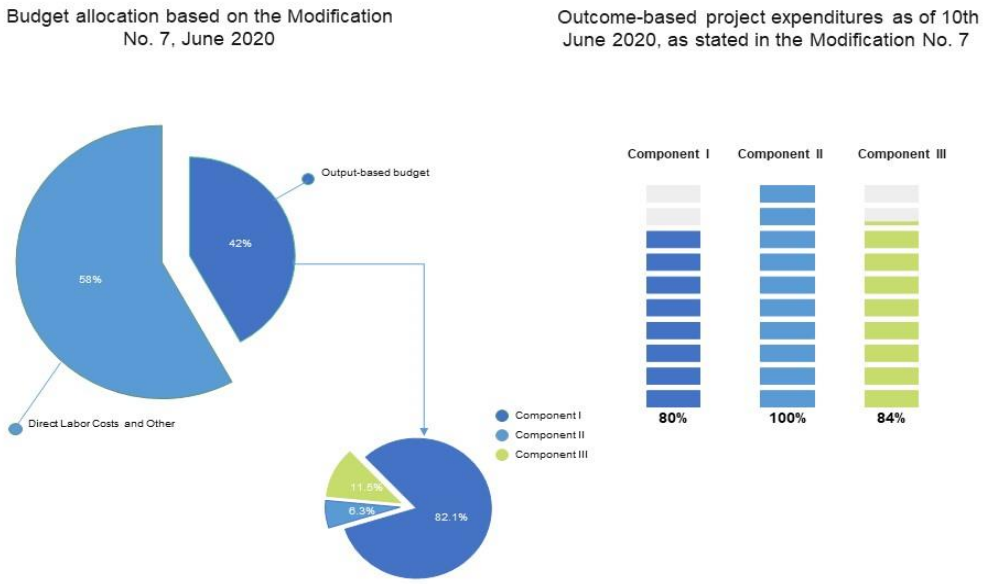
[46] Mid term evaluation noted that $683,110 spent in 2015; $972,762 spent in 2016; and $355,067 spent as of April 2017 (LO Mid term evaluation 2017, p. 34)

[47] Ibid, p. 34

[48] 82% of was planned for Component 1 in the initial outcome-based budget, 80% in the revised outcome-based budget (modification No 3.), 84% in the outcome-based budget (Modification No. 5), and 80% in the latest outcome-based budget (Modification No 7).

[49] ILO Project team provided data based on the Modification No 7.

Figure 4: Overview of project budget and expenditure



Finding 11. ILO's institutional structure for this project (two- person team in-country for coordination and sector experts based in Moscow) hindered efficiency of the project.

The project has been implemented by an experienced team of experts based in Uzbekistan and in the ILO Moscow office, which brings some challenges. The ILO structure is complex with hierarchical lines of responsibilities for checks and balances across project implementation. The ILO structure includes a core, field-based coordination project team in Uzbekistan with a pool of technical specialists on a range of ILO topics based in Moscow. ILO's headquarter in Geneva engages with the project in decision making on a range of administrative, financial, and programmatic issues. This type of structure creates difficulties and challenges in implementing projects that happen in a complex and rapidly changing environment such as Uzbekistan, particularly following the political change. As stated by some key informants, the new context demanded fast response and action, which the project, with such complex decision-making structure struggled to handle in a timely manner. Most of the interventions depended on availability of ILO Moscow-based specialists, which made it difficult to plan activities as these specialists work on other projects covering a range of countries across the region. For instance, the social protection component was delayed for three and a half years[50] due to lack of a social protection expert within the ILO ranks (Social Protection Specialist joined ILO Moscow Office in 2017), which affected

[50] Social Protection Specialist joined the ILO DWT-CO Moscow in March 2018 and undertook the first mission to Uzbekistan in May 2018.

achievement of planned results. Delays in project implementation and lags in decision making presented notable project inefficiencies.

There have been two changes in the post of the Project Chief Technical Advisor. These changes did not affect the overall project implementation significantly, however the pace of activities slowed during the transition periods for the CTA position. Upon resignation of the second CTA, there was a proposal to downgrade the position of the CTA from P5 level to Project Manager, P4 level starting September 13, 2019, and the M&E officer assumed the role of Project Manager. A new M&E officer was recruited by the end of 2019 (See Figure 1). This change was approved by USDOL with an agreement to move the difference in cost of a P4 position to activities.

Finding 12. Time lapse in finalization of project document and budget affected the pace of project implementation.

There have been seven modifications since the start of the project. The main project modification was approved on (September 21, 2015) and entailed a funding increase of US $4 million along with a 48-months extension. As the main stakeholders showed interest to further develop the cooperation with ILO, USDOL awarded a cost increase and time extension to enable the project to achieve its aim to promote decent work in Uzbekistan, with a focus on the prevention and reduction of child labor and forced labor. However, the revision of the final project document and the budget in line with this modification took a long time to be approved, as it was approved in May 16, 2017 (Modification No 3). Interviews with ILO and USDOL interlocutors and the findings from the mid-term evaluation noted that the project revision process to ensure a well-articulated project design and workplan within the changing context in Uzbekistan, as well as clearance of final project document, was lengthy. These factors contributed to the slower pace of project implementation in the first half of 2017.

3.4. Sustainability

Sustainability of results of the project has been analyzed from a regulatory and institutional capacity perspective.

This section answers the following evaluation questions:

EQ 9. How is the project promoting the sustainability of expected outcomes with stakeholders (i.e. government, local authorities, civil society, relevant UN bodies, etc.)? Is it likely that the results achieved will be durable and continue after the end of the project?

EQ 10. What are the major challenges to achieving sustainability? What opportunities exist to support sustainability?

Finding 13. The Project has delivered a number of researches, technical and legislative outputs (international standards, legislative drafts, evidence base, capacity development etc.) that strengthen the capacities of ILO constituents to implement their mandates. However, sustainability is mixed.

The project support yielded positive changes at individual, institutional and community level. The evaluation team found that years of investment in advocacy on issues of child and forced labor as well as capacity building of staff within the Ministry of Labor and

other ILO constituents **have created a critical mass of people within MoL and social partners who are more aware and capacitated to lead the reform forward**. The investment in strengthening methodologies and capacities for evidence gathering and transforming it into comprehensive legislative solutions and ratified ILS creates a nucleus of institutions, which are set to continue applying such approaches. This process is rather irreversible, as noted by interviewed stakeholders. A good example is the on-going commitment to improving decent work standards and monitoring adherence to these standards as well as improved quality of labor regulation for the country.

Sustainability of the reforms in the area of child and forced labor and decent work more generally is possible only by developing an appropriate policy and legal framework. There is evidence that institutional set up and the regulatory framework has been improving throughout the project implementation, particularly within the period of 2017-2020. The legislation and conventions adopted/ratified throughout the period of project implementation ensure that Uzbekistan's regulatory framework is in line with international labor standards and provide improved protection of citizens in various roles and contexts. As a result, foundations for systems for prevention and combating child and forced labor have been established and already offer excellent results and are found to be sustainable.

The project introduced various concepts, standards, and models related to child and forced labor, OSH, social protection and decent work through which the project invested in developing the national capacities to lead the reforms, implement new laws and ratified conventions and use such new practices, methodologies and tools. The evaluation team found that the **capacities of constituents' institutions have been developed and are sustainable as a critical mass of staff within these institutions have been exposed to the capacity building assistance in their respective areas of expertise**. This is an important sustainability factor as built-in capacities in institutions ensure that new practices introduced have a potential to remain and be ingrained in the institutional structures. The fact that new knowledge is applied, and that evidence collected by the national partners on issues of child and forced labor gets stronger year after year indicate that outcomes of support are sustainable. These changes also have their sustainable impact on societal level, as the society, and particularly those who are vulnerable, benefit from better oversight and protection of child and labor rights, and introduction of some decent work measures. The evaluation team noted great interest among national stakeholders especially in the field of child and forced labor, where as a result of rapid evolution of government commitment, fundamental changes took place.

However, **staff turnover, frequent institutional and organizational structure changes and varying commitment for using the newly acquired competence, skills and knowledge reduce the benefits of capacity building investments**. These factors have a strong influence on the institutional memory, due to the fact that trainings and other intervention could not ensure that entire teams were included in such interventions. This is visible for example in the situation with the CCIU, where institutional memory of support was lost with change of CCIU's management. Frequent changes of ministers of labor also affect the pace of reforms, especially when each new minister brings a new group of staff while "old" staff leave, halting or slowing down the already started reform processes.

New social dialogue mechanisms and improved structures (e.g. Labor inspectorate) have strong sustainability potential, and social partner institutions are reported to have an increasingly strong profile in their areas of work. Achievements in adoption of a modern legal framework in the field of labor rights, introduction of new standards of inspection and decent work, new work practices, and social dialogue are ready to be mainstreamed into the system and rolled out to the regional and local level. Introduction of mechanisms that systematically organize cooperation and foster dialogue between interested parties have been evidenced to be good tools to support the process of transforming project results into sustainable practices. By establishing the Republican Tripartite Commission on Social and Labor Issues, for instance, the national constituents demonstrated commitment to building strategic links among stakeholders to ensure more systematic social dialogue. However, there is certainly a lot to be done in terms of strengthening the human resource structures, financial and regulatory mechanisms for the implementation of these practices and mechanisms.

The DWCP has been effective in ensuring ownership of its outputs by national stakeholders. **The sustainability of the assistance to a large scale depended on the readiness and commitment of the national counterparts to institutionalize new practices and approaches.** Long term project duration, good strategic and operational planning, and stable donor assistance along with high level of commitment and ownership shown by the ILO constituents ensures sustainability of the reform activities in most areas targeted by the project as evidenced by this evaluation. However, sustainability prospects are weak particularly in areas of OSH, social protection, bargaining mechanisms and employment. The is due to limited and/or short period of engagement with the respective sector; and limited scope of engagement particularly in the areas of social protection and employment. Overall, the evaluation team found strong ownership and commitment of national stakeholders over the interventions and results of the project, which is a critical driver of sustainability.

The sustainability of gained results naturally depends on potential negative effects of the COVID-19 pandemic and its likely economic impacts, which may include high levels of unemployment and increased poverty. It is reasonable to assume that progress of reforms in the field of social protection, decent work and other areas of employment, may be affected by these factors. Ongoing monitoring and strengthening capacities of social partners in Uzbekistan are needed to ensure that reform gains are not reversed.

IV. CONCLUSIONS

Following are the evaluation team's conclusions based on the findings. The conclusions are organized according to relevance, effectiveness of strategies and interventions, efficiency, and sustainability.

4.1. Relevance

The DWCP project in Uzbekistan was relevant over the period of implementation, particularly after 2017. Project interventions were in line with national sector strategies and actions plans, as well as with Uzbekistan's aspirations to align its national labor regulations with international labor standards. ILO engagement through the DWCP project has been a driving force behind the development of national regulations, and ratification of

ILO conventions, as well as commitments to the protection of children and workers. Through its efforts and support measures, the project catalyzed relevant action for monitoring of child and forced labor, produced essential evidence through studies and special reports, and showed agility and responsiveness to government commitment to adhere to ILS. The project's persistent advocacy and commitment to increasing the involvement of duty bearers and social partners has imprinted strong local ownership of the project's results and more general ILO support.

Project design has been challenged by an insufficient theory of change and weak indicators. The project objectives and strategies are appropriately broad and allow ILO to respond to government and reform demands and rising or unmet needs of social partners and beneficiaries (particularly children). The project's theory of change failed to fully elaborate the pathways for how inputs, outputs and intended project outcomes lead to the project goal. The results framework suffers from predominantly output/activity level indicators, which are not helpful to indicate project's progress towards achieving results beyond outputs.

4.2. Effectiveness of Strategies and Interventions

Contribution of the project to its targeted results are overall positive with varying degrees in specific sectors. The project fully or at least partly achieved all of its planned objectives, and there is evidence of contribution to progress towards the envisaged outcomes. Since 2014, the project has delivered useful results across most areas of intervention and in particular child and forced labor, which supported the reform goals across the sector through informed and improved legislation, enhanced institutional capacity, modernization of practices and social dialogue. The most significant results are visible in prevention and combating child and forced labor in the cotton sector, with practical abolishment of child labor and significant decrease of forced labor. However, varying effectiveness of interventions is noted in the areas of social protection, bargaining and employment.

4.3. Efficiency

ILO's organizational structure and underspent budget due to contextual issues have created some inefficiencies. ILO ensured due diligence in financial management of the project across implementation, adhering to the ILO and USDOL financial standards. The budget utilization was quite slow until 2017, when a boost in project implementation was visible. The main factors contributing to inefficiencies included suboptimal project structure with a two-person team in-country, a pool of ILO thematic specialists contributing from the Moscow office, and ILO's headquarter in Geneva engaging with the project in decision making on a range of administrative, financial, and programmatic issues. While this ensured availability of stronger experts, there were delays in implementation of interventions. This structure only allowed sector specialists to visit Uzbekistan when needed for their related sector interventions which contributed to the project's siloed approach to implementation. Due to different contextual issues (e.g. slow utilization of funds in the first few years, staff changes, political context), the project underwent seven modifications, approval of which brought some delays that affected overall efficiency.

4.4. Sustainability

While the project has achieved important outcomes in all areas of its intervention, the sustainability prospects of these achievements are mixed. The project has invested important resources in developing the national capacities to lead the reforms, implement new laws and conventions and use new practices, methodologies and tools. The current regulatory framework is strong and lays foundations for further development and expansion of services and is in line with international labor standards. The level of sustainability is relatively strong in the areas of child and forced labor in the cotton sector and social dialogue, and variable within social protection, OSH and employment. Challenging political context, staff turnovers, frequent institutional changes and sometimes low commitment for using the newly acquired competence, skills and knowledge reduces the benefits of capacity building investments. The reforms in the field of labor and decent work in Uzbekistan still has a long way to go. There is a need to continue reforms in order to ensure reform gains and associated outcomes are sustainable. Additionally, the financial constraints that may materialize with economic crisis due to the COVID-19 pandemic may demand further dependence on external funds.

V. LESSONS LEARNED AND PROMISING PRACTICES

This section lists and discusses lessons learned and promising practices that could benefit similar projects.

5.1. Lessons Learned

- **Projects operating within a sensitive or politically challenging settings require an elaborate theory of change and results framework.** Strong TOC for comprehensive interventions engaging with a range of thematic areas within challenging context is key to ensuring clear understanding of how different interventions mutually contribute and provide for transformational change across a given topic. This is particularly relevant for sensitive issues such as child and forced labor and decent work, which require political buy-in and commitments. A well elaborated TOC with clear pathways showing how inputs, outputs and intended project outcomes lead to project goal, as well as analyzed assumptions and risks can help constituents better understand and promote the project goals among their peers. To enhance sustainability and help ensure accurate results are captured, future projects funded by USDOL in Uzbekistan should be based on a stronger results framework with a clear hierarchy of (SMART) indicators linked to each level of result (i.e. at output-outcome-impact levels) to changes at all levels of implementation.
- **Projects operating in countries encountering rapid reforms require full in-country expertise to provide timely response to needs and priorities**. Countries undergoing rapid reforms, particularly in sectors where in-country expertise is scarce or underdeveloped, require versatile sector specialists to provide relevant technical assistance to tackle reform priorities towards achieving better results. While it is understandable that more senior sector experts can be outsourced when needed, having an in-country team with relevant sector expertise is a prerequisite for improved relevance, efficiency and effectiveness to support project interventions.
- **Decent work is a multidimensional concept encompassing a vast array of issues and challenges that needs to be tackled comprehensively to ensure full protection of rights and opportunities for workers.** Depending on a country context and level of development, programs investing in decent work enhancement may take a staggered approach, dealing with fundamentals first and then further developing other relevant areas while securing more buy-in. However, excessive focus on a specific set of issues within the wider framework of decent work programs (e.g. child and forced labor in the case of DWCP) takes away from a holistic approach to improving decent work overall as other areas do not get the same level of attention, which then creates a threat of uneven development of the sector overall.

5.2. Promising Practices

- **Emphasis on the fundamental principles within the decent work agenda (such as elimination of child and forced labor) through evidence-based advocacy and institutional development with adherence to international human rights principles and standards brings higher return in terms of realization of human**

rights. Programs focusing on issues of elimination of child and forced labor need to tackle a multitude of social norms and rights, capacity and awareness issues which go beyond provision of technical assistance. In addition to capacity development and awareness raising, the DWCP project in Uzbekistan has included a range of research activities, advocacy and advisory services to the government and social partners, together with investment. This has brought strong returns in terms of elimination of systematic child labor in the cotton sector.

- **Combining ambitious and realistic expectation of what can be achieved in a given timeframe is of critical importance for good programming and implementation within a given operational framework.** Approach to addressing very sensitive topics with governments that are reluctant to take action or are taking action under pressure (duress) should be such that the project's core messages (to advocate for the elimination of child and forced labor, OSH, role of inspections etc.) are formulated well, taking into account the capacities, sensitivities and political context. At the same time, these core messages need to be sufficiently ambitious and elaborate in terms of their catalyst potential to allow national stakeholders to understand the outcomes of positive action in a certain field. Allowing stakeholders to take action in a more neutral setting as partners rather than beneficiaries helps achieve stronger results.
- **Interventions based on evidence bring better and more sustainable results**. Basing interventions (support to regulatory and institutional changes, new approaches and interventions, etc.) on evidence (e.g. from research studies and analytical papers; piloting and modeling) help inform project partners of what can realistically be done within their particular areas. The project has invested significant resources in researching and analyzing Uzbekistan's context and challenges and piloting mechanisms and approaches to provide the evidence base for the government and social partners to better understand what approaches may work within Uzbekistan's setting. This was considered helpful and a good practice of the project.

VI. RECOMMENDATIONS

The following **recommendations** are intended to provide suggested actions that can further strengthen project outputs and outcomes and increase the potential for sustainability.

6.1. Recommendations for USDOL (and ILO)

Recommendation 1. USDOL should consider continuing to fund decent work interventions in Uzbekistan. This (continued) support should be founded on a stronger Theory of Change and appropriate results framework which includes higher level outcome indicators to better measure change.

The DWCP has delivered a number of results across most areas of interventions that supported Uzbekistan's reforms in the field of decent work and alignment with international labor standards. Early outcomes are materializing but are extremely fragile to external factors, including challenging political context and underdeveloped institutions and social dialogue mechanisms. USDOL (and ILO) should consider continuing to support national stakeholders to scale up and institutionalize functional mechanisms and models in line with international standards. Specifically, USDOL should continue supporting collection of evidence on child labor (extending beyond the cotton sector) and forced labor; enhancing capacities of labor inspection and social dialogue.

It is recommended that continued support builds an elaborate project theory with a precise definition of causal linkages within and across project components and their corresponding interim results (outputs and outcomes) clarifying how they contribute to overall project results. This will enable improved delivery of results and also enable closer monitoring and measurement of progress. A stronger results framework for engagement will help prevent the diffusion of results and fragmentation of interventions. The results framework should integrate SMART indicators at all results levels to enable better understanding of progress towards achievement of goals.

Continued funding will also support ongoing implementation of the regulatory framework and institutionalization of established mechanisms and practices (e.g. social dialogue, OSH, labor inspection models, recruitment practices, etc.). This will in turn help achieve sustainable transformational change.

Recommendation 2. USDOL should continue monitoring child and forced labor across different sectors.

The gains in terms of addressing human rights issues, in particular gains reached through investing in strengthening capacities of national stakeholders and monitoring child and forced labor in the cotton sector, have been significant during the period of project implementation. Efforts to monitor child and forced labor across all sectors should be supported in order to ensure that Uzbekistan adheres to international human and labor standards to which it has committed.

Recommendation 3. USDOL should boost efficiency of projects with mechanisms for faster approval of project modifications and changes.

The evaluation found that one of the factors affecting efficiency has been lengthy ILO and USDOL revision and clearance procedures for project modifications, which in turn affected timely implementation of interventions to respond to the rapid reforms. It is advised that the mechanisms for approval of modifications are revised to ensure faster responses, particularly for projects implemented in such reform contexts such as in Uzbekistan. This will prevent time lapse and delays in project implementation.

6.2. Recommendations for ILO

These recommendations are geared towards future ILO supported efforts in Uzbekistan and are in accordance with the DWCP MoU signed between ILO and the Government of Uzbekistan.

Recommendation 4. Projects implemented by ILO should ensure more coherence and synergies across components and use a more holistic approach to supporting government efforts to integration of international labor standards.

The evaluation team found that the project benefited from sector expertise of ILO specialists provided across project components. However, a siloed approach and lack of coherence and synergies between sectors tackled by the project (e.g. minimal synergies between efforts in OSH, social protection, wage setting, etc.) is evident, and affects the catalyst potential of the project. It is therefore advised that future ILO projects (in Uzbekistan and elsewhere) invest extra effort to ensure coherence and synergies within the project but also across other ILO interventions in a given country. In Uzbekistan, it is advised that the future investments are implemented by full-fledged in-country expert team to intensify timeliness of sharing of expertise to respond to the fast-paced reforms.

Recommendation 5. ILO should continue investing in Occupational Safety and Health and social protection.

The project invested in OSH and social protection (albeit very limited in social protection), particularly in the last year of implementation. This support just scratched the surface in addressing development challenges in this thematic area and there's a lot more to be done on OSH in Uzbekistan. Social protection is also underrepresented in the government structures. It is advised that ILO provides continued and hands on support to building capacities and awareness on OSH and social protection across the central and local levels (among farmers and businesses). The support could be implemented as a separate project stream but preferably within a larger programme framework, to ensure a holistic approach.

Recommendation 6. ILO should consider investing in Labor Inspectorates' institutional and human capacity development.

Uzbekistan's labor inspection was undergoing extensive reform and expansion of its duties and scope at the time of finalization of this report. The project offered some support to labor inspection, which showed the needs and demand for further investment in institutional and human resource capacity across central, regional and local levels. It is advised that further support is provided for labor inspections through training, advisory services, on-the-job

mentoring (and shadowing), as well as modelling of approaches to inspection, in particular when it comes to child and forced labor and OSH. Such continued support will offer changes initiated at central level and creates stronger potential for sustainability.

Recommendation 7. Projects implemented by ILO should support institutional development of partners, particularly MoL, CEU and FTUU and strengthen social dialogue.

Significant advances in terms of institutional capacities of social partners and social dialogue have been achieved with project support. However, most social partners are either new or have weak institutional capacities and level of knowledge on social dialogue and related labor issues. It is advised that ILO within its country presence continues to invest in institutional capacities of individual partners and on social dialogue to ensure that reform gains are maintained and further enhanced.

Recommendation 8. Projects implemented by ILO should support implementation of the new Labor Code through provision of training and advisory assistance to social partners.

ILO support has been instrumental in the process of revision of the old Labor Code and ensuring that more contemporary legislative solutions are integrated in the legislation. ILO should continue providing support to MOL and other key social partners to raise capacities and knowledge to implement legislative provisions across the country. The support should be a combination of technical assistance and capacity building (trainings, exposure to international practices and peer exchange, mentoring).

Recommendation 9. ILO should consider supporting institutional development of other partners, particularly the Local Farmers Councils.

The project invested in building partnerships with national level stakeholders, which helped to launch reforms in the field of decent work and alignment with international labor standards. The project design did not intend to work with a wider pool of regional and local actors, such as local farmer councils, or civil society organizations (except in the pilot regions). Taking into account the government's commitment to reform and achieved gains in terms of a strengthened regulatory framework, ILO should explore opportunities to support local stakeholders as important development actors for implementing and deepening reforms across the country. For example, to further increase awareness-raising and capacity building activities for OSH in agriculture, as piloted in Fergana and Jizzakh regions, ILO should cooperate with the local farmer councils across regions in Uzbekistan during the next phase of implementation of the wider ILO Country Programme. ILO could provide ToT to local farmer councils to empower them to promote safety and health in farms and consult farmers on good OSH practices.

ANNEXES

Annex A: Terms of Reference

I. BACKGROUND AND JUSTIFICATION

The Office of Child Labor, Forced Labor, and Human Trafficking (OCFT) is an office within the Bureau of International Labor Affairs (ILAB), an agency of the U.S. Department of Labor (USDOL). ILAB's mission is to promote a fair global playing field for workers in the United States and around the world by enforcing trade commitments, strengthening labor standards, and combating international child labor, forced labor, and human trafficking.

OCFT works to combat child labor, forced labor, and human trafficking around the world through international research, policy engagement, technical cooperation, and awareness-raising. Since OCFT's technical cooperation program began in 1995, the U.S. Congress has appropriated funds annually to USDOL for efforts to combat exploitive child labor internationally. This funding has been used to support technical cooperation projects in more than 95 countries around the world. Technical cooperation projects funded by USDOL support sustained efforts that address child labor and forced labor's underlying causes, including poverty and lack of access to education.

This evaluation approach will be in accordance with USDOL's Evaluation Policy[51]. OCFT is committed to using the most rigorous methods applicable for this performance evaluation and to learning from the evaluation results. The evaluation will be conducted by an independent third party and in an ethical manner and safeguard the dignity, rights, safety and privacy of participants. OCFT will make the evaluation report available and accessible on its website.

Project Context

The Republic of Uzbekistan is a country in Central Asia, with a population of 33.9 million, out of which 30.5% are under the working-age and 49.5% live in rural areas. [52] By GDP, Uzbekistan is the second-largest economy in Central Asia. The economy relies on the agriculture sector, in particular on the cotton industry. Uzbekistan was the seventh-largest cotton producer in the world in 2018/2019[53], with cotton production generating more than 1 billion USD in annual revenue (around 20% of GDP) [54].

The country's main challenge continues to be the implementation of labor standards and international best practice in employment. The root of this challenge is the long tradition of command economy which is characterized by a quota system for the cotton production, low

[51] For more information on USDOL's Evaluation Policy, please visit https://www.dol.gov/asp/evaluation/evaluationpolicy.htm

[52] State Committee of the Republic of Uzbekistan on Statistic, Demographic situation in the Republic of Uzbekistan (January – December 2019), https://stat.uz/en/press-center/news-committee/8337-6246246-2

[53] https://www.statista.com/statistics/263055/cotton-production-worldwide-by-top-countries/

[54] https://www.ecchr.eu/en/case/the-cases-against-european-cotton-traders/#case_case

level of mechanization in farming, and labor-intensive production methods. This has led to poor working conditions, high levels of forced labor of children and adults and violation of ILO Convention 105[55], that resulted in placing Uzbekistan on the E.O. list (Prohibition of Acquisition of Products Produced by Forced or Indentured Child Labor) until 2018 [56].

Project Specific Information – filled in by Contractor

Addressing the above-mentioned challenge has been the focus of the project ""Support for the Implementation of the Decent Work Country Programme (DWCP) in Uzbekistan" . The project goal is to support the prevention and reduction of child labor and forced labor and promote decent work in Uzbekistan.

The project was designed to address three main priorities:

- **"Strengthening social partnership in Uzbekistan for the realization of fundamental principles and rights at work"** by addressing the problem of application of international and national labor standards, child and forced labor in the cotton sector, poor working conditions, limited capacities of trade unions and employer organizations to ensure effective social dialogue and to implement FPRW;
- **"Fostering decent employment opportunities"** by addressing the lack of comprehensive employment policy frameworks that are developed based on tripartite consultation, lack of Active Labor Market Policies, weak labor market information system; and
- **"Improving working conditions and social protection"** by addressing the wage setting, weak occupational safety and health legislation, and social protection[57] (See Figure 1. The Results Framework).

The direct beneficiaries of the project are: relevant Government agencies (e.g. the Ministry of Labor, labor inspectors at national and local levels, Employment Services, and member organizations of the Coordination Council on Child Labor), Members of the Parliament, organizations representing employers (the Chamber of Commerce and Industry of Uzbekistan (CCIU), the Uzbekistan Council of Farmers), organizations representing workers (the Federation of Trade Unions of Uzbekistan (FTUU), mahalla leaders, representatives of the local authorities, local government agencies, educational institutions, Civil society organizations, etc.

The indirect beneficiaries of the project are children and adults who have been involved in, or are at-risk of becoming involved in, child labor and/or forced labor, and the general working population.

The project has been funded by the US Department of Labor (USDOL), with a total budget of

[55] https://www.ecchr.eu/en/case/the-cases-against-european-cotton-traders/#case_case

[56] US Federal Register (2019); Notice of Final Determination To Remove Uzbek Cotton From the List of Products Requiring Federal Contractor Certification as to Forced or Indentured Child Labor Pursuant to Executive Order 13126; https://www.federalregister.gov/documents/2019/03/25/2019-05360/notice-of-final-determination-to-remove-uzbek-cotton-from-the-list-of-products-requiring-federal#footnote-1-p11124

[57] Revised Project Document, page 6.

US $6 million. The project has been implemented by the International Labor Organization (ILO) in close cooperation with the national tripartite constituents over the period 2014 - 2020. The project was initially planned for 16 months, with a total budget of US $2 million. The project was modified several times. It first received a US $6 million increase extending the project by 48 months, and later received a no cost 21 months extension which pushed the project end date to September 30, 2020.

Figure 1: The Results Framework

Project Objective: To support the prevention and reduction of child labour and forced labour and promote decent work in Uzbekistan

Indicator: C1 (country capacity): Legislation compliant with international standards on CL and FL is adopted in Uzbekistan

Critical Assumptions:

- Political will towards further implementation for decent work principles is maintained.
- Uzbek tripartite constituents are receptive towards ILO's technical and legal advice regarding prevention and reduction of child and forced labour
- No major economic stresses affecting the country labour market situation happen throughout the life-cycle of the project.

IO 1. Capacity strengthened in Uzbekistan for the realization of fundamental principles and rights at work (FPRW)

SO 1.1 A national strategy to apply international and national labour standards designed and implemented

OTC 1:Hazardous child labour list approved at the Prime Minister's level (C1)
OTC 2: Ratification of Conventions Nos 87, 144, 183, 129, and/or 81 considered
OTP 1: # and type of materials (Conventions, Protocols, Recommendations) on ILS translated in Uzbek language and disseminated to stakeholders
OTP 2: # and type of advisory service products delivered to stakeholders
OTP 3: # of technical assessment reports on laws, policies and practices to assess readiness for ratification of Conventions Nos 144, 81, 129 and application of Convention No 98 available.

SO 1.2 Stakeholders' capacity to implement the National Action Plan for the application of Conventions C138 and C182 is increased

OTC 3: # of institutions/stakeholders that implement NAP activities according to plan
OTP 4: # of draft laws and policies reviewed against relevant ILS
OTP 5: # of representatives of tripartite constituents, civil society organizations, labour inspectors and school inspectors trained on child labour monitoring and forced labour identification.
OTP 6: # of awareness raising materials on child labour in Uzbek language produced and disseminated
OTP 7: # of awareness-raising events supported by the project

SO 1.3 Stakeholders' capacity to address forced labour increased

OTC4: # of institutions/stakeholders that implement FL-related activities covered within the Gov activity plan for improving labour conditions, employment and social protection of workers in agriculture sector 2016-2018
OTP 8: Set of recommendations on recruitment practices submitted to constituents
OTP 9. # of labour inspectors trained for recognizing and addressing FL in cotton growing sector
OTP 10: # of representatives of government agencies, social partners and civil society organization trained
OTP 11: # of agriculture sector employers and their staff trained to prevent and combat forced labour.

SO 1.4 The social dialogue mechanisms to promote FPRW improved

OTC 5: An official document (e.g. government decree, ministerial order) approving the establishment, functions and operation of a tripartite dialogue mechanism is available.
OTP 12: # of FTUU representatives trained
OTP 13: % of ToT training participants with correct answers on post-training assessment
OTP 14: # of trainees applying the training methodology
OTP 15: # of representatives from employers' and workers' organization trained on negotiation skills and collective bargaining techniques
OTP 16: Number of trade union members trained on social dialogue in multinational enterprises
OTP 17: Comprehensive review/evaluation of CCIU completed and strategic plan available
OTP 18: CCIU policy papers on priority areas available
OTP 19. At least one new or improved service developed by the CCIU
OTP 20: Assessment of the national social dialogue legislation and practices undertaken
OTP 21: Recommendations for effective social dialogue disseminated to tripartite constituents

IO 2 Decent employment opportunities promoted: Institutional supports for decent employment enhanced

SO 2.1 A knowledge base on the national employment framework with focus on youth employment established

OTC 6: A National employment strategy document available
OTP 22: Policy review document disseminated
OTP 23: Policy review report on existing youth employment incentives available

SO 2.2 Capacity of PES and PrEA to deliver services to employers and job seekers strengthened

OTC 7: # of recommendations from project assessment implemented by PES or PrEA
OTP 24:# of staff of tripartite constituents trained on recommendations of employment services assessment

IO 3 Improved working conditions and social protection: Strengthened law and policy on working conditions and social protection in Uzbekistan

SO 3.1 Effective occupational safety and health (OSH) management system developed

OTC 8. National OSH programme adopted by Government of Uzbekistan
OTP 25: Updated OSH profile available and disseminated to tripartite stakeholders
OTP 26: Draft National OSH Programme available and disseminated to tripartite constituents
OTP 27: # of tripartite constituents trained on implementation of the OSH management system

SO 3.2 Capacities of social partners to apply collective bargaining mechanisms and tripartite consultation principles in wage setting increased

OTC 9 : Training participants apply their knowledge in collective bargaining and/or tripartite consultations on wage setting (qualitative)
OTP 28: Report on review of mechanisms of consultation of wages available
OTP 29: # of wage experts from Ministry of Labour, employers' and workers' organizations trained in collective bargaining on wage-related issues
OTP 30: # of organizations representatives participating in ILO-supported awareness raising event related to wages

SO 3.3 Stakeholders awareness of ILO instruments and approaches on improving social protection increased

OTC 10: % of trainees completing the post-training questionnaire with a score over 85%
OTP 31: # of tripartite constituents' representatives trained on social protection and related issues
OTP 32: # of organizations receiving ILO materials and publications on social protection

Source: CMEP, page 13.

II. PURPOSE AND SCOPE OF EVALUATION

The purpose of this final performance evaluation is to assess progress toward achieving the theory of change as described in the Project background section above. To this end, the evaluation scope will cover all project objectives and will be primarily qualitative in nature, incorporating summary-level quantitative data. More information on methodology is described in the Methodology section, below. Specifically, this final performance evaluation will assess the extent to which the project has achieved its stated goals and objectives, assess effectiveness of project implementation and management, and make recommendations to improve the performance, relevance, and sustainability of future USDOL-funded projects in

similar contexts. The evaluation team will glean information from a diverse range of project stakeholders who participated in and were intended to benefit from interventions. The final performance evaluation will:

- Provide evidence-based conclusions, lessons learned, and actionable recommendations; and
- Assess the project's plans for sustainability at local and national levels and among implementing organizations and identifying steps to enhance its sustainability.
- Ensure that USDOL, ILO, and other project stakeholders are informed about how project design, relevancy and efficiency have affected project results.

- Assess the project's plans for sustainability at local and national levels and among implementing organizations and identifying steps to enhance its sustainability.

Intended Users - The evaluation will provide OCFT, the ILO, other project stakeholders, and stakeholders working to combat child labor, forced labor, and other labor violations more broadly, an assessment of the project's performance, its effects on project participants, and an understanding of the factors driving the project results. The evaluation report will be published on the USDOL website, so the report should be written as a standalone document, providing the necessary background information for readers who are unfamiliar with the details of the project.

III. EVALUATION QUESTIONS

Evaluation Questions – filled in by contractor after consultation with OCFT and Grantee

Relevance/Design:

1. Is the project's Theory of Change (ToC), as stated in the Project Document and as visualized in the project's Comprehensive Monitoring and Evaluation Plan (CMEP) Results Framework, valid? What are the internal and external factors that have affected its validity in a positive and/or challenging way during project implementation?

2. To what extent was the project design relevant throughout the life of the project?

3. Have any changes to the national landscape impacted the critical assumptions and risks articulated in the Theory of Change?

Effectiveness:

4. How effective has the project been thus far in achieving its objectives as stated in the project document and detailed in its Comprehensive Monitoring and Evaluation Plan? What have been driving factors influencing the achievement or non-achievement of the objectives? What are the factors driving and/or hindering the timeliness of results so far?

5. How do project stakeholders perceive the project's efforts and contributions toward combatting child labor and forced labor/labor trafficking in the target areas?

6. How do project stakeholders perceive the project's efforts and contributions toward the promotion of decent work in Uzbekistan?

7. What is the level of participation of the various stakeholders, their degree of commitment to project execution, and their contribution towards the project's objectives?

Efficiency

8. How have factors related to project management and design, including designation of key personnel and staff capacity, affected efficiency efforts? Please identify relevant efficiency challenges, good practices, etc. (human/financial/etc.).

Sustainability (limited assessment at mid-term):

9. How is the project promoting the sustainability of expected outcomes with stakeholders (i.e. government, local authorities, civil society, relevant UN bodies, etc.)? Is it likely that the results achieved will be durable and continue after the end of the project?

10. What are the major challenges to achieving sustainability? What opportunities exist to support sustainability?

IV. EVALUATION METHODOLOGY AND TIMEFRAME

The evaluation methodology will consist of the following activities and approaches:

A. Approach

The questions that will guide this evaluation are aligned with the evaluation criteria developed by the OECD Development Assistance Committee (DAC)[58], except for impact which will not be assessed within this evaluation. The evaluation also adheres to United Nations Evaluation Group (UNEG) Norms and Standards for evaluation[7].
The evaluation approach will be qualitative and participatory in nature and use project documents including CMEP data to provide quantitative information.
Qualitative information will be obtained through field visits, interviews and focus groups as appropriate. Opinions coming from stakeholders and project participants will improve and clarify the use of quantitative analysis. The participatory nature of the evaluation will contribute to the sense of ownership among stakeholders and project participants.

To the extent that it is available, quantitative data will be drawn from the CMEP and project reports and incorporated in the analysis. The evaluation approach will be independent in

[58] The DAC evaluation criteria of relevance, effectiveness, efficiency, impact and sustainability were first outlined in 1991 under the OECD, and reiterated in 2019. .

terms of the membership of the evaluation team. Project staff and implementing partners will generally only be present in meetings with stakeholders, communities, and beneficiaries to provide introductions. The following additional principles will be applied during the evaluation process:

1. Methods of data collection and stakeholder perspectives will be triangulated for as many as possible of the evaluation questions.
2. Gender and cultural sensitivity will be integrated in the evaluation approach.
3. Consultations will incorporate a degree of flexibility to maintain a sense of ownership of the stakeholders and beneficiaries, allowing additional questions to be posed that are not included in the TOR, whilst ensuring that key information requirements are met.
4. As far as possible, a consistent approach will be followed in each project site, with adjustments made for the different actors involved, activities conducted, and the progress of implementation in each locality.

B. Evaluation Team

The evaluation team will consist of:

1. Two international evaluators; a lead evaluator (Zehra Kacapor Dzihic) and a junior evaluation team member (Jasna Zarkovic).
2. As appropriate an interpreter fluent in necessary languages will travel with the evaluator

One member of the project staff may travel with the team to make introductions. This person is not involved in the evaluation process, or interviews.

The international evaluator, with support of the junior expert, will be responsible for developing the methodology in consultation with QED, USDOL, and the project staff; assigning the tasks of the junior expert (as applicable); assigning the tasks of the interpreter for the field work (as applicable); directly conducting interviews and facilitating other data collection processes; analysis of the evaluation material gathered; presenting feedback on the initial results of the evaluation to the national stakeholder meeting and preparing the evaluation report.

The junior expert will contribute to the inception process through structured document review and methodology design and tool development; Conduct fieldwork and participate in meetings with evaluation team and stakeholders; as well as contribute to the data analysis and drafting / revision of evaluation products: inception package, feedback presentation, final evaluation report.

The responsibility of the interpreter in each provincial locality is to ensure that the evaluation team is understood by the stakeholders as far as possible, and that the information gathered is relayed accurately to the evaluator. The interpreter should be impartial and independent from the grantee in order to mitigate potential bias.

C. Data Collection Methodology

1. Document Review
   - Pre-field visit preparation includes extensive review of relevant documents
   - During fieldwork, documentation will be verified, and additional documents may be collected
   - Documents may include:
     - CMEP documents and data – including access to project databases as relevant,
     - Baseline and survey reports or pre-situational analyses,
     - Project document and revisions,
     - Project budget and revisions,
     - Cooperative Agreement and project modifications,
     - Technical Progress and Status Reports,
     - Project Results Frameworks and Monitoring Plans (as part of the CMEP),
     - Work plans,
     - Correspondence related to Technical Progress Reports,
     - Management Procedures and Guidelines,
     - Research or other reports undertaken (KAP studies, etc.), and,
     - Project files () as appropriate.

2. Question Matrix

Before beginning fieldwork, the evaluators will create a question matrix, which outlines the source of data from where the evaluators plan to collect information for each TOR question. This will help the evaluators make decisions as to how they are going to allocate their time in the field. It will also help the evaluators to ensure that they are exploring all possible avenues for data triangulation and to clearly note where their evaluation results are coming from. The Contractor will share the question matrix with USDOL.

3. Interviews with stakeholders

Informational interviews will be held with as many project stakeholders as possible. The evaluation team will solicit the opinions of, but not limited to, community members in areas where awareness-raising activities occurred, , government representatives, employers and private-sector actors, legal authorities, union worker association officials, NGO and CSO officials, the action program implementers, and program staff regarding the project's accomplishments, program design, sustainability, and the working relationship between project staff and their partners, where appropriate.

Depending on the circumstances, these meetings will be one-on-one or group interviews. Technically, stakeholders are all those who have an interest in a project, such as implementers, partners, direct and indirect participants, community leaders, donors, and government officials. Thus, it is anticipated that meetings will be held with:

- OCFT staff responsible for this evaluation and project prior to the commencement of the field work
- Implementers at all levels
- Headquarters, Country Director, Project Managers, and Field Staff of Grantee and

Partner Organizations
- Government Ministry Officials and Local Government Officials who have been involved in or are knowledgeable about the project
- Community leaders, members, and volunteers
- School teachers, assistants, school directors, education personnel
- International NGOs and multilateral agencies working in the area
- Other child protection, anti-trafficking, and/or education organizations, committees and experts in the area
- U.S. Embassy staff members

Since the evaluators will separate to conduct some of the KII and FGDs, inter rater reliability may be an issue. To ensure reliability of data collected by the evaluators, several steps will be taken. First, the evaluators will meet at least once daily to review upcoming interviews and the tools that will be used to ensure consistency. The meeting will also be used to review data collected during the previous day and check for consistency and other factors that could affect reliability. Any necessary corrections or adjustments will be made in preparation for upcoming interviews.

The lead evaluator will ensure that findings are based on evidence collected during the evaluation and that recommendations are grounded in the findings and conclusions. Nevertheless, it is possible that the evaluators will not entirely agree on all of the findings and recommendations. The evaluators will first attempt to resolve differences by reviewing the evidence supporting the findings and recommendations. If the evaluators still disagree, they will defer to the I4DI and QED evaluation experts supporting the evaluation to resolve the disagreements.

4. Field Visits

The evaluators will visit a selection of project sites. The final selection of field sites to be visited will be made by the evaluators. Every effort should be made to include some sites where the project experienced successes and others that encountered challenges, as well as a good cross section of sites across targeted CL sectors. During the visits, the evaluators will observe the activities and outputs developed by the project. Focus groups with project participants will be held, and interviews will be conducted with representatives from local governments, NGOs, community leaders and teachers.

D. Ethical Considerations and Confidentiality

The evaluation mission will observe utmost confidentiality related to sensitive information and feedback elicited during the individual and group interviews. To mitigate bias during the data collection process and ensure a maximum freedom of expression of the implementing partners, stakeholders, communities, and project participants, implementing partner staff will generally not be present during interviews. However, implementing partner staff may accompany the evaluators to make introductions whenever necessary, to facilitate the evaluation process, make respondents feel comfortable, and to allow the evaluators to observe the interaction between the implementing partner staff and the interviewees.

E. Stakeholder Meeting

At the end if field visits a stakeholder meeting will be organized by the project in Uzbekistan and led by the evaluators to bring together a wide range of stakeholders, including the implementing partners and other interested parties to discuss the evaluation findings. The list of participants to be invited will be drafted prior to the evaluator's visit and confirmed in consultation with project staff during fieldwork. ILAB staff may participate in the stakeholder meeting virtually or may set-up a de-brief call with the evaluation team after fieldwork.

The meeting will be used to present the major preliminary results and emerging issues, solicit recommendations, discuss project sustainability and obtain clarification or additional information from stakeholders, including those not interviewed earlier. The agenda of the meeting will be determined by the evaluators in consultation with project staff to ensure that political sensitivities are taken into account. Some specific questions for stakeholders may be prepared to guide the discussion and possibly a brief written feedback form.

The agenda is expected to include some of the following items, as appropriate, based on the expertise of the evaluation team:

1. Presentation by the evaluator of the preliminary main results
2. Feedback and questions from stakeholders on the results
3. Opportunity for implementing partners not met to present their views on progress and challenges in their locality
4. If appropriate, Possible Strengths, Weaknesses, Opportunities and Threats (SWOT) exercise on the project's performance
5. Discussion of recommendations to improve the implementation and ensure sustainability. Consideration will be given to the value of distributing a feedback form for participants to nominate their "action priorities" for the remainder of the project and/or actions for future projects.

A debrief call will be held with the evaluator and USDOL after the stakeholder workshop to provide USDOL with preliminary results and solicit feedback as needed.

F. Limitations

Fieldwork for the evaluation will last three weeks, including interviews in Moscow and in Uzbekistan. It was decided that the evaluation team will visit two regions in Uzbekistan besides Tashkent (Jizzakh and Fergana) to maximize evaluation outreach during the time available. Visits to the two regions are found to be a representative sample.

This is not a formal impact assessment. Results for the evaluation will be based on information collected from background documents and in interviews with stakeholders, project staff, and project participants. The accuracy of the evaluation results will be determined by the integrity of information provided to the evaluator from these sources.

Furthermore, the ability of the evaluation team to determine efficiency will be limited by the amount of financial data available. A cost-efficiency analysis is not included because it would require impact data which is not available.

G. Timetable

The tentative timetable is as follows. Actual dates may be adjusted as needs arise.

Task	Responsible Party	Date
Evaluation launch call with USDOL	USDOL/OCFT	Jan 22
Background documents sent to Contractor	USDOL/OCFT	Feb 14
TOR Template submitted to Contractor	USDOL/OCFT	Feb 12
Contractor and Grantee work to develop draft itinerary and stakeholder list	Contractor and Grantee	Week of Feb 10
Logistics call - Discuss logistics and field itinerary	USDOL/OCFT, Contractor, and Grantee	Feb 24
Contractor sends minutes from logistics call	Contractor	Feb 25
Draft TOR sent to USDOL/OCFT	Contractor	Feb 19
Identify a list of stakeholders and submit question matrix to USDOL/OCFT	Contractor	Feb 19
Finalize field itinerary and stakeholder list for workshop	USDOL/OCFT, Contractor, and Grantee	Feb 25
Cable clearance information submitted to USDOL/OCFT	Contractor	Feb 26
Final TOR submitted to USDOL/OCFT for approval	Contractor	Feb 19
Final approval of TOR by USDOL/OCFT	USDOL/OCFT	Feb 25
Submit finalized TOR to Grantee	Contractor	March 4
Interview call with USDOL/OCFT	Contractor	March 5
Remote Interviews Russia	Contractor	April 1
Remote Interviews Uzbekistan	Contractor	April 30
Post-fieldwork debrief call	Contractor	May 8
Draft report submitted to USDOL/OCFT and Grantee (one-week review)	Contractor	May 22
USDOL/OCFT and Grantee/key stakeholder comments due to contractor after full one-week review	USDOL/OCFT and Grantee	May 29
Revised report submitted to USDOL/OCFT and Grantee	Contractor	June 9
USDOL/OCFT and Grantee/key stakeholder comments due to contractor after full 1-week review	USDOL/OCFT and Grantee	June 15
Final report submitted to USDOL/OCFT and Grantee	Contractor	June 22
Final approval of report by USDOL/OCFT	USDOL/OCFT	June 24
Draft infographic document submitted to USDOL/OCFT	QED	June 12
USDOL/OCFT comments on draft infographic	USDOL/OCFT	June 17
Final infographic submitted to USDOL/OCFT	QED	June 23
Final approval of infographic by USDOL/OCFT	USDOL/OCFT	June 26

Editing and 508 compliance by contractor	QED	June 26
Final edited report submitted to COR	QED	June 26
Final edited approved report and infographic shared with grantee	QED	June 30

V. EXPECTED OUTPUTS/DELIVERABLES

Ten working days following the evaluator's return from fieldwork, a first draft evaluation report will be submitted to the Contractor. The report should have the following structure and content:

I. Table of Contents

II. List of Acronyms

III. Executive Summary (no more than five pages providing an overview of the evaluation, summary of main results/lessons learned/good practices, and key recommendations)

IV. Evaluation Objectives and Methodology

V. Project Description

VI. Evaluation Questions and data collection instruments (or templates for Key Informant Interviews)

   A. Answers to each of the evaluation questions, with supporting evidence included

VII. Results, Recommendations and Conclusions

   A. Results - the facts, with supporting evidence
   B. Conclusions – interpretation of the facts, including criteria for judgments
   C. Key Recommendations - critical for successfully meeting project objectives – judgments on what changes need to be made for future programming
   D. Lessons Learned and Best Practices

VIII. Annexes - including list of documents reviewed; interviews/meetings/site visits; Interview questionnaire -example or template for KIIs, stakeholder workshop agenda and participants; TOR; etc.

The key recommendations must be action-oriented and implementable. The recommendations should be clearly linked to results and directed to a specific party to be implemented. It is preferable for the report to contain no more than 10 recommendations, but other suggestions may be incorporated in the report in other ways.

The total length of the report should be approximately 30 pages for the main report, excluding the executive summary and annexes.

The first draft of the report will be circulated to OCFT and the grantee individually for their review. This draft will exclude the executive summary which will be updated based on stakeholders'' feedback. Acknowledging data collection through KIIs could take place after field visit and closer to the draft report deadline, the list of stakeholders interviewed will be added as an annex after feedback from stakeholders is received for the first draft report. The evaluator will incorporate comments from OCFT and the grantee/other key stakeholders into the final reports as appropriate, and the evaluator will provide a response, in the form of a comment matrix, as to why any comments might not have been incorporated.

While the substantive content of the results, conclusions, and recommendations of the report shall be determined by the evaluator, the report is subject to final approval by ILAB/OCFT in terms of whether or not the report meets the conditions of the TOR.

VI. EVALUATION MANAGEMENT AND SUPPORT

The Contractor will be responsible for Evaluation Management and Support. QED's project manager will ensure the evaluation adheres to the TOR stipulations and will be the key contact for USDOL to communicate progress, submit deliverables and communicate any outstanding issues. QED and I4DI will support evaluators through frequent oversight to submit high quality deliverables.

Annex B: Interview Questions and Questionnaire

Master List of Interview Questions

Main questions	Probes note to interviewer: probe those that are relevant to KI position and sector)	Responses
What have been the main government priorities with regards to decent work and employment? How has the Decent Work Country Programme (DWCP) design reflected these priorities?	• Linkages between Uzbekistan's National Priorities and DWCP programme objectives Government priorities/needs with regards to: • Application of international and national labor standards, child and forced labor in the cotton sector, poor working conditions, limited capacities of trade unions and employer organizations, effective social dialogue and to implement FPRW; • Tripartite consultations for development employment policy frameworks, • Active Labor Market Policies, labor market information system; • Wage setting, occupational safety and health legislation, and social protection	
Do the project's interventions meet the needs and priorities of the Uzbekistan's government and other key stakeholders? Please explain.	▪ policy dialogue and advocacy; ▪ technical assistance; ▪ capacity development; ▪ evidence generation; ▪ integration of cross-sectoral linkages	
How effective were these interventions? How can they be improved?		
How effective has the project been in achieving the five intermediate objectives?	• Strengthening social partnership in Uzbekistan for the realization of fundamental principles and rights at work • Fostering decent employment opportunities • Improving working conditions and social protection	
How would you assess the project's efforts and contributions overall towards: • combatting child labor and forced labor/labor trafficking in the target areas? • promotion of decent work in Uzbekistan?	• Value added of the Project • Value added of ILO's mission in Uzbekistan	
What have been internal and external factors that have affected the project design and implementation? How effectively has the project addressed	**ILO Team, USDOL** • Internal drivers and hindering factors (prompt) • Management and design	

changes and constraints in the social, political, and cultural environment?	• Sufficiency of funding • Sufficiency and capacity of human resources • Budget utilization • Most/least cost-effective components • External drivers • External hindering factors • Flexibility of the project during planning and implementation process been in addressing changes and constraints	
What have been internal and external factors that have affected the project design and implementation? How effectively has the project addressed changes and constraints in the social, political, and cultural environment?	Other Stakeholders • Internal drivers/ hindering factors • External drivers • External hindering factors • Flexibility of the project during planning and implementation process been in addressing these changes and constraint	
To what extent has the project created ownership, built capacity, and created linkages to alternative resources in order to facilitate sustainability? Do the key institutions and partners have the capacity and resources to sustain project activities? What challenges will they face?	• Ownership of DWCP results (government, local authorities, civil society, relevant UN bodies, etc.) • Aspects of the DWCP which are particularly important to be sustained • Replication of DWCP modalities/approaches by government • Capacity strengths and weaknesses • Sector partnerships (btw. government, local authorities, civil society, relevant UN bodies, etc.)	
Which project strategies and interventions increase the likelihood of sustaining key outputs and outcomes? What actions might the project take to help ensure sustainability of key outputs and outcomes?		
What do you think are **the outputs and outcomes that are most likely to be sustained** once the project ends and why?		
What are key **lessons learned, emerging good practices**, and potential models that should be applied to the next phase of the project and/or future decent work programmes in Uzbekistan?		

Example of the Questionnaire (Questionnaire for the Farmers' Council of Uzbekistan)

Dear Madam/Sir,

On behalf of the Bureau of International Labor Affairs (ILAB) of the U.S. Department of Labor (USDOL), the evaluation team of the QED Group and the Institute for Development Impact is conducting an independent evaluation of the **project 'Support for the Implementation of the Decent Work Country Programme (DWCP) in Uzbekistan'** that has been implemented by ILO. Within the scope of the evaluation, the purpose of this questionnaire is to receive your insight into the project implementation since end-2014 until today, main results, hindering factors and drivers and your opinion about the sustainability of achieved results. This will contribute to better design and delivery of future USDOL-funded projects.

We would greatly appreciate your feedback. Your answers will be used only internally for the purpose of our analysis and will be strictly confidential and not to be shared with any person outside of the evaluation team. The questionnaire will take 30-45 minutes to complete. Please return a completed questionnaire to the following email address: XXXXXXX.

We thank you in advance for your kind cooperation and we are looking forward to receiving your feedback.

With best regards,

Evaluation Team

Key informant name _____

Position _____

Institution _____

RELEVANCE

1. To what extent have the Project 'Support for the Implementation of the Decent Work Country Programme (DWCP) in Uzbekistan' been relevant to respond to Farmers Council's needs for identification of child labor and forced labor and ensuring decent working conditions?

2. To what extent has the Farmers Council's been engaged in planning and implementation of the project? Did your organisation have a chance to participate and contribute to the project effort to support prevention and reduction of child labor and force labor, as well as promotion of decent work in Uzbekistan?

EFFECTIVENESS

Objective 1. Strengthening social partnership in Uzbekistan for the realization of fundamental principles and rights at work

3. In what way has ILO helped the Farmers Council to improve its practice and institutional mechanisms for identification and addressing **child labor issues**? Please, provide examples.

4. Over the last five years (since end-2014), did you see a significant improvement of the Farmers Council's role in the following areas (Please mark the corresponding answer)

5.

	1. Not at all	2. Not so much	3. Neutral	4. To great extent	5. Totally	0- I don't know/no answer	Pls add your comment and examples:
Identification and elimination of child labor							
Participation in drafting legislation related to child labor							
Participation in drafting policies related to child labor							
Capacities for conducting the child labor monitoring							
Awareness on child labor issues							
Other (pls add):							

6. In what way has ILO helped the Farmers Council to improve its practice and institutional mechanisms to address **force labor issues**? Please, elaborate and add any examples.

7. Over the last five years (since end-2014), did you see a significant improvement of the Farmers Council's role in the following areas:

	1. Not at all	2. Not so much	3. Neutral	4. To great extent	5. Totally	0- I don't know/no answer	Pls add your comment and examples:
Identification and elimination of forced labor							
Participation in drafting legislation related to forced labor							
Participation in drafting policies related to forced labor							
Capacities for conducting the forced labor monitoring							
Awareness on forced labor issues							
Other:							

8. To what extent the ILO programme **enhanced the practical knowledge and skills of the Farmer Council** to recognize and address child labor and forced labor practices? Please, share your opinion and provide examples (if any).

9. Over the last five years (since end-2014), what have been the main change in **working conditions in agriculture**, including the labor recruitment process for the cotton harvest (particularly in Jizzakh and Fergana regions)? Did you notice that any new labor market measures have been taken to improve labor recruitment and retention practices? How successful are these measures and are they still in place?

10. Which ILO's activity, if any, has been particularly effective for improvement of working conditions in agriculture and why?

11. Has the Farmer Council have had any cooperation with ILO when it comes to **social dialogue mechanism** to promote fundamental principles and rights at work (e.g. tripartite dialogue mechanism)? If yes, please share your reflection on results of this cooperation and provide examples if any.

12. To what extent has the ILO project helped the Farmer Council to strengthen its capacity to represent the interests of its members?

Objective 3. Improving working conditions and social protection

13. To what extent the ILO programme **enhanced the practical knowledge and skills of the Farmer Council** related to occupational safety and health in agriculture (e.g. identifying the hazards at work and determining the level of risk in the work, and preventing them, fire safety regulations)? Please, share your reflection and examples (if any):

14. To what extent does your institution use OSH materials and publications prepared and shared by ILO in your daily work?
15. To what extent has the ILO contributed to increased awareness among farmers on occupational safety and health in agriculture (particularly in Jizzakh and Fergana regions)? Please, share your reflection and examples (if any):

Assessment of overall ILO contributions to decent work in Uzbekistan

16. In your opinion, what have been the main ILO Decent Work Programme contributions to combatting child labor and forced labor/labor trafficking? What remains to be done?

17. In your opinion, what have been the main ILO Decent Work Programme contributions to the promotion of decent work in Uzbekistan? What remains to be done?

18. In your opinion, which factors helped the programme to achieve its goals?

19. What were the hindrances for the programme that influenced achievements in combatting child labor and forced labor and promotion of decent work in Uzbekistan?

SUSTAINABILITY

20. Is it likely that the results achieved in working conditions in agriculture, including recruitment in cotton picking, will be durable and continue after the end of the project? Please, elaborate on the

21. To what extent has your Council increased its capacity and resources to continue building the knowledge of farmers and workers on decent working conditions without project support? What are the major challenges to achieving sustainability? What opportunities exist to support sustainability?

22. What is your recommendation for future ILO programmes dealing with issues of decent work in agriculture?

23. Please, share any other comments and reflections on the ILO Decent Work Programme

Thank you!

Annex C: List of Persons Interviewed

	Name	Organization	Position
Moscow			
1	Irina SINELINA	ILO/Moscow	Evaluation Officer
2	Olga KOULAEVA	DWT/CO Moscow	Director
3	Kholoud ALKHALDI	DWT/CO Moscow	Deputy Director
4	Irina MELEKH	ILO/Moscow	Programme Officer
5	Mikhail POUCHKIN	ILO/Moscow	Senior Employment Specialist
6	Vlado CUROVIC	ILO/Moscow	Senior Specialist in Employers' Activities
7	Valentin MOCANU	ILO/Moscow	Senior Specialist in Labor Administration, Labor Inspection and OSH
8	Gocha ALEXANDRIA	ILO/Moscow	Specialist in Workers' Activities
9	Jasmina PAPA	ILO/Moscow	Social Protection Specialist
10	Leo SIBBEL	ILO/Moscow	Senior International Labor Standards and Labor Law Specialist
Tashkent			
11	Anastasia DUBOVA	ILO Office Tashkent	Project Manager
12	Mirza MULESKOVIC	ILO Office Tashkent	M&E Officer
13	Anton HAUSEN	ILO Office Tashkent	The second Chief Technical Advisor of the project
14	Harri TALIGA	ILO Office Tashkent	The first Chief Technical Advisor of the project
15	Jonas ASTRUP	ILO Office Tashkent, Third party monitoring project	Chief Technical Advisor
16	Oxana LIPCANU	ILO Office Tashkent, Third party monitoring project	Technical officer
17	Azizkhon KHANKHODJAEV	ILO Office Tashkent	National coordinator
18	Yulia OLEINIK	UNICEF	Chief of Social policy department
19	Brandon SHERWOOD	U.S. Embassy, Tashkent	
20	Bakhtior MAKHMADALIEV	Federation of Trade Union of Uzbekistan	Deputy Chairperson of the Federation of Trade Union
21	Nodira KARIMOVA	Federation of Trade Union of Uzbekistan	Head of occupational safety department of FTU
22	Hamidulla PREMKULOV	Federation of Trade Union of Uzbekistan	Head of legal department of FTU
23	Mahmudjon ISAEV	Federation of Trade Union of Uzbekistan	Head of the Department of protection of social and economic interests of employees
24	Ruslan RAHMANOV	Federation of Trade Union of Uzbekistan	Leading specialist of the Department of protection of social and economic interests of employees
25	Eka MARGISHVILI	Confederation of Employers and Chamber of Commerce and Industry; / Confederation of Employers	Executive Director of CEU
26	Farrukh OMONOV	Confederation of Employers and Chamber of Commerce and Industry/ Confederation of Employers /Youth Union	Former CCIU Head of International Department, former Executive Director of CEU and currently a Deputy Chairperson of Youth Union
27	Diyor PAKHTAKULAEV	Ministry of Employment and Labor Relations	Deputy Head of Department of international department and cooperation with ILO
28	Gulrukh NIYAZMETOVA	Ministry of Employment and Labor Relations	Head legal labor inspector
29	Alisher KHUSAINOV	Consultant	Consultant on OSH
30	Aleksey NIYAZMETOV	Consultant	ILO national consultant
Washington			
31	Leyla STROTKAMP	The U.S. Department of Labor's Bureau of International Labor Affairs (ILAB), OCFT	Project manager
32	Kristen Pancio	The U.S. Department of Labor's Bureau of International Labor Affairs (ILAB); Monitoring & Evaluation Division	International Relations Specialist

List of organisations not interviewed

	Organization
1	The Deputy Prime Minister of Uzbekistan
2	Public Employment Services
3	Farmers Council
4	Women Council
5	Center for Secondary Specialized Vocational Education
6	Individual farmers/beneficiaries
7	TU offices (Fergana, Jizzakh)
8	Chamber of commerce offices (Fergana, Jizzakh)
9	Ministry of Public Education

Annex D: List of Documents Reviewed

Project documentation

- Project Document (first version for 16 months and second version for a full-fledged 48 months project) - plus annexes (e.g. B and C in the file)
- Decent Work Country Programme (DWCP) 2014-2016
- Project modification documents 2015-2020
- UNDAF Uzbekistan 2016-2020
- Comprehensive Monitoring and Evaluation Plan (CMEP)
- Performance Management Plan (PMP)
- Federal Financial Reporting Forms
- MoU for the extension of DWCP in Uzbekistan for 2017-2020
- Project Budget
- ILO mission reports and Terms of References for consultants
- Technical progress reports (TPRs) with Work Plans 2015-2019
- Financial reports
- ILO Mid-term evaluation 2017

Other sources

- ALNAP. Evaluation of Humanitarian Action: Pilot Guide, ODI, 2013:140 for definitions of each type of triangulation.
- USDOL's Evaluation Policy, https://www.dol.gov/asp/evaluation/evaluationpolicy.htm
- ILO (2017), Recruitment practices and seasonal employment in agriculture in Uzbekistan 2014-15
- ILO (2018), Assessment of the Public Employment Service
- ILO (2020), Third-party monitoring of child labor and forced labor during the 2019 cotton harvest in Uzbekistan, page
- State Committee of the Republic of Uzbekistan on Statistic, Demographic situation in the Republic of Uzbekistan (January – December 2019), https://stat.uz/en/press-center/news-committee/8337-6246246-2
- Stern et al (2012), "Broadening the range of designs and methods for impact evaluations", DFID, Working Paper 38.
- US Federal Register (2019); Notice of Final Determination to Remove Uzbek Cotton From the List of Products Requiring Federal Contractor Certification as to Forced or Indentured Child Labor Pursuant to Executive Order 13126;

- WB (2016), Systematic Country Diagnostic for Uzbekistan

Internet sources

- http://documents.worldbank.org/curated/en/866501562572675697/pdf/Uzbekistan-Toward-a-New-Economy-Country-Economic-Update.pdf
- https://www.ecchr.eu/en/case/the-cases-against-european-cotton-traders/#case_case
- https://www.ilo.org/moscow/news/WCMS_546279/lang--en/index.htm
- https://www.ilo.org/wcmsp5/groups/public/---ed_mas/---program/documents/genericdocument/wcms_724815.pdf
- https://www.ilo.org/wcmsp5/groups/public/---europe/---ro-geneva/documents/genericdocument/wcms_359550.pdf
- https://www.statista.com/statistics/263055/cotton-production-worldwide-by-top-countries/
- https://www.worldbank.org/en/country/uzbekistan/overview

Annex E: Analysis of Project Performance

Table 11 provides a summary of the program performance analysis of objectives, outcomes, and outputs. This analysis is based on the project Technical Progress Reports (TPRs) that cover the period of December 2014 – October 2019 and displays the achievements against targets as well as a brief narrative summary. Achievement status is classified as: Not achieved, partially achieved, achieved to a great extent, achieved, and overachieved.

Table 11: Analysis of Program Performance[59]

Objective	Indicator	Status (target/value of October 2019)	Assessment of progress
Project Objective: To support the prevention and reduction of child labor and forced labour and promote decent work in Uzbekistan	Indicator C1 (country capacity): Legislation compliant with international standards on CL and FL adopted	Achieved to a great extent	The country made significant progress in aligning national legislation with international labour standards. Uzbekistan has ratified 17 ILO Conventions and 1 Protocol, out of which 4 ILO Conventions and 1 Protocol have been ratified during the project implementation. Furthermore, on 6 March 2020, the President signed the decree that ordered the abolition of the state quota system for cotton crops. Evaluation respondents indicated that progress in legislation compliant with international standards on child labour and forced labour has been the project's most important achievement. Interviews confirmed that ILO support in this area since 2014 has significantly contributed to the fact that systematic child and forced labour were not present in Uzbekistan during the last cotton harvest.
Outputs by Supporting Objectives	**Indicators**	**Status (target/value of October 2019)**	**Assessment of progress**
IO 1 Capacity strengthened in Uzbekistan for the realization of fundamental principles and rights at work (FPRW)			
SO 1.1 A national strategy to apply international and national labour standards designed and implemented	OTC 1: Hazardous child labour list approved at the Prime Minister's level (C1) OTC 2: Ratification of Conventions Nos 87, 144,	OTC 1: Not achieved (1 target/0 achieved) OTC 2: Overachieved	OTC 1: The hazardous child labour list has not been updated and approved at the Prime Minister's level. This has not been a priority in Uzbekistan since the use of child labour in cotton harvesting is no longer systematically used. OTC 2: ILO Conventions No. 87, 144, 81, 129 and Protocol 29 have been ratified. The convention 87 (Freedom of associations) was ratified in October 2016 by President' Decree and came into force in December 2017. The convention 144 (Tripartite

[59] Indicators are mainly listed based on the TPR October 2019, Annex A. Data were also reviewed based on all other available TRP reports (narrative and annexes).

	183, 129 and/or 81 and Protocol 29	(3 target/5 achieved)	Consultation) was ratified in March 2019 and will enter into force in August 2020. The convention 81 (Labour Inspection) and 129 (Labour Inspection – Agriculture) was ratified in August 2019 and will enter into force in November 2020. Protocol of 2014 to the Forced Labour Convention (P 29) was ratified in June 2019 (not in force). The country has expressed its interest and commitment in ratification of other ILO conventions: C097 – Migration for Employment Convention (Revised), C156 – Workers with Family Responsibilities Convention, C177 – Homework Convention, C183 – Maternity Protection Convention and C187 – Promotional Framework for Occupational Safety and Health Convention.
Output 1.1.1 Awareness raising materials and publications of relevant ILO Conventions, protocols, and principles available in Uzbek language and disseminated to key stakeholders	OTP 1: # and type of materials (Conventions, Protocols, and Recommendations) on ILS translated in Uzbek language and disseminated to stakeholders.	OTP 1: Achieved to a great extent (19 target/18 achieved)	OTP 1: The project set a target of 19 awareness raising materials and publications of Conventions, Protocols and Recommendations. By October 2019, 18 awareness raising materials had been translated into Russian and Uzbek language and disseminated to stakeholders, with approximately 200 to 300 copies per material/publication. These materials were related to World Day Against Child Labour, C139 and C182 in child-friendly language, the tripartite process of determining hazardous child labour, modern policy and legislative responses to child labour, ILO Standards on Forced Labour, a brochure on C144, and CEACR comments, etc. Project stakeholders stressed that ILO awareness raising materials were highly useful.
Output 1.1.2 Technical advice and advocacy provided to decision makers and social partners to facilitate ratification of the Convention on Freedom of Association and Protection of the Right to Organize, 1948 (No. 87)	OTP 2: # and type of advisory service products delivered to tripartite constituents	OTP 2: Achieved (7 target/7 achieved)	OTP 2: The project aimed to deliver seven advisory service products to tripartite constituents, and this target has been achieved. This includes technical advice on the preparation of the action plan on steps for ratification of Convention 87 (Freedom of Association), as well as a training series on C87's implementation and reporting for the representatives of Trade Unions. These were conducted with 90 total participants in Fergana, Tashkent, and Jizzakh in 2018.
Output 1.1.3 Reports reviewing relevant laws, policies and	OTP 3: # of technical assessment reports on laws, policies and practices to assess readiness for	OTP 3: Overachieved (1 target/3 achieved)	OTP 3: The project set a target of one report addressing C98, C144, C81, and C129. In the October 2019 TPR, it was reported that two technical assessment reports had been delivered: a 2018 social dialogue review with a particular focus on C144 on

practices to enable technical assessment of: 1) prospects for ratification of ILO Conventions (C144, 81,129); 2) the application of ratified conventions available	ratification of Conventions Nos 144, 81, 129 and application of Convention No 98 available.		Tripartite Consultation in Uzbekistan and a 2019 analysis of the implications of ratification of Convention 144 on Tripartite Consultation and an action plan. Furthermore, the project also supported labour legislation by providing an analytical report on the scope of Labour Law Reform in Uzbekistan which was prepared by the ILO consultant in 2018. This report also reviewed the compliance of the national legislative framework to C81, C129 and C98.
SO 1.2 Stakeholders' capacity to implement the National Action Plan for the Application of Conventions No. 138 and No. 182 in Uzbekistan increased	OTC 3 (a)[60]: Number and type of activities on promotion of implementation of C138 and C182 implemented	OTC 3 (a): Partially achieved (14 target/7 achieved)	OTC 3 (a): The project set a target of 14 activities on promotion of implementation of C138 and C182, and it reported achievement of 7 activities according to the plan developed under the framework of the Coordination Council on Child and Forced Labour. This target will not be achieved by the end of the project because there is no high demand for such activities as child labour in cotton is no longer systematically used. Implemented activities included developing manuals and conducting 5 training courses for different target groups on identification and prevention of child and forced labour, as well as a training session on the role of trade unions in identification and elimination of child and forced labour.
Output 1.2.1 Relevant legislation and policies relating to child labour reviewed in order to harmonize them with ILS	OTP 4: # of laws and policies reviewed against relevant ILS	OTP 4: Overachieved (4 target/21 achieved)	OTP 4: This indicator refers to a list with titles of amended legislative documents reviewed against ILS. The project target was set at 4. The target appears to have been underestimated, as 20 laws were reviewed as part of the analysis of the Labour Law Reform in Uzbekistan, conducted in 2018. The project also reviewed national legislation against the requirements of the Protocol of 2014 to the Forced Labour Convention 29 in 2019.
Output 1.2.2 Tripartite constituents and civil society representatives trained in national	OTP 5: # of representatives of tripartite constituents, civil society organizations, labour inspectors and school inspectors trained on child labour monitoring	OTP 5: Overachieved (155 target/166 achieved)	OTP 5: The project set a target of 155 representatives of stakeholder groups being trained on child labour monitoring and forced labour identification. As of October 2019, 166 persons had been trained, out of which 76% were male. These include: • Project facilitation of training on national child and forced monitoring in September 2019 (30 participants)

[60] OTC 3 was defined in the CMEP as "Number of institutions/stakeholders that implement NAP activities (10 target) according to plan". The project team agreed with USDOL to replace OTC
constituents did not properly report indicator data on the former.

child labour monitoring	and forced labour identification.		• Pre-harvest training on child and forced labour monitoring for trade union leaders of national monitoring groups in September 2017 (13 participants) • A session on identification of child and forced labour during an event on the preliminary results of the national monitoring in November 2016 (47 participants) • Training on the indicators of forced labour in May 2015 and a training on Child and Forced Labour in September 2015, in which the members of national monitoring units took part (76 participants). There is no training on child labour planned for 2020.
Output 1.2.3 Awareness-raising materials on child labour issues developed and promotional events implemented	OTP 6: # of awareness raising materials on child labour in Uzbek language produced and disseminated. OTP 7: # of awareness raising events supported by the project	OTP 6: Achieved to a great extent (9 target/8 achieved) OTP 7: Achieved (5 target/5 achieved)	OTP 6: The project set a target of 9 awareness-raising materials on child labour in the Uzbek language and reported achievement of 8 materials by October 2019. In particular, the project provided the awareness-raising materials for the World Day Against Child Labour (WDACL) events since 2015 and awareness-raising materials for a campaign on prohibition of child and forced labour during the cotton harvests (e.g. brochure, videos, billboards, posters, and leaflets). It is likely that the target will be fully achieved as materials might be translated for the World Day Against Child Labour 2020. OTP 7: The target of 5 awareness-raising events supported by the project has been achieved, and it is likely that the project will support another WDACL event in 2020.
SO 1.3 Stakeholders' capacity to address forced labour increased	OTC 4 (a)[61]: Number of institutions/stakeholders that implement FL-related activities covered within the Coordination Council on Child and Forced Labour Issues work plan	OTC 4 (a): Achieved (4 target/4 achieved)	OTC 4 (a): The project set a target of four stakeholders that are involved in implementation of activities related to forced labour as part of the Coordination Council on Child and Forced Labour Issues work plan. The project reported that all four national counterparts responsible for the implementation of this plan (Ministry of Employment and Labour Relations, FTUU, CCIU, and the Coordination Council) have been involved in the implementation of plan activities, such as national child and forced labour monitoring, third party monitoring, support of feedback mechanisms, etc. In 2019, there was a modification of this mechanism, as the Coordination Council was replaced by the Subcommittee for Combating Forced Labour (one of two subcommittees of the National Commission on Combating Trafficking in Persons and

[61] OTC 4 was defined in CMEP as "Number of institutions/stakeholders that implement FL-related activities covered within the Government Activity Plan for Improving the labor conditions workers in the agricultural sector". The project team agreed with USDOL to replace OTC 4 with OTC 4 (a) in 2018, as the work plan for the Coordination Council on Child and Forced Labor c project staff has access to data as they are attending the Council meetings.

			Forced Labour). All four national counterparts are still involved in implementation of FL-related activities per the workplan of this subcommittee.
Output 1.3.1 Survey on recruitment practices and working conditions (quantitative and qualitative) in agriculture conducted and results validated with key stakeholders	OTP 8: Set of recommendations on recruitment practices submitted to constituents. OTP 8 (a): A draft set of recommendations on recruitment practices in cotton and silk is developed based on the findings of the second Recruitment practices survey OTP 8 (b): Number of representatives of stakeholders trained on fair recruitment principles	OTP 8: Achieved (2 target/2 achieved) OTP 8 (a): OTP 8 (a): Not achieved (1 target/0 achieved) OTP 8 (b): Not achieved (150 target/0 achieved)	OTP 8: Two sets of recommendations on recruitment practices submitted to constituents were set as a target value and were fully achieved by October 2019. The achievements include: • A set of recommendations in the study "Recruitment practices and seasonal employment in agriculture in Uzbekistan" submitted to constituents in 2017 • The recommendations of the" Qualitative survey of recruitment processes and practices in temporary seasonal agriculture" submitted to constituents in 2019 OTP 8 (a) and OTP 8 (b) were introduced at the end of 2019, to reflect the planned project activities in 2020. The project set 1 target for a draft set of recommendations on recruitment practices in cotton and skills (OTP 8a), and a target of 150 trained stakeholders on fair recruitment principles (OTP 8b). These targets were not achieved because related activities were postponed due to the COVID-19 pandemic.
Output 1.3.2 Labour inspectors trained in forced labour identification and reporting	OTP 9: # of labour inspectors trained on recognizing and addressing FL in cotton growing sector.	OTP 9: Achieved to a great extent (57 target/ 50 achieved)	OTP 9: The project set a target of 57 labour inspectors trained on recognizing and addressing forced labour in cotton production, out of which 50 were trained by October 2019. The number of labour inspectors trained might exceed the target by the end of project, as one training module of fair recruitment is planned in 2020 (with 30 participants). The project reported that 14 labour inspectors were trained on child labour identification and prevention in 2015 (all male), and 36 district labour inspectors (80% male) were trained in 2018 as part of training for legal and technical labour inspectors in Jizzakh and Fergana.
Output 1.3.3 Government agencies, social	OTP 10: # of representatives of government agencies, social	OTP 10: Overachieved	OTP 10: The target of 53 trained representatives of stakeholders was underestimated. In total, 320 individuals were trained (74% male).

partners and civil society organizations trained on the need to combat FL	partners and civil society organization trained	(53 target/320 achieved)	Document review shows that 17 stakeholders were trained in 2016 (1 representative of TUs, 16 representatives of CCIU). The following year, the project conducted a comprehensive training program on building stakeholder capacity on identification and prevention of child and forced labour that trained 180 persons (Trade Union trainers, Mahalla Fund, Farmer's council, Women's Committee, Youth organization, Centre for Secondary Specialized and Vocational Education (CSSVE), and Ministry of Agriculture and Water resources) during June-September 2017. In 2018, 38 labour inspectors and 85 trade unions members participated in a regional training programme on prevention and elimination of forced labour conducted in Jizzakh, Fergana and Tashkent.
Output 1.3.4 The CCIU made aware of the need to combat forced labour	OTP 11: # of agriculture sector employers and their staff trained to prevent and combat forced labour.	OTP 11: Achieved (50 target/50 achieved)	OTP 11: The project set a target of 50 trained employers and workers from the agriculture sector and reported that the target was fully achievement. Document review shows that 3 persons were trained in 2015, 28 representatives of the Farmers' Council were trained in 2017, and 19 organizations involved in recruitment were trained on how to approach labour recruitment and employment in a fair and ethical manner (Master-Trainers) in 2018.
SO 1.4 Social dialogue mechanisms to promote FPRW improved	OTC 5: An official document (e.g. government decree, ministerial order) approving the establishment, functions and operation of a tripartite dialogue mechanism is available.	OTC 5: Achieved (1 target/1 achieved)	OTC 5: The Republican Tripartite Commission on Social and Labour Issues was established by a Decree of the Cabinet of Ministers of the Republic of Uzbekistan No. 553 of 3 July 2019, which is in line with the Law of the Republic of Uzbekistan "On ratification of the Convention of the International Labour Organization No. 144 on tripartite consultations to promote the application of international labour standards (Geneva, June 21, 1976)".
Output 1.4.1 FTUU supported to improve its capacity on education and representation of workers	OTP 12: # of FTUU representatives trained OTP 12 (a): # of FTUU representatives completing	OTP 12: Overachieved (25 target/29 achieved) OTP 12 (a): Achieved	OTP 12: The project aimed to train 25 representatives of FTUU. The project reported the achievement of 29 certified trainers of FTUU (69% male). Following the TU training needs assessment conducted in 2015, five sessions of the ToT for Trade Union trainers were conducted from November 2015 to February 2017. The participants developed 14 modules on various topics: motivation of trade union membership, TU members' rights, OSH, law making, social dialogue, ICT, Collective bargaining and agreements, gender policy, youth, etc. In February 2018, 15 representatives of FTUU who had completed the ToT training participated in a training session and study tour to the Labour Institute of Moldova. OTP 12 (a): This indicator was added in 2019, with a target of 30. To be counted for this indicator, participants must complete a three-module training. The first module of the Trade union ToT on modern education techniques was conducted in September

	the Tot on modern education techniques OTP 13: % of ToT training participants with correct answers to the post-training assessment OTP 14: # of trainees applying the adult training methodology	(30 target/30 achieved) OTP 13: Overachieved (85% target/86.6% achieved) OTP 14: Achieved to a great extent (25 target/22 achieved)	2019 with 31 participants (87% male) and two more ToT training modules were conducted until April 2020 with 30 participants OTP 13: The project set a target of 85% of ToT training participants with correct answers to the post-training assessment. Document review shows that this target was exceeded, as the actual value was 86.6% of the 31 ToT training participants had correct answers following Module 1. OTP 14: The project set a target 25 trainees applying the adult training methodology that they were taught during the ToT. Based on a review of TPRs, 22 certified trainers of FTUU were conducting training in 2017 and 2018, and 20 of them continued to provide training in 2019 by applying the methodologies presented at the ToT. During the period January 2017 – March 2018, a total of 503 trainings were organized by FTUU trainers, and 104 of them covered issues related to child and forced labour.
Output 1.4.2 Representatives from employers' and workers' organizations trained on negotiation skills and collective bargaining techniques	OTP 15: # of representatives from employers' and workers' organization trained on negotiation skills and collective bargaining techniques	OTP 15: Partially achieved (50 target/20 achieved)	OTP 15: The project set a target of 50 representatives from employers' and workers' organizations trained on negotiation skills and collective bargaining techniques. In the TRP April 2018, the project reported that 20 persons (10 workers, 10 employers) participated in the training course "Improving negotiation skills for successful collective bargaining" in 2018. Document review indicates that there were no other trainings on collective bargaining for employers' organizations by October 2019.
Output 1.4.3 Capacity of trade unions and employers' organizations to promote social dialogue in multinational	OTP 16: # of trade union members trained on social dialogue in multinational enterprises	OTP 16: Not achieved (20 target/0 achieved)	OTP 16: The project set a target of 20 train union representatives trained on social dialogue in multinational enterprises. In the October 2019 TPR, the project reported that there was no separate activity conducted in regard to this indicator. This topic was covered only as part of a seminar on Fundamental principles and rights that was conducted in Bukhara for 26 trade unions representatives in 2016.

enterprises enhanced			
Output 1.4.4 Capacity of Chamber of Commerce and Industry of Uzbekistan (CCIU) to expand its role as an employers' organization and develop services for its members strengthened	OTP 17: CCIU strategic plan available OTP 18: CCIU policy papers on priority areas available. OTP 19: At least one new or improved service developed by the CCIU (including OSH)	OTP 17: Not achieved (1 target/0 achieved) OTP 18: Not achieved (1 target/0 achieved) OTP 19: Achieved (1target/1 achieved)	OTP 17: The project planned to support development of a CCIU strategic plan. Document review confirmed that a strategic planning workshop occurred in October 2016, and a draft of the CCIU strategic plan was developed. However, the October 2018 TPR stated that "The draft developed was not shared with the project, and never approved by the CCIU leadership". This indicator will not be achieved during the life of the project. OTP 18: This indicator has not been achieved. In the October 2019 TPR, the project reported that "The CCIU is not planning to develop policy papers on priority areas". OTP 19: The project set a target of at least one new or improved service developed by the CCIU. In the April 2018 TPR, the project reported that the CCIU has established a new OSH training service for the CCIU members, which was a direct result of the project activities (e.g. OSH toolkit designed). In order to provide this service, the CCIU established a department in charge of the OSH issue that delivers two types of trainings: regional trainings and the in-house trainings. Additionally, the project has provided technical support to the CCIU during the process of establishing of a separate employers' organization (Confederation of Employers), which assumed the labour and social affairs functions of the CCIU. The project provided a seminar on the functions and organizations of employers' organization in September 2018. The project also facilitated the participation of the Chamber of Commerce and the Confederation of Employers in the training on Membership strategies and Service design and delivery (jointly with ILO ITC) in November 2018 in Moscow).
Output 1.4.5 Technical support provided for establishing a functional tripartite social dialogue mechanism	OTP 20: Assessment of the national social dialogue legislation and practices undertaken. OTP 21: Recommendations for effective social dialogue disseminated to tripartite constituents.	OTP 20: Achieved (1 target/1 achieved) OTP 21: Achieved (1 target/1 achieved)	OTP 20: This indicator has been achieved and reported under OTP3, as an analysis to which extent the social dialogues legislation and practices are in compliance with C144 (conducted in 2018). OTP 21: This indicator was achieved. The project reported that the recommendations of the above-mentioned analysis were presented to tripartite constituents in August 2018.
IO 2. Decent employment opportunities promoted: Institutional supports for decent employment opportunities enhanced			

SO 2.1 A knowledge base on the national employment framework with focus on youth employment established	OTC 6: A national employment strategy document available	OTC 6: Not achieved (1 target/0 achieved)	OTC 6: The project intended to provide technical support for development of a national employment strategy, which was not achieved by October 2019, as no activities targeted at a national employment strategy were conducted. Document review shows that ILO conducted different advocacy activities with the Ministry of Employment and Labour Relations such as: the ILO Moscow director discussion on the priorities with the Minister in 2017, a round table "State employment service in Uzbekistan – pressing issues" in April 2018 with the lead of the ILO DWT-CO Moscow Specialist on Employment, and provision of support for 5 representatives of the Ministry in a course on designing effective and inclusive national employment policies (held in ILO ITC Turin in September 2018). In the October 2019 TPR, the project reported that employment is no longer considered a priority by the project as the employment related activities will be taken over by the Lukoil project (Partnership for youth employment in the Commonwealth of Independent States – YEP CIS).
Output 2.1.1 Policy review to prepare a strategic policy document conducted	OTP 22: Policy review document disseminated OTP 23: Policy review report on existing youth employment incentives available	OTP 22: Not achieved (1 target/0 achieved) OTP 23: Not achieved (1 target/0 achieved)	OTP 22: This indicator has not been achieved, as no activities related to policy review to prepare a strategy policy document were conducted. OTP 23: This indicator has not been achieved, as no activities related to policy review on existing youth employment incentives were conducted. However, under the scope of the Lukoil project, the ILO international consultant analysed the employment framework and labour market policies (presented in September 2019), which will be used as a background for development of a national employment strategy.
SO 2.2 Capacity of the PES and PrEA to deliver services to employers and job seekers strengthened	OTC 7: # of recommendations from project assessment implemented by PES or PrEA	OTC 7: Not achieved (2 target/0 achieved)	OTC 7: This indicator has not been achieved, as no activities related to project assessment implemented by PES or PrEA were conducted. The employment-related activities will be taken over by the Lukoil project.
Output 2.2.1 Tripartite constituents trained on implementation of	OTP 24: Number of staff of tripartite constituents trained on	OTP 24: Not achieved	OTP 24: This indicator has not been achieved. Document review shows that this activity will be taken over by the Lukoil project.

recommendations of employment services assessment	recommendations of employment services assessment OTP 24(a): Number of PES representatives trained on the PES functions and service delivery	(20 target/0 achieved) OTP 24 (a): Achieved to a great extent (53 target/52 achieved)	However, the project reported that a tailored course on "Strengthening Employment Services in Uzbekistan, Azerbaijan and Kazakhstan" was organized with 37 participants (21 of them the Ministry of Employment and Labour Relations and PES representatives) in January 2017. OTP 24(a): The project set a target of 53 PES representatives trained on the PES functions and service delivery. It reported an achievement of 52 PES representatives trained. The document review shows that: • 14 PES representatives (93% male) participated in trainings for representatives of Jizzakh and Fergana PES on dealing with temporary work job seekers and recruitment in September 2018, as joint initiative of the project and the Lukoil project • 38 PES representatives (70% male) participated in trainings that were developed based on the results of the assessment of the Public employment services (PES) conducted by the ILO This activity will be taken over by the Lukoil project.
IO 3. Improved working conditions and social protect ion: Strengthened law and policy on working conditions and social protection in Uzbekistan			
SO 3.1 Effective occupational safety and health (OSH) management system developed	OTC 8: National OSH programme adopted by the Government of Uzbekistan	OTC 8: Not achieved (1 target/0 achieved)	OTC 8: The project set as a target adoption of the National OSH Programme by the Government of Uzbekistan. In the October 2019 TPR, the project reported that "the Government is prioritizing the capacity strengthening of the labour inspectorate, and within the timeframe of the project the OSH programme will not be developed". As of March 2020, this indicator has not been achieved and the process to develop this plan has not started yet.
Output 3.1.1 National OSH Profile updated and disseminated	• OTP 25: Updated OSH profile available and disseminated to tripartite stakeholders	OTP 25: Achieved (1 target/1 achieved)	OTP 25: The project intended to update the OSH profile, and the project reported that this indicator was achieved. Work on updating the National OSH profile started in mid-2017, and it was finalized in October 2018. The constituents established a working group on development of the National OSH profile, and the international experts engaged for drafting this profile collaborated with the working group. The National OSH profile was presented to the tripartite constituents (representatives from FTUU, CCIU, MoELR, and Ministry of Health).
Output 3.1.2 Formulation of a draft National OSH programme and strategy completed and disseminated	• OTP 26: Draft National OSH Programme available and disseminated to tripartite constituents	OTP 26: Not achieved (1 target/0 achieved)	OTP 26: The project set a target of a Draft National OSH Programme available and disseminated to tripartite constituents. By October 2019, the work on the preparation of National OSH Programme had not started as it was pending the finalization of the OSH profile, and there was a lack of the Ministry of Employment and Labour Relations interest in developing it.

Output 3.1.3 Tripartite constituents trained on implementation of the OSH management system	• OTP 27: # of tripartite constituents trained on implementation of the OSH management system	OTP 27: Achieved to a great extent (120 target/113 achieved)	OTP 27: The project set a target of 120 tripartite constituents trained on implementation of the OSH management system. As of October 2019, the project reported an achievement of 113 trained persons (80.5% male).
SO 3.2 Capacity of social partners to apply collective bargaining mechanisms and tripartite consultation principles in wage setting increased	OTC 9: Training participants apply their knowledge in collective bargaining and/or tripartite consultations on wage setting (qualitative)	OTC 9: Not achieved (yes/no indicator: target: yes/ actual: no - not achieved)	OTC 9: The project set a qualitative indicator that training participants apply their knowledge in collective bargaining and/or tripartite consultations on wage setting. The evaluation team did not find evidence of the achievement of this outcome. Document review shows that, on the one hand, this was affected by the leave of the ILO DWT-CO Moscow Wages Specialist (however, ILO HQ specialists were present). On the other hand, there has been a lack of government interest in this topic compared to other areas of work.
Output 3.2.1 A tripartite review of the current mechanisms of consultation on wages completed	OTP 28: Report on review of mechanisms of consultation on wages available	OTP 28: Achieved (1 target/1achieved)	OTP 28: The project set a target of one report on review of mechanisms of consultation on wages available. The project reported that "the tripartite constituents signed the Tripartite review of mechanisms of consultations on wages in June 2018". The ILO Moscow Wages specialist conducted this review, which yielded the development of a road map (report).
Output 3.2.2 Introductory training on collective bargaining on wages provided to the tripartite constituents	OTP 29: # of wage experts from Ministry of Labour, employers' and workers' organizations trained in collective bargaining on wage-related issues	OTP 29: Not achieved (15 target/0 achieved)	OTP 29: The project set a target of 15 wage experts from the Ministry of Labour, employers' and workers' organizations trained in collective bargaining on wage-related issues. By October 2019, the project reported that this has not been achieved.
Output 3.2.3 The general knowledge base on wages strengthened through dissemination of ILO materials and publications	OTP 30: # of organizations representatives participating in ILO-supported awareness raising event related to wages	OTP 30: Overachieved (50 target/61 achieved)	OTP 30: The project set a target of 50 organizations representatives participating in an awareness raising event related to wages, and it reported an achievement of 61 participants (70% male). These include: • 37 participants on the Presentation of the Global Wages Report 2016/2017 in March 2017 • 24 participants on the Presentation of the ILO Minimum Wage Policy Guide and discussion of the current situation on the minimum wage policy in Uzbekistan in June 2017.

SO 3.3 Stakeholders' awareness of ILO instruments and approach on improving social protection increased	OTC 10: % of trainees completing the post-training questionnaire with a score over 85%	OTC 10: Not achieved (80% target/0% achieved)	OTC 10: The project set target of 80% of trainees completing the post-training questionnaire on ILO instruments and approach on improving social protection with a score over 85%. The evaluation team did not find evidence that can prove the achievement of this target. In particular, activities related to this indicator were postponed until the Social protection specialist joined ILO Moscow in March 2018. By October 2019, the project had conducted a1.5 day workshop "Advocating for strengthened social protection system" but document review indicates that this type of post-training knowledge test was not conducted.
Output 3.3.1 Tripartite constituents' members trained on social protection-related issues and relevant ILO standards	OTP 31: # of targeted constituents trained on social protection and relevant ILO standards	OTP 31: Partially achieved (120 target/36 achieved)	OTP 31: The project planned to train 120 tripartite constituents' members on social protection and relevant ILO standards. The project has not reached this target, as only 36 representatives of the trade union were trained by October 2019. This training consisted of a 1.5-day workshop "Advocating for strengthened social protection system" that was organized in July 2019 with an aim to raise awareness among trade union representatives about ILO social security standards and ILO's social protection policy.
Output 3.3.2 The knowledge base on social protection strengthened through dissemination of ILO materials and publications	OTP 32: # of organizations receiving ILO materials and publications on social protection	OTP 32: Not achieved (15 target/0 achieved)	OTP 32: The project set a target of 15 organizations receiving ILO materials and publications on social protection. The October 2019 TPR indicated that this activity was not conducted. The project team suggested to USDOL to reduce the target to 5 as the main recipients are the tripartite constituents.
	OTP 33. Review of the social protection system in the country available	OTP 33: Achieved (2 target/2 achieved)	OTP 33: The project set a target of two reviews of the social protection system. Document review shows that two reports were prepared on the social protection system in the country in 2019: • The Assessment of the Social Protection System in Uzbekistan (based on Core Diagnostic Instrument, CODI report), which was a joint effort of ILO, UNICEF and WB • Social protection country profile Evaluation interviews revealed that these reports will serve as a background analysis for the UN Joint Programme on Social Protection that is focused on the establishment of the coordinated social protection system, development of the Social Protection Strategy, and enabling greater access of persons with disabilities (started in January 2020 as a joint initiative of ILO and UNICEF).

Annex F: List of ILO Conventions Ratified by Uzbekistan

Convention	Ratification Date	Status
Fundamental		**8 of 8**
C029 – Forced Labour Convention, 1930 (No. 29)	13 July 1992	In Force
P029 – Protocol of 2014 to the Forced Labour Convention, 1930	25 June 2019*[62]	Not in force
C087 – Freedom of Association and Protection of the Right to Organise Convention, 1948 (No. 87)	25 October 2016*	In Force
C098 – Right to Organize and Collective Bargaining Convention, 1949 (No. 98)	13 July 1992	In Force
C100 – Equal Remuneration Convention, 1951 (No. 100)	13 July 1992	In Force
C105 – Abolition of Forced Labour Convention, 1957 (No. 105)	15 December 1997	In Force
C111 – Discrimination (Employment and Occupation) Convention, 1958 (No. 111)	13 Jul 1992	In Force
C138 – Minimum Age Convention, 1973 (No. 138)Minimum age specified: 15 years	06 March 2009	In Force
C182 – Worst Forms of Child Labour Convention, 1999 (No. 182)	24 June 2008	In Force
Governance (Priority)		**4 of 4**
C081 – Labour Inspection Convention, 1947 (No. 81)	27 August 2019*	It will enter into force for Uzbekistan on 19 Nov 2020
C122 – Employment Policy Convention, 1964 (No. 122)	13 July 1992	In Force
C129 – Labour Inspection (Agriculture) Convention, 1969 (No. 129)	27 August 2019*	It will enter into force for Uzbekistan on 19 Nov 2020
C144 – Tripartite Consultation (International Labour Standards) Convention, 1976 (No. 144)	4 March 2019*	It will enter into force for Uzbekistan on 13 Aug 2020
Technical		**5 of 178**
C047 – Forty-Hour Week Convention, 1935 (No. 47)	13 July 1992	In Force
C052 – Holidays with Pay Convention, 1936 (No. 52)	13 July 1992	In Force
C103 – Maternity Protection Convention (Revised), 1952 (No. 103)	13 July 1992	In Force
C135 – Workers' Representatives Convention, 1971 (No. 135)	15 December 1997	In Force
C154 – Collective Bargaining Convention, 1981 (No. 154)	15 December 1997	In Force

[62] * Date of ratification by President's Decree.

Annex G: Evaluation Team Biographical Summaries

Lead Evaluator

Ms. Zehra Kacapor-Dzihic is an international evaluation expert in the area of governance and inclusive sustainable development (in particular public administration and service delivery, poverty reduction and economic transformation) with over 20 years of experience in leading, managing, and supporting international donor-funded strategic, thematic, midterm, final, outcome, and impact evaluations. Over the recent years, she has been involved as a Team Leader and a Senior Evaluation expert in a number of strategic evaluations for UNDP and other UN Agencies, European Union, OSCE, bilateral donors in different regions and globally. Zehra holds a MSc in Public Administration and Development and also an MA in Human Rights and Democracy. In addition to evaluations, Zehra conducts research and provides policy advice to governments in the area of evidence-based policy making and performance management and M&E systems.

Assistant Evaluator

Ms. Jasna Zarkovic is an evaluation specialist with over ten years of experience in development assistance and project cycle management. She has conducted multiple performance evaluations and impact assessment of public policy, programmes and projects funded by the European Union, international agencies (e.g. UNICEF, the Swiss Agency for Development and Cooperation's, Caritas), embassies and national authorities. She is an economist by training and holds a joint master's degree in Comparative Local Development (CoDe) from the Corvinus University of Budapest, University of Ljubljana, University of Regensburg and University of Trento, an MSc in Economics from the University of Donja Gorica, and a BSc in Economics from the University of Montenegro.