



# ILO EVALUATION

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**Mid-Term Evaluation**  
**Support for the Implementation of the Decent Work**  
**Country Programme project in Uzbekistan**

**International Labour Organisation**

**Lotta Nycander**  
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## Acronyms and Abbreviations

ACTRAV	Bureau for Workers' Activities
ADB	Asian Development Bank
CCIU	Chamber of Commerce and Industry of Uzbekistan
CEACR	Committee of Experts on the Application of Conventions and Recommendations
CL	Child Labour
CLM	Child Labour Monitoring
CMEP	Comprehensive Monitoring and Evaluation Plan
EBRD	European Bank for Reconstruction and Development
EU	European Union
FL	Forced Labour
FoA	Freedom of Association
FPRW	Fundamental Principles and Rights at Work
FTUU	Federation of Trade Unions of Uzbekistan
HCLL	Hazardous Child Labour List
IFC	International Finance Corporation
ILS	International Labour Standards
IPEC	International Programme on the Elimination of Child Labour (ILO)
ITUC	International Trade Unions Confederation
LFA	Logical Framework Analysis
M&E	Monitoring and Evaluation
<i>Mahalla</i>	Formerly <i>Mahallas</i> were informal community associations. Under the Mahalla Law of 1993 (revised in 1999) <i>Mahallas</i> are the government's main agency responsible for implementing social welfare programs and maintaining social order and stability.
MoA	Ministry of Agriculture
MoH	Ministry of Health
MoL	Ministry of Labour
MoPE	Ministry of Public Education
MoU	Memorandum of Understanding
NAP	National Action Plan
P&B	Programme and Budget
PES	Public Employment Services
PrEA	Private Employment Agency
RF	Results-based Framework
SD	Social Dialogue
SMART	Specific, Measurable, Achievable, Realistic, Time bound
SP	Social Protection
ToC	Theory of Change
ToR	Terms of Reference
TPM	Third Party Monitoring
UN Women	United Nations Entity for Gender Equality and the Empowerment of Women
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund
UPS	Uninterruptible power supply
WB	World Bank
WDACL	World Day against Child Labour

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Lotta Nycander

Independent evaluator

## Executive Summary

This is the report of the midterm evaluation of the Project entitled *Support for the Implementation of the Decent Work Country Programme in Uzbekistan*, implemented by the International Labour Organisation in close cooperation with the Government of the Republic of Uzbekistan and tripartite partner organisations for the period December 2014 – December 2018. The United States Department of Labour provides funds to the Project with a budget of USD 6 million.

### *Project background*

The Support Project is designed and operated within the framework of the Decent Work Country Programme (DWCP), signed in 2014 with an extension signed by the ILO and tripartite constituents on February 28, 2017, valid up to 2020. The Project mirrors the priorities of the DWCP which has three priorities, identified as a result of consultations with the national constituents: 1) Strengthening social partnerships to realize fundamental principles and rights at work; 2) Fostering decent employment opportunities; and 3) Improving working conditions and social protection.

The Project goal stated in the Project's Comprehensive Monitoring and Evaluation Plan (CMEP) is "To promote decent work in Uzbekistan, with a focus on the prevention and reduction of child and forced labor, by building the knowledge, technical and institutional capacities of the constituents to monitor and promote decent working conditions, employment opportunities and a minimum social protection floor." The Project's objectives as per the Project Document are:

- Intermediate Objective (IO)1. Capacity strengthened in Uzbekistan for the realization of fundamental principles and rights at work (FPRW);
- IO2. Decent employment opportunities promoted: Institutional supports for decent employment opportunities enhanced; and
- IO3. Improved working conditions and social protection: Strengthened law and policy on working conditions and social protection in Uzbekistan.

The core activities are technical assistance to monitor child labour and forced labour in the cotton harvest involving activities such as producing materials and publications; providing advice in relation to ratification of the ILO conventions; reviewing relevant laws, policies and practices; organising capacity development (e.g. Training of Trainers) and undertaking surveys. The strategy to reach the above-mentioned objectives and outcomes is to promote FPRW and decent work so as to be able to address, in particular, the root causes of – and existing - forced labour and child labour. It is based on the goals for the DWCP for Uzbekistan, which was developed with the national constituents. Attention is placed on addressing gaps in knowledge and capacities among key stakeholders, identifying gaps in law and practice, supporting improved reporting processes and further ratifications of key conventions.

### *Evaluation background*

The overall purpose of the mid-term evaluation is to review the progress made towards the achievement of project outcomes, provide advice on how to improve programming and implementation for the remaining duration of the project as appropriate.

The **objectives** of evaluation are multiple, namely: Establishing the relevance of the project; Determining the extent to which the project made progress towards the achievement of the intermediate objectives (outcomes), the kind of results produced, and the intended or unintended effects; Determining the implementation efficiency; Assessing how sustainability has been addressed in implementation and its potential for achievement; Identifying lessons learned and potential good practices, especially regarding models of interventions that can be applied further; and Providing recommendations to better target the next steps and/or adjust the strategies.

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The **scope** of the evaluation is the entire project, in how it has progressed so far in achieving its stated outcomes, including how it has dealt with its priorities, work areas, cross-cutting themes, e.g. gender equality and non-discrimination - from its start in December 2014.

The clients of the evaluation are the ILO tripartite constituents and project partners at the national and local level; ILO management and technical specialists (in the ILO DWT/CO Moscow, Regional Office for Europe and cooperating departments at the Headquarters); Project staff; USDOL; ultimate beneficiaries – children and adults who have been involved in, or at-risk of becoming involved in child labour and forced labour.

### *Methodology*

The evaluation has applied standard OECD-DAC **evaluation criteria** namely relevance; effectiveness; efficiency; and likelihood, or orientation, of sustainability. The evaluation **instrument** has consisted of a set of questions that were posed to the interviewees (section 3.1).

The evaluation has used **qualitative methods** to gather both **qualitative and quantitative data** and information. In processing and analysing the collected qualitative information, elements of thematic analysis and content analysis, process tracing and outcome mapping (and combinations of these) were used in arriving at evaluation conclusions. Quantitative data was drawn from secondary sources only, as there was no scope to carry out a survey to gather quantitative data. Methodological **triangulation** was used, involving more than one data gathering method, i.e. interviews, observations, brief written questions to selected respondents and document review. Emphasis on triangulation was not only made to increase the credibility and validity of the results, and cross-check information to minimise any bias – but also to deepen the evaluator’s understanding. Qualitative content analysis was used to analyse the gathered information and “rival” explanations.

The data collection process was **participatory** to enable, and encourage, all key actors to share their information, experiences and knowledge – thus contributing to the findings. The evaluator adhered to ethical standards in the analysis of gathered/processed data and in the reporting and paid attention to avoid conclusions to be influenced by statements or views by any particular party.

Regarding gender equality and gender equality being part of cross-cutting issues, the evaluation paid attention to UNEG’s Norm 8, on human rights and gender equality - which states that the universally recognized values and principles of human rights and gender equality need to be integrated into all stages of an evaluation (UNEG Norms and Standards for Evaluation, 2016). Thus, gender-related aspects in terms of gender integration (mainstreaming) were identified in the process of data collection, analysis and report writing.

### *Evaluation findings*

These are the key findings and conclusions:

It is found that the Project’s overall design basically is well developed and logical. The key results framework elements (outputs and outcomes) are well designed/phrased and the majority of the outputs are tangible and concise. However, in terms of specific elements of the Project design, there is some confusion and inconsistency in terms of terminology use in the result framework documents. Some of the performance indicators that are intended to measure proximity to targets at output levels seem not designed for optimal use.

The Project activities are generally relevant, which was reaffirmed through the signing of the extension of the DWCP to 2020 encompassing the Project’s work areas and constituting its larger frame, as well as the agreement to extend the Project to December 2018. Results of the upcoming pilot activities planned to start during the first/second quarter of 2017 (as follow up to the Recruitment study) ought to further confirm relevance in relation to Intermediate Objective 1. Regarding the other two objectives

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(Intermediate objectives 2 and 3), the evaluation has found these to be relevant as well (but recommends that priorities are made among the ten outputs to be reached).

Through information gathered in interviews, discussions with key stakeholders and beneficiaries, as well as through perusing available documentation, the evaluation has concluded that the Project has, alongside constituents, national and international actors, contributed and played an important role in child labour having become socially unacceptable in the country, and the phasing out of the mobilization and use of child labour in the cotton industry – earlier directed/enabled by the central Government. The Project has been effective in contributing to the way Uzbek authorities and social partners perceive/discuss involuntary labour and forced labour in particular in view of seasonal cotton harvesting. The Government has acknowledgement that involuntary labour exists and that this is a problem that needs to be tackled. In this process ILO has, at different levels, worked quite effectively as a team with a sense of common cause and determination to assist Uzbekistan in implementing the DWCP and the Project activities. A keen interest was detected among constituents and international partners that the Project's technical assistance should go beyond 2018 – a view that was expressed also by international partners, in reference to the positive effects it has had particularly on the authorities willingness/ability to acknowledge workers' rights issues.

The analysis of the progress data included in the latest available Technical Progress Report (TPR) (October 2016) shows that achievement is satisfactory and has been effective regarding work under Intermediate objective 1 (exception is output 1.3.4) – although several of the outputs that were planned had not materialized and no activities had been undertaken yet. Activities and outputs under Intermediate objective 2 and 3 were planned to start around April 2017.

In looking ahead at the remaining implementation period for the Project to December 2018, and especially keeping in mind that the Problem Tree analysis brought to light an institutional environment in Uzbekistan which is lacking mechanisms to promote decent work (OSH, Social protection, national and sectoral wage setting) it does seem as a tall order for the Project to contribute meaningfully and fully to the outputs planned under the two remaining intermediate objectives. While the Project is engaged in capacity building and Training of Trainers in various topics, the contributions to be made to the development of new management systems, strategic policy documents and draft national programmes (such as in the field of Occupational Safety and Health) is likely to demand substantial willingness, commitment and efforts also from all constituents. It will also be important to have in place a sound exit strategy towards the end, which has not been anticipated or planned.

The Project's level of efficiency is basically satisfactory and there seem to be no major issues in connection with the allocation of resources that could affect efficiency negatively, apart from the delay in endorsement of the Project's budget revision request for activities to implement the recommendations of the recruitment research in selected key provinces. The activity level was quite increased in 2016, leading also to an improved budget expenditure rate although it still is low (34% of the total budget spent in April 2017).

The discontinuation of organised/systematic use of child labour in cotton harvesting earlier directed through central Government, is likely to be sustained and it is clear from in-depth interviews that ILO has played a role to contribute to this situation. This has been done together with its national partners and other organisations in particular the US Government. Regarding the ending of involuntary work in the cotton sector – it is still much too early to know what impact or sustainability effects the Project's activities have had/or will have.

Some of the challenges faced by the Project in its implementation relate to the hierarchal structure of the Government institutions, the top-down decision making. The reorganisation of the Ministry of Labour in February 2016, which transferred certain responsibilities of social protection and employment to other ministries, has created some uncertainty regarding the Ministry's interest in



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involving itself in these areas with the Project. An active DWCP Steering Committee may be helpful in clarifying its new role and involvement in the Project's activities/core objectives.

It was found that about one third of the attendants/participants in the Project's events are women. Apart from the positive fact that gender has been a factor in the research conducted under the Project clarifying women's participation, dependence and benefits from cotton harvesting - the evaluation has not been able to detect any focus placed on gender equality issues, women empowerment in any form or any work related to gender analysis.

### *Lesson learned*

Regarding lessons, it seems too early to make any conclusions on lessons learned at midterm of the Project. However, initially it can be mentioned that (overall) the ILO and the Uzbekistan constituents, through its annual consultations in the Governing Body, eventually made it possible to progress in the field of policy and legislation at national level –and enabled the Project to operate in the country. A lesson learned is that through persistence, and presentation of facts/evidence emanating from the research studies, ILO has been able to develop a dialogue with the constituents in which the Government representatives have stated that there is a need for changes related to fundamental principles and rights at work, particularly linked to the recruitment of workers and workers' rights in cotton harvesting - but also to commit to implementing a decent work agenda in the country.

### *Recommendations*

These are the seven recommendations for consideration:

1. The donor agency should approve the Project's budget revision request – if not yet done - which includes a budget to fully implement the recommendations of the recruitment research in selected key provinces to test their effectiveness. This is important in order for Project to go ahead and to increase effectiveness.
2. The Project should make priorities - in concurrence with the key partners - regarding the work under the outcomes IO2 and IO3 in order to make meaningful contributions in particular regarding social protection activities.
3. The Project should insist that the DWCP Steering Committee hold meetings regularly and play a guiding role vis-à-vis the Support Project implementation if possible.
4. ILO should request the donor agency to grant a no-cost extension into 2019, if funds still remain unused towards the end of 2018, to ensure implementation up to the end of the DWCP's timeframe in 2020 and possibly longer, new proposals and funding could be solicited from EU and/or German Government/Embassy.
5. ILO should consider the feasibility of organising an end-of-Project Seminar/Conference at the time of the closing of the Project (whether or not this happens in 2018 or later). The purpose would be to ensure that results are consolidated and shared among stakeholders - contributing to sustainability. Preparing for such an event might also help the Project to prepare an exit strategy in time.
6. The Project should, in any future qualitative study/research, continue to feature gender issues and the role of rural women in agriculture/cotton picking, as more information could be gathered to feed into policy-level discussions with the MoL and other tripartite partners. The purpose would be to identify what support could be provided to rural women who will need to find, or develop existing, employment/self-employment as alternative income-generation, if cotton cultivation/harvesting actually will lose some of its importance in the near future, as foreseen.

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7. ILO and the donor agency should ensure that the use of terminology regarding the result framework is consistent throughout the documentation and that not only performance indicators are developed but also some achievement/impact indicators at high results level. This will be useful in view of the final evaluation of the Project.

## **1 Introduction**

This is the report of an independent Mid Term Evaluation (MTE) of the ILO Project entitled *Support for the Implementation of the Decent Work Country Programme in Uzbekistan*. It consists of the following sections: Introduction (section 1); Background (section 2); The Project (section 3); Evaluation Framework (section 4); Methodology (section 5); Findings (section 6); Conclusions and recommendations (Section 7). There are 7 Annexes.

## 2 Background

The Republic of Uzbekistan (hereafter referred to as Uzbekistan) is a lower middle-income country<sup>1</sup> and was formerly part of the Soviet Union, and is a double landlocked country in Central Asia. It gained independence in December 1991. It is the largest country in Central Asia with a population of 31,576,400 people<sup>2</sup> and third largest in the region with high average annual economic growth rates in recent years. This is believed to be mostly a result of various economic reforms that, in turn, has enabled the country to be increasingly competitive globally. The United Nations Development Assistance Framework (UNDAF) states that the annual growth rates in industrial output is ranging from 6.6 to 12.7 percent, while it is estimated to be 4.5 to 7 percent in the agricultural sector. During the last nine-ten years the country's foreign trade turnover has tripled and the overall GDP more than doubled. Poverty rates are down from 27.5 percent in 2001 to 14.1 percent in 2013 resulting from the fast economic growth, higher salaries/remittances, incomes from micro and small businesses, and implementation of State-targeted social support programmes, particularly in education and health<sup>3</sup>.

Cotton is an important industry for Uzbekistan. The country is the fifth largest producer of cotton in the world<sup>4</sup> and the seventh largest gold mining country in the world. Natural gas, oil, coal, copper, silver and uranium are also produced<sup>5</sup>. Cotton is the second most important crop in terms of area of cultivation and has great political, economic, and cultural significance for the country. There is a high demand for temporary workers because of the seasonal nature of the agricultural, and particularly, the cotton sector. Government projects in Uzbekistan, with financing from the World Bank, are designed to assist the country to move away from cotton production, increase mechanisation and diversify to more profitable crops that are less labour intensive<sup>6</sup>. A National Action Plan to modernise agriculture and improve working conditions for the period 2016-2018 exists, introduced in January 2016.

ILO has had technical cooperation activities in the country earlier, as part of small, regional projects under the International Programme on the Elimination of Child Labour (IPEC). They included awareness raising and addressed prevention of child labour in the seasonal cotton harvesting<sup>7</sup>.

For several years the ILO supervisory bodies addressed comments and prepared conclusions to Uzbekistan concerning the application of C.105 (Abolition of Forced Labour Convention) and C.182. (Worst Forms of Child Labour - WFCL). The Committee of Experts on the Application of Conventions and Recommendations (CEACR) comments began in 2005 under Convention No. 105, on the mobilization and use of labour for purposes of economic development in agriculture (cotton production) in which public sector workers, school children and university students were involved. Later on, the CEACR comments focused on Convention No. 182 following its ratification by Uzbekistan in 2008. Between 2009 and 2013 discussions took place with the Uzbek constituents in the Governing Body. In 2013 Uzbekistan agreed to the fielding of the first monitoring exercise of child

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<sup>1</sup> Source: DAC list of ODA recipients effective for reporting on 2014, 2015 and 2016 flows (<http://www.oecd.org/dac/stats/documentupload/DAC%20List%20of%20ODA%20Recipients%202014%20final.pdf>)

<sup>2</sup> As of January 2016/2016/2017, source: *Situational Analysis*, DWCP Support Project draft consultancy report, 2017.

<sup>3</sup> United Nations Development Assistance Framework – UNDAF- 2016-2020.

<sup>4</sup> Source: The Project Document, ILO.

<sup>5</sup> Uzbekistan DWCP.

<sup>6</sup> WB press release: from <http://www.worldbank.org/en/news/press-release/2017/01/31/ilo-report-says-uzbekistan-making-progress-on-labor-reforms-organized-child-labor-phased-out>.

<sup>7</sup> There are: *Capacity Building Project: Regional Programme on the Worst Forms of Child Labor (2004-2007)* – funded by US Department of Labor. Other projects were *Combating the Worst Forms of Child Labor in Central Asia through Education and Youth Employment (2005-2007)* aimed at supporting linkages between child labor, education and youth employment (funded by Germany); and *Combating Child Labor in Central Asia: Commitment becomes Action (2008-2011)* with capacity building, replication of models for interventions and regional good practices (also funded by Germany) (source: Support Project Document, ILO).

labour in cotton harvesting, initiated by ILO Headquarters in Geneva, and in participation with the authorities/constituents and social partners.

### Relevant legal framework

Uzbekistan is a Member State of ILO since 1992 and, by January 2017, it had ratified 14 ILO conventions, including all of the eight fundamental conventions. In 2008, the Government adopted a National Action Plan for the application of Convention 138 (C.138, Minimum Age for Admission to Employment) and the Convention on the WFCL (C.182)<sup>8</sup>. Uzbekistan has also ratified the ILO Conventions on forced labour (C.29 and C.105)<sup>9</sup>. Questions raised by the ILO supervisory bodies in recent years, in relation to the application of fundamental Conventions, have been directed to child labour and forced labour in the context of cotton-picking campaigns and gender equality in employment and occupation<sup>10</sup>. The policy framework and legislation in Uzbekistan in these areas is not complete<sup>11</sup>. Regarding Occupational Safety and Health (OSH), Uzbekistan has not ratified any of the relevant ILO instruments on OSH (C. 129, C 187), however it adopted a new OSH law in late 2016.

The protection of rights and interests of the employees occupied in different branches of the economy was strengthened. The adoption of the Union Law<sup>12</sup> was made to strengthen trade unions' role in society to better protect the interests of employees - primarily to ensure freedom of association in trade unions. Thus it has, according to a recent become possible to create a primary trade union organization at the enterprise level on the initiative of at least three employees. Regarding wage setting, the collective bargaining approach for wage setting is not used on a regular basis, which results in challenges in ensuring that women and men are equally compensated. In the field of social protection –universal health care and education exist. However, a coherent approach is lacking to ensure minimum standards, especially regarding income security and social protection to the whole population, including those working in the rural/agricultural sector. ILO is expecting that continued cooperation with Uzbekistan will result in more focus on these and related issues<sup>13</sup>.

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<sup>8</sup> Uzbekistan has ratified 13 ILO Conventions, and the ILO supervisory bodies have identified a number of concerns in relation to their application, particularly with regard to conventions related to forced labour (C 29, C105); child labour (C138, C182), working conditions (C47, C103) gender equality (C100, C111) employment policy (C122) and collective bargaining (C154).

<sup>9</sup> Source: Decent Work Country Programme of the Republic of Uzbekistan for 2014-2016

<sup>10</sup> Source: Decent Work Country Programme of the Republic of Uzbekistan for 2014-2016

<sup>11</sup> As a transitional economy with specific economic and labour force characteristics, Uzbekistan has faced challenges in the practical implementation of the labour standards and international best practice in employment and the national capacity to enforce or monitor existing regulations is limited. The ILO conventions C.81 and C.129 have not been ratified by Uzbekistan and legislation do not assign clear responsibilities for inspection relevant to Child and Forced Labour issues. Source: Project Document, ILO.

<sup>12</sup> Entitled: "Law of the Republic of Uzbekistan on Amendments to the law on Trade Unions, their rights and guarantees of their activities". The recent study commissioned by the ILO Support Study refers to the changes, in the (draft) Situational Analysis report 2016.

<sup>13</sup> The Project Document.

## 3 The Project

### 3.1 Basic facts

The *Support for Implementation of the DWCP in Uzbekistan* (herein referred to as the Support Project, or the Project) is a technical cooperation project implemented by the International Labour Organisation in close cooperation with the Government of the Republic of Uzbekistan and tripartite partner organisations for the period December 2014 – December 2018. The United States Department of Labour provides funds to the Project with a budget of USD 6 million.

The Support Project is designed and operated within the framework of the Decent Work Country Programme (DWCP), signed in 2014 with an extension signed by the ILO and tripartite constituents on February 28, 2017, valid up to 2020. The Project mirrors the priorities of the DWCP which has three priorities, identified as a result of consultations with the national constituents: 1) Strengthening social partnerships to realize fundamental principles and rights at work; 2) Fostering decent employment opportunities; and 3) Improving working conditions and social protection. This allowed for the Project to design and implement its interventions on prevention and elimination of child and forced labour in the agricultural sector (in cotton growing and harvesting in particular) among other areas. Its interventions are capacity and policy-oriented and aimed at developing knowledge, and technical and institutional capacities of the constituents to monitor and promote decent working conditions, employment opportunities and a minimum social protection floors. ILO is also implementing a project entitled the Third-Party Monitoring (TPM) of measures against forced labour during the 2015-2016 cotton harvest in Uzbekistan<sup>14</sup>.

Four ILO staff members run the day-to-day operations of the DWCP Support Project; Chief Technical Adviser (CTA); Technical and Monitoring and Evaluation Officer; Project Assistant; and Finance and Administration Assistant - the latter is based at ILO Moscow office, providing assistance on a regular basis. ILO specialists (employer, workers, OSH, standards) are also available to provide technical support on a needs basis. The administrative unit is the ILO DWT and Country Office for Eastern Europe and Central Asia in Moscow.

### 3.2 Project objectives

The Project goal stated in the Project's Comprehensive Monitoring and Evaluation Plan (CMEP) is "To promote decent work in Uzbekistan, with a focus on the prevention and reduction of child and forced labour, by building the knowledge, technical and institutional capacities of the constituents to monitor and promote decent working conditions, employment opportunities and a minimum social protection floor." The Project's **objectives** of the Project Document are:

- Intermediate Objective (IO)1. Capacity strengthened in Uzbekistan for the realization of fundamental principles and rights at work (FPRW);
- IO2. Decent employment opportunities promoted: Institutional supports for decent employment opportunities enhanced; and
- IO3. Improved working conditions and social protection: Strengthened law and policy on working conditions and social protection in Uzbekistan.

The **core activities** are technical assistance to monitor child labour and forced labour in the cotton harvest involving activities such as producing materials and publications; providing advice in relation to ratification of the ILO conventions; reviewing relevant laws, policies and practices; organising capacity development (e.g. Training of Trainers) and undertaking surveys. The **strategy** to reach the

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<sup>14</sup> It is managed by an ILO-employed CTA (through sub-contracting by the World Bank) and funded through a multi-donor trust fund managed by the World Bank. The main donor is the European Union (EU).

above-mentioned objectives and outcomes is to promote FPRW and decent work so as to be able to address, in particular, the root causes of – and existing - forced labour and child labour. It is based on the goals for the DWCP for Uzbekistan, which was developed with the national constituents. Attention is placed on addressing gaps in knowledge and capacities among key stakeholders, identifying gaps in law and practice, supporting improved reporting processes and further ratifications of key conventions<sup>15</sup>.

### 3.3 Project partners and intended beneficiaries

#### 3.3.1 Project partners

The working partners are the ILO constituents and social partners i.e. representatives of the Government - the key ministry being the **Ministry of Labor (MoL)** and related institutions. The MoL is the state administrative body that implements policies in the area of employment and labour protection. The ministry has recently undergone a reorganisation, which has entailed removing some of its functions to other ministries through a Presidential Decree, dated 22 February 2016.

The employers are represented through the **Chamber of Commerce and Industry of Uzbekistan (CCIU)**. CCIU is a non-governmental non-profit organization unifying business entities on a voluntary basis. It has 29,363 active members, including 13,885 individual entrepreneurs, 10,754 micro-firms, 3,469 small enterprises, 1,022 large-scale enterprises, and 233 associate members (as of September 30, 2016<sup>16</sup>). It is the largest employers' organization in Uzbekistan and includes 14 territorial offices in the regions and the capital of the Republic. The constituent representing the workers is the **Federation of Trade Unions of Uzbekistan (FTUU)**. FTUU is the largest and the main union of employees and includes 11 sectoral and 14 territorial associations of trade union organizations. It has 37,659 members of primary organizations<sup>17</sup>.

The **ILO Third-Party Monitoring (TPM) project**, operated from the World Bank office, is also an important working partner – which also contributes to the DWCP but through a different approach.

#### 3.3.2 Beneficiaries

The Project Document<sup>18</sup> declares that the Project should target certain categories of people (and agencies) who also shall benefit from the activities, either directly or indirectly. Children engaged in child labour, or who may be at risk of engaging in child labour, and adults in a condition of forced labour are termed **ultimate beneficiaries**. The document also mentions that the working population as a whole will benefit economically and socially in the long run, from project activities by way of strengthened laws, regulations, policies, institutions, and programs to promote decent work in Uzbekistan.

According to the project document, there are certain targeted groups representing the tripartite constituents who also should benefit from the Project through its technical assistance, to increase their capacity and strengthen tripartite consultations on labour issues - these are termed **direct beneficiaries**. Among them are listed a number of Government agencies, e.g. Ministries of Labour, Public Health, Finance, Public Education, Higher and Secondary Special Education. Labour Inspection, Public Employment Services, member organizations of the Coordination Council on Child Labour<sup>19</sup>, and Members of the Parliament should also benefit from the project's technical assistance. From the Employers organisations the beneficiaries are Chamber of Commerce, Council of Farmers

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<sup>15</sup> Source: ToR

<sup>16</sup> The details on the constituents here are from the draft Situational Analysis report 2017, commissioned by the ILO Project.

<sup>17</sup> Ibid.

<sup>18</sup> Source: Project Document, p. 13.

<sup>19</sup> This has been established by MOL, FTUU and CCIU.

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of Uzbekistan, and from the Workers organisations, it is the FTUU. Others are bodies and civil society organizations working on gender equality, e.g. the Women's Committee of Uzbekistan - a self-governing, non-profit organization established in 1991<sup>20</sup>.

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<sup>20</sup> Source: Project Document.



## 4 Purpose, objectives, scope and clients of the evaluation

### 4.1.1 Purpose and objectives

The main **purpose** of this Mid Term Evaluation (MTE) is to assess the progress made towards the achievement of project outcomes and provide advice on how to improve programming and implementation of the Project for the duration that remains until its closing. Results-based evaluations are an integral part of the implementation of technical cooperation activities – thus all projects follow established procedures with the objective of improving quality, accountability, and transparency of ILOs' work, including projects funded by the United States Department of Labor (USDOL), which is the development partner (donor agency) of the project under evaluation. It is intended that the findings of this evaluation shall be of use for the ILO and the tripartite constituents, to refine strategies and plans for the remainder of the project period.

These are the **objectives** of the evaluation as stated in the Terms of Reference: Establishing the relevance of the project; Determining the extent to which the project made progress towards the achievement of the intermediate objectives (outcomes), the kind of results produced, and the intended or unintended effects; Determining the implementation efficiency; Assessing how sustainability has been addressed in implementation and its potential for achievement; Identifying lessons learned and potential good practices, especially regarding models of interventions that can be applied further; and Providing recommendations to better target the next steps and/or adjust the strategies.

### 4.1.2 Scope and clients of the evaluation

The ILO DWCP Support Project is the focus of the evaluation, and its contribution to the overall national efforts. The **scope** of the MTE is the entire project, on how it has progressed so far in achieving its stated outcomes, including how it has dealt with its priorities, work areas, cross-cutting themes, e.g. gender equality and non-discrimination - from its start in December 2014. The **clients** are ILO tripartite constituents and project partners at the national and local level; ILO management and technical specialists (in the ILO DWT/CO Moscow, Regional Office for Europe and cooperating departments at the Headquarters); the project staff, the donor agency (US Department of Labor) and the ultimate beneficiaries – namely the children and adults who have been involved in, or at-risk of becoming involved in child labour and forced labour, and the population of Uzbekistan who benefit from the Decent Work agenda pursued by the project together with the Constituents and other stakeholders.

### 4.1.3 Deliverables/outputs of the evaluation

The deliverables of the evaluation are an inception report, a draft report; a final report addressing all written comments received; and a table explaining how all written comments have been dealt with.

### 4.1.4 Limitations to the research

No major limitations were faced in the evaluation study. A minor limitation was the fact that some of the Project's research was not published at the time of the writing of the draft report. It is hoped that the final evaluation report will be able to capture key findings/conclusions of the qualitative recruitment survey research mentioned in this report.

## 5 Evaluation framework

### 5.1 Evaluation criteria and instrument

The evaluation **criteria** of OECD-DAC<sup>21</sup> have been applied in this evaluation, as recommended for evaluating development assistance in order to assess progress and achievements toward already set goals. The criteria are relevance; effectiveness; efficiency; and likelihood (orientation) of sustainability and impact. The evaluation **instrument** consists of a set of questions that were posed to the interviewees, as listed below. The evaluation sought information that helped determine whether or not the Project has been doing things in the right way to date, and whether there could be more effective ways to achieve results before the Project closes at the end of 2018.

Efforts have been made to formulate the questions to be as relevant as possible in the specific context, and in view of the concerns that exist regarding this particular project and its themes, and the evaluation. Most of them are taken from the Terms of Reference (ToR), while the evaluator has added others. They are *examples* of questions that were further tailor-made/detailed to each category of stakeholder as the data gathering took off in Uzbekistan. They were posed to a) ILO staff (project staff, regular ILO staff, former staff as relevant); b) constituents/stakeholder organisations, (government, employers' associations and workers organisations/trade unions); and c) other international and national organisations in Uzbekistan:

#### Project design

- **What** was the basis on which the Project was designed? Was any initial needs assessment, diagnostic study, or baseline study undertaken prior to, or at the start of the Project and if so how have the results been reflected in the Project? Has any gender analysis been carried out?
- **To what extent** is the project design valid (logical, coherent) and **to what extent** is the Project designed to influence relevant policy, as well as respond to the needs of the ultimate beneficiaries? E.g. were the outcomes and outputs SMART-ly formulated and likely to be achieved within the established time schedule and with the allocated resources (including human resources)? Were the linkages between inputs, activities, outputs and objectives clear and logical? Were the different components of the project (i.e. capacity building, policy and legislation, awareness raising, direct action to beneficiaries, etc.) clearly and realistically complementing each other?
- In the M&E system - **to what extent** have plans been made for data collection and analysis – and if so have they matched plans for indicator reporting?
- **How** realistic was the time frame for project implementation and the sequencing of project activities?
- **To what level** was information regarding the socio-economic, socio-cultural and political situation in Uzbekistan taken into account when designing the Project?
- **What** is the quality of the assumptions formulated in the Project document e.g. to what extent were assumptions specified at outcome level and to what extent were they formulated as being *outside of the control or influence* of the Project actors and stakeholders?
- **How** have gender issues been integrated, or mainstreamed in the Project design - in its components and outcomes? Was any gender analysis conducted at the start, or before the start-up?

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<sup>21</sup> Source: <http://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>

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- **To what level** has the strategy for sustainability of project results been defined clearly at the design stage of the Project?
- **How** does the Project design fit within and complement existing initiatives by other organizations to combat child labor/forced labor (e.g. the World Bank project).

### Relevance

Relevance is here understood as the extent to which the Project's activities are in line with the priorities and policies of the country/stakeholders and needs of the beneficiaries, and with the ILO itself and the development partner (donor agency).

- **How** are the project objectives/outcomes aligned with national policies and frameworks, and national development priorities? Are they consistent with the country cooperation frameworks, i.e. UNDAF? How do they correspond to the country's vision and approach towards SDGs localization?
- **How** relevant is the Project to the evolving needs of the tripartite constituents?
- **To what extent** do the problems that gave rise to the Project at the design stage still exist? Have they changed?

### Effectiveness

Effectiveness is here understood as relating to the extent to which activity/strategies reach or contribute to meeting the stated objectives.

- **To what extent** does the project have an integrated strategic approach to all of its components to ensure that it can meet the outcomes? What are the linkages and synergies among different components of the project?
- After two years of implementation, **to what extent** and level has the project managed to achieve its intended results across all intermediate objectives according to plan? What are the likely implications in achieving the stated Project outcomes if activities are delayed?
- **How** flexible has the project strategy been to address changes in the country context? Are there timely mechanisms in place for the above? Is the ILO doing the right things at the right time to achieve project outcomes?
- **To what extent** is the project on a path to contribute to the development of stakeholders' the capacity in addressing the reduction/elimination of child labor? **How** effective has the project been in increasing the capacity of specific stakeholders? **Which** have been the main challenges and lessons so far?
- **How** successful has the Project been in motivating tripartite constituents in improving working conditions in the cotton sector?
- **To what extent** has the Project linked to/cooperated with the ILO's work for the World Bank "*Third-party monitoring (TPM) on child and forced labor in Uzbekistan*" project, both with respect to national monitoring and research? What effect, if any, did it have (positive/negative on overall project implementation)?
- **To what extent** has the Project linked with other international organisations in Uzbekistan, or the region?
- **How** successful has the Project been to enhance the constituents' level of understanding on the relevance of ILS for the development of national legal and policy framework?

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- **Have there been any unexpected** effects of the project? (e.g. positive/negative on the enabling environment for the formulation of policies aimed at increasing productivity, creating jobs, improving working conditions and reducing vulnerability?)
- **To what extent** has the Project been able to use media and public advocacy?
- **How** likely is it that the project will achieve its outcomes/objectives? If not likely, is there any remedial action needed at this mid-term stage of the Project?
- Regarding management arrangements: **To what extent** did staff turnover impact on Project implementation and performance?
- **What** was the division of work tasks within the Project team, and has the use of local skills (through outsourcing activities to national experts through excols) been effective?
- **What** was the quality/value of technical support and backstopping from the relevant ILO units?

### Efficiency

Efficiency is here understood as a measurement of the outputs (qualitative and quantitative) in relation to the inputs. It is applied to assess/determine whether the least costly resources possible were used to reach the intended results.

- **How** relevant was the allocation of human and financial resources to the project implementation?
- **How** efficiently (costly/not costly) were the resources used by the Project to reach the planned outcomes (e.g., technical expertise, knowledge base, networks, staff, time, administrative and other resources)?

### Likelihood of sustainability and impact orientation

Impact is here understood as concerned with the positive and/or negative changes produced by the Project directly or indirectly, intended or unintended. This involves the main impacts and effects resulting from the activity on the local social, economic, environmental and other development indicators. This also includes the positive and negative impact of external factors, such as changes in terms of e.g. policy and socio-economic conditions.

- **How** has the Project, *so far*, contributed to the sustainability of outcomes beyond the life of the project? How likely is it that the national partners will be able to continue/embrace the project agenda and use the results after the end of the Project (capacity/willingness/motivation of people and institutions, and laws, policies)? Has any sustainability strategy been mentioned/discussed/outlined?
- **How** likely is it that long-term impact on target groups, institutions, policies will occur as a result of the Project activities?
- **What** contributions have been made so far to encourage ownership among the ILO constituents and Project partners?

Finally, are there any **emerging lessons learned**, and or **good practices** that are worth highlighting?

## 5.2 Methodology, approach and standards in the evaluation process

### 5.2.1 Methods and steps

- Comprehensive documentation review and initial briefings through in-depth interviews

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The evaluation studied the overall context in which the Project is operating and the documentation review was undertaken throughout the evaluation field mission, as more documents were gathered during the fieldwork in Uzbekistan and in the encounters with the stakeholders (see Annex IV. Documents consulted). Based on the initial documentation review, a preparatory briefing with the ILO DWT/CO Moscow representatives was done, after which the Inception Report was submitted (prior to the field visit to Uzbekistan). An in-depth interview was held with the donor representatives, i.e. USDOL staff in Washington.

### • Field visit to Uzbekistan

A field visit was organised to Uzbekistan, to gather data/information and make observations between 04/03-18/03, 2017. Individual interviews and/or group interviews were conducted with the Project staff members and other relevant ILO in-country staff, including the ILO/World Bank Third Party Monitoring Project (TPM). Others interviewed and consulted, are the representatives of the following organisations:

- Ministry of Labour, the Labour Institute and training centre;
- Chamber of Commerce and Industry (representing the employers in the country), and the Federation of Trade Unions in Uzbekistan (FTUU), and individuals who have received training or otherwise worked with the project.
- *Mahalla* leaders<sup>22</sup> and other participants in awareness-raising events;
- Contractors/consultants of firms who had conducted research for the project; and
- Representatives of US Embassy, World Bank, UNICEF, EU and the German Government participated actively in the discussion at the Stakeholders workshop, in which the evaluation's preliminary findings were presented<sup>23</sup>.

### • Observation through field visit outside Tashkent

The evaluator and assistant made field visits outside Tashkent and could apply observations as a method to appreciate the context.

### • Debriefing

On the final day of the field visit in Tashkent the evaluator presented the preliminary findings using a Power Point in a Stakeholders workshop, attended by the ILO in-country project staff and other key stakeholders including the representatives of the tripartite constituents' organizations and others. (See Annex V. Participants in the Stakeholders Workshop 17 March 2017). Comments from the participants were noted and analysed. Post-Trip Debriefing: Upon completion of the field research the evaluator presented the preliminary findings to the ILO DWT/CO-Moscow on March 22 and USDOL representatives on April 4 on distance (through conference call from home).

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<sup>22</sup> *Mahallas* were formerly informal community associations. Under the Mahalla Law of 1993 (revised in 1999) Mahallas are the government's main agency responsible for implementing social welfare programs and maintaining social order and stability (Source: The Project Document).

<sup>23</sup> The evaluator would have like to meet with and interview the former Head of the Federation of Trade Unions of Uzbekistan (FTUU), Ms. Narbayeva, who in late 2016 assumed the position of Deputy Prime Minister, Chairperson of the Women's Committee of Uzbekistan (the ILO was responsible for making these contacts and told the evaluator that it would be difficult to arrange). The Project staff informed that this was not feasible due to her new responsibilities and the time constraint, but the evaluator mitigated this through gathering information about her role vis-à-vis ILO's mission in the country, and information from key informants including the American Embassy staff. Information received is that she has been instrumental in her support to the issue, in particular, of raising awareness among the public and the Government regarding children working in agriculture, e.g. cotton. At the ILO Round Table on 6 May 2016, Ms. Narbayeva stated that Uzbekistan will continue to hold National Child and Forced Labour Monitoring on an annual basis (source: TPR Oct 2016).

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- E-mail correspondence and a brief set of written questions

E-mail exchanges were also used to gather more information and to enrich the triangulation and validation process. A short questionnaire has been used.

- Reporting

An Inception report was submitted on 3 March 2017, followed by a draft report in view of a 48 hour review. This report has addressed all written comments received.

### 5.2.2 Approach

#### Qualitative methods, triangulation, participation, cross-cutting issues

The evaluation has used **qualitative methods** to gather both **qualitative and quantitative data** and information. In processing and analysing the collected qualitative information, elements of thematic analysis and content analysis, process tracing and outcome mapping (and combinations of these) were used in arriving at evaluation conclusions. Quantitative data was drawn from secondary sources only, as there was no scope to carry out a survey to gather quantitative data. Methodological **triangulation** was used, involving more than one data gathering method, i.e. interviews, observations, brief written questions to selected respondents and document review. Emphasis on triangulation was not only made to increase the credibility and validity of the results, and cross-check information to minimise any bias – but also to deepen the evaluator’s understanding. Qualitative content analysis was used to analyse the gathered information and “rival” explanations.

The data collection process was **participatory** to enable, and encourage, all key actors to share their information, experiences and knowledge – thus contributing to the findings. The evaluator adhered to ethical standards in the analysis of gathered/processed data and in the reporting and paid attention *to avoid conclusions to be influenced by statements or views by any particular party*.

Regarding gender equality and gender equality being part of cross-cutting issues, the evaluation paid attention to UNEG’s Norm 8, on human rights and gender equality - which states that the universally recognized values and principles of human rights and gender equality need to be integrated into all stages of an evaluation (UNEG Norms and Standards for Evaluation, 2016). Thus, gender-related aspects in terms of gender integration (mainstreaming) were identified in the process of data collection, analysis and report writing.

Figure 1. Sources & methods for data collection to apply the key evaluation criteria

Key evaluation criteria	Documents/sources of information & data	Method to be used
Relevance	Relevant national policy documents and strategies, DWCP, UNDAF, Project Document with ToC/LFA/RBM Implementation plans/Performance plans, MOUs and info from staff & stakeholders.	Documentation review and in-depth interviews & meetings with ILO staff, other UN staff, constituents and partners.

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Key evaluation criteria	Documents/sources of information & data	Method to be used
<b>Effectiveness</b>	Technical Progress Reports (TPRs), donor response/comments to TPRs, M&E reports, reports on capacity building/training & participants' evaluations of training; info from staff & stakeholders.	Documentation review, in-depth interviews with ILO staff and Development partners (including donor) & other stakeholders; Collection of qualitative & quantitative information, data, key written questions for ILO staff & other UN staff.
<b>Efficiency</b>	TPRs, work plans, budget and expenditure documents, donor reports, financial/audit reports.	Documentation review and interviews/discussions with ILO admin & finance staff.
<b>Likelihood of sustainability and impact orientation</b>	TPRs, M&E reports, info from ILO, constituents and partner organisations.	Documentation review, discussions & meetings, in-depth interviews.

### 5.2.3 Norms, standards and ethics

The evaluation was carried out in accordance with ILO's Evaluation Policy Guidelines, the UN Evaluation Group (UNEG) Norms and Standards (up-dated in 2016), and OECD/DAC's recommendations<sup>24</sup>. The evaluation considers ethical standards and codes of conduct, adhering to standards also when gathering of information in order to protect those involved in the evaluation process. Thus, confidentiality of the respondents was respected in field visits, and in interviews. As much as possible, the evaluation applied triangulation/cross-checking and observations to increase the credibility and validity of the results and, to the extent possible, to minimise any bias.

<sup>24</sup> The evaluator is guided by the ILO Policy Guidelines for Results-based Evaluation: principles, rationale, planning and managing for evaluations (2013) and ILO Guidance Note No.4: Integrating Gender Equality in Monitoring and Evaluation of Projects (March 2014).

## 6 Main findings

### 6.1 Validity of project design and strategy. Overall analysis and findings

The ToR requested the evaluation to assess to what extent the Project design is logical and coherent. This section provides an analysis pertaining to this task. The evaluation has looked at Project's Results Framework (hereafter referred to as RF) documents, considered how change is believed to be generated, how assumptions are formulated, and what how indicators are developed to use in determining progress towards set goals. Findings are illustrated through examples. The section ends with a conclusion based on the findings – which do *not in any way reflect the way the Project is implemented*, but solely addresses observations made on the design of the RF /Theory of Change (ToC).

The relevant documents are first and foremost the Project Document with its Logical Framework Analysis (LFA) included in Annex A. It forms the basis for the more detailed Theory of Change narrative of the Comprehensive Monitoring and Evaluation Plan (CMEP) that includes a detailed results matrix. It builds on a documented Problem Tree exercise that summarised three major problems to be tackled by this Project, namely:

- Limited capacity for FPRW, including prevention of child labour and forced labour;
- Ineffective employment framework for generating sufficient work opportunities of adults and youth; and
- Institutional environment lacks mechanisms to promote decent work, in relation to e.g. Occupational Safety and Health (OSH), Social protection, national and sectoral wage setting.

Other relevant documents made available to the evaluation are the Project's XBTC Implementation and Performance Plan. These were part of a several documents submitted by ILO to the donor for approval. The donor requested the ILO to develop a more detailed performance monitoring and implementation plan that resulted in the matrix in the CMEP<sup>25</sup>. In addition, annexes in the Projects semi-annual Technical Progress Reports (TPR) include matrices with cumulated progress in terms of activities and events.

The Project has used varying terms in the above-mentioned frameworks and plans, for instance the LFA uses Development Objective, Project Outcomes, Outputs (and Key Activities and Indicators)<sup>26</sup>, while the Project Monitoring Plan (PMP) matrix (Annex 5 in the CMEP) and the Technical Progress Report (TPR) matrices use Intermediate Objective (IO), Supporting Objective (SO) and Outputs, as well as outcome and output indicators. The TPR matrix reporting on progress is the only matrix found that mention places progress against *targets*.

*Evaluation's comment:* The varying terms used in the different documents, as shown above, confuses the picture and understanding – however, overall the key RF elements are quite well thought through and the majority of the outputs are tangible which is very helpful. Some reflections are noted below on specific elements of the design (indicators at output and outcome levels, and assumptions).

### 6.2 Analysis and reflections on specifics in the results framework

Indicators are understood to be quantitative and/or qualitative variables that provide simple and reliable means to measure achievement, to reflect the changes connected to the Support Project's activities or strategies, or help in assessing the performance of any of the work of the constituents/partners. In the LFA model, these are called Objectively Verifiable Indicators.

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<sup>25</sup> Source: Project staff's written comments on first draft evaluation report.

<sup>26</sup> The LFA is found in Annex A in the Project Document.



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The Project has made good efforts to formulate indicators applying to all outcomes and outputs – which is commended here. They are found in Table 2 in CMEP, among other places, and are meant to be *performance* indicators<sup>27</sup> - which the evaluation understands as variables that allow the verification of changes or show results relative to what was planned. The LFA has indicators but does not specify whether they are meant to measure progress at outcome or output levels – as they are listed and lumped together. However, the PMP matrix in the CMEP has made this differentiation, which is a good improvement. Projects should be able to attain objectives on their own at the lower level - not the overall one, or the development objective, as *there are many contributing actors to that level*. The lower level objectives in the Support Project are the “supporting objectives” and it is understood here, at this level, the Project ought to, on its own attain these.

The evaluation is aware that the Project operates in a politically sensitive involvement with its tripartite stakeholders and the design of the indicators (e.g. their lack of specificity) may be seen in this light, as rightly pointed out to the evaluator. Related to this is also the issue of the difficulty in gaining access to the type of quantitative data needed to support SMART indicators as this could be would be viewed as too invasive/sensitive by the constituents. This is fully appreciated by the evaluation and is faced by many other development/technical cooperation interventions.

Below is an analysis about design validity with comments/observations ending with a conclusion. *It should be noted that these are reflections on design issues and do not require changes.*

### Examples of outcome indicators

Two outcome indicators (OTC) are indicators to be helpful in gauging/measuring progress of the Project’s contribution to “a national strategy to apply international and national labour standards is designed and implemented (Supporting Objecting/SO 1.1)” and to the “capacity strengthened in Uzbekistan for the realization of fundamental principles and rights at work (Intermediate Objective (IO)1”. These are:

- The “Hazardous child labour list approved at the Prime Minister’s level (C1)” is designated as Outcome Indicator 1 (OTC 1); and
- “Ratification of Conventions No. 87, 144, 183, 129, and/or 81” is named Outcome Indicator 2 (OTC 2).

*Evaluation’s comment:* In the above-mentioned case the compilation of the hazardous child labour list (OTC 1) , and ratifications of conventions (OTC 2) don't seem to be adequate indicators showing that *a national strategy to apply international and national labour standards is designed and implemented (SO1.1) in in place* – but jointly with other contributors this could be feasible and realistic.

### Example of output indicators

These are some observations (elements under SO1.1: outputs 1.1.1 – 1.1.3) of output indicators (OTP) in Table 2 in CMEP:

- OTP 1. “Number of and type of materials (Conventions, Protocols, Recommendations) on ILS translated to Uzbek language and disseminated to stakeholders; - The Project set the target at “19” in terms of type of materials.
- OTP 2. Number of and type of advisory services products delivered to tripartite constituents; Here the Project set the target at “7” and is non-specific in terms of products and constituents.

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<sup>27</sup> Described as such by the donor representative.

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- OTP 3. Number of technical assessment reports available on laws, policies and practices reviewed to assess readiness for ratification of Conventions No's 144, 81,129, and application of C 98. Here the target set at "1" (report), addressing C98, C144, C81, C129".

*Evaluation's comment:* The above indicators do not seem meaningful and it seems that the indicator value is the same as the target value.

Another example is OTP 5 (indicator related to output 1.2.2). "number of representatives of tripartite constituents, civil society organizations, labour inspectors and school inspectors trained on child labour monitoring and forced labour identification"

*Evaluation's comment:* In the above-mentioned example, the Project set the target at 155. As a target for the whole project period, this seems a bit low.

Generally, regarding the way indicators and targets are designed: Is the target value meant to be equivalent to an indicator value? If so, would it not be more meaningful if the target has a higher value and the indicator a slightly *lower* value (e.g. 80% of the target) in order for us to know how close we have come to the target?

### Reflections on the formulation of assumptions

Three critical assumptions were found in the PMP matrix: 1) Political will towards further implementation of decent work principles is maintained; 2) Uzbek tripartite constituents are receptive towards ILO's technical and legal advice regarding the implementation of international labour standards, in particular the prevention and reduction of child and forced labour; and 3) No major economic changes affecting the country's labour market occur throughout the life-cycle of the project.

*Evaluation's comment:* The evaluation understands assumptions to be hypotheses about factors or risks that could affect the progress or success of the Project's activities and strategies (if formulated as negative statements, assumptions would be called 'risks'). These are external factors that the project management has no direct control, and should be formulated in positive statements. The assumptions are here lumped together, i.e. not (as is common in LFA matrices) placed at different levels – thus it is not clear whether they apply to all outcomes (higher level) and outputs (lower level) or whether some apply to outcomes and some to outputs. At least one of the assumptions (No. 2) is not entirely beyond the influence of the Project – as it ought to be, in order to qualify as assumptions in a RF.

### Conclusions

- a) The Project's overall design basically is well developed and logical. The key results framework elements (outputs and outcomes) are well designed/phrased and the majority of the outputs are tangible and concise.
- b) In terms of specific elements of the Project design, there are inconsistencies in terms of the use of terminology in the result framework documents; and some performance indicators (intended to measure proximity to targets at output levels) seem not to be designed for optimal use.

### 6.3 Relevance

Relevance is here understood as the extent to which the Project's activities are in line with the priorities and policies of the country/stakeholders and needs of the beneficiaries, as well as with the ILO itself and the development partner (donor agency).

The Project was developed and launched as a highly relevant intervention, with three relevant key objectives. It is aligned with the new ILO Strategic Policy Framework and more specifically the Transitional Strategic Plan 2016-17, which details the strategic orientation of the organization. The

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project is also aligned with the broader country cooperation frameworks, including the United Nations Development Assistance Framework (UNDAF) for the period 2016-2020.

The Government has acknowledged the labour standard and labour rights problems in the country and has demonstrated willingness to work on these with the ILO, made evident through the signing of the extension of the DWCP until 2020 and the extension of the Support Project to December 2018 within its framework. International organisations deem ILO activities and the Project as important which has transpired in several interviews and through the discussions in the Stakeholder Workshop in which the preliminary findings of this evaluation were presented (among them US Embassy, EU Delegation, Embassy of Germany, the World Bank and UNICEF, the latter in a separate interview).

According to this evaluation, relevance of the Project has not been reduced since its take-off. For instance, in relation to IO1, organized/systematic seasonal recruitment of large numbers of temporary workers is likely to continue and thereby there exist risks to workers' rights - not only in the cotton sector/industry. Support to the country towards tackling the entire spectra of the Decent Work Agenda (DWA) is relevant and valid. At the same time it is clear, as can be expected, that key stakeholders prioritize activities that are close to their "own agendas" and what the Project ought to prioritize.

When reviewing relevance in relation to the three key objectives, it was found that the activities falling under IO1. (*Capacity strengthened for the realization of fundamental principles and rights at work*) will include pilot activities in selected districts to implement some of the results and recommendations of the "Recruitment study". This activity and results should highlight the relevance of the related work. Regarding the other two objectives IO2 (*Decent employment opportunities*) and IO3 (*Improved working conditions and social protection*) the evaluation has found that these also are relevant, but is recommending that prioritization is made, mainly due to the recent (2016) reorganisation of the MoL.

### **Conclusion**

The Project activities are in general relevant, reaffirmed through the signing of the extension of the DWCP to 2020 encompassing the Project's work areas and constituting its larger frame, as well as the agreement to extend the Project to December 2018. Results of the upcoming pilot activities planned to start during the first/second quarter of 2017 (as follow up to the Recruitment study) ought to bring about results that further confirm relevance in relation to Objective 1. Regarding the other two objectives (IO2 and IO3) the evaluation has found these to also be relevant - but is still recommending that priorities will be made.

## **6.4 Effectiveness**

The evaluation has attempted to assess how effective the Project has been at midterm, in contributing to increased awareness and capacity building of the stakeholders regarding the risk of child labour and forced labour in the context of agriculture (cotton harvests) - and to what extent it has been able to contribute to the other parts of the decent work agenda.

### **6.4.1 Context and overall achievements**

As part of the context for the Project implementation in Uzbekistan, it was found that the ILO Headquarters in Geneva, in connection with the annual Governing Body sessions, held discussions with Uzbek delegations during several years (2008-2013) regarding child labour in agriculture including cotton harvesting. The position of the Uzbek delegation was basically that the work was performed on voluntary basis, and was an important tradition and reflection of the public's patriotism<sup>28</sup>.

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<sup>28</sup> Source: This transpired in an in-depth interview with a Senior Desk Officer at Headquarters, Geneva.

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In early 2008, an international Cotton Campaign addressed the prevalence of child labour and the recruitment of adults in involuntary work. ILO's IPEC activities in the country, through its regional projects, were "suspended". In 2009, after an alert to the Governing Body by International Trade Unions Confederation (ITUC) and International Organisation of Employers (IOE), ILO made the decision to review the situation. *With pressure mounting from buyers, threatening not to buy cotton from Uzbekistan*, the situation started to change and in 2013 when Uzbekistan accepted that a high-level delegation would carry out a review in the country.

It has been learnt that the then Head of FTUU was instrumental in the above-mentioned process as she acted as a champion and in the process of acknowledging that changes had to be made, as the country heavily depends on revenue from its cotton production. This is a situation that the World Bank currently is addressing with its Uzbek partners, i.e. its support to diversification of agricultural production with the purpose of reducing the country's dependence on this single cash crop.

The evaluation has found that ILO's work through the Support Project, as well as that of the US Government, World Bank and civil society organisations, has been important - in particular during the last 1-2 years. It has entailed awareness-raising and capacity building activities among constituents and partners, field research, studies, monitoring (including methods and development of questionnaires), as well as producing and disseminating promotional materials during campaigns to end child labour.

Presentations of the preliminary results of research, and in Round Tables, have gathered key national stakeholders and international development organisations, and have also been effective in the support of the workers right issues. For instance, the presentation to key government counterparts and Round Tables in 2015 functioned as platforms for the Project's presentation of the qualitative research results of a survey in cotton harvesting tackling forced labour and the typology of recruitment that was developed as a result. The quantitative survey results were presented in a Round Table in August 2016.

Through inclusive and constructive ways in approaching socio-economic topics that are politically sensitive vis-à-vis constituents, a scenario was created in which the Government has acknowledged that there are risks related to recruitment in the cotton harvesting, and that involuntary recruitment in agriculture poses problems that need to be tackled. Thus, several key interviewees have stated that, in 2016, *a much more frank dialogue took place on issues such as involuntary, even forced, labour*.

The evaluation also found, through its interviews and meetings with the constituents and partners, that there is a keen interest in partnering with the ILO and the Project, and even in a continued technical assistance after 2018, to be at compatible with the timeframe for the DWCP in 2020. This was also pointed out as desirable by the US officials and other international experts in interviews referring to the effects particularly on the constituents' increased willingness/ability to acknowledge the above-mentioned "rights at work" issues.

The importance of building and maintaining working relationships in the Uzbekistan context and particularly regarding fundamental principles and rights at work cannot be overstated. The Project staff team in Tashkent has built and maintained good working relationships with the MoL – which has been supportive to the Project and its management. Very good working relations were reportedly developed with the Institute of Labour and the CoC.

ILO's work relations with FTUU seem to have been quite satisfactory, although it was seemingly more intense during the Federation's previous management<sup>29</sup>. ILO Headquarters, Geneva, has provided technical assistance and advice to FTUU through several short visits to Uzbekistan. The inputs were part of the Project's activities and were crucial in the preparations of the country's ratification of the

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<sup>29</sup> The previous Head of FTUU currently has the position of Deputy Prime Minister for Women's Issues but, reportedly, she has confirmed that she will continue providing support to these issues from her new position as Deputy Prime Minister for women issues.

C.87; dialoguing with the Federation about a more independent role vis-à-vis the Government; assisting in making international connections especially in linking FTUU with ITUC; and through capacity building (training). As for the Training Centre of the Federation of Trade Unions, work relations were fruitful as revealed through meetings and interviews with the management, staff and several of the Trainers and trainees at the Centre - the latter who had participated in the Project's capacity development and Training of Trainers (ToT) during 2016 and in related events in early 2017.

Regarding the international organisations in the country, very good relations have been developed with representatives of the U.S. Embassy, UN Resident Coordinator (UNRC) and the UN agencies (including UNICEF), International Finance Corporation (IFC), European Bank for Reconstruction and Development (EBRD) and Asian Development Bank (ADB).

### 6.4.2 Specific activities and events

This section gives further detail on selected project events and achievements. Table 2, shows the Project's events organised from April 2015 to the time of the evaluator's data collection visit in Uzbekistan<sup>30</sup>. The vast majority of the activities that were carried out up to October 2016 fall under IO.1, i.e. as part of strengthening capacities in the area of fundamental principles and rights at work as revealed from the documentation<sup>31</sup>. No activities are planned to take place before April 2017 under the two other objectives (decent work IO.2, and working conditions and social protection IO.3). An important activity set to start in the first quarter of 2017 was the launching of pilot study activities in several districts as a follow-up to the "Recruitment study"<sup>32</sup>. This was part of activities proposed through a budget revision - the approval of which was still pending at the time of the data collection in Uzbekistan. Work on this was planned to start during the 2<sup>nd</sup> quarter of 2017.

When looking at the how indicators can reveal something about the achievements (the "actuals"), it was found that under the **Supporting Objective 1.1 (SO1.1)**, the first indicator is **OTC1**. Hazardous child labour list. The related activity is only planned to start in April 2018. As for the second indicator under SO1.1, named indicator **OTC2**, this is about ratifications of many conventions. Out of these, C. 87. Freedom of Association was ratified, which apparently occurred one year ahead of plans. The Project facilitated the preparations of Uzbekistan's ratification - which also became law signed by Acting President on 25th October 2016.

Stepping down one level in the RF, to **output level**, reveals that 15 (out of total 19) awareness-raising materials planned on ILS were disseminated; 4 (out of total 7) advisory service products were delivered; 3 (out of total 10) institutions/stakeholders were implementing National Action Plans; 76 (out of total 155) constituents, civil society organizations, labour inspectors and school inspectors were trained on child labour monitoring and forced labour identification (of which 22 were female); 3 (out of total 9) of awareness-raising materials on child labour were produced and disseminated; 2 (out of total 4) awareness-raising events had taken place.

The survey on recruitment practices and working conditions (qualitative and quantitative) in the agriculture sector was undertaken as planned, but the report was not yet disseminated as final in October 2016.

14 (out of total 27) labour inspectors were trained in forced labour identification and reporting.

17 (3 women) (out of total 53) government agencies, social partners and civil society organizations were trained on the need to combat forced labour; 3 only (out of total 50) of agriculture sector employers and their staff had been trained to prevent and combat forced labour (through CCIU); 25

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<sup>30</sup> Source: The information in the table was compiled by the Support Project staff upon request.

<sup>31</sup> Source: Section "III.A. Measurement against project objectives, an extension of the draft Project Monitoring Plan" in the latest available TPR, October 2016.

<sup>32</sup> Source: Interview with the Project management.

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(out of 25, with 3 women only) FTUU representatives were trained to improve its capacity on education and representation of workers.

Table 2 was constructed by the Project, at the request of the evaluation, in order to provide specific information on selected key project events, some of which had been missing in the TPRs:

Table 2. Selected key Project events from April 2015 - March 2017

Key events organized by/through the Project	Organization/s	Units	Year	No of days	No of participants	Female
Training on the indicators of forced labor	tripartite constituents et.al	1	2015	1	22	3
Progress in UZB - ILO - WB cooperation on labor standards	Ditto	1	2015	1	65	22
Training of TPM 2015 on child and forced labor	tripartite constituents, other stakeholders, international monitors	1	2015	2	76	27
Mid-term seminar on TPM 2015 on CL and FL	Ditto	1	2015	2	46	14
Tripartite Seminar on SP and wages	tripartite constituents	1	2015	1	26	10
Seminar for TUs	Trade Unions members	1	2015	0,5	No data	No data
TPM of child and forced labor results and FBM implementation during cotton harvest 2015	tripartite constituents and other stakeholders, international monitors	1	2015	1	53	17
Advanced Training of Trainers for Trade Unions of Uzbekistan	Trade Union trainers	5	2015-2016	5 days each	25	11
Social Protection Seminar	tripartite constituents	1	2015	1	21	7
CSR for All	CCIU	1	2016	2	24	6
A workshop for Employers and Business on Child and Forced Labor	CCIU	1	2016	1	16	3

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<b>Key events organized by/through the Project</b>	<b>Organization/s</b>	<b>Units</b>	<b>Year</b>	<b>No of days</b>	<b>No of participants</b>	<b>Female</b>
Round Table „The experience of Uzbekistan on protection, observance of rights and creation of decent working conditions for workers employed in the agricultural sector“	tripartite constituents	1	2016	1	72	15
FTUU sub-regional seminar on the ILO declaration on fundamental principles and rights at work	TU members	1	2016	1	26	4
State and perspectives of cooperation of the Republic of Uzbekistan and ILO	tripartite constituents, international community, other stakeholders	1	2016	1	59	18
Occupational safety and health training for members of CCIU	employers	2	2016	5 days first one, 3 days second one	8	3
Seminar of Multinational Declaration in Tashkent region	Trade Unions members	1	2016	1	No data	No data
Seminar for TU members of the "Uzmetcombinat" on "Peculiarities of labor relations regulation in joint stock companies"	Trade Unions members	1	2016	0,5	No data	No data
Regional seminar for trade union members of Surkhandaria and Kashkadaria regions "ILO Declaration on Social Justice for a Fair Globalization"	Trade Unions members	1	2016	0,5	No data	No data
Development of efficient OSH management system	tripartite constituents	1	2016	1	17	4

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Key events organized by/through the Project	Organization/s	Units	Year	No of days	No of participants	Female
Strategic planning workshop	CCIU	1	2016	2	12	4
Preliminary results of national monitoring and a refresher on child and forced labor identification	members on national monitoring groups (NGOs, TUs, Eos)	1	2016	1	47	17
“State and perspectives of implementation of the Decent Work Country Programme for Republic of Uzbekistan”	tripartite constituents, stakeholders, international community	1	2016	1	66	14
“Strengthening Employment Services in Uzbekistan, Azerbaijan and Kazakhstan”	PES representatives mainly, but TU and EO also	1	2017	5	37	9
FPWR seminar (by ACTRAV, ILO HQs)	Trade Unions members	1	2017	0,5	104	20
Wages seminar	tripartite constituents, national experts, other stakeholders	1	2017	0,5	37	19
<b>TOTAL No. of participants:</b>					<b>999</b>	<b>274</b>

As seen from Table 2, more information on gender disaggregation is available. **Out of 999 participants in events, 274 were women – about one third of the total.** Reservation to this should be made as information is missing in Table 2 (no data in the right hand column) regarding participants – in addition it should be considered not unlikely that one person has attended more than one event.

### The following provides more detailed information on selected key events:

The extensive national campaign on risks for the use of child labour in cotton harvesting in 13 regions, that the Project has contributed to, involved the use of ILO designed monitoring tools (methods and questionnaires). The national monitoring groups engaged were representatives of regional Trade Unions, regional Chamber of Commerce, *Kamalot* Youth Organisation, and the Women’s Association, Ministry of Labour.

The extensive qualitative and quantitative research on recruitment practices related to the cotton harvest resulted in a presentation in 2015 of findings of the qualitative research tackling forced labour and the typology of recruitment that was developed as a result. The quantitative survey results were presented in detail to the constituents in July 2016 and in a Round Table. The July 2016 presentation shared very interesting but preliminary results to the principals of the tripartite constituents in



Tashkent<sup>33</sup> and among others, showed that voluntary work actually seems to be increasing. Furthermore, a growing number of those who are reluctant choose not to participate and the study estimated that the number of refusals had doubled in a year, to over 1 million persons.

Of the part of the labour force which is “called” or “invited” to participate in the cotton harvesting, a growing number (66 per cent in 2015) do so voluntarily. Apart from a decreasing category of those who participate because of social pressure, there is a third category of “involuntary” workers. This category apparently ranges from 11 per cent in 2014 to 13.8 per cent in 2015<sup>34</sup>.

On 4<sup>th</sup> August 2016, the above preliminary findings were shared with the participants of the Round Table. The findings stated that the risk of forced labour remains a prominent issue in Uzbekistan, as approximately 14% of the 2.8 million cotton pickers - that ILO has estimated were involved in 2015 cotton harvest are involuntary<sup>35</sup>. The constituents accepted the results and following the presentation, the tripartite constituents requested the ILO to develop a detailed set of recommendations to be piloted in selected regions of Uzbekistan. This would help assessing their impact on the situation related to forced labour and explore the potential of expanding tested recommendations throughout the country. Through the above-mentioned research, the Project has contributed to increased awareness among constituents and partners regarding the issue of forced labour, but further research and monitoring are needed.

Research has also been undertaken on labour market development and systemic measures to support decent work as part of a Situational Analysis (“Sitan”)<sup>36</sup>. The Project also organised a group of about forty representatives from the tripartite constituents to attend a **training course on Strengthening Employment Services**, at the ILO-ITC in Turin (January 23 – 27 2017). Over the course of the Project, five modules of **extensive courses of Training of Trainers have also been organised with the FTUU**, with technical assistance from Moldova, using participatory approaches and teaching methods – which were very much appreciated by the trainees.

Activities have been initiated with the Ministry of Labour on OSH, Wages, Employment services - after almost two years. Work has also been started with the Ministry of Public Education (MoPE) and the Ministry of Agriculture (MoA) on child labour and forced labour through collaboration with the World Bank.

### **Conclusions**

Through information gathered in interviews, discussions with several key stakeholders and beneficiaries, as well as through perusing available documentation, the evaluation has concluded that the Project has, alongside constituents, national and international actors, **contributed and played an important role in child labour having become socially unacceptable** in the country, and the phasing out<sup>37</sup> of the mobilization and use of child labour in the cotton industry – earlier directed/enabled by the central Government.

Project has been **effective in contributing to the way Uzbek authorities and social partners perceive/discuss involuntary labour and forced labour** in particular in view of seasonal cotton harvesting. The Government has acknowledgement that involuntary labour exists and that this is a problem that needs to be tackled. In this process ILO has at different levels, worked quite effectively

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<sup>33</sup> The survey was undertaken by Michaelle De Cock, ILO, with Uzbek collaborators. When writing this report, her study report has still not been circulated as a final study report.

<sup>34</sup> *From Myth to Reality – Assessing the Evolution of the Forced Labour Situation in Uzbekistan*, Consultancy Report by Kari Tapiola, August 2016

<sup>35</sup> Source: ILO Project staff.

<sup>36</sup> The report was a draft at the time of the data collection visit.

<sup>37</sup> Source: Also referred to by a report produced by the World Bank/ILO project in Uzbekistan. A Press release from <http://www.worldbank.org/en/news/press-release/2017/01/31/ilo-report-says-uzbekistan-making-progress-on-labor-reforms-organized-child-labor-phased-out>.

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as a team with a sense of common cause and determination to assist Uzbekistan in implementing the DWCP and the Project activities.

**A keen interest was detected among constituents and international partners that the Project's technical assistance should go beyond 2018** – a view that was expressed also by international partners, in reference to the positive effects it has had particularly on the authorities willingness/ability to acknowledge the workers' rights issues.

The analysis of the progress data included in the latest available TPR (October 2016) shows that **achievement is satisfactory and has been effective regarding work under IO1** (exception output 1.3.4) – although several of the outputs planned had no activities to show yet.

However, activities and outputs under IO2 and IO3 are planned to start around April 2017. In looking ahead at the remaining time until December 2018 for the Project and especially keeping in mind that the Problem Tree analysis brought to light that the institutional environment in Uzbekistan lacks mechanisms to promote decent work (OSH, Social protection, national and sectoral wage setting) it does seem as a **tall order for the Project to contribute meaningfully to all the outputs (around 30) planned under the two remaining intermediate objectives**. While the Project is building capacity through training and ToT in various topics, the contributions to be made to the development of new management systems, strategic policy documents and draft national programmes (such as in the field of OSH) is likely to demand substantial willingness, commitment and efforts also from the all constituents. It will also be important to have in place a sound exit strategy towards the end.

It was found that the **Project's TPR data progress records had no targets for the participation of women, and few women compared to men had, according to these, participated in events**, and in many cases information sex disaggregation was missing in this matrix. However, more information about women's participation was given in Table 2, compiled for the evaluation. This showed that about 1/3 of the participants are women – still, this is not completely reliable as it is also noted that there are events that completely lack information on participants in the table received from the Project.

### 6.5 Efficiency

In view of the evaluation criteria efficiency, which is understood as the extent of adequate allocation of human and financial resources to the project implementation and assessing how efficiently the resources were used in relation to the goals to date.

#### 6.5.1 Expenditure/budget delivery rate and budget revision

The utilisation of the project funds was low up to 2016 - as many activities had not been started - but picked up along with the increased level of activity and capacity development events in particular related to work under IO1 during the latter part of 2016 and early 2017. In April 2017, the evaluation was informed that 34% of the budget had been spent (\$683,110 spent in 2015; \$972,762 spent in 2016; and \$355,067 spent as of April 2017). The evaluation was informed by the Project management that USDOL/ILO has not officially endorsed the Project's budget revision request that reportedly had been pending for about one year, and this issue need to be handled as soon as possible – if not already done. Part of it relates to a budget to fully implement the recommendations of the recruitment research in selected key provinces to test their effectiveness.

#### 6.5.2 Human resources

The design of the Project has made room for a national Project Assistant as part of the team in Tashkent. However, there is no position for a national staff at professional level i.e. a National Programme Coordinator (NPC), which is common in many other ILO technical cooperation projects in other regions of the world. The donor agency representative has explained “while the project

document design did not include a national expert, it follows quite closely the provisions of the agreement (Memorandum of Understanding) between the ILO and the constituents in Uzbekistan”.

The reason for not having a national expert seems to be a combination of lack of availability of professionals who possesses all the required qualifications for such an assignment, and an apprehension on the part of the designers that the issues pursued are too politically sensitive. The Project has utilised the services of external national collaboration/consultants (excolls) on a needs basis, which somewhat seem to have made up for the lack of a NPC in the team. However, a national expert familiar with the MoL for instance, would probably have been useful and could have been a good partner to the team in particular to the management (CTA) in more effectively linking up with e.g. the Government’s plans and actions and communicating with the constituents. *This is an observation – and something for ILO to consider in the future - as it’s late in the day to set up a new post. This observation should not be interpreted as diminishing the importance of any of the current Project positions.*

### 6.5.3 Office equipment

Resources related to equipment seem not to have been sufficient. Whether this is due to lack of foresight in the planning process, or lack of allocated funds in the budget is not known. However, it is reported that practical difficulties were encountered which very likely have affected/limited the efficiency of the administration and office work, as the office equipment is outdated and that there is a lack of easy access to ITC, procurement and financial support, UPS<sup>38</sup> (in the case of power cuts), and back up equipment/programmes.

### Conclusion

The evaluation has not detected any major issues that have affected the Project’s efficiency negatively, related e.g. to budget allocation of resources or human resources. However, the budget revision request that has been pending for more than a year should be dealt with – if not already done – to reduce any uncertainties in terms of Project spending. The activity level was quite increased in 2016, leading to an improved budget expenditure rate, although it still is low (34% of the total budget spent in April 2017).

### 6.6 Likelihood of sustainability and impact orientation

The MTE has also tried to determine the likelihood of sustainability and impact resulting from the Project’s activities and the extent of contributions made towards sustainability of the achievements i.e. beyond the life of the project.

This report has shown that ILO’s work regarding fundamental principles and rights at work has only just generated some important changes in Uzbekistan. With the recent and significant changes in the Government in late 2016, a window of opportunity has seemingly been opened which may allow for some changes to be made in practice, in the area of social and economic development.

The discontinuation of the systematic use of child labour in agriculture (cotton) can no doubt be attributed to ILO’s work including the activities of the Project with funding from the US Department of Labor (the donor) and also to the US Government who has advocating against this practice years ago even before the start of this Project<sup>39</sup> - as well to UNICEF. The impact/change is likely to be sustainable. The development of capacity and raising awareness in various related areas may also lead to sustained knowledge/capacity, practices and change of attitudes – however this is too early to determine.

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<sup>38</sup> UPS = Uninterruptible Power Supply.

<sup>39</sup> ILO’s role in this was confirmed by several international agencies in Tashkent.

Regarding the ending of involuntary work in the cotton sector – it is still much too early to know what impact or sustained effects the Project’s activities have had.

### **Conclusion**

The discontinuation of the organised/systematic use of child labour in cotton harvesting is likely to be sustained and it is clear from in-depth and extensive interviews that ILO as an organisation has played an important role, together with its national partners and organisations, through its involvement in this issue for a number of years even before this Project started. Other organisations have also played very important roles, in particular US Government. As for Regarding the ending of involuntary work in the cotton – it is still much too early to know what impact or sustained effects the Project’s activities have had.

### **6.7 Some challenges along the way**

The reorganisation of the MoL in February 2016, mentioned earlier, reportedly created a complication for the Project, in terms of raising interest among MoL officials for activities on social protection<sup>40</sup>. There are 11 outputs on social protection under IO3 that the Project is supposed to produce, as shown in the CMEP. Very little in this area had taken off at the time of the data collection. The change entailed a transfer of divisions of social protection to the Ministry of Health (MoH). Thus functions related to health care and social assistance for the disabled, including disabled children, war veterans, “lonely elderly” and other vulnerable populations are now the responsibility of the MoH, along with vocational training of persons with disabilities and the “development of inclusive professional education”. Furthermore, functions related to payment of social benefits and material assistance, were transferred to the Ministry of Finance. MoL has retained the responsibility for employment, vocational training and retraining of unemployed (mainly youth, women and persons with disabilities). It is also responsible for monitoring compliance with legislative requirements in the area of labour and employment<sup>41</sup>.

Some of the early challenges of the Project may be related to Uzbekistan not having had to deal much earlier with technical cooperation Projects. The role of the Project seemed not completely clear, for instance the fact that its sole focus is on policy and capacity development with no possibility to provide funds for e.g. equipment, and vehicles.

In Uzbekistan, all major decisions in the government are made at high level, often at the very highest level. In the beginning (2014-15) of the Project, some of the ministry staff would meet with the Project CTA only in the presence of a Minister - and reportedly, it was in the early days difficult at the beginning to meet a Minister, or even a Deputy Minister, and often challenging to get feed-back from the ministry on communications. It is likely that this is have contributed to the fact that it took almost two years for the Project to initiate activities in the topics of OSH, wages, and employment services. The change of CTA in 2016 could be another contributing factor.

The MoL follows its own plans and at times it has acted “fast”, i.e. such as when a new law on labour protection was made - without any knowledge of the ILO or the Project management. The Project is committed to follow its own implementation plan and CMEP for the sake of accountability vis-à-vis the donor agency and ILO. There seems to be some lack in communication or information sharing regarding what actually should be the priority vis-à-vis the Support Project - a topic that came up to discussion in the Evaluation stakeholder workshop on 17<sup>th</sup> March. It was there agreed that the Project would be kept informed and that better communication would facilitate implementation.

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<sup>40</sup> To some extent this seems also to have affected the Project’s headway on employment/labor market and wage related activities (source: USDOL).

<sup>41</sup> Sources: [http://news.uzreport.uz/news\\_2\\_e\\_139373.html](http://news.uzreport.uz/news_2_e_139373.html).

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The US Embassy mentioned that the Project has not yet been granted accreditation from the Uzbekistan government despite having been raised by senior ILO officials and US officials with the Uzbekistan Government. The evaluation has not been able to identify the reason for this, but has been informed that this has not actually hampered or delayed the Project *implementation* as such. A senior ILO official in Geneva also stated that “nobody knows” and that it could be the result of politics - or only a matter of procedures. The evaluator was advised to contact the UN Coordinator in Tashkent for clarification, but it was eventually not possible as he was out of the country at the time of the data collection visit.

A DWCP Steering Committee, which the Project management attends, was formed in May 2016 and, at the time of the evaluation, it had only held one meeting, on 17 May 2016. The committee has thus not yet started to play any significant role in support of the DWCP, or the Support Project.

### **Conclusions**

Some of the challenges faced by the Project are, reportedly, related to the hierarchal structure of the Government institutions, the top-down decisions making. The reorganisation of MoL in February 2016 which transferred certain responsibilities of social protection and employment to other ministries have created uncertainty regarding MoL’s interest in involving itself in these areas with the Project. An active DWCP Steering Committee may be helpful in clarifying MoL’s new role and involvement in the Project’s activities/core objectives.

### **6.8 Cross-cutting themes – integration of gender equality concerns**

Uzbekistan has ratified ILO conventions on gender equality (C100, C111). The Project Document stresses the importance of having a strategy on gender equality. Apart from the risk of violations of women’s rights at work, it also mentions children and people with disabilities and issues related to possible risks in accessing social services. The following are some findings and reflections regarding the Project’s approach to gender equality issues and concerns:

- The Project has adhered to the Project Document that claims that sex-disaggregated data will be collected and analysed in research and studies. Regarding the national monitoring work, as well as specific research on participation/recruitment in cotton harvest/picking, the Project involved the Women’s Committee in its consultative activities and to ensure representation of “women’s perspective”. The Project’s research revealed that cotton picking is an important source of additional income for many rural women – and is reflected in the composition of men versus women who have participated. Thus, the study results suggest that women made up almost three quarters of the seasonal workforce in the harvests in 2015 (71%) and 2014 (72%). Furthermore, the Situational Analysis study contains elements of gender analysis in Chapter 3.7 on women’s employment (the draft report was circulated for comments in March 2017).
- ILO also ensures, through statements in the Project Document, that the Project will address gender equality related issues in all its awareness-raising and promotional activities. This should encompass the work on promoting fundamental principles and rights at work, as well ratification and implementation of International Labour Standards (ILS). This has not been easy to verify as much of the materials received are in Russian language.
- Regarding data in terms of attendance in the events organised by/through the Project gender specific and disaggregated data of all participation/attendance was received from the Project, pertaining to awareness-raising, capacity development and Round Table events, organised from the start of the Projects in 2015 until March 2017. The data shows that women’s attendance was only about 1/3 of the total number of participants (274 of 999).

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- The Project Document also states that the Project will take into account work being conducted under the auspices of UN Women<sup>42</sup> in Uzbekistan. It has been explained that UN Women had difficulties in performing its programme in the country and when the Support Project took off, the organisation was scaling down and the office in the country is now closed.

### **Conclusion**

Apart from positive fact that gender has been a factor in the research conducted under the Project clarifying women's participation, dependence and benefits from cotton harvesting - the evaluation has not been able to detect any focus placed on issues of gender equality, women empowerment in any form or any work related to gender analysis per se.

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<sup>42</sup> United Nations Entity for Gender Equality and the Empowerment of Women (UN Women).

## 7 Conclusions, Lessons Learned and Recommendations

Section 7.1 summarises the conclusions that are based on the findings of the evaluation.

### 7.1 Conclusions

#### Validity of project design

- a) The Project's overall design basically is well developed and logical. The key results framework elements (outputs and outcomes) are well designed/phrased and the majority of the outputs are tangible and concise.
- b) In terms of specific elements of the Project design, there are inconsistencies in terms of the use of terminology in the result framework documents; and some performance indicators (intended to measure proximity to targets at output levels) seem not to be designed for optimal use.

#### Project relevance

The Project activities are in general relevant, reaffirmed through the signing of the extension of the DWCP to 2020 encompassing the Project's work areas and constituting its larger frame, as well as the agreement to extend the Project to December 2018. Results of the upcoming pilot activities planned to start during the first/second quarter of 2017 (as follow up to the Recruitment study) ought to bring about results that further confirm relevance in relation to Objective 1. Regarding the other two objectives (IO2 and IO3) the evaluation has found these to also be relevant - but is still recommending that priorities will be made.

#### Effectiveness

Through information gathered in interviews, discussions with several key stakeholders and beneficiaries, as well as through perusing available documentation, the evaluation has concluded that the Project has, alongside constituents, national and international actors, contributed and played an important role in child labour having become socially unacceptable in the country, and the phasing out<sup>43</sup> of the mobilization and use of child labour in the cotton industry – earlier directed/enabled by the central Government.

Project has been effective in contributing to the way Uzbek authorities and social partners perceive/discuss involuntary labour and forced labour in particular in view of seasonal cotton harvesting. The Government has acknowledgement that involuntary labour exists and that this is a problem that needs to be tackled. In this process ILO has at different levels, worked quite effectively as a team with a sense of common cause and determination to assist Uzbekistan in implementing the DWCP and the Project activities. A keen interest was detected among constituents and international partners that the Project's technical assistance should go beyond 2018 – a view that was expressed also by international partners, in reference to the positive effects it has had particularly on the authorities willingness/ability to acknowledge the workers' rights issues.

The analysis of the progress data included in the latest available TPR (October 2016) shows that achievement is satisfactory and has been effective regarding work under IO1 (exception output 1.3.4) – although several of the outputs planned had no activities to show yet.

However, activities and outputs under IO2 and IO3 are planned to start around April 2017. In looking ahead at the remaining time until December 2018 for the Project and especially keeping in mind that the Problem Tree analysis brought to light that the institutional environment in Uzbekistan lacks

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<sup>43</sup> Source: Also referred to by a report produced by the World Bank/ILO project in Uzbekistan. A Press release from <http://www.worldbank.org/en/news/press-release/2017/01/31/ilo-report-says-uzbekistan-making-progress-on-labor-reforms-organized-child-labor-phased-out>.

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mechanisms to promote decent work (OSH, Social protection, national and sectoral wage setting) it does seem as a tall order around 30 for the Project to contribute meaningfully to the outputs planned under the two remaining intermediate objectives. While the Project is building capacity through training and ToT in various topics, the contributions to be made to the development of new management systems, strategic policy documents and draft national programmes (such as in the field of OSH) is likely to demand substantial willingness, commitment and efforts also from the all constituents. It will also be important to have in place a sound exit strategy towards the end.

It was found that the Project's TPR data progress records had no targets for the participation of women, and few women compared to men had, according to these, participated in events, and in many cases information sex disaggregation was missing in this matrix. However, more information about women's participation was given in Table 2, compiled for the evaluation. This showed that about 1/3 of the participants are women – still, this is not completely reliable as it is also noted that there are events that completely lack information on participants in the table received

### **Efficiency**

Project efficiency is basically satisfactory and there seem to be no major problems with the allocation of resources to the Project activities or implementation – apart from the delay in endorsement of the Project's budget revision request for activities to implement the recommendations of the recruitment research in selected key provinces, as mentioned. The activity level was quite increased in 2016, leading also to an improved budget expenditure rate although it still is low (34% of the total budget spent in April 2017).

### **Likelihood of sustainability**

The discontinuation of the organised/systematic use of child labour in cotton harvesting is likely to be sustained and it is clear from in-depth and extensive interviews that ILO as an organisation has played an important role, together with its national partners and organisations, through its involvement in this issue for a number of years even before this Project started. Other organisations have also played very important roles, in particular US Government. As for Regarding the ending of involuntary work in the cotton – it is still much too early to know what impact or sustained effects the Project's activities have had.

### **Some challenges**

Some of the challenges faced by the Project are, reportedly, related to the hierarchal structure of the Government institutions, the top-down decisions making. The reorganisation of MoL in February 2016 which transferred certain responsibilities of social protection and employment to other ministries have created uncertainty regarding MoL's interest in involving itself in these areas with the Project. An active DWCP Steering Committee may be helpful in clarifying MoL's new role and involvement in the Project's activities/core objectives.

### **Cross-cutting issues – integration of gender equality issues and concerns**

Apart from the positive fact that gender has been a factor in the research conducted under the Project clarifying women's participation, dependence and benefits from cotton harvesting - the evaluation has not been able to detect any *focus* placed on issues of gender equality, women empowerment in any form or any work related to gender analysis.

## **7.2 Lessons learned and potential good practices**

It seems too early to make any conclusions on lessons learned at midterm of the Project. However, initially it can be mentioned that (overall) the ILO and the Uzbekistan constituents, through its annual consultations in the Governing Body, eventually made it possible to progress in the field of policy and legislation at national level –and enabled the Project to operate in the country. A lesson learned is that



through persistence, and presentation of facts/evidence emanating from the research studies, ILO has been able to develop a dialogue with the constituents in which the Government representatives have stated that there is a need for changes related to FPRW - particularly linked to the recruitment of workers, and workers' rights in cotton harvesting - but also to commit to implementing a decent work agenda in the country.

An identified good practice is the way ILO has worked as a team in relation to its work on child labour and forced labour, in the provision of technical inputs to support implementation from several levels of the organisation (Tashkent, Moscow and Geneva). Part of this good practice has been the utilisation of ILO's more than twenty years of experience from IPEC's technical cooperation, including the models of child labour monitoring, data gathering and design of surveys from all parts of the world.

### 7.3 Recommendations

Below are the recommendations, which are based on the conclusions. It should be noted that not every conclusion in section 6.1 has necessitated a specific recommendation.

1. The donor agency should approve the Project's budget revision request – if not yet done - which includes a budget to fully implement the recommendations of the recruitment research in selected key provinces with the purpose of testing their effectiveness.

Priority: high. Timeframe: imminent/within one month

2. The Project should make priorities - in concurrence with the key partners - regarding the work under the outcomes IO2 and IO3 in order to make meaningful contributions in particular regarding social protection activities.

Priority: high. Timeframe: within three months

3. The Project should insist that the DWCP Steering Committee hold meetings regularly and play a guiding role vis-à-vis the Support Project implementation if possible.

Priority: high. Timeframe: imminent/within one month

4. ILO should request the donor agency to grant a no-cost extension into 2019, if funds still remain unused towards the end of 2018, to ensure implementation up to the end of the DWCP's timeframe in 2020 and possibly longer, new proposals and funding could be solicited from EU and/or German Government/Embassy.

Priority: medium. Timeframe: within 12 months

5. The Project should consider the feasibility of organising an end-of-Project Seminar/Conference at the time of the closing of the Project (whether or not this happens in 2018 or later). The purpose would be to ensure that results are consolidated and shared among stakeholders - contributing to sustainability. Preparing for such an event might also help the Project to prepare an exit strategy in time.

Priority: medium. Timeframe: within 12 months

6. The Project should, in any future qualitative study/research, continue to feature gender issues and the role of rural women in agriculture/cotton picking, as more information could be gathered to feed into policy-level discussions with the MoL and other tripartite partners. The purpose would be to identify what support could be provided to rural women who will need to find, or develop existing, employment/self-employment as alternative income-generation, if cotton cultivation/harvesting actually will lose some of its importance in the near future, as foreseen.

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Priority: medium. Timeframe: within 6 months, or whenever research takes off

7. ILO and the donor agency should ensure that the use of terminology regarding the result framework is consistent throughout the documentation and that not only performance indicators are developed but also some achievement/impact indicators at high results level. This will be useful in view of the final evaluation of the project.

Priority: medium. Timeframe: within 6 months

## Annex I. Terms of Reference

### TERMS OF REFERENCE MIDTERM INDEPENDENT EVALUATION OF THE PROJECT

<b>Title:</b>	<b>Support for Implementation of the DWCP in Uzbekistan</b>
<b>Country:</b>	Uzbekistan
<b>TC Code:</b>	UZB/14/01/USA ILO-USDOL Agreement Number: IL-26691-14-75-K-11
<b>ILO Responsible Office:</b>	Decent Work Team and Country Office for Eastern Europe and Central Asia (DWT/CO Moscow)
<b>Duration:</b>	December 2014 – December 2018
<b>National Counterparts:</b>	Ministry of Labour of Uzbekistan, Chamber of Commerce and Industry of Uzbekistan and Federation of Trade Unions of Uzbekistan
<b>Type of evaluation:</b>	Independent evaluation
<b>Timing of evaluation:</b>	midterm
<b>Donor:</b>	US Department of Labor (USDOL)

#### I. BRIEF BACKGROUND ON PROJECT AND CONTEXT

This project supports the implementation of the Decent Work Country Programme (DWCP) for Uzbekistan over the period of 2014-2018<sup>44</sup>. It is oriented to support the three priorities of the DWCP, which have been identified as a result of extensive consultations with the national tripartite constituents, as follows: strengthening social partnerships to realize fundamental principles and rights at work; fostering decent employment opportunities; and improving working conditions and social protection.

Addressing these three decent work priority areas through technical cooperation will help eliminate human rights abuses such as child labour and forced labour through the promotion of sustainable and inclusive economic growth, the empowerment of Uzbekistan to protect incomes and provide social security, and the formulation of policies aimed at increasing productivity, creating jobs, improving working conditions, and reducing vulnerability.

The project primary focus is the prevention and elimination of child and forced labour in agriculture sector (specifically, in cotton growing). In this respect, the project interventions support the implementation of the National Action Plan for the application of child labour Conventions and Action plan on improving labour conditions, employment and social protection of workers in agricultural sector in 2016-2018. It should be noted though that project activities in areas such as employment, social protection and labour inspection aim to build national systems that go beyond any particular sector.

<sup>44</sup> The initial Project Document was designed for 16 months (December 19, 2014 - April 18, 2016 and then updated to a 48 months version in 2016.

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The project takes a multifaceted approach, including law and practice review; major surveys on recruitment practices and working conditions, capacity building for the tripartite social partners, and support to build the capacity of key labour market institutions.

### *The development objective of the Project*

According to the project document (PRODOC), the development objective of this Project is to support the prevention and reduction of child and forced labour and to promote decent work in Uzbekistan. By building the knowledge, technical and institutional capacities of the constituents to implement the DWCP, they will obtain the increased capacity to monitor and promote decent working conditions, employment opportunities and a minimum social protection floor.

### *The intermediate objectives the Project*

The project seeks to achieve the following intermediate objectives and supporting objectives (IOs and SOs) as per the project Comprehensive Monitoring and Evaluation Plan (CMEP)<sup>45</sup>:

#### ***IO1. Capacity strengthened in Uzbekistan for the realization of fundamental principles and rights at work (FPRW)***

*SO1.1. A national strategy to apply international and national labour standards designed and implemented*

*SO1.2 Stakeholders' capacity to implement the National Action Plan for the Application of Conventions Nos. 138 and 182 in Uzbekistan increased*

*SO1.3 Stakeholders' capacity to address forced labour increased*

*SO 1.4 Social dialogue mechanisms to promote FPRW improved*

#### ***IO2. Decent employment opportunities promoted: Institutional supports for decent employment opportunities enhanced***

*SO2.1 A knowledge base of national employment framework with focus on youth employment established*

*SO2.2 Capacity of the PES and PrEA to deliver services to employers and job seekers strengthened*

#### ***IO3. Improved working conditions and social protection: Strengthened law and policy on working conditions and social protection in Uzbekistan***

*SO3.1 Effective occupational safety and health (OSH) management system developed*

*SO3.2 Capacity of social partners to apply collective bargaining mechanisms and tripartite consultation principles in wage setting increased*

*SO3.3 Stakeholders' awareness of ILO instruments and approach on improving social protection is increased*

### *Project strategy<sup>46</sup>*

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<sup>45</sup> The project CMEP sets the objective statements and outcome measurements which will be the focus for this evaluation. It contains a Performance Monitoring Plan (PMP) and data reporting form that is submitted with each technical progress report.

<sup>46</sup> For more detail please refer to the Results Framework and Performance Monitoring Plan (PMP) in the Attachments.

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The strategy is to promote Fundamental Principles and Rights at Work (FPRW) and decent work so as to be able to address, in particular, the root causes of – and existing – forced labour and child labour. It is based on the goals for the Decent Work Country Program for Uzbekistan, which was developed with the national constituents.

The strategy focuses on addressing gaps in knowledge and capacities among key stakeholders, identifying gaps in law and practice, supporting improved reporting processes and further ratifications of key Conventions.

Non-discrimination and gender equality are important elements of the Project strategy since they are instrumental for identifying particular groups within the population (women, children, youth, etc.) at risk of violations of their (labour) rights or facing difficulties in accessing social services and employment opportunities, and subsequently developing measures to address the risks identified. They will be integrated as cross-cutting components under the outcomes. Non-discrimination and gender equality issues are also addressed in all awareness-raising and promotional activities of the Project, including those related to the promotion for fundamental principles and rights at work and ratification and implementation of ILS that affect rights to equality at work.

The project is aligned with the new ILO Strategic Policy Framework and more specifically the Transitional Strategic Plan 2016-17, which details the strategic orientation of the organization<sup>47</sup>. The project is also aligned with the broader country cooperation frameworks, including the UNDAF 2016-2020.

### Key achievements

As of November 2016, the Project has reported the following key achievements, contributing to achievement of IO1 “Capacity strengthened in Uzbekistan for the realization of fundamental principles and rights at work (FPRW) and relevant SOs:

Achievement	Relevant indicator
SO 1.1. A national strategy to apply international and national labour standards designed and implemented	
<ul style="list-style-type: none"><li>The way was paved for the ratification of Convention 87 (Freedom of Association) which was ratified in October 2016 and signed into the law by the Acting President on 25th October 2016. OTC 2: Ratification of Conventions No's 87, 144, 183, 129 and/or 81)</li></ul>	OTC 2: Ratification of Conventions No's 87, 144, 183, 129 and/or 81
SO 1.2 Stakeholders' capacity to implement the National Action Plan for the Application of Conventions No. 138 and No. 182 in Uzbekistan increased	
<ul style="list-style-type: none"><li>National Child Labour and Forced Labour monitoring was conducted in all 13 regions of Uzbekistan in the period of 5 September to 31 October 2016. ILO monitoring tools were used. The national monitoring groups consist of representatives of regional Trade Unions, regional Chamber of Commerce, youth organization (Kamalot), women's association, and NGO (on a rotation basis).</li></ul>	OTP 8: Set of recommendations on recruitment practices submitted to constituents.

<sup>47</sup> The project is contributing to six out of ten *ILO Global Policy Outcomes* stated in the ILO Transitional Strategic Plan [http://www.ilo.org/public/english/bureau/program/download/pdf/draftpb16-17\\_sep2014.pdf](http://www.ilo.org/public/english/bureau/program/download/pdf/draftpb16-17_sep2014.pdf) as follows: ILO Outcome 1: More and better jobs for inclusive growth and improved youth employment prospects; Outcome 2: Ratification and application of international labour standards; Outcome 3: Creating and extending social protection floors; Outcome 7: Promoting workplace compliance through labour inspection; Outcome 8: Protecting Workers from unacceptable forms of work; Outcome 10: Strong and representative employers' and workers' organizations.

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<ul style="list-style-type: none"> <li>During 2016 cotton harvest the government continued to run the awareness raising campaign on child and forced labour with the support of the project. The project contributed to the development of awareness raising materials used during the awareness raising campaign. A public service advertisement on decent working conditions for agricultural seasonal workers was shot within the project's framework and presented to the tripartite constituents and other stakeholders at the Round Table on 17 November 2016. The video will be broadcasted at national and regional television.</li> </ul>	
SO 1.3 Stakeholders' capacity to address forced labour increased	
<ul style="list-style-type: none"> <li>The Project commissioned research on recruitment practices related to the cotton harvest 2014-2015. The survey results were presented in detail to the constituents in July 2016. The constituents accepted the results and they welcomed ILO's elaborated recommendations on addressing the identified risks in recruitment of cotton pickers.</li> </ul>	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.
<ul style="list-style-type: none"> <li>Following the presentation of the results of the recruitment practices in agriculture survey on 4 August 2016, the tripartite constituents requested to develop a detailed set of recommendations to be piloted in selected regions of Uzbekistan to assess their impact on situation of use of forced labour and explore the potential of expanding tested recommendations throughout the country.</li> </ul>	
<ul style="list-style-type: none"> <li>The project supported the Third-Party Monitoring with technical advice on the organization and aggregation of data.<sup>48</sup></li> </ul>	

### *The management set-up of the project*

The project is implemented by the ILO DWT/CO Moscow. It has four full-time staff, including Chief Technical Advisor (CTA) / Project Manager, Technical and M&E Officer, Financial Assistant based in Tashkent and Financial & Administrative Assistant based in Moscow. Project staff report to the Director of the ILO DWT/CO Moscow.

The project draws on technical expertise and resources of the ILO DWT/CO Moscow and of relevant technical departments at the ILO headquarters. It is being technically backstopped by GOVERNANCE department.

## II. EVALUATION PURPOSE AND OBJECTIVES

ILO considers evaluation as an integral part of the implementation of technical cooperation activities. Provisions for evaluation are made in all projects in accordance with ILO evaluation policy (November 2005) and established

<sup>48</sup> The TPM itself is not part of project activities, but project provides significant inputs to training of international and national monitors and technical advice on development of questionnaires used during TPM

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procedures which provide for systematic evaluation of programmes and projects in order to improve quality, accountability, transparency of the ILO's work, strengthen the decision-making process and support constituents in forwarding decent work (see ILO policy guidelines for results-based evaluation<sup>49</sup>).

In accordance with the Project Document and in line with the approach agreed between the ILO and USDOL<sup>50</sup>, the project will undergo two independent evaluations: 1) a mid-term evaluation, managed by the ILO under the supervision of the Evaluation Office; and 2) a final external evaluation which will be managed by USDOL.

The overall purpose of the mid-term evaluation is to review the progress made towards the achievement of project outcomes, provide advice on how to improve programming and implementation for the remaining duration of the project as appropriate. The overall purpose of the final evaluation will be to look at the achievement of project outcomes. The final evaluation will use the findings of the mid-term evaluation.

The objectives of the evaluation are to:

- a) Establish the relevance of the project
- b) Determine the extent to which the project made progress towards the achievement of the intermediate objectives (outcomes), the kind of results produced, and the intended or unintended effects;
- c) Determine the implementation efficiency;
- d) Assess how sustainability has been addressed in implementation and its potential for achievement;
- e) Identify lessons learned and potential good practices, especially regarding models of interventions that can be applied further;
- f) Provide recommendations to better target the next steps and/or adjust the strategies.

### III. SCOPE AND CLIENTS OF THE EVALUATION

The midterm evaluation covers the project as a whole, from its start in December 2014 through the beginning of 2017, and across all priorities/thematic areas.

The evaluation will serve the following - external and internal - client groups:

1. ILO tripartite constituents and project partners at the national and local level
2. ILO management and technical specialists (in the ILO DWT/CO Moscow, Regional Office for Europe and cooperating departments at the Headquarters)
3. Project staff
4. USDOL
5. Ultimate beneficiaries – children and adults who have been involved in, or at-risk of becoming involved in child labour and forced labour

The evaluation will integrate gender equality and non-discrimination as a cross-cutting concern throughout its methodology and deliverables, including the final report.

Its findings will be used by the ILO and the tripartite constituents in refining their strategies and planning future activities.

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<sup>49</sup> ILO policy guidelines for results-based evaluation: Principles, rationale, planning and managing for evaluations  
[http://www.ilo.org/eval/Evaluationguidance/WCMS\\_168289/lang--en/index.htm](http://www.ilo.org/eval/Evaluationguidance/WCMS_168289/lang--en/index.htm)

<sup>50</sup> As per USDOL Comprehensive Monitoring and Evaluation Plan requirements

#### **IV. EVALUATION CRITERIA AND QUESTIONS**

The evaluation will apply the OECD/DAC development assistance evaluation criteria of relevance, effectiveness, efficiency, sustainability and impact potential.

The evaluation will seek answers to the following questions:

- **Project design**

1. To what extent was the project design logical and coherent?

- **Relevance**

2. Do the project objectives reflect national development priorities? Are they consistent with the country cooperation frameworks, i.e. UNDAF? How do they correspond to the country's vision and approach towards SDGs localization?
3. How relevant is the project to the evolving needs of the tripartite constituents?

- **Effectiveness**

4. Does the project have an integrated strategic approach to all of its components? What are the linkages and synergies among different components of the project?
5. After two years of implementation, has the project managed to achieve its intended results across all intermediate objectives according to plan? Why (not)? What are the likely implications to achieve project outcomes of activities being delayed?
6. Is the ILO doing the right things at the right time to achieve project outcomes? Has the project strategy been flexible enough to address changes in the country context? Are there timely mechanisms in place for the above?
7. Is the project on path to sufficiently increase the capacity of stakeholders to address child labour? How effective has the project been in increasing the capacity of specific stakeholders? Which have been the main challenges and lessons so far?
8. Has the project been successful to incentivize tripartite constituents to improve working conditions in the cotton sector?
9. How effectively has the Project linked to the ILO's work for the World Bank "Third-party monitoring (TPM) on child and forced labour in Uzbekistan" project, both with respect to national monitoring and research? Have linkages that did occur have a positive or negative effect on overall project implementation?
10. Has the project been successful in enhancing the constituents' level of understanding on the relevance of ILS for the development of national legal and policy framework?
11. Have there been any unexpected positive effects of the project on the enabling environment for the formulation of policies aimed at increasing productivity, creating jobs, improving working conditions and reducing vulnerability?
12. Is it likely that the project will achieve its objectives? If not, is there any remedial action needed?



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- **Efficiency**

13. Have sufficient human and financial resources been allocated to the project implementation?
14. Have the resources available to the project (e.g., technical expertise, knowledge base, networks, staff, time, administrative and other resources) been used in an efficient manner?

- **Sustainability and impact orientation**

15. How is the project contributing to the sustainability of outcomes beyond the life of the project? Is it likely that the national partners will be able to continue the project agenda and results after the end of the project (capacity of people and institutions, laws, policies)?
16. What are the lessons learned, good practices that are worth highlighting?
17. Is the project likely to produce long-term impact on target groups, institutions, policies?

Note: OECD/DAC Criteria for Evaluating Development Assistance will be used to interpret the answers to the evaluation questions.

## V. **METHODOLOGY**

The evaluation will be conducted in a participatory manner by engaging various groups of stakeholders at different levels of power relations and ensuring that they have a say about the implementation of the project, can share their views and contribute to the evaluation process itself.

The evaluation will use a mix of qualitative and quantitative methods (i.e. desk review, interviews, surveys etc.) to gather and analyse data which will be disaggregated by sex to the extent possible. It will pay attention to which groups benefit from and which groups contribute to the project and provide an assessment of how the project is functioning in regards to gender equality and non-discrimination (e.g., if and in which way do the project outputs contribute to gender equality and non-discrimination). It will also strive to make sure that both women and men provide information, participate in interviews and express their views freely.

During the analysis stage, feedback from the stakeholder groups would be compared to determine areas of agreement as well as areas of divergence. The Evaluator will draw conclusions based on triangulation of evidence from different methods and data sources. A set of analytic methods to be applied will be further elaborated in the Inception report.

The chosen evaluation methods may have limitations related to the extent to which respondents will be prepared to reveal their true opinions for some questions that call upon the respondents to assess the performance of colleagues or people on whom they depend upon for the provision of services. To mitigate this limitation, the evaluator will provide the respondents with confidentiality and anonymity guarantees, where possible, and conduct the interviews in the settings where respondents feel comfortable.

**Document Review:** The evaluator will review project background materials before conducting any interviews or country missions, including:

- Country Briefs, National Policy Documents, statistical data on employment, OSH, social protection
- Decent Work Country Programme 2014-2016
- UNDAF 2016-2020
- Project Document (first version for 16 months and second version for a full-fledged 48 months project)

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- Comprehensive Monitoring and Evaluation Plan (CMEP), particularly, the Results Framework, PMP and the Monitoring Roles and Responsibilities sections of the CMEP
- Situation analysis, performed in December 2016
- Work plans
- Technical progress reports (TPRs), including the Data Reporting Form
- TORs for studies and research commissioned by the project
- Surveys (i.e., on recruitment practices and employment conditions), studies, situational analysis, research papers produced
- Mission reports
- Reports on specific activities
- Training tools and service packages used and/or produced
- News items, publications and promo materials
- Report on discussions at the Round Table on November 15-17, 2016
- Information concerning the extension of the DWCP beyond 2016

**Inception report:** The evaluator will develop the Inception report that will outline the methodology, evaluation questions, instruments and data sources and a preliminary list of interviews. The inception report will be submitted to the evaluation manager for approval. Provisions for triangulation of sources and techniques need to be made where possible.

**Preparatory Briefing:** The evaluator will have a pre-trip briefing with the ILO DWT/CO Moscow representatives (possibly, on distance). The objective of the briefing is to reach a common understanding regarding the project background and materials, to identify available data and discuss administrative and logistical aspects necessary to implement the evaluation.

**Individual Interviews and/or Group Interviews:** Individual or group interviews will be conducted in person or on-distance with the following:

### *Prior to the field mission*

- a. DWT/CO Moscow Specialists
- b. The Donor representatives - USDOL staff working on the project

### *During the field mission*

- a. Project Staff and other relevant ILO in-country staff, including the ILO/WB Third Party Monitoring Project team
- b. US Embassy in Tashkent/Uzbekistan
- c. Representatives from the following groups:
  - Ministry of Labour and government staff who have worked with the project, including the members of the Decent Work Country Programme Steering Committee
  - Employers' organization, trade unions, individual experts who have received training or otherwise worked with the project
  - Mahalla leaders, participants of the awareness-raising events
  - Contractors/research firms who have conducted research for the project
  - UN, other development agencies in the country

**Field Visits:** The evaluation consultant will visit Uzbekistan for meetings and interviews with the project stakeholders. Meetings will be scheduled in advance of the field visit by the ILO project staff, in consistence with these terms of reference. The evaluator should conduct interviews with the stakeholders without the participation of any project staff.

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Note: An interview with the US Embassy in Tashkent will be arranged directly by the USDOL representatives, if feasible and appropriate.

**Observation:** If scheduling permits, the consultant will participate in the events organized by the project as an observer.

**Debrief in the Field:** On the final day of the field visit the evaluator will present preliminary findings to the ILO in-country project staff and other key stakeholders including the representatives of the tripartite constituents' organizations and the donor as appropriate.

**Post-Trip Debriefing:** Upon completion of the field research the evaluator will present preliminary findings to the ILO DWT/CO-Moscow and USDOL representatives on distance (through conference call from home).

### VI. MAIN OUTPUTS /DELIVERABLES (IN ENGLISH)

- A. Inception Report<sup>51</sup> outlining the methodology, interview plans, questionnaires, and tentative interview schedule<sup>52</sup>;
- B. Initial Draft Evaluation Report;
- C. Final Evaluation Report (1) with track changes to see how comments were addressed and (2) a clean version.

### VII. SUGGESTED REPORT FORMAT

The draft and final version of the report will follow the below format<sup>53</sup> and be in the range of 30 – 35 pages in length, excluding the annexes:

1. Title page
2. Table of Contents and lists (tables, graphs, etc.)
3. Acronyms
4. Executive Summary
5. Background and Project Description
6. Purpose, Scope and Clients of Evaluation
7. Methodology
8. Findings (organized by evaluation criteria)
9. Conclusions, Lessons Learned<sup>54</sup>, Good Practices, Recommendations for the next steps and further programming (e.g., per the technical areas of the project)
10. Annexes (including TOR, interview guide, list of interviews, filled out lessons learned and good practice templates, other relevant documentation)

The Final Report or the essential parts of it will be translated into Russian (to be arranged by the project).

### VIII. MANAGEMENT ARRANGEMENTS

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<sup>51</sup> See ILO Evaluation Office guidance on Writing the Inception Report at [http://www.ilo.org/eval/Evaluationguidance/WCMS\\_165972/lang--en/index.htm](http://www.ilo.org/eval/Evaluationguidance/WCMS_165972/lang--en/index.htm)

<sup>52</sup> The interview schedule will be disseminated to USDOL prior to fieldwork.

<sup>53</sup> Please refer to the ILO Evaluation Office Checklist #5 Preparing Evaluation Reports at [http://www.ilo.org/eval/Evaluationguidance/WCMS\\_165967/lang--en/index.htm](http://www.ilo.org/eval/Evaluationguidance/WCMS_165967/lang--en/index.htm)

<sup>54</sup> Each lesson learned and good practice should be explained in the report and in addition to this presented on a special template to be attached to the report. Lessons learned and good practices are part of the global knowledge base and are being stored in a special database for further reference and use.

## **Midterm independent evaluation: Support for Implementation of the DWCP in Uzbekistan project**

### **Evaluation Team**

The evaluation will be undertaken by one international evaluation consultant (Team Leader) assisted by one person in-country who will provide support with research and interpretation if necessary.

### **Requirements**

The international evaluation consultant will have extensive experience in the evaluation of development or social interventions, i.e. in the UN system, an understanding of the ILO's mandate, tripartite foundations, and the Decent Work agenda.

The international evaluation consultant should have an advanced degree in social sciences or economics, expertise in evaluation methods, knowledge of the technical subject matters covered by the project, including child labour and forced labour. Knowledge of Uzbekistan context, familiarity with the labour issues and policies in Uzbekistan, research history in the region of Central Asia would be preferable.

Full command of English is required. Working knowledge of Russian and/or Uzbek would be an advantage.

The evaluator will be guided by high professional standards and principles of integrity, in accordance with the guiding principles of UN Evaluation Group Norms and Standards and professional Evaluation Associations.

Due to the delicate and politically sensitive issues the project addresses in the context of Uzbekistan, the evaluation team will need to pay attention to especially tactful and diplomatic communication and behaviour.

### **Roles and Responsibilities**

The international evaluation consultant is responsible for conducting the evaluation according to the terms of reference (TOR). He/she will:

- Review project background materials (e.g., project document, progress reports)
- Conduct preparatory consultations with the ILO prior to the evaluation mission
- Develop the assessment methodology (i.e., prepare individual and group interview guides and observation guides to answer the assessment questions) as core to the Inception report and submit the Inception report to the ILO evaluation manager
- Conduct meetings, interviews and field observations
- Conduct a stakeholders workshop at the end of the field work
- Conduct a post-trip debrief to provide preliminary findings to ILO DWT/CO-Moscow and USDOL
- Prepare an initial draft of the evaluation report and submit it to the ILO evaluation manager for initial review by the ILO and the Donor (ILAB) within the next two days
- Address comments from the initial review, if any, and submit a new draft as appropriate
- Prepare a final report based on comments obtained on the draft report

The ILO Evaluation Manager is responsible for:

- Drafting and circulating the TOR among the Donor representatives for input and comments
- Circulating the draft TOR to key stakeholders
- Finalizing the TOR with input from the stakeholders
- Submitting the TOR to the ILO Regional Office for Europe and Evaluation Office for final approvals
- Preparing a short list of candidates with a proposal of the evaluation consultant for submission to the Regional Office for Europe evaluation focal point

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- Sharing the name and CV of the proposed evaluation consultant with the donor for review
- Submitting the name and CV of the selected consultant to the ILO HQ Evaluation Office for approval
- Coordinating with the project the contracting process and hiring the consultant
- Participating in preparatory briefing prior to the assessment mission
- Reviewing the Inception report (concurrently with the donor)
- Reviewing the initial draft report (high-level “48-hour” review) jointly with the donor for possible comments to be addressed by the consultant through a quick revision of the draft
- After the initial review, circulating the draft report for comments to key stakeholders and providing consolidated feedback to the evaluation consultant
- Reviewing the final draft of the report (concurrently with the donor) and providing additional feedback if necessary
- Submitting the final draft report to the evaluation focal point at the ILO Regional Office for Europe for approval
- Submitting the final report to the ILO HQ Evaluation Office for final clearance
- Disseminating the final report to the stakeholders
- Coordinating follow-up as necessary

The Project Manager (CTA) is responsible for:

- Reviewing the draft TOR and providing input, as necessary
- Providing the consultant with the project background materials, including progress reports, surveys, studies, analytical papers, activity reports, tools, publications produced
- Participating in preparatory consultations prior to the assessment mission
- Coordinating all logistical arrangements
- Preparing a list of recommended interviews and scheduling all meetings
- Organizing and participating in the stakeholders workshop at the end of the field work
- Reviewing and providing comments on the draft evaluation report
- Following up on evaluation recommendations

## IX. TIMEFRAME

***The following is a tentative schedule of tasks and anticipated duration of each. It may be adjusted based on the actual travel, flights and stakeholders schedule.***

### 7.3.1.1.1.1.1

Phase	Duration/days	Tentative Timing 2017
I Desk review & inception report, including the interview schedule	7	Prior to March 3
II Dissemination of the interview schedule to USDOL	(2 days)	Prior to fieldwork and interviews (at least five days in advance)
III Pre-mission briefing	1,5	March 2&3
IV Data collection (interviews and field work)	9	March 6-16
V In-country stakeholder workshop	1	March 17
VI Post-trip debriefing	1	March 20
VII Preparation of the 1 <sup>st</sup> draft report	7	end of March

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VIII “48-hour review” of the 1 <sup>st</sup> draft report	(2 days)	end of March
IX Preparation of the new draft report based on possible comments from the above review	1	beginning of April
X Full review/circulation of the draft report to key stakeholders	(2 weeks)	beginning of April
X Finalisation of the report	4	Mid-April
Total	31,5 days of work	

Overall duration: 31,5 working days over a period of February – April 2017.

### X. NORMS AND STANDARDS

The evaluation will be carried out in adherence with the ILO Evaluation Policy, ILO Policy Guidelines for Results-Based Evaluation; UN Evaluation Group Norms and Standards, Ethical Guidelines, Code of Conduct<sup>55</sup> and the OECD/DAC Evaluation Criteria.

In accordance with ILO Guidance note 4: “Considering gender in the monitoring and evaluation of projects”<sup>56</sup> the gender dimension should be considered as a cross-cutting concern throughout the methodology, deliverables and final report of the evaluation. In terms of this evaluation, this implies involving both men and women in the consultation, evaluation analysis and, if feasible, the evaluation team. Moreover the evaluator should review data and information that is disaggregated by sex and assess the relevance and effectiveness of gender-related strategies and outcomes to improve lives of women and men. All this information should be accurately included in the inception report and final evaluation report.

Ethical safeguards should be maintained during the evaluation process and women and men will be interviewed in ways that avoid gender biases or reinforcement of gender discrimination and unequal power relations.

### ATTACHMENTS

Attachment 1. Project results framework

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<sup>55</sup> <http://www.unevaluation.org/unevaluationcodeofconduct>

<sup>56</sup> [http://www.ilo.org/eval/Evaluationguidance/WCMS\\_165986/lang--en/index.htm](http://www.ilo.org/eval/Evaluationguidance/WCMS_165986/lang--en/index.htm)



**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**

OTC 4: # 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

Attachment 2. Performance Monitoring Plan of the project (PMP) v. sept. 2016

Indicator	Indicator definition and unit of measurement	Data source	Reporting frequency	Responsible person	Data analysis/use
<b>Project Objective: To support the prevention and reduction of child labour and forced labour and promote decent work in Uzbekistan.</b>					
Indicator C1 (country capacity): Legislation compliant with international standards on CL and FL is adopted	Unit: Legislative document  Any new or amended legislative document in line with ILS on child and forced labour adopted by the relevant approving government body (President, Parliament, Minister, etc.)	Tripartite constituents  Media  Official publication	Annually	M&E, CTA	To determine if project success in reaching its objective
<b>IO 1. Capacity strengthened in Uzbekistan for the realization of fundamental principles and rights at work</b>					
<b>SO 1.1 A national strategy to apply international and national labour standards is designed and implemented.</b>					
OTC 1. Hazardous child labour list approved at the Prime Minister's level(C1)	<u>Unit:</u> Hazardous child labour list  Government of Uzbekistan adopts HCL list as part of the NAP	Hazardous child labour list  Reports	Semi-annual	M&E officer, CTA	To determine the project success in developing updated definition of the hazardous forms of child labour
OTC 2: Ratification of Conventions No. 87, 144, 183, 129, 81 and 132 is considered	<u>Unit:</u> reports of recommendation(s) on ratification of convention(s) (qualitative)  Count of national documents with decision, intention or recommendation on ratification of Conventions 87, 144, 81, 199, 132, 183	Produced reports and/or proposals on ratification of Conventions  Constituents reports  Media reports  Meeting notes	Annually	M&E officer, CTA	To determine the project success in promoting the ratification of ILO Conventions



Indicator	Indicator definition and unit of measurement	Data source	Reporting frequency	Responsible person	Data analysis/use
	A list of decision documents to accompany TPR (qualitative OTC indicator)				
Output 1.1.1 Awareness raising material 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, Recommendations) on ILS translated to Uzbek language and disseminated to stakeholders	<u>Unit:</u> document  An output is a list of all materials on child labour related issues which were produced, translated, adapted or published using projects' funding. Type of materials: <ul style="list-style-type: none"> <li>- Leaflets</li> <li>- Translation of Conventions and Recommendations</li> <li>- Brochures</li> <li>- Posters</li> </ul>	List of materials produced, hard and/or electronic copies of all materials	Semi-annually	Project assistant in Tashkent and Moscow	To determine the scope of information provided to national stakeholders in Uzbek language on ILS
Output 1.1.2 Technical advice and advocacy provided to decision makers and social partners to facilitate ratification of the Freedom of Association and Protection of the Right to Organize Convention, 1948 (No. 87).					
OTP 2: # of and type of advisory services products delivered to tripartite constituents	<u>Unit:</u> number and type of service  Count of any advisory services provided by ILO to the tripartite constituents in relation to Freedom of Associations (FoA) Convention. Services are: <ul style="list-style-type: none"> <li>- Written assessments</li> <li>- Consultations</li> <li>- Technical advice</li> <li>- Seminars or presentations at the seminars on FoA</li> </ul>	Project records  Programmes of events  Presentations	Semi-annually	M&E Officer, CTA	To determine the success of the project in relation to ratification of Convention No 87.

Indicator	Indicator definition and unit of measurement	Data source	Reporting frequency	Responsible person	Data analysis/use
	A tracking table of type of services will be developed and included as part of the TPR				
Output 1.1.3. Report reviewing relevant laws, policies and practices to enable technical assessment of 1) prospects for ratification of ILO Conventions (C144, 81,129), 2) the application of ratified conventions available					
OTP 3: # of technical assessment reports on laws, policies and practices reviewed to assess readiness for ratification of Cs No's 144, 81, 129, and application of C 98 available	<u>Unit:</u> Report  Count of reports reviewing the national legislative framework against requirements of Tripartite Consultation (International Labor Standards) Convention, 1976 (No. 144), the Labor Inspection Convention, 1947 (No. 81), and the Labor Inspection (Agriculture) Convention, 1969 (No. 129), and reinforce the application of ratified Conventions including C.98 on the Right to Organize and Collective Bargaining. The report has the list of reviewed legislation.	Review report  Project reports	Semi-annually until activity completed (2017)	M&E Officer, CTA	To determine the project input in promotion of harmonization of national legislative framework with ILS.
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	<u>Unit:</u> organizations  Count of organization indicated in the NAP implementation plan.  Qualitative assessment of the progress of the NAP implementation and comparison to the previous year. Specific focus will be given to the activities	NAP implementation report obtained from tripartite constituents	Annually	M&E officer	To determine if project success in improving the capacity of the national stakeholders to tackle CL related issues and implement C138 and C182.

Indicator	Indicator definition and unit of measurement	Data source	Reporting frequency	Responsible person	Data analysis/use
	<p>implemented by ILO tripartite constituents.</p> <p>Organizations:</p> <ul style="list-style-type: none"> <li>- Ministry of labour and social protection of population</li> <li>- CCIU</li> <li>- FTUU</li> <li>- Ministry of Education</li> <li>- Farmers' Council</li> <li>- Prosecutor's office</li> <li>- Other stakeholders indicated in the plan</li> </ul>				
Output 1.2.1. Relevant legislation and policies related to child labor reviewed in order to harmonize them with ILS.					
OTP 4: # of laws and policies reviewed against relevant ILS	<p><u>Unit:</u> legislative norm</p> <p>A list with titles of_ amended legislative documents reviewed against ILS by ILO experts</p>	<p>Project reports</p> <p>Review reports</p> <p>Reviewed documents</p>	Annually	M&E officer	To determine the project input to harmonization national legislation with
Output 1.2.2. Tripartite constituents and civil society representatives trained in national child labor monitoring					
OTP 5: # of representatives of tripartite constituents, civil society organizations, labour inspectors and school inspectors trained on child labour monitoring and forced labour identification	<p><u>Unit:</u> people</p> <p>Count of trained_ representatives of national stakeholders who participated in the training on CL and FL monitoring (breakdown by organization, gender).</p> <p>Organizations:</p> <ul style="list-style-type: none"> <li>- MoL (government)</li> <li>- FTUU</li> <li>- CCIU</li> </ul>	Attendance lists	Annual	M&E officer, Project Assistant (Tashkent)	To determine how many relevant officials were trained for CL monitoring and FL identification and monitoring.

Indicator	Indicator definition and unit of measurement	Data source	Reporting frequency	Responsible person	Data analysis/use
	<ul style="list-style-type: none"> <li>- Farmers' council</li> <li>- NGOs</li> </ul> <p>This particular organizations are selected for prior consideration as their representatives comprise the monitoring unit. The rest will fall under category "other".</p>				
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	<u>Unit:</u> awareness raising materials  List of materials which were translated into Uzbek language and/or published. Dissemination tracked by dissemination lists.	Lists of translated and published materials Dissemination records	Semi-annually	Project assistant (Tashkent)	To determine the project success in delivering information on child labour to the national constituencies and general public.
OTP 7: # of participants in awareness raising events	<u>Unit:</u> people  Count of people who participate the WDACL event organized by ILO and other awareness raising events on child labour with breakdown by gender and organization.	Attendance records	Annually	Project assistant (Tashkent)	To determine if the project has reached the relevant audience.
SO 1.3 Stakeholders' capacity to address forced labour is increased					
OTC 4: % cases of reported coercive recruitment practices	<u>Unit:</u> percent of coercive recruitment practices of all recruitment practices used  The count is based on the representative sample identified for Recruitment practices survey.	Recruitment survey	Annually except a year when the survey will not be conducted (2016 harvest tentatively)	M&E to obtain from the contractor, statistician	To assess the success of the project towards the elimination of use of forced labour.
Output 1.3.1. Survey on recruitment practices and working conditions (qualitative and quantitative) in the agriculture sector conducted and results validated with key stakeholders					

Indicator	Indicator definition and unit of measurement	Data source	Reporting frequency	Responsible person	Data analysis/use
OTP 8: Set of recommendations on recruitment practices submitted to constituents.	<u>Unit:</u> set of recommendations – Yes/No  An output is a set of recommendations on elimination of coercive recruitment practices and their substitution with voluntary practices	Set of recommendations from the Recruitment survey	Once after the first report is presented (based on 2014 harvest data)	M&E	To determine the input the project towards elimination of use of coercive recruitment practices in agriculture sector
Output 1.3.2 Labour inspectors trained in forced labour identification and reporting					
OTP 9: # of labour inspectors trained for recognizing and addressing FL in cotton growing sector	<u>Unit:</u> people  Count of labour inspectors who have completed the training on recognizing and addressing the forced labour issues in the cotton growing sector.	Participants lists  The participants will be asked to provide their feedback on the application of their gained knowledge 1 month after the cotton harvest is completed.	Semi-annually	M&E officer, Project assistant in Tashkent	Determine how many inspectors have received training on identification of forced labour and report on cases of forced labour. Follow up questionnaire on the application of the knowledge will be used to assess if they apply the gained knowledge.
Output 1.3.3. Government agencies, social partners and civil society organizations trained on the need to combat FL					
OTP 10: # of representatives of government agencies, social partners and civil society organizations trained	<u>Unit:</u> trainees  Number of trainees participating in training events on combating FL	Attendance lists	Semi-Annually	Project assistant in Tashkent, M&E officer	To determine the how many representatives of government agencies, social partners and civil society organizations were trained on combating FL
Output 1.3.4 The CCIU made aware of the need to combat forced labour					
OTP 11: # of agriculture sector employers staff trained to prevent and combat forced labour	<u>Unit:</u> trainees  Count of agriculture sector employers staff who took part in the training.	Attendance lists	After each special event form CCIU	Project assistant in Tashkent, M&E officer	To determine how many agriculture sector employees have gained knowledge on combating and preventing forced labour.

Indicator	Indicator definition and unit of measurement	Data source	Reporting frequency	Responsible person	Data analysis/use
	Breakdown by gender, and by organization (CCIU, Farmers' council, agricultural enterprise)				
<b>SO 1.4 The social dialogue mechanisms to promote FPRW are improved</b>					
OTC 5. An official document approving the establishment, functions and operation of a tripartite dialogue mechanism is available	<u>Unit:</u> approval document  Official approval document signed by a competent authority establishing the tripartite social dialogue mechanism, e.g. commission, committee, etc. and defining its functions, operational procedures, composition.	Information from constituents  Media reports Meeting notes Copy of an approving document	Semi-annual report on the status of the process, once – on the existence of the approving documents	M&E officer obtaining information from CTA or tripartite constituents	To determine if the process is making success in promoting the FPRW at the national level.
<b>Output 1.4.1. Federation of Trade Unions of Uzbekistan (FTUU) supported to improve capacity on education and representation of workers</b>					
OTP 12: # of FTUU representatives trained	<u>Unit:</u> trainees  Trade Union trainers or trainers-to-be from different regions of the country who participated and completed all five modules of the ToT training (gender disaggregated)	Attendance records	Once the training is completed	M&E	To demonstrate increased knowledge of FTUU representatives on representation of workers' issues and educational programmes for TU members.
OTP 13: ToT training participants with increased knowledge on training of adults	<u>Unit:</u> % of correct answers  Counted as an average % of correct answers after each pre- and post-trainings assessment. Count will be done after each training module and each forthcoming result will be compared to the previous one.	Pre- and post-training assessments  Contractor's reports  Information from the participants	After each 5-day training session for individual modules  Once, at the end of all modules to get an overall score  Follow-up from the participants (to be conducted 3-6 months)	M&E, Project Assistant	To assess the knowledge change on TU trainers providing trainings to adults.

Indicator	Indicator definition and unit of measurement	Data source	Reporting frequency	Responsible person	Data analysis/use
	<p>Trainees should complete 5 modules of training provided by an ILO trainer (contactor).</p> <p>The final assessment to include questions related to all the modules.</p> <p>Score to be over 80% of correct answers.</p>		after they completed training)		
Output 1.4.2 Representatives from employers and workers organizations trained on negotiations skills and collective bargaining techniques					
OTP 14: # of representatives from employers' and workers' trained	<p><u>Unit:</u> trainees</p> <p>Count of representatives of employers' and workers' organization who took part in the training activities on negotiation skills and collective bargaining. (disaggregated by gender and organization).</p>	Attendance records	Annually	M&E officer	To determine how many representatives of employers' and workers' organizations have increased their knowledge on negotiation skills and collective bargaining techniques.
Output 1.4.3. Capacity of trade unions and employers organizations to promote social dialogue in multinational enterprises is enhanced					
OTP 15: # of trade union members trained on social dialogue in multinational enterprises	<p><u>Unit:</u> trainees</p> <p>Count of representatives of workers organizations who took part in the training(s) on social dialogue in multinational enterprises. (gender disaggregated).</p>	Attendance records	Semi-annually during the period the trainings are conducted	Project assistant in Tashkent, M&E officer	To determine how many representatives of trade unions obtained knowledge on social dialogue in multinational organizations.
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 is strengthened					
OTP 16: Comprehensive review/evaluation of CCIU completed and strategic plan available	<p><u>Unit:</u> Evaluation - yes/no, strategic plan – yes/no.</p> <p><u>Conduct a review</u>, followed by development of strategic plan</p>	<p>Review report</p> <p>Strategic plan</p>	Once during life of project	M&E officer, CTA	Determine the capacity of the CCIU (technical and organizational) for service provision to its members

Indicator	Indicator definition and unit of measurement	Data source	Reporting frequency	Responsible person	Data analysis/use
	completed. A review or audit done does not mean that the strategic plan will be developed.				
OTP 17: CCIU policy papers on priority areas available	<u>Unit:</u> yes/no  Count of policy papers on CCIU priority areas (1-3)	Policy papers	Once the policy papers are developed	M&E officer	To determine the success of the project in strengthening the CCIU capacity for strategic planning
OTP 18: At least one new or improved service developed by the CCIU	<u>Unit:</u> CCIU service to its members  The CCIU should start providing at least one new or updated service to its members	Project records, description of the service	Once	CTA, M&E officer, ILO Mow employers activities specialist	To determine the success of the project in building CCIU capacity to support its members
Output 1.4.5 Technical support provided for establishing a functional tripartite social dialogue mechanism					
OTP 19: Assessment of the national social dialogue legislation and practices undertaken	<u>Unit:</u> yes/no  A completed assessment on the national social dialogue legislation	Assessment document	Once when the assessment is completed	M&E, CTA	To determine the features of the existing national legislation related to social dialogue, analysis of existing practices.
OTP 20: Recommendations for effective social dialogue disseminated to tripartite constituents	<u>Unit:</u> yes/no  A set of recommendation developed and provided to tripartite constituents on effective social dialogue (done based on the national social dialogue assessment)	Project reports	Once during life of project	M&E officer	To determine project success in ensuring the effectiveness of the social dialogue mechanism.
<b>IO 2. Decent employment opportunities promoted: Institutional supports for decent employment opportunities are enhanced</b>					
<b>SO 2.1 A national employment strategy to set a comprehensive employment policy framework is developed</b>					
OTC 6: under discussion					
Output 2.1.1 Policy review to prepare a strategic policy document conducted					



Indicator	Indicator definition and unit of measurement	Data source	Reporting frequency	Responsible person	Data analysis/use
OTP 21: Policy review document disseminated	<p><u>Unit:</u> yes/no</p> <p>An output is an employment policy review report which serves as a basis for development of the national employment strategy. The review to include also the institutional structure analysis.</p>	Policy review report in hard and/or electronic copy	Once the review is done and report available	M&E Officer, CTA, ILO Mow Employment specialist	To determine the exist national employment policies and strategies and to define the nation institutional structure in employment area.
OTP 22: Peer review (or policy review) report on existing youth employment incentives available	<p><u>Unit:</u> peer of policy review</p> <p>An output is a document with a peer review or policy review of existing youth incentives in Uzbekistan</p> <p>Peers – representatives of authorized bodies in employment area of the CIS countries-members of the Youth Employment Network</p>	<p>Official document</p> <p>Project records</p>	Once the review is done	M&E Officer, CTA, ILO Mow Employment specialist	To determine the scop existing youth employr incentives in the count
<b>SO 2.2 Capacity of PES and PrEA to deliver services to employers and job seekers strengthened</b>					
OTC 7: type of recommendations taken into account to be integrated into PES or PrEA operations	<p><u>Unit: recommendation implemented by the PES and PeEA</u></p> <p>Recommendation from the ILO assessment planned for implementation by the PES or PrEA.</p> <p>A qualitative indicator describing the change planned to be introduced or already introduced following ILO assessment recommendation.</p>	<p>PES, PrEA, MoL</p> <p>Project reports</p> <p>Media</p>	Once within 3-6 months after intervention	M&E officer, ILO Mow employment specialist, CTA	To demonstrate the pr contribution to strengthening of the employment services capacities providers
Output 2.2.1 An assessment of employment services providers capacities to collect, analyze and disseminate labour market information available					

Indicator	Indicator definition and unit of measurement	Data source	Reporting frequency	Responsible person	Data analysis/use
OTP 23: A set of recommendations for employment services providers in developed	<u>Unit:</u> Set of recommendations  A set of recommendations developed as a results of the assessment of employment services capacities providers	Review report available in hard and/or electronic copy	Once the peer review is done and report available	M&E, ILO Mow Employment specialist	To determine the features on the national policy framework on youth employment.
<b>IO 3 Improved working conditions and social protection: Strengthened law and policy on working conditions and social protections in Uzbekistan</b>					
<b>SO 3.1: Effective occupational safety and health (OSH) management system is developed</b>					
OTC 8. National OSH programme adopted by GO Uzbekistan (C1)	<u>Unit:</u> OSH programme  An output is a National OSH programme developed by the national constituents taking into account ILO recommendations, and with ILO technical advice.  An indicator will contribute to USDOL <b>C1</b> indicator.	Tripartite constituents  Copy of approving decree  Meeting notes  Media	Annual	M&E officer, CTA, ILO Mow OSH specialist	To determine if project successful in contributing to building the effective national OSH program
<b>Output 3.1.1 National OSH Profile updated</b>					
OTP 24: Updated OSH profile available and disseminated to tripartite stakeholders	<u>Unit:</u> yes/no  An output is a report describing the national OSH related legislative framework developed by Project disseminated to tripartite constituents and other stakeholders	Dissemination records  OSH profile	Once during life of project	CTA, Contractor, ILO Mow OSH specialist	To define the existing national situation on O
<b>Output 3.1.2 Formulation of a draft National OSH Programme and strategy completed</b>					
OTP 25: Draft National OSH Programme available and disseminated to tripartite stakeholders	<u>Unit:</u> yes/no  An output is a draft national OSH programme developed with ILO support and technical advice.	Documentation of the draft Programme in hard and/or electronic copy	Once when the document is done	M&E, ILO Mow OSH specialist	To determine if project successful in contributing to building the effective national OSH program
<b>Output 3.1.3 Tripartite constituents trained on implementation of the OSH management system</b>					

Indicator	Indicator definition and unit of measurement	Data source	Reporting frequency	Responsible person	Data analysis/use
OTP 26: # of tripartite constituents trained on implementation of the OSH management system	<u>Unit:</u> people  Count of representatives of tripartite constituents trained on the OSH management system, disaggregated by rank and gender.	Attendance records	Annually	M&E	To determine how many people received training on OSH management and whether that the training has reached targeted audience.
<b>SO 3.2 Collective bargaining and tripartite consultations applied in wage setting</b>					
OTC 10: Training participants apply their knowledge in collective bargaining and/or tripartite consultations on wage setting (qualitative)	<u>Unit:</u> yes/no  A qualitative indicator to assess if the knowledge ever was used and what was the results. An assessment form needs to be developed.	Assessment form	Once after the training, in 3 to 6 months after the trainings	M&E officer, Project Assistant in Tashkent	To determine if the obtained knowledge is applied and if there significant results after application of this knowledge for the wage setting procedure, wage level, gender wage gap
<b>Output 3.2.1 A tripartite review of the current mechanisms of consultation on wages completed</b>					
OTP 27: Report on review of mechanisms of consultation of wages available	<u>Unit:</u> yes/no  An output is a review on wage consultations mechanisms used in the country for wage setting.	Review report available in hard and/or electronic copy	Once when the review is done	M&E officer, CTA	To determine available national mechanism(s) for wage negotiations and wage setting.
<b>Output 3.2.2 Introductory training on collective bargaining on wages provided to the tripartite constituents</b>					
OTP 28: # of wage experts from Ministry of Labour, employers' and workers' organizations trained in collective bargaining on wage-related issues	<u>Unit:</u> people  Count of representatives of tripartite constituents who were trained on collective bargaining on wage-related issues. (disaggregated by gender, organization, position)	Attendance records and training report	Annual	M&E	To determine how many appropriate specialists have received training on collective bargaining on wages.
<b>Output 3.2.3 The general knowledge base on wages strengthened through dissemination of ILO materials and publications</b>					
OTP 29: # of organizations representatives participating in	<u>Unit:</u> participants	Attendance records	Semi-Annual	M&E officer, CTA	To determine how many people received new information of wages a

Indicator	Indicator definition and unit of measurement	Data source	Reporting frequency	Responsible person	Data analysis/use
ILO-supported awareness raising related to wages	Count of representatives of national stakeholders participating in the ILO awareness raising event on wages. (disaggregated by gender, organization) For this particular case an event is defined as workshop, training, round table.				wage negotiations related issues.
<b>SO 3.3 Stakeholders awareness of ILO instruments and approach on improving social protection is increased</b>					
OTC 11: % of trainees completing the post-training questionnaire with a score over 85%	Unit: % of trainees who scored over 85% of correct answers in the post-training assessment or test.  A comparison with a pre-test scoring will be needed.	Assessment form	Semi-annual (depending on a number of training interventions planned).	M&E officer, Project assistant in Tashkent	To determine if the trainees participants make progress in learning new on social protection instruments and approaches.
<b>Output 3.3.1 Tripartite constituents' members trained on social protection-related issues and relevant ILO standards</b>					
OTP 30: # of tripartite constituents' representatives trained on social protection and related issues	Unit: trainees  Count of representatives of tripartite constituents who attended the training on the social protection related issues conducted by ILO specialists. (disaggregation by gender, organization)	Attendance records and training report	Annual	M&E	To determine how many representatives of tripartite constituents received appropriate training on social protection floors.
<b>Output 3.3.2 The knowledge base on social protection strengthened through dissemination of ILO materials and publications</b>					
OTP 31: # of organizations receiving ILO materials and publications on social protection	Unit: organizations  Count of organizations which received materials on social protection (at ILO events or were provided in accordance to dissemination plan).	Attendance records, dissemination lists	Semi-Annually	Project assistant (Tashkent), M&E officer	To determine the number of organization provided with information and awareness raising materials on social protection floors.



## **Annex II. Details on specific activities and events**

### *Specific activities in 2015*

Training on indicators of forced labour; Tripartite seminar on social protection and wages and progress in Uzbekistan and cooperation on labour standards with the World Bank; Mid-term seminar on TPM on Child Labour and Forced Labour in Bukhara with participation on national monitoring groups; Seminar for Trade Union in Andijan; 1st module of Advanced Training of Trainers for Trade Unions of Uzbekistan, and Social Protection Seminar.

### *Specific activities during April – September 2016*

2nd module of Advanced Training of Trainers (TOT) for Trade Unions of Uzbekistan; Corporate Social Responsibility (CSR) for employers; Workshop for Employers and Business on Child and Forced Labour; Round Table on “The experience of Uzbekistan on protection, observance of rights and creation of decent working conditions for workers employed in the agricultural sector”; FTUU sub-regional seminar on the ILO declaration on fundamental principles and rights at work in Bukhara; OSH training for members of CCIU; ToT for trade union trainers (module 3); Seminar of Multinational Declaration (in Tashkent region); and Occupational safety and health and working conditions.

### *Specific achievements during October 2016 to end March 2017*

Seminar for Trade Union members of the "Uzmetcombinat" on "Peculiarities of labour relations regulation in joint stock companies" in Bekhabad; Regional seminar for trade union members of Surkhandaria and Kashkadaria regions "ILO Declaration on Social Justice for a Fair Globalization" in Termez (Surkhandaria region); Regional seminar for trade union members of Surkhandaria and Kashkadaria regions "ILO Declaration on Social Justice for a Fair Globalization"; seminar on development of efficient OSH management system; Strategic planning workshop; Preliminary results of national monitoring, “State and perspectives of implementation of the Decent Work Country Programme for Republic of Uzbekistan” and TU TOT; “Strengthening Employment Services in Uzbekistan, Azerbaijan and Kazakhstan”; DWCP signing ceremony; FPWR seminar (by ACTRAV) in Jizzak City and the independent Mid-term evaluation with the Stakeholders/presentation workshop of preliminary findings for the tripartite partners.

*In addition*, inputs were also made to the implementation programme of the new Labour Protection Law through MOL; a Conference held to launch the ILO Global Wage report with inputs in the discussion on its recommendations in the context of Uzbekistan; Initiation of a review on wage setting mechanisms; Facilitation of the second National Dialogue on the Future of Work ensuring the inclusion of targets related to Decent Work to the localized SDGs through extensive inputs, as well as participation in a UN retreat with multiple national experts from the Government and civil society.

### Annex III. Documents consulted

- 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
- 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
- TPR Oct 2016 (covering 1 April – 30 Sept 2016)
- TPR April 2016 (covering 1<sup>st</sup> Oct 2015 – 31 March 2016)
- TPR July 2015 (covering Dec 2015 - April 2015)
- TPR Oct 2015 (covering 1 April 2015 – 30 Sept 2015)
- TORs for studies and research commissioned by the project
- *Situation analysis*, December 2016
- Country page on Uzbekistan at ILO Moscow website with some background info and news items:  
<http://www.ilo.org/moscow/countries/uzbekistan/lang--en/index.htm> [1]
- *From Myth to Reality – Assessing the Evolution of the Forced Labour Situation in Uzbekistan*, Consultancy Report by Kari Tapiola, August 2016
- List of events 2016-2017 (up to Feb-march 2017), by the DWCP Support Project.
- *Uzbekistan Country Gender Assessment, Gender and Development, Central and West Asia*, 2014, Asian Development Bank.

- *Cotton harvest mechanization in Uzbekistan – social impact assessment*, a PPT presentation by Rob Swinkels, Ekaterina Romanova, and Evgeny Kochkin, World Bank, May 2015 (source: <http://documents.worldbank.org/>).
- *The Status and Prospects in Government Support to NGOs to Provide Social Services*, Tashkent 2016. Authors: J. Ismailov, Ya. Chicherina, B. Sharapov. Under the editorship of A. Abdukhakimov and B. Alimukhamedov.
- *The role of social enterprises in employment and social protection of population*, Tashkent, 2016, J. Ismailov, Ya. Chicherina.



## Annex IV. Persons consulted - REDACTED

Name	Designation & agency
	CTA, Support to DWCP project, ILO, Tashkent
	Technical and M&E Officer, Support to DWCP project, ILO, Tashkent
	Project Assistant, Support to DWCP project, ILO, Tashkent
	Evaluation Manager, ILO/DWT, Moscow
	Programming Officer, ILO/DWT, Moscow
	Senior Standards Specialist, ILO/DWT, Moscow
	Senior Employers Specialist, ILO/DWT, Moscow
	Director, ILO/DWT, Moscow
	Senior Desk Officer for Europe, ACTRAV, ILO Headquarters, Geneva
	Senior Desk Officer Europe, FPRW, Central Asia, Arab States ILO Headquarters, Geneva
	Independent Consultant (former CTA, Support to DWCP project)
	Chief Technical Adviser, Third-Party Monitoring project, ILO, Tashkent
	US Embassy, Tashkent
	US Embassy, Tashkent
	Labor Officer, US Embassy Tashkent
	Asia/MENA/Europe Division Chief, office of Child Labor, Forced Labor, and Human Trafficking, Bureau of International Labor Affairs, US Department of Labor, Washington
	Project Manager, Office of Child Labor, Forced Labor, and Human Trafficking, Bureau of International Labor Affairs, US Department of Labor, Washington
	International Relations Specialist, Bureau of International Labor Affairs, US Department of Labor, Washington
	Sr. Programme Manager, Education Department, UNICEF, Tashkent
	Chief of State Labour Inspection, Ministry of Labour
	Ministry of Labour
	Ministry of Labour
	Ministry of Labour

Name	Designation & agency
	Deputy Director, Labour Research Institute
	Labor Research Institute, Labour Research Institute
	Labor Research Institute, Labour Research Institute
	Chief, Department for protection of socioeconomic rights, Federation of Trade Unions (FTUU)
	Chief of department, Occupational Safety and Health, FTUU
	Legal Department, FTUU
	Legal Counsel, FTUU
	Senior Specialist, Entrepreneurship and business development department, Chamber of Commerce
	Entrepreneurship and business development department, Chamber of Commerce
	National Coordinator for OSH program, Chamber of Commerce
	Training Center, FTTU
	Training Center, FTTU
	Training Center, FTTU
	Training Center, FTTU
	Training Center, FTTU
	Consultant
<b>Meeting at Coal Industry College, Angren City, Tashkent region</b>	
<b>Meeting at Medical College, Angren City, Tashkent region</b>	
<b>Meeting at Trade Union office, Gulistan, Syrdarya region</b>	

**Annex V. List of participants, Stakeholders Workshop 17 March 2017 -  
Redacted**

**Presentation of preliminary findings of Mid-Term Evaluation of the project *Support for the Implementation of the DWCP*.**

## Annex VI. ILO Lessons learned

**Project Title: Support for the implementation of the DWCP in Uzbekistan**

**Project TC/SYMBOL: UZB/14/01/USA**

**ILO-USDOL Agreement Number: IL-26691-14-75-K-11**

**Name of Evaluator: Lotta Nycander Date: 29 May 2017**

The following lesson learned has been identified during the course of the evaluation. Further text explaining the lesson may be included in the full evaluation report.

LL Element	Text
<b>Brief description of lesson learned (link to specific action or task)</b>	<p>ILO and the Uzbekistan constituents, through its annual consultations in the Governing Body, eventually made it possible to progress in the field of policy and legislation at national level –and enabled the Project to operate in the country.</p> <p>A lesson learned is that through persistence, and presentation of facts/evidence emanated from the research studies, ILO has been able to develop a dialogue with the constituents in which the Government representatives have stated that there is a need for changes related to FPRW - particularly linked to the recruitment of workers, and workers' rights in cotton harvesting - but also to commit to implementing a decent work agenda in the country.</p>
<b>Context and any related preconditions</b>	<p>ILO and the Uzbekistan constituents, through its annual consultations in the Governing Body, eventually made it possible to progress in the field of policy and legislation at national level –and enabled the Support Project to operate in the country.</p>
<b>Targeted users / Beneficiaries</b>	<p>The working partners are the ILO constituents and social partners i.e. representatives of the Government - the key ministry being the Ministry of Labor (MoL) and related institutions.</p> <p>The employers are represented through the Chamber of Commerce and Industry of Uzbekistan (CCIU).</p> <p>The constituent representing the workers is the Federation of Trade Unions of Uzbekistan (FTUU).</p> <p>The ILO Third-Party Monitoring project, operating from the World Bank office, is also an important working partner – which also contributes to the DWCP but through a different approach.</p> <p>Children engaged in child labor, or who may be at risk of engaging in child labor, and adults in a condition of forced labor are termed ultimate beneficiaries.</p>
<b>Challenges /negative lessons - Causal factors</b>	

<b>Success / Positive Issues - Causal factors</b>	<p>An identified good practice is the way ILO has worked as a team in relation to its work on child labor and forced labor, in the provision of technical inputs to support implementation from several levels of the organization (Tashkent, Moscow and Geneva). Part of this good practice has been the utilization of ILO's more than 20 years of experience from IPEC's technical cooperation, including the models of child labor monitoring, data gathering and design of surveys from all parts of the world.</p>
<b>ILO Administrative Issues (staff, resources, design, implementation)</b>	

## **Inception report**

### **Mid-Term Evaluation of the Project Support for the Implementation of the Decent Work Country Programme in Uzbekistan**

**International Labour Organisation**

**Lotta Nycander**  
**Independent Evaluator**

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## Acronyms and Abbreviations

FPRW	Fundamental Principles and Rights at Work
CCIU	Chamber of Commerce and Industry of Uzbekistan
CLM	Child Labour Monitoring
FTUU	Federation of Trade Unions of Uzbekistan
ILS	International Labour Standards
IPEC	(ILO) International Programme on the Elimination of Child Labour
<i>Mahalla</i>	Mahallas were formerly informal community associations. Under the Mahalla Law of 1993 (revised in 1999) mahallas are the government's main agency responsible for implementing social welfare programs and maintaining social order and stability <sup>57</sup> .
MoL	Ministry of Labour
P&B	Programme and Budget
TOR	Terms of Reference
UNDAF	United Nations Development Assistance Framework

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<sup>57</sup> *Support for Implementation of the DWCP in Uzbekistan*, ILO Project Document



## 8 Introduction

This is the Inception Report of an independent Mid Term Evaluation (MTE) of the ILO Project entitled *Support for the Implementation of the Decent Work Country Programme in Uzbekistan*. The report describes the evaluation assignment and gives some early reflections.

It outlines the evaluation criteria, methodology including evaluation instrument (the questions), preliminary schedule for the briefing sessions, interviews as well as the deliverables of the MTE - to the extent that requested details of stakeholders have been received from the Project in Tashkent by the 3<sup>rd</sup> March when submitting this report. The report consists of three parts: Introduction (section 1); Context (section 2); and Evaluation Framework (section 3).

If this detailed information is received later than 3<sup>rd</sup> March, the plans will be finalised in Tashkent on 6<sup>th</sup> March, at the start of the data collection period, jointly with the Chief Technical Adviser (CTA) and project team, and in close cooperation with the evaluation manager, Ms. Irina Sinelina, based at ILO, Moscow.

### 8.1 Purpose, objectives, scope and clients and deliverables of the evaluation

#### 8.1.1 Purpose and objectives

The main **purpose** of this Mid Term Evaluation (MTE) is to assess the progress made towards the achievement of project outcomes and provide advice on how to improve programming and implementation of the Project for the duration that remains until its closing. ILO views results-based evaluations as an integral part of the implementation of technical cooperation activities – thus all projects follow established procedures with the objective of improving quality, accountability, transparency of its work. The findings of this MTE will be used by the ILO, and the tripartite constituents, in refining their strategies and planning the future strategy and activities.

These are the **objectives** of the evaluation<sup>58</sup>:

- Establishing the relevance of the project;
- Determining the extent to which the project made progress towards the achievement of the intermediate objectives (outcomes), the kind of results produced, and the intended or unintended effects;
- Determining the implementation efficiency;
- Assessing how sustainability has been addressed in implementation and its potential for achievement;
- Identifying lessons learned and potential good practices, especially regarding models of interventions that can be applied further; and
- Providing recommendations to better target the next steps and/or adjust the strategies.

#### 8.1.2 Scope and clients of the evaluation

The ILO project is the focus of the evaluation, and its contribution to the overall national efforts. The **scope** of the MTE is the entire project, on how it has progressed so far in achieving its stated outcomes, including how it has dealt with its priorities, work areas cross-cutting themes, e.g. gender equality and non-discrimination - from its start in December 2014 to date. In so doing, all stakeholder categories will be approached and interviewed by the evaluation team consisting of two consultants through a participatory process. When writing this inception report, it is not yet known if data collection will

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<sup>58</sup> Source: Terms of Reference (ToR).

take place only in Tashkent, or if also outside the capital *but the latter is preferred if possible to arrange in the short time available.*

The **clients** are ILO tripartite constituents and project partners at the national and local level; ILO management and technical specialists (in the ILO DWT/CO Moscow, Regional Office for Europe and cooperating departments at the Headquarters); the project staff, the donor agency (US Department of Labour) and the ultimate beneficiaries – namely the children and adults who have been involved in, or at-risk of becoming involved in child labour and forced labour.

### **8.1.3 Deliverables/outputs of the evaluation**

The deliverables of the evaluation are:

- This inception report;
- Meeting/workshop Agenda and PPT for the presentation to the stakeholders, of the preliminary findings of the MTE in Tashkent at the end of the data collection period;
- One-two draft evaluation reports incorporating written comments;
- A table explaining how all written comments have been dealt with; and
- Final evaluation report.

## 9 Context

Uzbekistan is the largest country in Central Asia with a population of 30,4 million in 2014 and is third largest country in the region. It has shown high average annual economic growth rates in recent years. This is believed to be mostly a result of various economic reforms that, in turn, has enabled the country to be increasingly competitive globally. UNDAF states that the annual growth rates in industrial output is ranging from 6.6 to 12.7 percent, while it is estimated to be 4.5 to 7 percent in the agricultural sector. During the last nine-ten years the country's foreign trade turnover has tripled and the overall GDP more than doubled. Poverty rates are down from 27.5 percent in 2001 to 14.1 percent in 2013 resulting from the fast economic growth, higher salaries/remittances, incomes from micro and small businesses, and implementation of State-targeted social support programmes, particularly in education and health<sup>59</sup>.

It is the fifth largest producer of cotton in the world<sup>60</sup> and the seventh largest gold mining country in the world. Natural gas, oil, coal, copper, silver and uranium are also produced<sup>61</sup>. There is a high demand for temporary workers because of the seasonal nature of the agricultural, and particularly, the cotton sector. Generally working conditions in the agricultural sector are poor. Government projects in Uzbekistan, with financing from the World Bank, are designed to assist the country to move away from cotton production, increase mechanisation and diversifying to more profitable crops that are less labour intensive – thus reducing the risks of forced labour<sup>62</sup>.

In 2008, the Government adopted a National Action Plan for the application of the ILO Minimum Wage convention 138 (C.138) and the Convention on the worst forms of child labour (C.182)<sup>63</sup>. Uzbekistan has also ratified the ILO Conventions on forced labour (C.29 and C.105)<sup>64</sup>. Questions raised by the ILO supervisory bodies in recent years in relation to the application of fundamental Conventions have been in relation to child labour and forced labour in the context of cotton-picking campaigns and gender equality in employment and occupation<sup>65</sup>.

The policy framework and legislation in Uzbekistan in these areas is not complete and as a transitional economy with specific economic and labour force characteristics, Uzbekistan has faced challenges in the practical implementation of the labour standards and international best practice in employment and the national capacity to enforce or monitor existing regulations is limited<sup>66</sup>. The ILO conventions C.81 and C.129 have not been ratified by Uzbekistan and legislation do not assign clear responsibilities for inspection relevant to Child and Forced Labour issues. Similarly, the ILO conventions on Occupational Safety and Health (OSH) have not been ratified<sup>67</sup>.

In the review for this inception report, it is noted that a recently released World Bank report of an independent monitoring exercise on the use of child labour and forced labour in the 2016 cotton harvest in 2016, states that there is progress in reforms to address risks of forced labour in Uzbekistan's

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<sup>59</sup> United Nations Development Assistance Framework – UNDAF- 2016-2020.

<sup>60</sup> Source: The Project Document, ILO.

<sup>61</sup> Uzbekistan DWCP.

<sup>62</sup> WB press release: from <http://www.worldbank.org/en/news/press-release/2017/01/31/ilo-report-says-uzbekistan-making-progress-on-labor-reforms-organized-child-labor-phased-out>.

<sup>63</sup> Uzbekistan has ratified 13 ILO Conventions, and the ILO supervisory bodies have identified a number of concerns in relation to their application, particularly with regard to conventions related to forced labour (C 29, C105); child labour (C138, C182), working conditions (C47, C103) gender equality (C100, C111) employment policy (C122) and collective bargaining (C154).

<sup>64</sup> Source: Decent Work Country Programme of the Republic of Uzbekistan for 2014-2016

<sup>65</sup> Source: Decent Work Country Programme of the Republic of Uzbekistan for 2014-2016

<sup>66</sup> Source: Project Document, ILO.

<sup>67</sup> Source: The Project Document, ILO.

cotton industry and that ILO concluded that organized child labour is now socially unacceptable in Uzbekistan and the practice has been phased out<sup>68</sup>.

ILO has noted that the results of the monitoring point to a policy of prohibiting child labour is “working” as very few cases of children picking cotton were revealed by the exercise. However, they also revealed that university students are mobilized/recruited for cotton picking (by the youth organization Kamalot) in large numbers, with teachers taking part as group supervisors causing several universities to close/stop working. It was noted that the awareness raising campaign *concentrates more on penalties/responsibilities for use of child and forced labour rather than of ways of changing the situation*, as is shown for instance through the feedback mechanisms - and some concerns have been informally expressed by the international monitors related to translation and objectivity<sup>69</sup>.

The evaluation has also noted that a meeting recently was held in Tashkent, attended by the Labour Minister and an ILO delegation headed by the ILO Regional Office for Europe Director Mr. Heinz Koller, in which the extension of DWCP for the period 2017-2020 was discussed and signed. The Minister acknowledged among other matters, the importance of the Decent Work Country Programme (DWCP) and stated that the social partners and other organisations will continue to work actively to raise awareness of the unacceptability of child and forced labour. In the same meeting the ILO stated that the country had made significant progress in preventing forced labour child labour during the cotton harvest, and the country shows a responsible and balanced approach to international obligations in the field of labour, among others<sup>70</sup>. Apart from child labour and forced labour issues, this evaluation was informed that the Minister, as well as the tripartite partners, expressed keen interest in connection with the signing to work with ILO also on other issues such as employment, labour inspection, wage setting, social protection and more<sup>71</sup>.

The evaluation team will gather more information pertaining to the above-mentioned themes and circumstances, and the positions of the tripartite stakeholders through more in-depth study and interviews – in order to appreciate the Project’s achievements as well as any problems or hindrances faced in meeting the planned outcomes.

## 9.1 Background

ILO has earlier supported efforts on raising awareness and developing capacity in Uzbekistan aiming at preventing and reducing child labour in Uzbekistan, through the International Programme on the Elimination of Child Labour (IPEC). Several technical cooperation projects had activities in the country already more than a decade ago, in 2004, with the Project entitled *Capacity Building Project: Regional Programme on the Worst Forms of Child Labour (2004-2007)* – funded by US Department of Labor. Other projects were *Combating the Worst Forms of Child Labour in Central Asia through Education and Youth Employment* (2005-2007) aimed at supporting linkages between child labour, education and youth employment (funded by Germany); and *Combating Child Labour in Central Asia: Commitment becomes Action* (2008-2011) with capacity building, replication of models for interventions and regional good practices (also funded by Germany)<sup>72</sup>.

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<sup>68</sup> Source: This report is produced by the World Bank/ILO project in Uzbekistan. A Press release from <http://www.worldbank.org/en/news/press-release/2017/01/31/ilo-report-says-uzbekistan-making-progress-on-labor-reforms-organized-child-labor-phased-out>. The actual report has not yet been accessed.

<sup>69</sup> ILO Project Mission report (A. Dubova).

<sup>70</sup> Source: [http://news.uzreport.uz/news\\_3\\_e\\_148317.html](http://news.uzreport.uz/news_3_e_148317.html)

<sup>71</sup> Source: Interview with Director, DWCP team, ILO Moscow.

<sup>72</sup> Source: The Project Document, ILO.

The ILO Forced Labour Protocol, adopted by the International Labour Conference in 2014 entered into force on 9th November, a year after it gained its second ratification. It means that all countries that have ratified now have to meet the obligations outlined in the Protocol<sup>73</sup>.

Other work areas mentioned in the Project's steering document (Project Document) are Occupational Safety and Health (OSH), wage setting, and social protection. For instance, regarding OSH, Uzbekistan has not ratified any of the relevant ILO instruments on OSH (C 129, C 187) and its existing legislation is not comprehensive (Law on Occupational Safety and Health, 1993). Regarding wage setting, the collective bargaining approach for wage setting is not used on a regular basis, which results in challenges for ensuring that women and men are equally compensated. In the field of social protection – there exists universal health care and education, however, a coherent approach is lacking to ensure minimum standards, especially regarding income security and social protection to the whole population, including those working in the rural/agricultural sector. Thus, it is understood that ILO expects that more focus and work will be placed on these and related issues<sup>74</sup>.

## 9.2 The Project to be evaluated

The Project under review is entitled *Support for Implementation of the DWCP in Uzbekistan*. As such it is geared to support the three priorities of the DWCP, which have been identified as result of consultations with national constituents of the ILO: 1) Strengthening social partnerships to realize fundamental principles and rights at work; 2) Fostering decent employment opportunities; and 3) Improving working conditions and social protection<sup>75</sup>.

The Project's focus is on the prevention and reduction of child and forced labour, by building the knowledge, technical and institutional capacities of the constituents to monitor and promote decent working conditions, employment opportunities and a minimum social protection floor. The International Labour Organisation (ILO) implements the Project in close cooperation with the Government and tripartite partner organisations for the period 2014-2018. The development partner (donor agency) is the US Department of Labor (herein referred to as USDOL) contributing to the Project budget with USD 6 million.

It is designed and operated within the framework, and in *support* of Uzbekistan's Decent Work Country Programme (DWCP) 2014-2016. The project is aligned with the new ILO Strategic Policy Framework and more specifically the Transitional Strategic Plan 2016-17, which details the strategic orientation of the organization. The project is also aligned with the broader country cooperation frameworks, including the UNDAF 2016-2020.

The administrative unit is the ILO Decent Work Team and Country Office for Eastern Europe and Central Asia in Moscow. The initial project was for 16 months, after which an extension was granted for full-fledged four years project, until December 2018.

### 9.2.1 Some achievements to date

It is reported<sup>76</sup> that the Project has achieved the following to date (*to be further explored during the up-coming visit to Uzbekistan*):

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<sup>73</sup> ILO adopted a Protocol and a Recommendation that supplements the old Forced Labour Convention No. 29 from 1930 – to provide guidance to its members to take measures to eliminate all forms of forced labour. In his closing speech at the 2014 ILC the ILO Director-General, Guy Ryder, said that the adoption of the Protocol to the Convention is “the fruit of our collective determination to put an end to an abomination which still afflicts our world of work and to free its 21 million victims”. Source: [http://www.ilo.org/wcmsp5/groups/public/---ed\\_norm/---declaration/documents/publication/wcms\\_321414.pdf](http://www.ilo.org/wcmsp5/groups/public/---ed_norm/---declaration/documents/publication/wcms_321414.pdf)

<sup>74</sup> The Project Document.

<sup>75</sup> The Project Document.

<sup>76</sup> Source: ToR.

- The way was paved for the ratification of Convention 87 (Freedom of Association) which was ratified in October 2016 and signed into the law by the Acting President on 25th October 2016. OTC 2: Ratification of Conventions NOs 87, 144, 183, 129 and/or 81);
- National Child Labour and Forced Labour monitoring was conducted in all 13 regions of Uzbekistan in the period of 5 September to 31 October 2016. ILO monitoring tools were used. The national monitoring groups consist of representatives of regional Trade Unions, regional Chamber of Commerce, youth organization (Kamalat), women's association, and NGO (on a rotation basis);
- During 2016 cotton harvest the government continued to run the awareness raising campaign on child and forced labour with the support of the project. The project contributed to the development of awareness raising materials used during the awareness raising campaign. A public service advertisement on decent working conditions for agricultural seasonal workers was shot within the project's framework and presented to the tripartite constituents and other stakeholders at the Round Table on 17 November 2016. The video will be broadcasted at national and regional television.
- The Project commissioned research on recruitment practices related to the cotton harvest 2014-2015. The survey results were presented in detail to the constituents in July 2016. The constituents accepted the results and they welcomed ILO's elaborated recommendations on addressing the identified risks in recruitment of cotton pickers.
- Following the presentation of the results of the recruitment practices in agriculture survey on 4 August 2016, the tripartite constituents requested to develop a detailed set of recommendations to be piloted in selected regions of Uzbekistan to assess their impact on situation of use of forced labour and explore the potential of expanding tested recommendations throughout the country.
- The project supported the Third-Party Monitoring with technical advice on the organization and aggregation of data.

### 9.2.2 Briefly about the Logical Framework Analysis

The **development objective** is to support the prevention and reduction of child and forced labour and to promote decent work in Uzbekistan.

A first glance reveals that there are 9 outcomes, 3 intermediate objectives, 8 supporting objectives, and 26 outputs in the Logical framework/Theory of change.

The **outcomes** are the following:

1.1	A national strategy to apply international and national labour standards is designed and implemented
1.2	Stakeholders' capacity to implement the National Action Plan for the Application of Conventions Nos. 138 and 182 in Uzbekistan is increased
1.3	Stakeholders' capacity to address forced labour is increased
1.4	The social dialogue mechanisms to promote FPRW are improved
2.1	A knowledge base of national employment framework with focus on youth employment established
2.2	Capacity of the PES and PrEA to deliver services to employers and job seekers strengthened
3.1	Effective occupational safety and health (OSH) management system developed

3.2	Capacity of social partners to apply collective bargaining mechanisms and tripartite consultation principles in wage setting increased
3.3	Stakeholders awareness of ILO instruments and approaches on improving social protection increased

The **intermediate objectives** are the following<sup>77</sup>:

- IO1. Capacity strengthened in Uzbekistan for the realization of fundamental principles and rights at work
- IO2. Decent employment opportunities promoted: Institutional supports for decent employment opportunities enhanced
- IO3. Improved working conditions and social protection: Strengthened law and policy on working conditions and social protection in Uzbekistan

The **strategy** to reach the above-mention objectives and outcomes is to promote Fundamental Principles and Rights at Work (FPRW) and decent work so as to be able to address, in particular, the root causes of – and existing – forced labour and child labour. It is based on the goals for the Decent Work Country Program for Uzbekistan, which was developed with the national constituents. Attention is placed on addressing gaps in knowledge and capacities among key stakeholders, identifying gaps in law and practice, supporting improved reporting processes and further ratifications of key Conventions<sup>78</sup>.

Generally, it is important for the evaluation to appreciate the logic of the design of the Project, and thus the Results Framework, or Logical Framework Analysis (LFA) will be examined. If any changes have been made to the initial framework the reasons and validity of this will be accounted for.

### 9.2.3 Targeted beneficiaries and stakeholders

The Project is set to target certain categories that will benefit from the activities – who also are stakeholders in the Project. Children involved in child labour, or who may risk becoming child labourers, and adults involved in forced labour are termed **ultimate beneficiaries**. The project document also mentions that the working population as a whole will benefit economically and socially in the long run, from project activities by way of strengthened laws, regulations, policies, institutions, and programs to promote decent work in Uzbekistan.

Certain targeted groups representing the tripartite constituents are benefitting from the Project through its technical assistance to increase their capacity and strengthen tripartite consultations on labour issues and are thus termed **direct beneficiaries**. Among them are Government agencies that are termed of the project are the Ministries of Labour, Public Health, Finance, Public Education, Higher and Secondary Special Education. Inspection, Public Employment Services, member organizations of the Coordination Council on Child Labour, and Members of the Parliament will also benefit from the project's technical assistance. From the Employers organisations the beneficiaries are Chamber of Commerce and Industry, Council of Farmers of Uzbekistan. The representatives of the Workers organisations that are benefitting are Federation of Trade Unions of Uzbekistan.

Others are the Local administration bodies including *mahalla* leaders, representatives of the local authorities, local government agencies and civil society organizations working on gender equality, family and youth issues.

<sup>77</sup> Source: ToR and the Project's Comprehensive Monitoring and Evaluation Plan (CMEP)

<sup>78</sup> Source: ToR

## 10 Evaluation framework

### 10.1 Evaluation criteria and instrument

The evaluation **criteria** of OECD-DAC<sup>79</sup> will be used, recommended for evaluating development assistance in order to assess progress and achievements toward the set goals, including *relevance; effectiveness; efficiency; and likelihood (orientation) of sustainability and impact*.

The evaluation **instrument** consists of a set of questions to be posed to the interviewees, as listed below. Basically, the evaluation team will seek information that helps determine whether or not the Project has been doing things in the right way to date and whether there could be more effective ways to achieve results before the Project closes in 2018.

Efforts have been made to formulate the questions to be as relevant as possible in the specific context, and in view of the concerns that exist regarding this particular project and its themes, and the evaluation. Most of them are taken from the ToR, while others have been added. They are *examples* of questions that will be further tailor-made/detailed to each category of stakeholder/partner once the data gathering has taken off in Tashkent. They will be posed to a) ILO staff (project staff, regular ILO staff, former staff as relevant); b) constituents/stakeholder organisations, i.e. government agencies, employers' associations and workers organisations/trade unions; and c) other international and national organisations (e.g. World Bank, UNICEF), Non-Government Organisations (NGOs) and/or Civil Society Organisations (CSOs) in Uzbekistan.

The evaluation **instrument** consists of a number of questions that will be posed in interviews and in meetings, as appropriate (NB. The below are *examples* of questions):

#### Project design

- **What** was the basis on which the Project was designed? Was any initial needs assessment, diagnostic study, or baseline study undertaken prior to, or at the start of the Project and if so how have the results been reflected in the Project? Has any gender analysis been carried out?
- **To what extent** is the project design valid (logical, coherent) and **to what extent** is the Project designed to influence relevant policy, as well as respond to the needs of the ultimate beneficiaries? E.g. were the outcomes and outputs SMART-ly formulated and likely to be achieved within the established time schedule and with the allocated resources (including human resources)? Were the linkages between inputs, activities, outputs and objectives clear and logical? Were the different components of the project (i.e. capacity building, policy and legislation, awareness raising, direct action to beneficiaries, etc.) clearly and realistically complementing each other?
- **How** SMART (Specific, Measurable, Achievable, Relevant, Time-bound) are the indicators of achievement and how relevant are the means of verification?
- In the M&E system - **to what extent** have plans been made for data collection and analysis – and if so have they matched plans for indicator reporting?
- **How** realistic was the time frame for project implementation and the sequencing of project activities?
- **To what level** was information regarding the socio-economic, socio-cultural and political situation in Uzbekistan taken into account when designing the Project?

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<sup>79</sup> Source: <http://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>



- **What** is the quality of the assumptions formulated in the Project document e.g. to what extent were assumptions specified at outcome level and to what extent were they formulated as being *outside of the control or influence* of the Project actors and stakeholders?
- **How** have gender issues been integrated, or mainstreamed in the Project design - in its components and outcomes? Was any gender analysis conducted at the start, or before the start-up?
- **To what level** has the strategy for sustainability of project results been defined clearly at the design stage of the Project?
- **How** does the Project design fit within and complement existing initiatives by other organizations to combat child labour/forced labour (e.g. the World Bank project).

### Relevance

Relevance is here understood as the extent to which the Project's activities are in line with the priorities and policies of the country/stakeholders and (direct, indirect, ultimate) beneficiaries, as well as the ILO itself and the development partners (donor agency).

- **How** are the project objectives/outcomes aligned with national policies and frameworks, and national development priorities? Are they consistent with the country cooperation frameworks, i.e. UNDAF? How do they correspond to the country's vision and approach towards SDGs localization?
- **How** relevant is the Project to the evolving needs of the tripartite constituents?
- **To what extent** do the problems that gave rise to the Project at the design stage still exist? Have they changed?

### Effectiveness

Effectiveness is here understood as relating to the extent to which activity/strategies reach or contribute to meeting the stated objectives.

- **To what extent** does the project have an integrated strategic approach to all of its components to ensure that it can meet the outcomes? What are the linkages and synergies among different components of the project?
- After two years of implementation, **to what extent** and level has the project managed to achieve its intended results across all intermediate objectives according to plan? What are the likely implications in achieving the stated Project outcomes if activities are delayed?
- **How** flexible has the project strategy been to address changes in the country context? Are there timely mechanisms in place for the above? Is the ILO doing the right things at the right time to achieve project outcomes?
- **To what extent** is the project on a path to contribute to the development of stakeholders' the capacity in addressing the reduction/elimination of child labour? **How** effective has the project been in increasing the capacity of specific stakeholders? **Which** have been the main challenges and lessons so far?
- **How** successful has the Project been in motivating tripartite constituents in improving working conditions in the cotton sector?
- **To what extent** has the Project linked to/cooperated with the ILO's work for the World Bank "*Third-party monitoring (TPM) on child and forced labour in Uzbekistan*" project,

both with respect to national monitoring and research? What effect, if any, did it have (positive/negative on overall project implementation)?

- **To what extent** has the Project linked with other international organisations in Uzbekistan, or the region?
- **How** successful has the Project been to enhance the constituents' level of understanding on the relevance of ILS for the development of national legal and policy framework?
- **Have there been any unexpected** effects of the project? (e.g. positive/negative on the enabling environment for the formulation of policies aimed at increasing productivity, creating jobs, improving working conditions and reducing vulnerability?)
- **To what extent** has the Project been able to use media and public advocacy?
- **How** likely is it that the project will achieve its outcomes/objectives? If not likely, is there any remedial action needed at this mid term stage of the Project?
- **What** was the division of work tasks within the Project team, and has the use of local skills (through outsourcing activities to national experts through excols) been effective?
- **What** was the quality/value of technical support and backstopping from the relevant ILO units?

### Efficiency

Efficiency is here understood as a measurement of the outputs (qualitative and quantitative) in relation to the inputs. It is applied to assess/determine whether the least costly resources possible were used to reach the intended results.

- **How** relevant was the allocation of human and financial resources to the project implementation?
- **How** efficiently (costly/not costly) were the resources used by the Project to reach the planned outcomes (e.g., technical expertise, knowledge base, networks, staff, time, administrative and other resources)?
- Regarding management arrangements: **To what extent** did staff turnover impact on Project implementation and performance?

### Likelihood of sustainability and impact orientation

Impact is here understood as concerned with the positive and/or negative changes produced by the Project directly or indirectly, intended or unintended. This involves the main impacts and effects resulting from the activity on the local social, economic, environmental and other development indicators. This also includes the positive and negative impact of external factors, such as changes in terms of e.g. policy and socio-economic conditions.

- **How** has the Project, *so far*, contributed to the sustainability of outcomes beyond the life of the project? How likely is it that the national partners will be able to continue/embrace the project agenda and use the results after the end of the Project (capacity/willingness/motivation of people and institutions, and laws, policies)? Has any sustainability strategy been mentioned/discussed/outlined?
- **How** likely is it that long-term impact on target groups, institutions, policies will occur as a result of the Project activities?

- **What** contributions have been made so far to encourage ownership among the ILO constituents and Project partners?

Finally, are there any **emerging lessons learned**, and or **good practices** that are worth highlighting?

## 10.2 Methodology, steps and approach in the evaluation process

### 10.2.1 Methods and steps

- Comprehensive documentation review

The evaluation will study the overall context in which the Project is operating and the documentation review will be undertaken throughout the evaluation field mission, as it is expected that more documents will be gathered during the fieldwork in Uzbekistan and the encounters with all the stakeholders. These documents, along with others, are reviewed:

Country Briefs, National Policy Documents, statistical data on employment, OSH, social protection, Decent Work Country Programme 2014-2016, UNDAF 2016-2020, Project Document (first version for 16 months and second version for a full-fledged 48 months project), Comprehensive Monitoring and Evaluation Plan (CMEP), particularly, the Results Framework, PMP and the Monitoring Roles and Responsibilities sections of the CMEP, Situation analysis, performed in December 2016, Work plans, Technical progress reports (TPRs), including the Data Reporting Form, TORs for studies and research commissioned by the project, Surveys (i.e., on recruitment practices and employment conditions), studies, situational analysis, research papers produced, Mission reports, Technical reports on specific activities, Training tools and service packages used and/or produced, News items, publications and promo materials, Report on discussions at the Round Table on November 15-17, 2016, and Information concerning the extension of the DWCP beyond 2016.

Based on the review **a preparatory briefing** with the ILO DWT/CO Moscow representatives, this Inception report is produced and submitted prior to the field visit to Uzbekistan. **An in-depth interview** was held with the donor representatives, i.e. USDOL staff in Washington.

- Field visit to Uzbekistan

A field visit is organised to Uzbekistan, to gather data/information and making observations between 04/03-18/03, 2017. Individual interviews and/or group interviews will be conducted with the following:

- Project Staff and other relevant ILO in-country staff, including the ILO/WB Third Party Monitoring Project team and US Embassy in Tashkent/Uzbekistan.
- Representatives from the following organisations:
- Ministry of Labour and government staff who have worked with the project, including the members of the Decent Work Country Programme Steering Committee
- Employers' organization, trade unions, individual experts who have received training or otherwise worked with the project
- Mahalla leaders, participants of the awareness-raising events
- Contractors/research firms who have conducted research for the project
- World Bank, UNDP, UNICEF and/or other relevant international agencies in the country.

- Observation through field visit outside Tashkent

If scheduling permits, the consultant will participate in a field visit outside Tashkent and/or the events organized by the project. Observation will be used generally, as a method to validate data and facts.

- Debriefing

On the final day of the field visit in Tashkent the evaluator will present preliminary findings using a PPT in a Validation meeting to the ILO in-country project staff and other key stakeholders including the representatives of the tripartite constituents' organizations and the donor as appropriate. Comments from the participants will be sought and recorded, to be addressed in the first draft evaluation report.

Post-Trip Debriefing: Upon completion of the field research the evaluator will present the preliminary findings to the ILO DWT/CO-Moscow and USDOL representatives on distance (through conference call from home).

- E-mail correspondence and (possibly) a brief set of written questions

E-mail exchanges are also likely to be used to gather more information and to enrich the triangulation and validation process. The feasibility of using a short list of questions (approximately 5-6 key sets of questions only) will be discussed with the Project CTA and if appropriate/feasible, this will be used mainly to have more detailed information.

- Reporting

This Inception report is submitted on 3 March 2017, followed by a draft and final report. The latter will be a full report with findings, conclusions, recommendations, lessons learned and all annexes, and include an Executive Summary. It shall address/incorporate written comments from ILO and constituents. *It is imperative that the comments from ILO on the findings, conclusions and recommendations are sent to the as a consolidated set of comments in good time to produce the final report.*

### 10.2.2 Approach

#### Participation, qualitative and quantitative data, triangulation, cross-cutting issues

The data collection process will be as **participatory** as possible to enable, and encourage, all key actors to share their information, experiences and knowledge – thus contributing to the findings. The evaluator will adhere to ethical standards in the analysis of gathered/processed data and in the reporting and pay attention so as not to let conclusions be influenced by statements or views by any particular party.

The evaluator has used qualitative methods to gather both **qualitative and quantitative data** and information – i.e. the latter will be drawn from *secondary sources* as there is no scope/time to undertake a survey to gather quantitative data. In processing and analysing the collected qualitative information, elements of thematic analysis and content analysis, process tracing and outcome mapping (and combinations of these) may be used in arriving at evaluation conclusions. Quantitative data will be drawn from secondary sources as there is no scope to carry out a survey to gather quantitative data. Methodological **triangulation** will be applied, involving more than one option to gather data, i.e. interviews, observations, brief written questions to selected respondents, and documents. Emphasis on triangulation is not only done to increase the credibility and validity of the results, and cross-check information to minimise any bias – but also to deepen the evaluator's understanding. Qualitative content analysis will be used to analyse the gathered information and rival explanations will, in particular, be noted and analysed.

Regarding gender equality and gender issues being part of crosscutting issues, the evaluation will align to the UNEG Norm 8 on human rights and gender equality - which states that the universally

recognized values and principles of human rights and gender equality need to be integrated into all stages of an evaluation (UNEG Norms and Standards for Evaluation, 2016). Thus, the evaluation will identify gender-related aspects in the process of data collection, analysis and report writing, and assess the level of gender integration (mainstreaming) in both Project design, implementation and follow-up of strategies and activities.

- Figure 3. Sources & methods for data collection to apply the key evaluation criteria

<b>Key evaluation criteria</b>	<b>Documents/sources of information &amp; data</b>	<b>Method to be used</b>
<b>Relevance</b>	Relevant national policy documents and strategies, DWCP, UNDAF, Project Document with LFA, Implementation plans/workplans, info from staff & stakeholders, MoUs.	Documentation review and in-depth interviews & meetings with ILO staff, other UN staff, constituents and partners.
<b>Effectiveness</b>	Technical Progress Reports (TPRs), donor response/comments to TPRs, M&E reports, reports on capacity building/training & participants' evaluations of training; info from staff & stakeholders.	Documentation review, in-depth interviews with ILO staff and Development partners (including donor) & other stakeholders; Collection of qualitative & quantitative information, data. The option of posing some key questions (e.g. attached to e-mails) will be considered (for ILO staff & partners). Focus Group Discussion will be used if appropriate, e.g. with Project staff, and/or with trade unions/NGOs. TBD-
<b>Efficiency</b>	TPRs, work plans, budget and expenditure documents, donor reports, financial reports/documents (e.g. audit reports).	Documentation review and interviews/discussions with ILO admin & finance staff.
<b>Likelihood of sustainability and impact orientation</b>	TPRs, M&E reports, info from ILO, constituents and partner organisations.	Documentation review, discussions & meetings, in-depth interviews.

### 10.3 Norms, standards and ethics

The evaluation will be carried out in accordance with ILO's Evaluation Policy Guidelines, the UN Evaluation Group (UNEG) Norms and Standards (up-dated in 2016), and OECD/DAC's recommendations<sup>80</sup>. The evaluation team will duly consider ethical standards and code of conduct. It will adhere to the standards in the gathering of information in order to protect those involved in the evaluation process. Thus, confidentiality of the beneficiaries will be respected and in the circumstances surrounding e.g. field visits at work places and in interviews. As much as possible, the evaluation will

<sup>80</sup> The evaluator is guided by the ILO Policy Guidelines for Results-based Evaluation: principles, rationale, planning and managing for evaluations (2013) and ILO Guidance Note No.4: Integrating Gender Equality in Monitoring and Evaluation of Projects (March 2014).

apply triangulation/cross-checking and observations to increase the credibility and validity of the results and, to the extent possible, minimise any bias.

## **Annex I. Documents consulted**

*(This documentation list is work in progress and will be complete in the draft evaluation report).*

- 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
- UNDAF Uzbekistan 2016-2020
- Comprehensive Monitoring and Evaluation Plan (CMEP)
- Performance Management Plan (PMP)
- MoU for the extension of DWCP in Uzbekistan for 2017-2020
- ILO mission reports
- The project Budget
- Situation analysis, performed in December 2016 (to be received)
- Technical progress reports (TPRs) with Work Plans:
- TPR Oct 2016 (covering 1 April – 30 Sept 2016)
- TPR April 2015
- TPR April 2016 (covering 1<sup>st</sup> Oct 2015 – 31 March 2016)
- TPR July 2015 (covering Dec 2015 - April 2015)
- TPR Oct 2015 (covering 1 April 2015 – 30 Sept 2015)
- TORs for studies and research commissioned by the project
- Survey reports, technical study reports, research papers produced, newspaper articles, Country briefs,
- Country page on Uzbekistan at ILO Moscow website with some background info and news items: <http://www.ilo.org/moscow/countries/uzbekistan/lang--en/index.htm> [1]

## Annex II. Provisional program and schedule of interviews - REDACTED

*(The programme is work in progress, handled by the Project staff. The final schedule will be inserted in the first draft evaluation report)*

### Independent Consultant PART 1: PRIOR TO COUNTRY MISSION

Time	Organization	Name and position	Place	Status of confirmation	Comments
<b>March 1 Wednesday</b>					
13.30 Sweden time (15.30 Moscow time)	ILO DWT/CO Moscow		Desk based	confirmed	overall standing of the project in the context of the DWCP and broader programming
<b>March 2 Thursday</b>					
10.00 Sweden time (12.00 Moscow time)	ILO DWT/CO Moscow		Desk based	confirmed	
15.00 Sweden time (9 am Washington time)	USDOL Washington		Desk based	confirmed	
17.00 Sweden time	ILO DWT/CO Moscow		Desk based		
13.00 Sweden time	ILO DWT/CO Moscow		Desk based	confirmed	



Time	Organization	Name and position	Place	Status of confirmation	Comments
(15.00 Moscow time)					
March 4 Saturday					
12.10	Stockholm airport: Departure to Tashkent via Istanbul			ok	
March 5 Sunday					
2.30	Arrival to Tashkent: Transfer to hotel			ok	

## PART 2: IN TASHKENT

Time	Agency	Name and position	Meeting objective	Place	Status of confirmation	Comments
<b>March 6 Monday</b>						
<b>10.00-17.00</b>	ILO	ILO project team	Meeting to discuss the status of the project, mission agenda and arrangements		Confirmed	
<b>March 7 Tuesday</b>						
<b>10.00-12.00</b>	Ministry of labour and social protection of population of the republic of Uzbekistan	International organizations and ILO relations department	Interview		tbc	

Time	Agency	Name and position	Meeting objective	Place	Status of confirmation	Comments
14.00-15.00	Institute of Labour		Interview		tbc	
March 8 Wednesday						
	Desk work and skype interview					
March 9 Thursday						
10.00-12.00	Federation of Trade Unions	Department of Workers’ Socio-economic rights protection	interview		TBC	
13:30 to 14:30	US Embassy	US Ambassador			confirmed	
15.30-16.30	Chamber of Commerce and Industry of Uzbekistan	Entrepreneurship and business development department	interview		TBC	
16.30-17.30	Chamber of Commerce and Industry of Uzbekistan	CCI staff member who received ILO eOSH certificate	interview		tbc	
March 10 Friday						
10.00-10.30	Federation of Trade Unions training center	Director	Interview		TBC	
10.30-12.00	Federation of Trade Unions training center	TU instructors and certified trainers	Interview		tbc	
14.00-15.00	Fund Mahalla	tbd	Interview		tbc	
16.00-17.00	Kamalot – youth organization	tbd	Interview			
March 13 Monday						

Time	Agency	Name and position	Meeting objective	Place	Status of confirmation	Comments
tbd	Tashkent region	Representatives of NGOs who participated in national monitoring in 2015-2016	Interview		TBC	
tbd	Tashkent region	Representatives of TUs who conducted seminars in 2016 on prohibition of CL and FL at the TUs initiative	Interview		tbc	
March 14 Tuesday						
tbd	Syrdarya region	Women’s council, Regional trip Meetings with the Women’s counsel representatives who participated in national monitoring in 2016 and other monitoring group members	Interview		tbc	
March 15 Wednesday						
10:30	US Embassy in Tashkent	US Embassy Labor Officer	Interview	US Embassy		
?	UNDP		Interview			
	ILO	WB TPM project		Project office	tbc	
?	FUNDAMENTALS, HQ/Geneva	FPRW/IPEC Senior Desk Officer Europe, Central Asia, Arab States	Interview	Desk based	tbc	
March 16 Thursday						
	Preparation of the presentation for the stakeholders workshop					
March 17 Friday						
10.00-15.00	Stakeholders’ workshop to present the preliminary findings					
March 18 Saturday						
9.00	Tashkent Airport	Departure to Stockholm via Istanbul			ok	



Annex III. Time line

