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Comprehensive Monitoring and Evaluation Plan - CMEP -



Support for the Implementation of the Decent Work Country Programme in UZBEKISTAN

Implemented by: International Labour Organization

Funded by: United States Department of Labor

Program Duration: FY 2015 - FY 2018



Sistemas, Familia y Sociedad
Consultores Asociados

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LIST OF ACRONYMS

CCIU	Chamber of Commerce of Uzbekistan
CEACR	Committee of Experts on Application of Conventions and Recommendations
CL	Child labour
CLM	Child labour monitoring
CMEP	Comprehensive Monitoring and Evaluation Plan
CTA	Chief Technical Advisor
DCT	Data Collection Table
DWCP	Decent Work Country Programme
EESE	Enabling environment for sustainable enterprise
FL	Forced labour
FoA	Freedom of Association
FPRW	Fundamental principles and rights at work
FTUU	Federation of Trade Unions of Uzbekistan
HCL	Hazardous child labour
HQ	Headquarters
ILO	International Labour Organization
IO	Intermediate objective
ILS	International labour standards
LMI	Labour market indicators
M&E	Monitoring and Evaluation
MNE	Multinational Enterprises
MOL	Ministry of Labour
OSH	Occupational safety and health
OTC	Outcome indicator
OTP	Output indicator
PES	Public employment services
PMP	Performance monitoring plan
PSA	Public Service Announcement
RF	Results Framework
SFS	Sistemas, Familia y Sociedad – Consultores Asociados
SIDWCP	Support for the Implementation of the Decent Work Country Programme
SO	Supporting objective
SWOT	Strengths, Weaknesses, Opportunities and Threats Analysis
TOC	Theory of Change
TOT	Training of trainers

CMEP

TPR	Technical Progress Report
USDOL	United States Department of Labor
WDACL	World Day Against Child Labour
YE	Youth employment
PrEA	Private employment agency

INTRODUCTION

A. Project Objective, Intermediate Objectives, Beneficiaries and Timeline

The “Support for the Implementation of the Decent Work Country Programme (DWCP) in Uzbekistan” (SIDWCP) Project started in December 2014¹ as a 16-month initiative. A modification to the Cooperative Agreement was signed on 21 September 2015, extending the Project to 48 months and increasing its funding up to US \$6 million. The project is implemented by the International Labour Organization (ILO) in close cooperation with the national tripartite constituents and with financial support from the US Department of Labor (USDOL).

The project goal is to promote decent work in Uzbekistan, with a focus on the prevention and reduction of child labour and forced labour.

The DWCP for Uzbekistan serves as the basis of the project and thus the project is centred on its intermediate objectives, which were identified in close consultation with national constituents, namely:

1. Strengthening social partnership in Uzbekistan for the realization of fundamental principles and rights at work.
2. Fostering decent employment opportunities.
3. Improving working conditions and social protection.

The six key outcomes under these three components of the Decent Work Country Programme are:

1. A national policy to apply international and national labour standards is designed and implemented.
2. Capacity is increased among stakeholders to implement the National Action Plan for the Application of ILO Conventions C138 and C182 in Uzbekistan.
3. Conditions of work and employment in agriculture, including in the cotton-growing industry, are brought into greater conformity with fundamental standards.
4. Capacity of trade unions and employers to contribute to the realization of fundamental principles and rights at work (FPRW) is enhanced and the effectiveness of institutions for national tripartite social dialogue is increased.
5. Institutional supports for decent employment opportunities are enhanced.
6. Law and policy on working conditions and social protections in Uzbekistan are strengthened.

¹ The Cooperative Agreement was signed on 18 December 2014

The direct beneficiaries of this project are:

- Relevant Government agencies, mainly the Ministry of Labour, labour inspectors at national and local levels, Employment Services, and member organizations of the Coordination Council on Child Labour. Members of the Parliament will also benefit from the project's technical assistance to strengthen laws, regulations, policies, institutions, and programmes to promote decent work in Uzbekistan;²
- Organizations representing employers (the Chamber of Commerce and Industry of Uzbekistan [CCIU] and the Uzbekistan Council of Farmers) and workers (the Federation of Trade Unions of Uzbekistan [FTUU]) will benefit from the project's technical assistance to increase their capacity and strengthen tripartite consultations on labour issues;
- Mahalla leaders, representatives of the local authorities, local government agencies and educational institutions;
- Civil society organizations working on gender equality, family and youth issues (such as the youth organization Kamalot and Uzbekistan Women Union) will benefit from the project activities to raise awareness on fundamental conventions and protocols as well as training on child labour monitoring.

Indirect beneficiaries include:

The ultimate beneficiaries of this project will be children and adults who have been involved in, or are at-risk of becoming involved in, child labour and/or forced labour.

In the long term, the working population as a whole will benefit economically and socially from project activities to strengthen laws, regulations, policies, institutions and programmes to promote decent work in Uzbekistan. Through wide dissemination of awareness raising materials on FPRW, including community-based awareness raising on forced labour and other child labour in the Uzbek language, local governments, schools, media representatives and the broader public will have increased access to information on international labour standards, good labour practices and “world of work” issues in general.

B. Purpose and Components of the CMEP

The purpose of the comprehensive monitoring and evaluation plan (CMEP) is to facilitate the planning and implementation of monitoring activities, evaluation and reporting on project progress towards achieving intended results and outcomes. The CMEP assists in building a comprehensive approach to project implementation, ensures logical linkages between the intended results and activities, and sets a

² The Ministry of Labour was formerly the Ministry of Labour and Social Protection, and was restructured in February 2016, handing its social protection functions to the Ministry of Health.

focus on measuring the outcomes of the project. It also provides an opportunity to point out which outputs (and in what context) appear to be more effective in bringing change at the outcome level.

The first draft CMEP was developed for the 16-month project and included only part of the components, such as the problem tree, theory of change, results framework, activities mapping and project performance monitoring plan. Once the project was extended to 48 months, the need arose to update the CMEP with other required elements. The initial draft, developed in September 2015, served as the basis for a fully-fledged CMEP which was discussed and updated at the first CMEP development workshop held in Geneva from 18-22 January 2016. This workshop brought together the project team, ILO Moscow and headquarters (HQ) specialists, USDOL representatives, a representative of the US Embassy in Tashkent, and was facilitated by Sistemas, Familia y Sociedad (SFS) – a consulting company contracted by the USDOL. A second CMEP development workshop took place from 5-7 September 2016 at which time the results framework and performance indicators were finalized, indicator targets were set and implementation arrangements were discussed.

The following elements are included in this document:

- A problem analysis and theory of change which form the basis for project design and interventions. These are reflected in graphical representations such as problem trees, results framework and a list of activities per output or activities mapping;
- A data collection table and a set of data collection tools;
- A performance management plan (PMP);
- A set of procedures on how to implement and manage the CMEP, including a data quality assessment checklist;
- An evaluation plan; and
- Key definitions on child labour, forced labour and other issues relevant to this project.

As the CMEP is a living document and a tool supporting the management and implementation of the project, it may require revision to reflect the changes in the external environment that may affect the project implementation. The changes will be introduced when needed and in coordination with USDOL.

SECTION I: PROBLEM ANALYSIS

The project's primary focus is the prevention and elimination of child labour (CL) and forced labour (FL) in the agricultural sector (specifically in the cotton-growing sector) and the promotion of decent work in Uzbekistan.

The Project builds on the DWCP of Uzbekistan, and addresses the following key problematic areas:

- A limited capacity in Uzbekistan for the realization of Fundamental Principles and Rights at Work (FPRW), including the prevention and elimination of CL and FL. To address this issue it is necessary to improve the country's ability to meet international labour standards and practices, which in turn contribute to maintaining export markets and to economic development;
- An ineffective employment framework for generating sufficient decent work opportunities for adults and youth. To address this issue it is necessary to expand the country's ability to generate domestic employment and to ensure workers can access jobs; and
- An institutional environment lacking mechanisms to promote decent work (occupational safety and health [OSH], social protection, national and sector-related wage setting). To address this issue it is necessary to improve working conditions and the country's social protection framework.

1. A limited capacity in Uzbekistan for the realization of Fundamental Principles and Rights at Work (FPRW), including the prevention and elimination of CL and FL

This **first priority area**, addressed under **Component 1** of the Project (Strengthening capacity in Uzbekistan for the realization of fundamental principles and rights at work), encompasses challenges in applying international and national labour standards and includes specific issues with regard to child and forced labour, conditions of work and the capacity of the tripartite social partners to fulfil their responsibilities as partners in social dialogue and in the promotion of decent work.

a. Application of international and national labour standards

Uzbekistan has ratified 13 ILO Conventions³, 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 (C29, C105), child labour (C138, C182), working conditions (C47, C103) gender equality (C100, C111) employment policy (C122) and collective bargaining (C154). The key legislation (particularly related to child labour and forced labour) does not yet meet the standards of the relevant Conventions. Moreover, there are gaps in Uzbekistan's labour legislation in the areas of freedom of association and the right to organize and conduct labour inspection.

³ See Annex 7 for a list of ratified Conventions.

Although progress has been made in meeting reporting obligations, there is limited follow up action on issues identified, as the government and social partners have little knowledge of international labour standards (ILS) and do not have access to supervisory system comments or advisory materials. This is exacerbated by the limited involvement and capacity of tripartite partners to advocate for action.

b. Child Labour

Despite the ratification of both the minimum age and worst forms of child labour Conventions (C138 and C182), child labour continues to be prevalent in Uzbekistan, particularly as seasonal labour in the cotton growing sector; Uzbekistan is the fifth largest exporter and the sixth largest producer in the world. Reliable information on the nature and extent of child labour was not available, although sources suggest that school age children in cotton growing areas are mobilized for work in the fields for months at a time to meet annual harvest quotas set by the government and that education is suspended during those periods.

As mentioned above, the framework of legislation and policy in Uzbekistan regarding child labour is incomplete and does not meet the requirements of international labour standards. Despite the Government's adoption in 2008 of a National Action Plan for the application of C138 and C182, which was renewed for the third time for the period 2014-2016, the capacity for its application and realization is limited. The Government is unable to monitor or enforce the regulations on child labour.

Following comments of the Committee of Experts on Application of Conventions and Recommendations (CEACR), a joint ILO-Uzbek monitoring mission observed the 2013 cotton harvest as a means of assessing the implementation of C182. The mission report called on the Government to "ensure the effective implementation of national legislation prohibiting compulsory labour and hazardous work for children below the age of 18 years, to collaborate with the ILO (and) the social partners, (to eliminate) the engagement of children, including those between 16 and 18 years of age, in hazardous work in the cotton harvest, (and) to monitor the cotton harvest, strengthen record keeping in educational institutions, apply sanctions against persons who engage children in the cotton harvest, and further raise public awareness on this subject." Subsequent monitoring undertaken in 2014 and 2015 suggested that the use of child labour in cotton harvesting was limited.

c. Conditions of work

Uzbekistan has ratified the Conventions on forced labour (C29 and C105) but owing to weak national legislation and limited enforcement, coercive recruitment practices, particularly in the cotton sector, continue to be prevalent. The ILO CEACR has called on the government to eliminate the use of compulsory labour of public and private sector workers as well as students in cotton picking. In this respect, the monitoring undertaken in 2015 confirmed the existence of forced labour.

Generally speaking, working conditions in agriculture are known to be poor, although the full extent has yet to be documented to establish an effective baseline for improvement. The seasonal nature of agricultural work, particularly in the cotton sector, creates demands for temporary workers which are

not well supported by existing labour recruitment, employment and mobility policies, all of which creates negative consequences for workers.

According to preliminary estimates from the Recruitment Practices and Working Conditions in Agriculture Survey⁴, there is a need for up to 3,500,000 seasonal workers⁵ to support the cotton harvest every year. The quotas and prices for the production of cotton are set up annually by the Government, and farmers rely on the local administration to assist in the recruitment of workers beyond the seasonal labour force that they regularly use. Given low wages and difficult working conditions, farmers increasingly find it difficult to recruit and retain adult workers on a voluntary basis. For the above reasons, non-agricultural workers - including students and public sector employees - are reported to participate on a paid basis in the cotton harvest. There are also reports of mobilization of the non-agricultural labour force for other activities during the cotton cultivation cycle including hoeing, weeding and transplanting.

Alternatives to existing strategies for recruitment and employment are not widely known, and many employers are not aware of their responsibilities with respect to forced labour. Moreover, the capacity of government agencies at all levels regarding labour inspection, monitoring and reporting, is weak, in addition to the conflicting responsibilities for local administration as noted above. Uzbekistan has not ratified relevant conventions on labour inspection (C81) and labour inspection in agriculture (C129), and the country's legislative provisions do not assign clear inspection responsibilities relevant to child labour and forced labour issues.

d. Trade unions and employer organizations

The Federation of Trade Unions of Uzbekistan (FTUU) and the Chamber of Commerce and Industry of Uzbekistan (CCIU) are the ILO constituent members and have significant responsibilities for ensuring effective social dialogue and realizing labour standards and fundamental principles and rights at work. However, they face a number of constraints in their ability to carry out this role effectively, as follows:

- Limited experience and capacity to effectively defend members' interests and represent their voice.
- Their legacy as soviet-era institutions leads to weak membership outreach and service orientation.
- Limited practical experience and skills regarding negotiation and collective bargaining.
- Weak capacity for developing, validating and promoting positions on key policy issues.
- Lack of clear legislative and institutional frameworks for implementing social dialogue on labour issues. The recently adopted Law on Social Partnership is general in nature and does not provide

⁴ The final results of this survey have not yet been presented to the tripartite constituents.

⁵ Employed by farms on periodic rotation

for a specific role for trade unions and employer associations in developing and implementing labour law and policy, as recommended by ILO Conventions and principles.

It is therefore imperative to address the significant gaps existent in ILO constituents' capacities and in social dialogue policies in order to enable social partners to play their expected roles in promoting decent work in Uzbekistan.

2. An ineffective employment framework for generating sufficient decent work opportunities for adults and youth.

The **second priority area** is covered by **Component 2** of the Project (Fostering decent employment opportunities: Institutional supports for decent employment opportunities enhanced), which targets the issues regarding the lack of an overall employment framework, the need for effective active labour market policies and the weakness of key labour market institutions. Job creation and employment promotion are priorities for the country. However, government ability to achieve the goals of the national employment programme and to develop its strategies over time is not sustainable.

a. Employment Framework

The ILO has consistently called on member States to develop comprehensive employment policy frameworks, based on tripartite consultation, to ensure sustainable and employment centered economic growth. Uzbekistan currently lacks such a framework, which would support continued improvement in annual job creation and employment promotion plans.

b. Active Labour Market Policies

- Active strategies including employment incentives, placement services and strategies specific to youth have been piloted to some extent in Uzbekistan, but there is limited evidence of their impact or an assessment of the best strategies to use for existing needs.
- Evidence on effective strategies is needed to ensure that annual plans for job creation and employment use the most appropriate policies.
- Policies developed without the involvement of the tripartite partners and appropriate institutions (training, industry) may not be effective.
- Policies are needed to support the smooth transition into employment of 500,000 new entrants annually, and the transition of workers to different fields as the structure of the economy evolves.
- Although Uzbekistan's formal unemployment rate is relatively low (4.9% in 2013) the employment rates of women of all ages are significantly lower than that of men; and the employment rate for young people (aged 15-24) is significantly lower than that of the total

working age population. This suggests a need for policies to support labour market participation of women and youth.

c. Labour Market Institutions

- Uzbekistan's labour market information system is weak, with poor capacity at the Ministry of Labour to collect, analyze and disseminate information to inform labour market policies, education and training programmes and general economic development, as well as to assess the impact of the measures that have been taken.
- There is little availability of sex-disaggregated data.
- The public employment service does not currently have an effective database to support matching of job seekers with vacancies, and has little experience and capacity in serving labour market entrants, particularly youth.
- Weaknesses in gathering and analyzing information on the one hand, and in public systems for labour recruitment on the other, exacerbate and reinforce existing labour practices based on coercive recruitment and the use of child labour.

3. An institutional environment lacking mechanisms to promote decent work (OSH, social protection, national and sectoral wage setting)

The **third priority area** of the Project, covered under **Component 3** (Improving working conditions and social protection: Law and policy on working conditions and social protection in Uzbekistan are strengthened), encompasses issues related to managing working conditions and delivering social protection inherited from the soviet-period and the subsequent period of transition. These issues have led to gaps in legislation and capacity in a number of areas, particularly relevant to ongoing economic and social development. Gaps in occupational safety and health systems, wage setting mechanisms and the scope of social protection programmes are all issues that need to be addressed.

a. Occupational safety and health (OSH)

- Uzbekistan has not ratified any of the relevant ILO instruments on OSH (C129, C187) and the country's existing legislation (Law on Occupational Safety and Health, 1993) is not comprehensive. Some elements of occupational safety and health are covered in other legislation⁶ but there is an overall lack of coordination among implementing bodies.
- A 2008 review carried out by the ILO noted that the country's occupational safety and health management system developed in the late 1980s was outdated, is largely dysfunctional and did

⁶ While the law on State Sanitary Control (July 1992) provides sanitary measures to improve labour conditions, other pieces of legislation refer to specific technical aspects of OSH.

not match the evolving reality of market and structural reforms or provide for effective participation by employers, among many other weaknesses.

- National research and training capacity is weak, contributing to relatively low levels of effective OSH protection for the workforce.
- Enforcement of the requirements of OSH legislation is weak, in part due to the dispersed nature of legislation regulating OSH.
- The labour inspection capacity in the country is also weak. Uzbekistan has not ratified relevant conventions (C81, C129), and responsibility for inspection of OSH matters is assigned to inspectors in different Ministries (Labour, Health) and to different sectors within those Ministries⁷.
- Trade union and employer organizations have some responsibilities under the current legislation but limited capacity to intervene.

b. Wage setting

- Uzbekistan has ratified the equal remuneration convention (C100) and does use collective bargaining approaches to set wages. However, challenges remain in terms of ensuring that women and men are equally compensated.
- Worker and employer organizations lack a more comprehensive understanding of issues involved in wage negotiations, as informed by ILO Conventions C95, C98, C131, and C154.
- National minimum wage setting processes do not currently involve significant tripartite dialogue with worker and employer organizations, a fact that can reduce the economic and social effectiveness of such policies.

c. Social protection

- Uzbekistan's approach to social protection has reflected its soviet past and the challenges of transition. Universal health care and education have been maintained and the social service system has been improved in recent years, but the country lacks a coherent approach to ensuring minimum standards in all essential aspects of social protection, particularly income security.

⁷ The Ministry of Labour and Social Protection has two Labour Inspectorates: One that deals with the legal aspects of labour relations and another one focusing on OSH issues. Other agencies with enforcement responsibilities include the State Inspection on Safety in Industry, Mining and Housing and Utilities Sector and the Department of State Sanitary Epidemiological Supervision under the Ministry of Health.

- Extension of the social protection system to the entire population is limited, particularly in rural areas, due to a substantial number of workers engaged in economic activities in the informal economy.

A graphic representation of the relationship among these different issues is shown in the project's Problem Tree in Annex 1. For easier reading, it was divided into two parts.

SECTION II: THEORY OF CHANGE

The Decent Work Country Programme, signed in 2014, provided a framework for the project to design and implement its interventions on the prevention and elimination of child and forced labour in the agricultural sector (in cotton growing in particular). The project will expose the national tripartite constituents to the best international standards and good practices on reducing and combating child and forced labour, improving working conditions and effective labour market institutions. These changes will in turn contribute to generating decent work opportunities for adults and youth.

The project builds on the following DWCP elements:

- Improving the country's ability to meet international labour standards and practices which contribute to maintaining export markets and to economic development.
- Expanding Uzbekistan's ability to generate domestic employment and ensure that workers can access jobs.
- Improving working conditions and social protection.

In developing the DWCP, the ILO has conducted extensive research and analysis of the current economic and social situation, especially with regard to the population's access to decent work and the use of child labour and forced labour in the country. This research included both desk studies and consultations with national and international experts. To deepen the knowledge of the situation, and foster demand for action, the ILO held a number of consultations with constituents and stakeholders.

A. Results Framework

The project development objective is to support the prevention and reduction of child and forced labour and promote decent work objectives in Uzbekistan. To achieve this goal, the project will use a comprehensive and integrated approach. The goal is to be accomplished by taking actions in three key areas: (1) capacity building of tripartite constituents and legislative framework concerning fundamental principles and rights at work, especially in the area of child labour and forced labour; (2) strengthening the capacity of labour market institutions; and (3) improving social protection legislation and working conditions.

The theory of change describes a pathway towards the Project's development goal and identifies key interventions which will be performed within the project's timeframe to achieve the Project's goal. The stated goal will be achieved by working towards the following three intermediate objectives (IOs):

1. Capacity strengthened in Uzbekistan for the realization of fundamental principles and rights at work (FPRW);
2. Decent employment opportunities promoted: Institutional supports for decent employment opportunities enhanced; and

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

Table 1, below, presents the Project Results Framework and depicts the critical assumptions, intermediate and supporting objectives and corresponding outputs. The following narrative description provides a brief description of the key planned interventions leading to the realization of the intended results.

Table 1: Results Framework with Outputs

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

B. Narrative of the SIDWCP in Uzbekistan Project Theory of Change

Critical assumptions

In considering project design and implementation, it should be borne in mind that there are various factors outside project control, such as the willingness to act on advice, stakeholders' position on child labour and/or forced labour, and other issues. In particular, the country's social and economic stability and the political will, commitment and involvement of social partners towards implementation of the DWCP are key factors for the success of this project. In this regard, three critical assumptions were formulated:

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 labour and forced labour.
3. No major economic changes affecting the country's labour market occur throughout the life-cycle of the project.

Objectives: The achievement of the project goal to promote decent work and support the prevention and reduction of child labour and forced labour in Uzbekistan is to be achieved through the three intermediate objectives (IOs), outlined above. The underlying logic is that policy and legal reform will be made possible based on reliable data and exposure of ILO's tripartite constituents to international standards and good practice pertaining to the promotion of decent work principles, international social security standards, and the prevention of child labour and forced labour.

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

Supporting Objective (SO) 1.1 A national strategy to apply international and national labour standards designed and implemented

Activities under this SO aim to raise awareness on international labour standards among tripartite constituents and other decision makers, promote the ratification by Uzbekistan of ILO Conventions on Freedom of Association and Protection of the Right to Organize (C87), Tripartite consultation/ILS (C144), Labour Inspection (C81) and Labour Inspection – Agriculture (C129), as well as to harmonize the national legislation and policy framework with international labour standards (in particular with Conventions C87, C129 and C144).

Work conducted under this IO focuses on analyzing national legislation, policies and practices relevant to the realization of FPRW in Uzbek law and practice. For instance, legislative, policy and gaps in implementation capacity related to C81, C129 and C144 will be identified. Following the gap analysis, technical meetings with the labour inspectorate and the social partners will be organized to discuss the

role and functions of labour inspection. The outcome of these discussions will be a policy framework for labour inspection in line with C81 and C129.

Improvements to the legislative and policy frameworks governing labour inspection will go hand in hand with activities aimed at improving the legislative and policy frameworks governing child labour and forced labour. Specifically, based on the assessment(s) undertaken with project support, recommendations will be elaborated for harmonizing national legislation with international labour standards in the areas of child and forced labour, and in particular on further implementing ILO C138, C182 and C29.

A mapping of the existing national policy development framework (national sector strategies) will be carried out in order to support the “mainstreaming” of child labour and forced labour concerns into interventions in relevant social and economic sectors, policy agendas and operational plans of the relevant social partners and those linked to the United Nations (UN) Development Assistance Framework and other UN Programmes.

The Project will provide follow-up support and technical assistance to the Coordination Council on Child Labour as well as to line ministries (Ministry of Labour, Ministry of Education, Ministry of Health, Ministry of Agriculture, and Ministry of Justice), social partners, Farmers’ Council, Women’s Committee, and Mahalla leaders, on the implementation of Child Labour Monitoring (CLM) activities across the country.

ILO will provide a trainer of trainers (ToT) programme to local resource persons based on the ILO CLM Methodology applied in Uzbekistan in 2014. These resource persons will train the local monitors from all regions of the country on the worst forms of child labour throughout the year.

Child Labour Monitoring will include workplace monitoring, school-based monitoring and community-level monitoring. Specific attention will be given to conducting CLM in the cotton sector, especially during the cotton harvesting season.

In order to strengthen compliance with national laws, project activities will focus on improving the capacity of national inspection systems in all of their main functions (preventive, advisory and punitive). Specific trainings will be provided to labour inspectors and school inspectors (from the Ministry of Education) who will need to be equipped with a broad range of tools, including training materials and guidelines. In addition to the CLM Methodology, the handbook entitled “Combating child labour: A handbook for labour inspectors” will be used for the labour inspectors’ trainings regarding carrying out inspections, identifying violations of the law prohibiting child labour, assessing risks to which children are exposed, and conducting referral, verification and tracking.

Specific focus will be given to school monitoring through capacity building for school directors, teachers and school inspectors on the prevention and reintegration of working children. For this purpose, a school monitoring manual will be prepared.

Awareness raising activities will be carried out in order to empower target groups (i.e. policy makers, social partners, teachers, farmers, children, parents, Mahalla, etc.) with a firm knowledge on issues related to child labour and their role in the realization of FPRW, including the prevention and elimination of child labour. ILO will support a variety of awareness raising and advocacy activities, at both the national and district levels, promoting the elimination of child labour in line with ILO Conventions C138 and C182.

Specific activities will target building capacities and expertise in the Federation of Trade Unions of Uzbekistan (FTUU) and the Chamber of Commerce of Uzbekistan (CCIU) in order that these entities are able to fulfill their responsibilities to their members, to effectively support the realization of workers' rights and the elimination of child labour and forced labour, and to support the development of robust national frameworks for tripartite social dialogue on labour and employment issues. Currently, the FTUU and CCIU have insufficient skills and knowledge to effectively participate in collective bargaining processes, lack necessary skills for education and outreach of their members and need more awareness on international labour standards and their application.

The FTUU will be assisted in the development of an educational strategy and training programme based on the experience of the Labour Institute of Moldova. This activity will build on the previous work that the ILO has been conducting with FTUU where training programmes and curricula are already under development. Based on a profile developed during a strategic planning workshop, some 25 trainers will be identified from the nominations of FTUU affiliates. These trainers will then undergo an intensive ToT programme using the expertise of the ILO and of the Labour Institute of Moldova.

Regarding employers' organizations, the Project will provide training and technical advice to the CCIU in order to strengthen its ability to set up and improve relevant services for its members (for instance on labour law, industrial relations, OSH, etc.) to represent employers' needs and interests in social dialogue and to advocate for national policies that foster an enabling environment for sustainable enterprises (ESEE).

To support the CCIU in promoting the attractiveness of membership for Uzbek businesses and thus help CCIU become more representative, a comprehensive audit of the organization will be conducted, with particular focus on CCIU's role as an employers' organization. This will lead to the development of a strategic plan by the CCIU. The strategic plan will identify the specific steps needed to strengthen CCIU's organizational capacity, so that it may provide valuable services to member companies, including women employers, and represent the interest of national businesses in the national policy debate.

Work will be undertaken to increase capacities of the Uzbek constituents to better integrate gender equality issues in tripartite and bipartite social dialogue and to increase representation of women in national social dialogue institutions.

Key activities under the SO are listed below⁸:

- Translation and printing of texts of Conventions, Protocols and CEACR comments into Uzbek language;
- Delivering training and awareness raising workshops for constituents on the application of ILO Conventions and Protocols, addressing CEACR comments;
- Providing training and technical support to government, employers' and workers' organizations with the aim to facilitate the ratification of the Convention on Freedom of Association and Protection of the Right to Organize;
- Conducting tripartite technical assistance workshops, meetings and consultations related to the review of relevant laws, policies and practices to assess readiness for ratification of ILO Conventions (C144, 81,129) and the application of ratified conventions;
- Performing legal analysis of existing legislation; and
- Providing advisory services related to the ratification of ILO Conventions.

Supporting Objective 1.2 Stakeholders' capacity to implement the National Action Plan for the Application of Conventions C138 and C182 in Uzbekistan increased

The ILO will support the tripartite constituents in Uzbekistan to implement the National Action Plan for the application of Conventions C138 and C182 by providing assistance to: (1) identify and address legal and policy gaps in the areas of child labour, and (2) strengthen monitoring and enforcement mechanisms through capacity building and awareness raising. In this context, efforts will be undertaken in close collaboration with national and local government authorities, social partners and other stakeholders as appropriate.

Thus, key activities include:

- Conducting an assessment of laws and regulations on child labour-related issues to harmonize the existing legislative framework with ILS;
- Translating ILO materials on hazardous child labour;
- Translating and disseminating awareness raising materials;
- Holding an annual "No Child Labour" World Day event; and
- Shooting a public service announcement (PSA) (to be broadcast for the general public) on the prohibition of child labour and forced labour (linked to SO 1.3).

⁸ For full list of planned activities see Annex 3.

Supporting Objective 1.3 Stakeholders' capacity to address forced labour increased

Activities under this SO aim to build the capacity of tripartite constituents, and labour inspectors in particular, to identify and address cases of forced labour. To better understand the scale of forced labour use during the cotton harvest, the ILO has conducted a survey on recruitment practices and employment conditions during the 2014 and 2015 harvests. The survey results show the extent of coercive recruitment practices used while engaging people into cotton picking.

The capacity of employers and the business community to understand and respond to forced labour practices will be built through round tables and workshops as well as the adaptation of existing ILO materials for employers. As part of the capacity-building component, a study tour will be organized for high-level policy makers and technical staff from Uzbekistan to Brazil in order to glean knowledge from ILO experience.

Other key activities include:

- Conducting a survey on recruitment practices and working conditions in agriculture to identify the real risks of coercion of people who participate in the cotton harvest, and present survey results to the tripartite constituents;
- Piloting selected recommendations from the survey in a number of districts;
- Translating training materials on labour inspection and forced labour;
- Conducting training workshop for labour inspectors on identification of forced labour and reporting of cases;
- Developing and delivering ToT seminars on child and forced labour as part of the trade union education system (including capacity building of trade unions) in Tashkent and regions;
- Translation, adaptation and dissemination of ILO Employers Handbook on Forced Labour;
- Conducting an event with employers organizations on forced labour issues; and
- Conducting workshops with employers' organizations to promote Corporate Social Responsibility.

Supporting Objective 1.4 Social dialogue mechanisms to promote fundamental principles and rights at work (FPRW) improved

The strategy for this outcome encompasses both building the capacities and expertise of workers' and employers' organizations to fulfill their responsibilities to their members and effectively support the realization of fundamental principles and rights at work, including the elimination of child labour and

forced labour, as well as supporting the development of robust national frameworks for tripartite social dialogue on labour and employment issues.

Key activities include:

- Providing workshops and training of trainers for workers' education;
- Providing training on the representation of worker's interests and needs on issues such as labour relations, employment and wage policies;
- Holding workshops on the promotion of ILO Conventions C87 and C98;
- Facilitating the exchange of experiences and best practices for trade unions with neighboring countries' organizations;
- Adapting, translating and disseminating relevant materials for workers' and employers' organizations;
- Conducting trainings on collective bargaining negotiation for CCIU;
- Holding a joint exercise on the development of a sample collective bargaining agreement for FTUU and CCIU members;
- Conducting a training on Multinational Enterprise (MNE) Declaration for social partners at enterprise level (raising awareness on MNE declaration and training);
- Conducting internal and external audits of CCIU by an external expert, members, non-members and external partners;
- Conducting a Strengths, Weaknesses, Opportunities and Threats (SWOT) analysis of CCIU; and
- Developing and publishing support materials on OSH services and conducting training on OSH services for CCIU.

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

The former Ministry of Labour and Social Protection was restructured in February 2016 to become the Ministry of Labour, handing over its social protection function to the Ministry of Health. Taking into account that the establishment of the new operational structures will take time, the project currently does not envision achieving high level results under this intermediate objective (as compared to the initial version of the project document and CMEP).

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

Activities under this SO include supporting the creation of a framework to ensure the availability of freely chosen, full and productive employment for people who are looking for a job. The availability of jobs that provide sufficient livelihoods for workers and their families would thus reduce the risk for forced labour. Activities under SO 2.1 will include:

- A policy review of existing national plans, employment policies and strategies assessed against ILO guidelines and international good practice;
- Tripartite and expert round tables to share and validate the results of the policy review;
- Support to the participation of tripartite constituents in bi-annual Youth Employment (YE) peer review sessions of the sub-regional youth employment peer review network;
- Support the Uzbek tripartite constituents in the YE network to analyze the youth labour market and develop proposals for policies and strategies for youth employment that incorporate awareness of gender differences in the labour market and in programming requirements, in order to achieve greater equality; and
- Support the preparation of a self-assessment report by the Ministry of Labour, to be shared as part of the YE peer review process.

Supporting Objective 2.2 Capacity of the Public Employment Services (PES) and Private Employment Agencies (PrEA) to deliver services to employers and job seekers strengthened

The project will improve the capacity of employment service providers to deliver effective job matching services to job seekers and employers, supporting tripartite constituents to assess the needs of employment services as well as to identify the gaps in the capacities of service providers. Activities will include:

- Supporting tripartite constituents in assessing the capacities of the employment services to provide services to employers and job seekers, as compared with ILO standards and good practice;
- Developing recommendations and proposals for improving practices with an associated training plan; and
- Training Public Employment Services staff.

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

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

Forced labour victims are likely to endure living and working conditions that workers would never freely accept. Work may be performed under conditions that are degrading (humiliating, unsanitary, or hazardous [difficult or dangerous without adequate protective gear]), and in severe breach of labour law. Forced labourers may also be subjected to substandard living conditions, such as overcrowded and unhealthy conditions without any privacy.

Extremely poor working and living conditions alone do not prove the existence of forced labour. However, abusive conditions should represent an “alert” to the possible existence of coercion that prevents exploited workers from leaving the job. Unfortunately, people may sometimes “voluntarily” accept bad conditions because of the lack of any alternative jobs.

Building on the findings and recommendations of the 2008 ILO review of OSH in Uzbekistan, and considering the adoption of a new OSH act by the Parliament of Uzbekistan in 2016, the Project will work with the Government of Uzbekistan and constituents to develop a national OSH management system that reflects the current and future structure of Uzbekistan’s economy. This will include the provision of assistance in developing effective tripartite participation as well as centers of expertise on OSH matters. Activities aimed at improving working conditions through reducing occupational hazards and improving safety and health at workplace will focus on:

- Completing the technical review of OSH legislation, policies and previous (outdated) Country OSH profile;
- Preparing a technical report with recommendations for policy and legislative changes based on the technical review above;
- Completing an updated OSH profile and validating it with national stakeholders;
- Proposing draft laws and practice for institutional mechanisms responsible for enforcing OSH laws and regulations;
- Providing technical support for developing a new national OSH strategy on the basis of the programme;
- Delivering training to tripartite constituents so these are able to contribute to the development of the OSH Management system; and
- Delivering training to labour inspection management and labour inspectors on the OSH Management System.

Supporting Objective 3.2 Capacity of social partners to apply collective bargaining mechanisms and tripartite consultation principles in wage setting increased

Building the capacity and experience of employers and trade unions with regard to collective bargaining is part of a strategy to build their capacity as representative organizations and service providers to their members. The focus on wage setting will build experience and capacity in assessing current policies and legislation, develop the organizations' knowledge base and equip them to provide services and policy advocacy. On another hand, collectively-agreed working conditions would help reduce poverty and thus the risk of forced labour, enhancing social dialogue and ensuring industrial peace. Activities will include:

- Supporting a tripartite review of current wage setting mechanisms in the country, based on background research, and conducting a round table to present it to the constituents and discuss its findings;
- Developing training packages referencing relevant ILO Conventions, in particular on the Minimum Wage Fixing Convention C131 (1970);
- Adapting and translating relevant ILO materials;
- Training wage experts from the Government, employer and worker organizations; and
- Supporting the FTUU to develop a policy paper on wages.

Activities related to this strategic objective will not begin earlier than the 2nd quarter of 2016, as the hiring process of the wage specialist for ILO Moscow is not expected to be completed before this time.

Supporting Objective 3.3 Stakeholders' awareness of ILO instruments and approach on improving social protection increased

Social protection floors are nationally defined sets of basic social security guarantees which secure protection aimed at preventing or alleviating poverty, vulnerability and social exclusion. As a minimum, these guarantees should ensure that, over the life cycle, all those in need have access to essential health care and basic income security.

The mere fact that someone is in a vulnerable position (for example, by lacking alternative livelihood options or not knowing local laws) does not necessarily lead to forced labour or child labour. It is when an employer takes advantage of a worker's vulnerable position (e.g. by imposing excessive working hours, withholding wages or using children below the minimum age of employment threshold) that a forced labour or child labour situation may arise. Forced and child labour are also more likely in cases of multiple dependency on the employer, such as when the worker or child depends on the employer not only for his or her job but also for housing, food and for work for his or her relatives.

Taking into account the recent shift of responsibilities on social protection from the Ministry of Labour to the Ministry of Health, the Project decided to conduct activities to build a solid knowledge base on social protection among constituents, through:

- Adapting and translating key informational materials and guidelines regarding social protection;
- Developing training packages referencing relevant ILO standards (maternity protection, workers with family responsibilities, minimum standards on social security); and
- Conducting tripartite training and workshops on the concept of social protection for experts and other stakeholder representatives.

SECTION III: PERFORMANCE MONITORING PLAN

A. Purpose and Use

The performance monitoring plan (PMP) is a tool to support the process of monitoring, analyzing, reporting and evaluating progress towards achieving project objectives. It contains the indicators and their definitions and identifies the methods for data collection and its frequency, as well as the responsibilities for data collection and storage. The project's PMP shows the hierarchy of indicators from Project goal to output level indicators.

Below is the summary of indicators to be monitored within the framework of the project. A full PMP is presented in Annex 5.

B. Project Results and Indicators Table

Project Objective: <i>To support the prevention and reduction of child labour and forced labour and promote decent work in Uzbekistan</i>	Indicator C1 (country capacity): Legislation compliant with international standards on CL and FL adopted
Outputs by Supporting Objectives	Indicators
<i>IO 1 Capacity strengthened in Uzbekistan for the realization of fundamental principles and rights at work (FPRW)</i>	
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
Output 1.1.1 Awareness raising materials and publications of relevant ILO Conventions, protocols, and principles available in Uzbek language and disseminated to key stakeholders	OTP 1: # and type of materials (Conventions, Protocols, and Recommendations) on ILS translated in Uzbek language and disseminated to stakeholders.
Output 1.1.2 Technical advice and advocacy provided to decision makers and social partners to facilitate ratification of the Convention on Freedom of Association and Protection of the Right to Organize, 1948 (No. 87)	OTP 2: # and type of advisory service products delivered to tripartite constituents
Output 1.1.3 Reports 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 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 No. 138 and No. 182 in Uzbekistan increased	OTC 3: # of institutions/stakeholders that implement NAP activities according to plan.
Output 1.2.1 Relevant legislation and policies relating to child labour reviewed in order to harmonize them with ILS	OTP 4: # of laws and policies reviewed against relevant ILS
Output 1.2.2 Tripartite constituents and civil society representatives trained in national child labour 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.
Output 1.2.3 Awareness-raising materials on child labour issues developed and promotional events implemented	OTP 6: # of awareness raising materials on child labour in Uzbek language produced and disseminated. OTP 7: # of awareness raising events supported by the project

Outputs by Supporting Objectives	Indicators
SO 1.3 Stakeholders' capacity to address forced labour increased	OTC 4: Number of institutions/stakeholders that implement FL-related activities covered within the Government Activity Plan for Improving the labour conditions, employment and social protection of workers in the agricultural sector
Output 1.3.1 Survey on recruitment practices and working conditions (quantitative and qualitative) in agriculture conducted and results validated with key stakeholders	• OTP 8: Set of recommendations on recruitment practices submitted to constituents.
Output 1.3.2 Labour inspectors trained in forced labour identification and reporting	• OTP 9: # of labour inspectors trained on recognizing and addressing FL in cotton growing sector.
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 organization trained
Output 1.3.4 The CCIU made aware of the need to combat forced labour	• OTP 11: # of agriculture sector employers and their staff trained to prevent and combat forced labour.
SO 1.4 Social dialogue mechanisms to promote FPRW improved	OTC 5: An official document (e.g. government decree, ministerial order) approving the establishment, functions and operation of a tripartite dialogue mechanism is available.
Output 1.4.1 FTUU supported to improve its capacity on education and representation of workers	• OTP 12: # of FTUU representatives trained • OTP 13: % of ToT training participants with correct answers to the post-training assessment • OTP 14: # of trainees applying the adult training methodology
Output 1.4.2 Representatives from employers' and workers' organizations trained on negotiation skills and collective bargaining techniques	• OTP 15: # of representatives from employers' and workers' organization trained on negotiation skills and collective bargaining techniques
Output 1.4.3 Capacity of trade unions and employers' organizations to promote social dialogue in multinational enterprises enhanced	• OTP 16: # of trade union members trained on social dialogue in multinational enterprises

Outputs by Supporting Objectives	Indicators
Output 1.4.4 Capacity of Chamber of Commerce and Industry of Uzbekistan (CCIU) to expand its role as an employers' organization and develop services for its members strengthened	• OTP 17: CCIU strategic plan available • OTP 18: CCIU policy papers on priority areas available. • OTP 19: At least one new or improved service developed by the CCIU (including OSH).
Output 1.4.5 Technical support provided for establishing a functional tripartite social dialogue mechanism	• OTP 20: Assessment of the national social dialogue legislation and practices undertaken. • OTP 21: Recommendations for effective social dialogue disseminated to tripartite constituents.
<i>IO 2. Decent employment opportunities promoted: Institutional supports for decent employment opportunities enhanced</i>	
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
Output 2.1.1 Policy review to prepare a strategic policy document conducted	• OTP 22: Policy review document disseminated • OTP 23: Policy review report on existing youth employment incentives available
SO 2.2 Capacity of the PES and PrEA to deliver services to employers and job seekers strengthened	OTC 7: # of recommendations from project assessment implemented by PES or PrEA
Output 2.2.1 Tripartite constituents trained on implementation of recommendations of employment services assessment	• OTP 24: Number of staff of tripartite constituents trained on recommendations of employment services assessment
<i>IO 3. Improved working conditions and social protection: Strengthened law and policy on working conditions and social protection in Uzbekistan</i>	
SO 3.1 Effective occupational safety and health (OSH) management system developed	OTC 8: National OSH programme adopted by the Government of Uzbekistan
Output 3.1.1 National OSH Profile updated and disseminated	• OTP 25: Updated OSH profile available and disseminated to tripartite stakeholders
Output 3.1.2 Formulation of a draft National OSH programme and strategy completed and disseminated	• OTP 26: Draft National OSH Programme available and disseminated to tripartite constituents
Output 3.1.3 Tripartite constituents trained on implementation of the OSH management system	• OTP 27: # of tripartite constituents trained on implementation of the OSH management system

Outputs by Supporting Objectives	Indicators
SO 3.2 Capacity of social partners to apply collective bargaining mechanisms and tripartite consultation principles in wage setting increased	OTC 9: Training participants apply their knowledge in collective bargaining and/or tripartite consultations on wage setting (qualitative)
Output 3.2.1 A tripartite review of the current mechanisms of consultation on wages completed	• OTP 28: Report on review of mechanisms of consultation on wages available
Output 3.2.2 Introductory training on collective bargaining on wages provided to the tripartite constituents	• OTP 29: # of wage experts from Ministry of Labour, employers' and workers' organizations trained in collective bargaining on wage-related issues
Output 3.2.3 The general knowledge base on wages strengthened through dissemination of ILO materials and publications	• OTP 30: # of organizations representatives participating in ILO-supported awareness raising event related to wages
SO 3.3 Stakeholders' awareness of ILO instruments and approach on improving social protection increased	OTC 10: % of trainees completing the post-training questionnaire with a score over 85%
Output 3.3.1 Tripartite constituents' members trained on social protection-related issues and relevant ILO standards	• OTP 31: # of targeted constituents trained on social protection and relevant ILO standards
Output 3.3.2 The knowledge base on social protection strengthened through dissemination of ILO materials and publications	• OTP 32: # of organizations receiving ILO materials and publications on social protection

Project implementation depends to a certain extent on the environment in which it operates. Therefore, a number of contextual factors were identified for periodical monitoring and follow-up in order to adapt the project plans and activities, should changes in the operational environment require it, to ensure the effective implementation of the Project.

Table 2. Context-related factors and indicators to follow up

Factor	Description	Source	Reporting Frequency	Responsible person	Data Analysis/ Use
Economic and social situation in the country remains stable	Economic and social instability might potentially affect project implementation	Socio-economic reports from the government Media reports	Annually	M&E Officer, CTA	Determine whether economic and social situation can possibly affect the project implementation and achievement of intended results.
Government, including local administrations, adheres to ILO recommendations on use of forced labour and transfers this adherence to local administrations	Adherence might be only at the highest government level, whereas local administration(s) may continue to non-officially use forced labour in agriculture	Media reports NGO reports Tripartite constituents	Annually	M&E Officer, CTA	To determine if any awareness raising activities are needed at the local administrations level.
Uzbek tripartite constituents are receptive towards ILO's technical and legal advice regarding prevention and reduction of child labour and forced labour	Tripartite constituents being non-receptive in this case make the project efforts useless	Reports or other similar documents from constituents Media sources Information on legislative amendments, drafts, etc.	Annually	M&E Officer, CTA	To determine if any additional actions from project side are needed to ensure that the tripartite constituents are following ILO technical and legal advice. To determine if any further advice and technical support is required.

Factor	Description	Source	Reporting Frequency	Responsible person	Data Analysis/ Use
The structure and mandate of institutions dealing with labour relations remains stable	Any structural or mandate changes of institutions working on labour related issues may lead to delay or suspension of project activities	Tripartite constituent Official media sources (e.g. web-sites of relevant institutions)	Annually	CTA	To determine if any adjustment to the project activities in terms of timeline and (potentially) scope is needed, to identify new responsible contact persons for coordination of plans and activities.
Change of leadership of tripartite constituent organizations.	The change of leadership might result in a shift of organizations' priorities, delay in planned activities, and time for building new relationships.	Official media sources Information from constituents	Annually	CTA	To determine if any changes to project schedule and activities are needed.

C. Overview of Project Data Collection Instruments

The project data are to be collected by the Project Monitoring and Evaluation (M&E) Officer jointly with a contractor(s) responsible for conducting an Initial Situation Analysis and an assessment of capacity building needs. Below is a brief description of the specific tools the project will use. Please see the collection of tools in Annex 9 (attached as a separate file).

Diagram 1. Project database composition



Project data collection/aggregation tool – The project will develop a tool to aggregate the information obtained from the monitoring activities, which will include several “modules” such as: (1) An EXCEL sheet aggregating information on project outputs and outcomes, serving as a primary source for monitoring project performance and completing the required sections of the Technical Project Reports (TPRs) to USDOL on the Status of Project Performance Against Indicators (See Annex 8: Project Reporting Form); (2) A folder with electronic forms containing information pertaining to context, extended descriptions of activities related to project indicators, and other qualitative data; (3) A folder containing media reports on the project; (4) A folder with event reports; (5) Assessments and studies performed under the Project’s framework, including their terms of reference; and (6) Lists of translations and publications in PDF or other formats of those documents.

Pre- and post-training assessment forms – The questionnaires or assessment forms will be developed for major training interventions in order to assess change in knowledge (and skills where applicable) before and after training and to collect feedback on trainings or workshops.

Follow-up forms – Forms will be developed to track whether participants in previous trainings are utilizing the knowledge and skills they obtained. Follow up will be conducted during a period of 3 to 6 months after each of the trainings.

Event report forms – This will be a form specially developed for events conducted with project funding, to be filled by participants after each event. The form will track the number of participants at the event, the organizations they represent, a summary of the discussion held, follow-up issues and needed actions.

Attendance forms – The project will use these forms for all trainings, workshops and other events in order to keep track of who attended each activity, their gender and title/rank if deemed necessary, and what was accomplished by each activity. The attendance sheets will serve as a source of information for the project data collection tools. They will be kept both in hard and electronic copy.

Dissemination lists – The project will keep track of the recipients of various materials produced under the Project. To the extent possible the lists will include names, organization and contact information. As a minimum the lists will include the number of copies disseminated at the events or provided to organizations.

Media articles log – List of articles about project activities in the media sources.

Project materials log – List of materials developed, translated and published under the Projects' framework.

A Data Collection Table (DCT), outlining specific features of the above tools, is presented in Annex 6.

SECTION IV: EVALUATION PLAN

The project is subject to interim and final implementation evaluations both under ILO and USDOL requirements.

ILO requires that the project complete a number of evaluation requirements based on the total size and duration of the project. These requirements will be met through the evaluation and monitoring requirements of the donor, as follows:

- An initial monitoring and evaluation appraisal by ILO EVAL – This will be submitted in the form of the CMEP prepared with USDOL
- An independent interim evaluation
- An independent final evaluation

During the discussions between ILO and USDOL, it was agreed that the interim evaluation will be managed by the ILO and that an external final evaluation will be managed by USDOL. The dates of these evaluations will be determined through consultation between the agencies, and the terms of reference for the evaluations will be developed through a collaborative process.

The questions to be explored during interim and final evaluations were identified during the second CMEP development workshop, whilst the evaluation methodology (–ies) will be developed prior to each evaluation.

A. Interim Performance Evaluation

The interim evaluation will assess the performance of the project and the results achieved from the starting point until the time of the evaluation is conducted. It will primarily focus on the relevance, effectiveness and efficiency of the project interventions. The interim evaluation will assess if project performance needs improvements and will provide recommendations on the steps required to improve project's performance, as well as better identify the ways to move forward.

Potential interim evaluation questions:

Relevance

1. Do project objectives reflect national priorities?
2. How relevant is the project to the needs and interests of the tripartite constituents?
3. Have research methods, data and findings derived from the SIDWCP project served as input during the monitoring process of the cotton sector?

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. How effective has the project been in increasing the capacity of specific stakeholders? Which have been the main challenges and lessons so far?
6. Has the project been successful to incentivize tripartite constituents to improve working conditions in the cotton sector?
7. How effectively has the Project linked to the ILO's work under the World Bank-funded Project on 3rd party monitoring??
8. Has the project strategy been flexible enough to address changes in the country context?
9. After two years of implementation, has the project managed to achieve its intended results according to plan? Why (not)?
10. Is it likely that the project will achieve its objectives by EOP? If not, is any remedial action needed?
11. What is the constituents' level of understanding on the relevance of ILS for the development of a national legal and policy framework?

Efficiency

12. Have sufficient human and financial resources been allocated to project implementation?
13. Has the project's "burn rate" been appropriate?

B. External Final Evaluation

The external final implementation evaluation is to be managed by USDOL. It will cover issues related to effectiveness and sustainability. It will focus on project achievements regarding its stated outcomes, outputs and goal, reveal best practices, outline lessons learned and provide an assessment on the sustainability and scalability of project interventions.

Potential final evaluation questions to be explored would be as follows:

Effectiveness

1. To what extent did the activities produced the expected results at output and outcome levels?
2. In which ways has the project been instrumental to the implementation of the DWCP?

3. To what extent have ILS been integrated into the national programmes and policies?
4. Has child labour monitoring training been effective in addressing the risks of CL in the cotton sector?
5. Has labour inspector training been effective in addressing the risks of FL in the cotton sector?
6. What have been the technical and country-context related challenges to implementing project interventions, and particularly those related to CL and FL in the cotton sector?
7. What are the constituents' levels of understanding of how ratified conventions and relevant recommendations are contributing to the development of the national legal and policy framework?
8. Are there any unintended positive or negative effects as result of the project?

Sustainability

9. What mechanisms and/or practices were institutionalized as result of project implementation?
10. Are there any good practices identified? Can these be replicated in other sectors or areas?
11. Are there any activities able to be continued by constituents?
12. What are the prospects for further progress towards desired outcomes?

C. Special Studies

c.1 Initial situation analysis and assessment of capacity building needs

Since the time period for developing the CMEP was extended, the collection of initial data will be carried out in mid-2016. The purpose of the ***initial situation analysis and capacity building assessment*** is to provide a snapshot of the situation after a year of project implementation, which will allow for further tailoring the project activities and adjusting the targets if deemed necessary.

The study will be a combination of a situation analysis and a capacity-building assessment and will collect information in the following areas:

1. Child and forced labour:
 - a. Knowledge, perception and experience of key stakeholders in relation to the problems of forced and child labour;
 - b. Stakeholders' capacity to address the issue; and

- c. Required capacity building initiatives.
2. Employment: Brief overview of the framework regulating employment relations, employment promotion initiatives, including incentives for youth employment
3. Employment Services: Information on the services they provide, the most recent information on the number of employers and job seekers to whom services were provided, etc.
4. Occupational Safety and Health: Brief overview of OSH related legislation
5. Wages: Brief overview of wage setting mechanisms in the country and applied practices, regulatory framework
6. Social Protection: Brief overview of social protection, related legislative framework and its gaps, capacity building needs assessment.

The document should also contain the latest available statistical data, such as demographic data, labour market data, etc.

After a thorough discussion with the USDOL during the second CMEP workshop it was decided that the follow-up survey to the initial situation analysis will not be conducted at the end of the project, since too little time would separate the initial and follow-up analyses. Instead, an in-depth outcomes study on SO 1.3 (Stakeholders' capacity to address forced labour increased) will be conducted. It will provide an understanding of the results of the interventions under the outcome: application of recommendations of the recruitment practices in agriculture survey, change in recruitment practices, and capacity of stakeholders to identify and combat forced labour. The study will also inform the final evaluation.

All initial analysis and other survey work will be conducted by a contractor (individual or company) who will carry out the planning, data collection, and analysis under the guidance of the project M&E officer and with support from the ILO Moscow Evaluation Officer.

c.2 Recruitment practices and working conditions in agriculture in Uzbekistan⁹

Over the life of the project, two rounds of a survey will be conducted, each with a qualitative and quantitative component. The first round, including both the qualitative and quantitative stages, was conducted in the II-IV quarters of 2015.

The objectives of the survey were:

- To understand recruitment practices for agriculture, with special focus on cotton picking;
- To build a typology of recruitment practices with a focus on:

⁹ In 2015 and 2016, the Survey is funded under Output 1.3.1

- Risks of forced labour,
- Lack of an established employment relationship; and
- To recommend recruitment practices without risk of forced labour.

During the first step of the survey, a qualitative study was performed to identify typical recruitment practices in agriculture in Uzbekistan. The survey covered recruitment processes, working conditions, potential for and current mechanization, worker employment and income (including family members' involvement), worker access to social protection and employment services and other issues as required. The qualitative stage of the first survey was conducted in 2015, based on 2014 cotton harvest data.

The second step was a quantitative study covering workers and farmers, validating the findings of the first step, and assessing the share of identified types of recruitment among workers.

- Three provinces were selected for the survey, with different profiles in terms of cotton plantations:
 - Republic of Karakalpakstan, Ellikkala district;
 - Syrdarya province, Bayaut district; and
 - Fergana province, Bagdad district.
- For each region, the survey conducted:
 - 4 focus group discussions with cotton pickers and farmers;
 - 70 in-depth interviews with:
 - Farmers and subtenants,
 - Cotton pickers (permanent, seasonal, students, daily workers, children under 18), a majority of which were women,
 - Mahalla leaders, including Women Committees leaders,
 - Public sector representatives,
 - Private sector representatives,
 - Hokimiyat representatives, including Women Committees' leaders,
 - Employment Centres of the Ministry of Labour, and
 - Trade union representatives.

The second round of the quantitative survey was conducted in 2016, based on the 2015 cotton harvest data. The survey used the same sample of 3,500 households for obtaining the data using a similar questionnaire as in 2015. The results of both quantitative rounds were presented to the tripartite

constituents in August 2016, and the report on the survey results and its recommendations will be published in 2017.

SECTION V: IMPLEMENTATION AND MANAGEMENT OF CMEP

A. Roles and Responsibilities for Data Collection, Analysis and Reporting

a. Project M&E Officer

The project M&E Officer will have the primary responsibility for developing, planning and managing the implementation of the CMEP. The Officer will be in charge of developing an integrated monitoring system for the project which will be filled by data produced by the initial situation analysis/survey, regular project monitoring data and other relevant data. The Monitoring and Evaluation Officer is the primary responsible person for organizing regular data collection on project progress. S/he is responsible for seeking information needed to track project progress, from the Chief Technical Advisor (CTA), ILO Moscow, HQ Specialist and national stakeholders.

The M&E Officer is responsible for reporting on measurement against project objectives through the technical progress reports to be submitted to USDOL.

The M&E officer is responsible for developing terms of reference for the initial situation analysis and other required assessments when necessary. S/he is also responsible for contextual monitoring through periodically collecting media information and other available reports, filing the information collected and generating brief summary reports for the donor.

The M&E Officer will undertake project implementation monitoring missions when necessary, either alone, or accompanied by the CTA, or through monitoring missions organized from Moscow and/or Geneva.

b. Chief Technical Advisor

The CTA is primarily responsible for obtaining information and data from the tripartite constituents, in particular where it relates to information on national programmes, strategies, and work plans. The CTA is also responsible for crosschecking information from national stakeholders with other international agencies working on similar issues whenever it is possible.

c. ILO Moscow M&E Officer

The ILO Moscow M&E Officer will provide technical expertise and support to the Project M&E Officer when necessary.

d. The Contractor in charge of the initial situation analysis and assessment of capacity building needs

The Contractor will have the responsibility suggesting the methodology and organizing the data collection process in line with the terms of reference for the initial situation analysis, taking necessary actions to complete the survey and produce a report and a set of data with required information.

e. Project Assistant in Tashkent

The Project Assistant in Tashkent is responsible for preparing the event registration forms, making sure they are completed at the events, calculating the number of people attending events including breakdown by organization and gender of participants, and organizing lists for dissemination of ILO materials (publications, training materials, etc.). At the request of the M&E Officer, the Project Assistant might be responsible for minor data collection exercises, such as distributing and collecting any survey forms (assessment, self-assessment, etc.) forms trainings organized by the project or other events conducted by ILO.

f. Project Assistant in Moscow

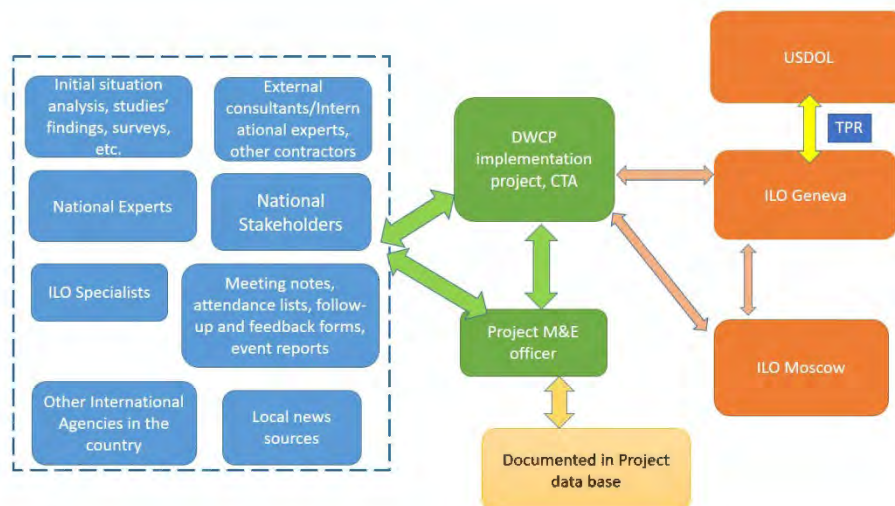
The Project Assistant in Moscow will be responsible for data verification with the ILO Moscow Specialist when necessary.

B. Management Information System

Data collected by the Project will come from a number of sources: (1) Initial situation analysis findings; (2) planned project surveys and assessments; (3) information obtained from external consultants; (4) information provided by national experts; (4) updates provided by tripartite constituents; (5) information from local news sources; (6) information obtained from other international agencies and donors working in the country; and (7) data from regular monitoring activities.

All of the Project's monitoring data is to be aggregated in a specifically developed EXCEL worksheet. Detailed data will be caught by tailored forms and hard copies of all forms and relevant documents will be stored separately. This information storage will serve as a project database. The M&E Officer will have the primary responsibility of filling in the database, making sure it is up-to-date and that all relevant supporting and background materials are available as needed. The following Diagram summarizes data flow within the project.

Diagram 2. Summary of the Project's data flow



C. Data Quality Assurance Procedures

For accountability, it is essential that the implementation-related data collected by the Project is accurate, valid (to ensure integrity and consistency), reliable (to allow comparison over time), timely, relevant and complete.

Quality control will be performed at various stages of data collection and processing, including:

- Data collection process: In a number of cases (such as filling lists of participants, compiling the distribution lists, filling in the questionnaires during the interview), a responsible official/interviewer will ensure that the sheets are complete to the fullest extent possible, thus ensuring the completeness of information.
- Data entry (digitization) process: Code lists for forms will be developed, variables will be labeled, and notes will be produced to accompany the data.
- Data check: Since the majority of data will be coming from relatively small groups, the data checking process will be carried out through manual procedures, such as verifying random samples of digital data against the original data, checking data completeness, adding value labels where missing, etc. This may also include contacting a random sample of participants of trainings/workshops (based on the attendance lists) in order to verify that they were really present at the events.

As the project will accumulate a relevant amount of data sourced from tripartite constituents and local media resources, there is a risk that this data might be biased, with information being “sugar coated” or presented in a more optimistic way than reality. The project will crosscheck some of this information with other international agencies working in Uzbekistan and projects running in similar areas. Other information may be verified to a certain extent against information coming from assessments and studies performed under the project.

The chart below summarizes the responsibilities of project staff in relation to data quality verification and assurance, as well as their key monitoring functions.

Table 3: Summary of Project Staff's Monitoring and Data Verification Responsibilities

Who	Monitoring/ Data Aggregation and Data Validation Functions	Data Quality Verification
CTA	• Cross check with other international agencies working in Uzbekistan about their perspective on information provided by the national constituents' data (e.g. UNICEF for CL-related activities, WB for child and forced labour-related activities and developments) • Keep track of government and constituents' approval documents, plans developed and similar documents	Crosscheck to be done whenever possible.
M&E Officer	• Required data collection • Data entry into database • Data consolidation • Preparation of relevant TPR sections • Preparation of data collection sheets • Development of required questionnaires (pre- and post-training questionnaires, feedback questionnaires, etc.) • Storing hard copies of filled forms • Ensuring there are contact details of participants for future data verification and collection of feedback when required	At the time of data collection: Verify that data is complete. After entering data – random check, 20%, against original data. Follow up of training participants – random sample, 10%, semi-annually.
Project Assistant in Tashkent	• Data collection and aggregation from training/workshops and similar activities • Data entry into database • Data verification • Collection of feedback (e.g. from participants to trainings) • Storing hard copies of participants lists, developed materials, other similar documents	At the time of data collection: verify that data is complete. Follow up of training participants – random sample, 10%, semi-annually.
Project Assistant in Moscow	• Verification of information/data with ILO Moscow Specialists • Maintain the list of the translated/printed materials	n/a

D. Reporting

Project Technical Progress Reports (TPRs) are prepared by the Project's Chief Technical Advisor. With support of the M&E Officer, he will ensure that the data provided in the reports is accurate, concise, complete and reliable. The TPR is to be signed by the CTA.

The Project will submit its Technical Progress Reports to USDOL through ILO's Geneva Headquarters on a semi-annual basis (by April 30 and by October 30 each year), as well as follow ILO internal reporting procedures and requirements. The TPR reports will provide a summary of the Project's progress toward the intended results.

The Project will be informing USDOL through ILO Headquarters of any major results, changes to project environment and other issues of high interest and importance that may arise between TPR release dates. USDOL will also hold quarterly phone calls with the Project team, and may also initiate ad hoc calls or emails with the Project team (inclusive of HQ backstop staff) to keep abreast of developments.

The M&E Officer is responsible for filling in the "Measurement against project objectives" section of the TPR, providing inputs to other sections of the report, compiling the file with media reports on project activities and with copies of printed and translated ILO materials.

E. Budget for M&E and Research Activities – FINAL FIGURES NEED ADDITIONAL DISCUSSION WITH USDOL

Below is the preliminary budget for monitoring and evaluation activities under the project.

Table 4: M&E and Research Budget

Budget Item	2016	2017	2018	Total
CMEP Development				
CMEP development workshop 1 (including workshop in Washington in August 2015)	38,000			38,000
CMEP development workshop 2	53,000			53,000
Baseline, Endline				
Initial situation analysis and assessment of capacity building needs	35,000			35,000
Outcome 1.3 based final study: Stakeholder's Capacity to Address Forced Labour is Increased			30,000	30,000
Evaluation				
Interim implementation evaluation		65,000		65,000
Final implementation evaluation			35,000	35,000
Regular monitoring activities	10,000	58,000	63,000	131,000

Budget Item	2016	2017	2018	Total
(including travel for monitoring, monitoring missions from Moscow and Geneva, contractor services for smaller tasks)				
Translation of relevant M&E documents into Uzbek/Russian	1,000	9,000	16,000	26,000
TOTAL (7,...% of the total project budget)	136,000	133,000	184,000	413,000

Budget Narrative

- **CMEP development:** This includes a meeting in Washington, DC in August 2015 for first draft CMEP development, 1st CMEP development workshop in Geneva in January 2016, and 2nd CMEP development and finalization workshop held in Geneva in September 2016.
- **Initial situation analysis and assessment of capacity building needs:** A contractor will be hired to perform the initial and data collection and analysis.
- **Assessments and studies:** Data collection on coercive recruitment practices in agriculture, in cotton specifically, (funded under output 1.3.3) and subject specific studies (e.g. OSH, wage setting system, etc.) or other analysis which may be required under separate outcomes (funded under relevant outcomes).
- **Evaluation:** According to ILO and USDOL requirements, the project is subject to interim and final evaluations. The interim evaluation will be managed by ILO, whilst the final external evaluation will be led by USDOL.
- **Monitoring:** Includes regular project monitoring related activities; in cases where additional support for data collection arise, a contractor will be hired to provide support to the project including minor printing of questionnaires if needed. Travel expenditures for monitoring missions are also included here.
- **Translation of relevant M&E documents into Uzbek/Russian:** Translation of an abbreviated CMEP into Uzbek or Russian will be required prior to the 2nd CMEP workshop. Translation of a summary of the initial situation analysis and capacity building needs assessment and follow up study will also be conducted, as well as translation of progress reports intended for broader audience (tripartite constituents, other stakeholders).

F. Timetable for Implementation of CMEP

Below is a tentative CMEP implementation timeline with major studies, assessments and evaluation activities identified.

Table 5: CMEP Implementation Timeline

	2015				2016				2017				2018				Responsible Person/Unit
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
I. Baseline data collection																	M&E Officer, Contractor, relevant specialists (providing technical inputs for SOW/TORs design, review)
<i>Initial situation analysis and assessment of capacity building needs</i>																	
<i>In-depth Outcome 1.3 (Stakeholders capacity to address forced labour increased) based research</i>																	
II. Regular Monitoring																	M&E Officer, Project Assistant, Contractor
<i>Regular data collection (figures, qualitative data, participants' and other lists, etc.)</i>																	
<i>Monitoring missions</i>																	
<i>Activity reports</i>																	
<i>Annual CMEP review/revision</i>																	Project team
III. Evaluation																	ILO EVAL, USDOL, Project team
<i>Independent interim evaluation</i>																	
<i>Independent final evaluation</i>																	

*The 2015-2016 Recruitment practices survey is funded under Output 1.3.1

G. Project Results Communication Strategy

In general, M&E communication is integrated into USDOL's broader communication strategy. Thus, SIDWCP project reports will include indicator tracking information and its analysis. Indicator tracking tables in M&E reports will be provided to government agencies employers' and workers' organizations, other international agencies working in the country and the public through the appropriate distribution channel and format for each audience.

Cumulative monitoring and evaluation information should serve to provide evidence leading to the formulation of good practices, as well as to generalizations based on experience that may become lessons learned. SIDWCP project staff will carry out annual reviews to disseminate information on the project.

H. Plan for Annual Review and Revisions to the CMEP

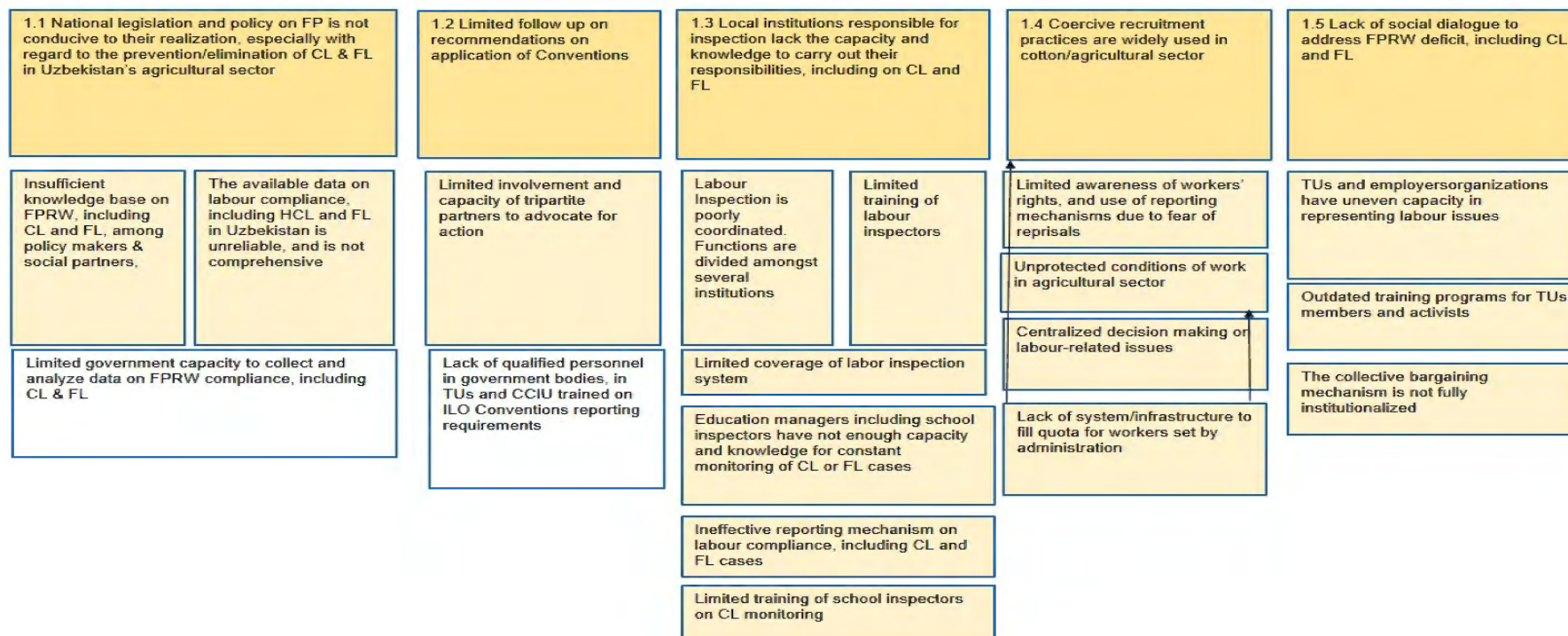
The project team will review the CMEP on an annual basis to decide if any amendments need to be introduced. To the extent possible, the project team will involve national stakeholders, ILO Moscow and HQ Specialists into the discussion and will seek inputs from them.

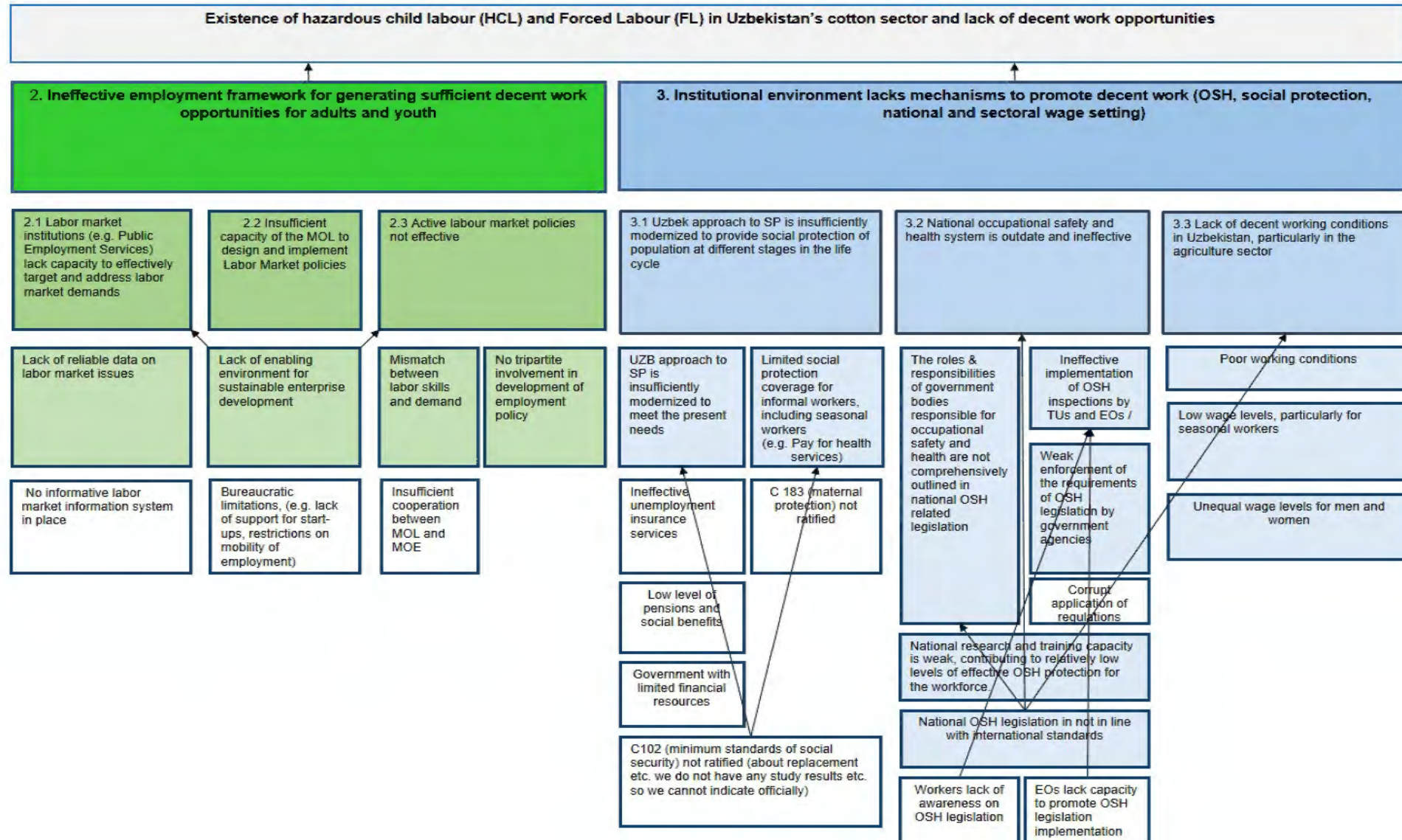
The Project will seek approval from USDOL before introducing and implementing any change to the CMEP that may entail changes to project strategy, objectives, indicators, targets, definitions, and responsibilities.

ANNEX 1: Problem Trees

Existence of hazardous child labour (HCL) and Forced Labour (FL) in Uzbekistan's cotton sector and lack of decent work opportunities

1. Limited capacity in Uzbekistan for the realization of FPRW, including regarding the prevention and elimination of CL and FL





ANNEX 2: Results Framework with Indicators

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

ANNEX 3: Activities Mapping

Outputs by Supporting Objectives	Key Activities
<i>IO 1 Capacity strengthened in Uzbekistan for the realization of fundamental principles and rights at work (FPRW)</i>	
SO 1.1 A national strategy to apply international and national labour standards designed and implemented	
Output 1.1.1 Awareness raising materials and publications of relevant ILO Conventions, protocols, and principles available in Uzbek language and disseminated to key stakeholders	• Translation and printing of texts of Conventions, Protocols and CEACR comments into Uzbek language • Delivering training and awareness raising workshops for constituents
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)	• Training workshop for employer organizations • Training workshop for workers organizations • Technical support to government, employer and worker organizations
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	• Tripartite technical assistance workshops • Tripartite meetings and consultations • Legal analysis consultancy services • Legal analysis of existing legislation • Round table discussions and training workshops • Advisory services
SO 1.2 Stakeholders' capacity to implement the National Action Plan for the Application of Conventions No. 138 and No.182 in Uzbekistan increased	
Output 1.2.1 Relevant legislation and policies relating to child labour reviewed in order to harmonize them with ILS	• Assess laws and regulations on CL issues in order to harmonize them with ILS (joint one with activity under output 1.1.3) • Translation of ILO Handbook on Hazardous Child Labour • Shoot a public advertisement of prohibition of child and/or forced labour (linked to SO1.3) as part of awareness raising activities
Output 1.2.2 Tripartite constituents and civil society representatives trained in national child labour monitoring	• Develop training materials on CLM • Deliver training workshops to constituents on CLM • Engage constituents into CL training courses in Turin and regional CL training in Kyrgyzstan • Develop and deliver specialized training for labour and school inspectors (linked with training of labour inspectors under Output 1.3.2)

Outputs by Supporting Objectives	Key Activities
Output 1.2.3 Awareness-raising materials on child labour issues developed and promotional events implemented	• Translation and printing of promotional materials on CL • Hold annual “No Child Labour” World Day event. • Child labour awareness materials included in awareness raising activities under 1.3.4
SO 1.3 Stakeholders’ capacity to address forced labour increased	
Output 1.3.1 Survey on recruitment practices and working conditions (quantitative and qualitative) in agriculture conducted and results validated with key stakeholders	• Conduct technical consulting services on survey design and analysis • Conduct survey on recruitment practices • Conduct workshop to present results to the tripartite constituents • Develop a set of recommendation on eliminating coercive recruitment practices and present these to the tripartite constituents • Pilot selected recommendations in a number of districts
Output 1.3.2 Labour inspectors trained in forced labour identification and reporting	• Translate training materials on labour inspection and forced labour • Conduct training workshop with labour inspectors
Output 1.3.3 Government agencies, social partners and civil society organizations trained on the need to combat FL	• Translate and adapt ILO materials on forced labour (forced labour conventions, including the new 2014 Protocol and Recommendation) • International study tour on recruitment practices in agriculture sector (child labour, forced labour) • Seminars on child and forced labour for stakeholders • ToT on TU education system developed and delivered (linked to capacity building trainings for TUs) in Tashkent for regional TU representatives and in a number of regions
Output 1.3.4 The CCIU made aware of the need to combat forced labour (linked to SO 1.4 below)	• Translate, adapt and disseminate ILO Employers Handbook on Forced Labour • Conduct one round table with CCIU on forced labour issues. • Conduct workshops with CCIU to support to support employers in Corporate Social Responsibility
SO 1.4 Social dialogue mechanisms to promote FPRW improved	
Output 1.4.1 FTUU supported to improve capacity on education and representation of workers	• Consulting services on workers’ education policies and programmes • Workshops and training of trainers in workers’ education • Seminars for key federation and union officials on workers’ perspectives on issues including labour relations, employment and wage policies

Outputs by Supporting Objectives	Key Activities
	• Technical advice on development of policy positions on key issues. • Regional workshops with the FTUU on the promotion of ILO Conventions 87 (Freedom of Association) and 98 (Right to organize and collective bargaining) carried out with the participation of the ITUC • Exchange of experiences and best practices with neighboring country trade unions
Output 1.4.2 Representatives from employers' and workers' organizations trained on negotiation skills and collective bargaining techniques	• Adaptation and translation of materials for FTUU • Conduct trainings of negotiators at branch and company/enterprise levels • Conduct trainings on general aspects of negotiation skills and collective bargaining negotiation and industrial relation for CCIU members • Conduct training on wage setting mechanisms for CCIU • Publication of supporting training materials for CCIU • Joint exercise on development of collective bargaining agreement sample
Output 1.4.3 Capacity of trade unions and employers organizations to promote social dialogue in multinational enterprises enhanced	• Translation of ILO MNE declaration into Uzbek • Translation of ACTRAV manual on MNE declaration into Uzbek • Conduct training on MNE Declaration for social partners at enterprise level (raising awareness on MNE declaration and training)
Output 1.4.4 Capacity of Chamber of Commerce and Industry of Uzbekistan (CCIU) to expand its role as an employers' organization and develop services for its members strengthened	• Internal audit of CCIU by external expert • External audits by members/non-members/external partners (TUs, media, government) • SWOT analysis • Strategic planning workshop and technical assistance by an external expert • Conduct training on OSH services • Development and publication of support materials on OSH services • Conduct research in specific policy areas • Development and publication of position papers on selected issues • Dissemination workshop on specific policy position papers

Outputs by Supporting Objectives	Key Activities
Output 1.4.5 Technical support provided for establishing a functional tripartite social dialogue mechanism	• Consultations, review and assessment of the national social dialogue related legislation, report preparation • Workshop to present findings • National roundtable and seminars • Technical support to draft recommendations • Conduct bipartite seminars for social partners to build capacity for participation • Conduct training workshops for each social partner • Provide advisory services • Tripartite study tour training to one of new European Union countries on social partnership and collective bargaining experience
<i>IO 2. Decent employment opportunities promoted: Institutional supports for decent employment opportunities enhanced</i>	
SO 2.1 A knowledge base on the national employment framework with focus on youth employment established	
Output 2.1.1 Policy review to prepare a strategic policy document conducted	• Development of the TOR for preparing a policy review • Selection of a consultant to work in line with the TOR • Technical consultations with constituents on the draft review • ILO comments on the draft policy review (technical expertise on the draft) • A policy review of existing national plans, employment policies and strategies assessed against ILO guidelines and international good practice. • Tripartite and expert round tables to share and validate the results of the policy review. • Support to the participation of tripartite constituents in bi-annual YE peer review sessions of the sub-regional youth employment peer review network. • Support to the Uzbek tripartite constituents in the YE network to analyze the youth labour market and develop proposals for policies and strategies for youth employment that incorporate an awareness of gender differences in the labour market and in programming requirements to achieve greater equality. • Support the preparation of a self-assessment report by the Ministry of Labour to be shared as part of the YE peer review process

Outputs by Supporting Objectives	Key Activities
SO 2.2 Capacity of PES and PrEA to deliver services to employers and job seekers strengthened	
Output 2.2.1 Tripartite constituents trained on implementation of recommendations of employment services assessment	• Technical assessment of employment service providers capacity to collect, analyze and disseminate LMI, with ILO support • Sharing best international practices on collecting, analyzing and disseminating LMI technical meetings with tripartite constituents to develop recommendations for employment services providers' capacity building • Developing recommendations and proposals for improving practices with an associated training plan • Provision of training to tripartite constituents on recommendations of employment services assessment
<i>IO 3 Improved working conditions and social protection: Strengthened law and policy on working conditions and social protection in Uzbekistan</i>	
SO 3.1 Effective occupational safety and health (OSH) management system developed	
Output 3.1.1 National OSH Profile updated and disseminated	• Complete technical review of OSH legislation, policies and previous OSH profile • Hold bilateral consultation meetings with tripartite partners • Prepare technical report with recommendations for policy and legislative changes. • Provide technical assistance and advisory services for legislative and policy changes • Tripartite workshop to validate OSH profile

Outputs by Supporting Objectives	Key Activities
Output 3.1.2 Formulation of a draft National OSH programme and strategy completed and disseminated	• Convene tripartite round table for analysis of national OSH profile and design of national OSH programme, strategy and action plan • Provide technical advice and information on best practices • Develop proposed laws and practice models for institutional mechanisms responsible for enforcing OSH laws and regulations • Provide technical advisory services for implementation of the National OSH programme • Support development of new national OSH strategy on the basis of the OSH programme • Provide technical advisory services to the research center responsible for OSH • Deliver training workshops to the research center on required topics • Provide technical advice on service and content.
Output 3.1.3 Tripartite constituents trained on implementation of the OSH management system	• Deliver training to tripartite constituents to contribute to the development of an OSH Management system • Deliver technical assistance to tripartite constituents on implementing the OSH Management System at national, sectoral and enterprise level • Deliver training to labour inspection management and labour inspectors on the OSH Management System
SO 3.2 Capacity of social partners to apply collective bargaining mechanisms and tripartite consultation principles in wage setting increased	
Output 3.2.1 A tripartite review of the current mechanisms of consultation on wages completed	• Prepare analysis on wage consultation mechanisms. • Conduct a discussion on the technical analysis report and disseminate it
Output 3.2.2 Introductory training on collective bargaining on wages provided to the tripartite constituents	• Develop training packages referencing relevant Conventions, and particularly on the Minimum Wage Fixing Convention 1970 (No. 131) • Deliver a training to national wage experts from the Ministry of Labour, employers' and workers' organizations

Outputs by Supporting Objectives	Key Activities
Output 3.2.3 The general knowledge base on wages strengthened through dissemination of ILO materials and publications	• Adapt and translate relevant ILO materials. • Convene knowledge sharing and dissemination workshops • Conduct follow up review to assess impact and utilization of materials • Technical support and consulting services • Technical workshop
SO 3.3 Stakeholders' awareness of ILO instruments and approaches on improving social protection increased	
Output 3.3.1 Tripartite constituents' members trained on social protection-related issues and relevant ILO standards	• Training packages to tripartite constituents on Maternity Protection (C183) and on Workers with Family Responsibilities (C156) adapted and delivered • Training packages referencing relevant ILO standards (C102 and R202) developed • Training national social protection experts from the Ministry of Labour, employers' and workers' organizations
Output 3.3.2 The knowledge base on social protection strengthened through dissemination of ILO materials and publications	• Identify, adapt and translate relevant ILO materials and publications. • Convene knowledge sharing and dissemination workshops • Conduct follow up review to assess utilization of materials

ANNEX 4: Key Definitions

Uzbekistan ratified the Forced Labour Convention, 1930 (No. 29) in 1992; the Abolition of Forced Labour Convention, 1957 (No.105), in 1997; the Worst Forms of Child Labour Convention, 1999 (No. 182), in 2008; and the Minimum Age Convention, 1973 (No. 138), in 2009. The Government approved the National Action Plan for the application of the Conventions Nos. 138 and 182 in September 2008.

A. National Definitions of Child Labour and Forced Labour

a.1 National definition of forced labour

In the national legislation a definition of forced labour is provided in the Labour Code¹⁰ of 1996, last amended on 20 August 2015. Article 7 of the Code is entitled “Prohibition of Forced Labour” and says that forced labour, *i.e. forcing people to performing work under threat of any punishment (including as means of supporting labour discipline)* is prohibited.

Performance of works demanded based on legislative acts on military or alternative service¹¹; in state of emergency conditions¹²; resulting from a court decision in force¹³, and in some other cases defined by the Administrative Responsibility Code of the Republic of Uzbekistan (article 346, parts 4-6) are not considered to be forced labour by law.

a.2 National definitions of child labour and hazardous child labour

Child Labour

The definition of child is provided in the Law on Child Rights Guarantees: A person before reaching the age of 18 years old (full age)¹⁴.

The age of entering into labour relations is regulated primarily by the Labour Code of the Republic of Uzbekistan. The ***minimum age of admission to employment is 16 years old*** (Article 77 of the Labour Code). At the same time it is said that it is allowed to accept children for easy work which does not hamper their physical or moral development, does not disrupt their education process and is performed in time free of educational activities starting with the age of 15 years old with a written permission of one of the parents or a person replacing parents.

Article 241 of the Labour Code is prohibiting engagement of persons below 18 years old of age to works with unfavorable conditions, underground works or works that can cause harm to health, safety or morals of this group of workers.

It is also important to mention that the Provisions also regulate the use of child labour in family business. In particular the documents sets the age of engaging into work as 15 years old, and states that the work in family business should not be an obstacle for compulsory education (12 years of education: school, professional college or lyceum).

¹⁰ http://www.lex.uz/pages/getpage.aspx?lact_id=145261

¹¹ Law of the Republic of Uzbekistan “On universal military duty and military service” of 2002, last amended on 22 December 2009

¹² Law of the Republic of Uzbekistan “On protection of population and territories from emergency situations of natural and technogenic character” of 1999, last amended on 20 January 2014

¹³ Criminal Code of the Republic of Uzbekistan

¹⁴ Law on Child Rights Guarantees, adopted on 1 December 2007, last amendment in 2009

National Hazardous Child Labour (HCL) list

The List of labour activities under unfavorable working conditions on which it is prohibited to use the labour of persons below 18 years old (Hazardous child labour list) is elaborated by the Ministry of Labour and Social Protection of Population (former, as 22 February 2016 – Ministry of Labour), Ministry of Health, Council of the Federation of Trade Unions of the Republic of Uzbekistan and representatives of employers' organizations. The latest amendments to the existing Hazardous child labour list were approved on 26 June 2009. Currently the list is being revised by national constituents and there is no information of the progress or status of the revision.

Another document that prohibits the use of child labour is the Provision by the Ministry of Labour and Social Protection of Population and the Ministry of Health "On requirements for prevention of use of child labour" of 15 January 2010. The document states that under aged (below 18 years old) persons should not be involved into following works:

- Performed under ground, under water, at dangerous height or in closed space;
- With use of dangerous mechanisms, equipment and instruments;
- In hazardous conditions, when the under aged person can be affected by hazardous substances or processes, temperatures, high noise or vibration, which can cause harm to his/hers health;
- Performed in especially hard conditions (related to length of work time, night shifts, etc.);
- Which can hamper the morals of under aged persons;
- Related to lifting and moving heavy weights, exceeding the norms.

Both the Labour Code and the above Provisions state that the work time for children 16-18 years old should not exceed 36 hours per week, and 24 hours a week for persons 14-16 years old.

In 2008 the Government of Uzbekistan adopted a Cabinet of Ministers Decree "On measures on the implementation of the Convention on minimum age for admission to employment and work and on the Convention on the Worst Forms of Child Labour, ratified by Uzbekistan"¹⁵. The Decree approved the National action plan on implementation of ILO Conventions and gave the Ministry of Labour and Social Protection of Population a coordination role in the implementation process.

The country has a national HCL list, which needs revision, but which states "manual cotton picking" as prohibited for persons below age of 18.

Table 1. National and ILO definitions summary

National definitions	ILO	Comments
Forced labour		
Prohibited to force people to perform work under menace of any punishment, including as means of labour discipline support (Labour Code) Every person has right for labour, for free choice of work... Forced labour is prohibited except by court decision or other cases stipulated by law. (Article 37 of the	All work or service which is exacted from any person under the menace of any penalty and for which the said person has not offered himself voluntarily (C 29).	In national legislation there is no description of indicators or indication of forced labour as compared to C29.

¹⁵ The Decree of Cabinet of Ministers of 12 September 2008 No 207

National definitions	ILO	Comments
Constitution of the Republic of Uzbekistan).		
Child		
Child – person below 18 years old (Child Rights Guarantees Law)	Child – person below 18 years (C138)	No difference
Minimum age of admission to work		
16 years old (Labour code) The national legislation allows for admission of children for easy work which does not hamper their physical or moral development, does not disrupt their education process and is performed in time free of educational activities starting with the age of 15 years old with a written permission of one of the parents or a person replacing parents.	The minimum age for work should not be below the age for finishing compulsory schooling, and in any case not less than 15 years. Children between the ages of 13 and 15 years old may do light work, as long as it does not threaten their health and safety, or hinder their education or vocational orientation and training.	The national legislation does not allow for persons below 15 years old to work.
Use of child labour prohibited in the following cases		
Types of work, prohibited for persons below 18 years old • Performed under ground, under water, at dangerous height or in closed space; • With use of dangerous mechanisms, equipment and instruments; • In hazardous conditions, when the under aged person can be affected by hazardous substances or processes, temperatures, high noise or vibration, which can cause harm to his/hers health; • Performed in especially hard conditions (related to length of work time, night shifts, etc.); • Which can hamper the morals of under aged persons; • Related to lifting and moving heavy weights, exceeding the norms.	Prohibition of use of child labour shall be applicable as a minimum to the following: mining and quarrying; manufacturing; construction; electricity, gas and water; sanitary services; transport, storage and communication; and plantations and other agricultural undertakings mainly producing for commercial purposes (C138).	The national hazardous child labour list provides occupations where the use of labour of children is prohibited.
Hazardous work		
Types of work, prohibited for persons below 18 years old • Performed under ground, under water, at dangerous height or in closed space; • With use of dangerous mechanisms, equipment and instruments; • In hazardous conditions, when the under aged person can be affected by hazardous substances or	Labour that jeopardizes the physical, mental or moral well-being of a child, either because of its nature or because of the conditions in which it is carried out	Work in cotton picking for persons under 18 years old is prohibited, as cotton picking is indicated as hazardous work in the national HCL.

National definitions	ILO	Comments
processes, temperatures, high noise or vibration, which can cause harm to his/hers health; • Performed in especially hard conditions (related to length of work time, night shifts, etc.); • Which can hamper the morals of under-age persons; • Related to lifting and moving heavy weights, exceeding the norms.		
Worst forms of child labour		
No national definition, use the C182 definition.	(a) all forms of slavery or practices similar to slavery, such as the sale and trafficking of children, debt bondage and serfdom and forced or compulsory labour, including forced or compulsory recruitment of children for use in armed conflict; (b) the use, procuring or offering of a child for prostitution, for the production of pornography or for pornographic performances; (c) the use, procuring or offering of a child for illicit activities, in particular for the production and trafficking of drugs as defined in the relevant international treaties; (d) work which, by its nature or the circumstances in which it is carried out, is likely to harm the health, safety or morals of children.	

B. Project Definitions of Child Labour and Forced Labour

b1. Forced labour

Forced labour - All work or service which is exacted from any person under the menace of any penalty and for which the said person has not offered himself voluntarily”; and in the context of the Project, CMEP, coercive labour demanded by an order, under the threat of a direct and relative punishment; for example, under the threat of losing employment and/or income (definition also used in the Recruitment practices survey).

Exceptions to forced labour - are provided for work required by compulsory military service, normal civic obligations, as a consequence of a conviction in a court of law (provided that the work or service in question is carried out under the supervision and control of a public authority and that the person carrying it out is not hired to or placed at the disposal of private individuals, companies or associations), in cases

of emergency, and for minor communal services performed by the members of a community in the direct interest of the community.

Forced labour of adults - as work for which a person has not offered him or herself voluntarily and which is performed under the menace of any penalty applied by an employer or a third party to the worker. The coercion may take place during the worker's recruitment process to force him or her to accept the job or, once the person is working, to force him/her to do tasks which were not part of what was agreed at the time of recruitment or to prevent him/her from leaving the job (Hard to See, Harder to Count, Survey guidelines to estimate forced labour of adults and children).

Indicators of unfree recruitment of adults¹⁶:

Indicators of involuntariness:

- Tradition, birth (birth/descent into "slave" or bonded status)
- Coercive recruitment (abduction, confinement during the recruitment process)
- Sale of the worker
- Recruitment linked to debt (advance or loan)
- Deception about the nature of work
- Deceptive recruitment (regarding working conditions, content or legality of employment contract, housing and living conditions, legal documentation or acquisition of legal migrant status, job location or employer, wages/earnings)
- Deceptive recruitment through promise of marriage

Indicators of penalty (or menace of penalty):

- Denunciation to authorities
- Confiscation of identity papers or travel documents
- Sexual violence
- Physical violence
- Other forms of punishment
- Removal of rights or privileges (including promotion)
- Religious retribution
- Withholding of assets (cash or other)
- Threats against family members
- Exclusion from future employment
- Exclusion from community and social life
- Financial penalties
- Informing family, community or public about worker's current situation (blackmail)

Indicators of work and life under duress for adults:

Indicators of involuntariness

- Forced overtime (beyond legal limits)
- Forced to work on call (day and night)
- Limited freedom of movement and communication
- Degrading living conditions
- Forced engagement in illicit activities
- Forced to work for employer's private home or family

¹⁶ "All indicators Hard to See, Harder to Count, Survey guidelines to estimate forced labour of adults and children"

- Induced addiction to illegal substances
- Induced or inflated indebtedness (by falsification of accounts, inflated prices for goods/services purchased, reduced value of goods/services produced, excessive interest rate on loans, etc.)
- Multiple dependency on employer (jobs for relatives, housing, etc.)
- Pre-existence of a dependency relationship with employer
- Being under the influence of employer or people related to employer for non-work life

Indicators of penalty (or menace of penalty):

- Denunciation to authorities
- Confiscation of identity papers or travel documents
- Confiscation of mobile phones
- Further deterioration in working conditions
- Isolation
- Locked in workplace or living quarters
- Sexual violence
- Physical violence
- Other forms of punishment (deprivation of food, water, sleep, etc.)
- Violence against worker in front of other workers
- Removal of rights or privileges (including promotion)
- Religious retribution
- Constant surveillance
- Withholding of assets (cash or other)
- Withholding of wages
- Threats against family members
- Dismissal
- Exclusion from future employment
- Exclusion from community and social life
- Extra work for breaching labour discipline
- Financial penalties
- Informing family, community or public about worker's current situation (blackmail)

Indicators of impossibility of leaving employer for adults:

Indicators of involuntariness

- Reduced freedom to terminate labour contract after training or other benefit paid by employer
- No freedom to resign in accordance with legal requirements
- Forced to stay longer than agreed while waiting for wages due
- Forced to work for indeterminate period in order to repay outstanding debt or wage advance

Indicators of penalty (or menace of penalty)

- Denunciation to authorities
- Confiscation of identity papers or travel documents
- Imposition of worse working conditions
- Locked in work or living quarters
- Sexual violence
- Physical violence
- Other forms of punishment (deprivation of food, water, sleep, etc.)
- Removal of rights or benefits (including promotion)

- Religious retribution
- Under constant surveillance
- Violence imposed on other workers in front of all workers
- Withholding of assets (cash or other)
- Withholding of wages
- Threats against family members (violence or loss of land or jobs)
- Dismissal
- Exclusion from future employment
- Exclusion from community and social life
- Extra work for breaching labour discipline
- Financial penalties
- Informing family, community or public about worker's current situation (blackmail)

b2. Child labour

The term “*child*” applies to all persons under the age of 18

Minimum age of admission to employment – 15 years old. (ILO C138).

Child labour - work that deprives children of their childhood, their potential and their dignity, and that is harmful to physical and mental development:

- by depriving them of the opportunity to attend school;
- by obliging them to leave school prematurely; or

By requiring them to attempt to combine school attendance with excessively long and heavy work.

Hazardous work - labour that jeopardizes the physical, mental or moral well-being of a child, either because of its nature or because of the conditions in which it is carried out.

Worst forms of child labour (C182):

- (a) all forms of slavery or practices similar to slavery, such as the sale and trafficking of children, debt bondage and serfdom and forced or compulsory labour, including forced or compulsory recruitment of children for use in armed conflict;
- (b) the use, procuring or offering of a child for prostitution, for the production of pornography or for pornographic performances;
- (c) the use, procuring or offering of a child for illicit activities, in particular for the production and trafficking of drugs as defined in the relevant international treaties;
- (d) work which, by its nature or the circumstances in which it is carried out, is likely to harm the health, safety or morals of children.

Working child – child aged 5-17 years engaged in economic activity for more than 1 hour per week.'

ANNEX 5: Performance Monitoring Plan (PMP)

Indicator	Indicator Definition and Unit of Measurement	Data Source	Reporting Frequency	Responsible Person	Data Analysis/Use
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	<u>Unit:</u> 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	Once over life of the project	M&E, CTA	To determine the project's success in reaching its objective
<i>IO 1. Capacity strengthened in Uzbekistan for the realization of fundamental principles and rights at work</i>					
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)	<u>Unit:</u> Hazardous child labour list Government of Uzbekistan adopts HCL list as part of the NAP	Hazardous child labour list Reports	Once over life of the project	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, and/or 81.	<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, 183, 129 and/or 81 A list of decision documents to accompany TPR (qualitative OTC indicator)	Produced reports and/or proposals on ratification of Conventions Constituents' reports Media reports Meeting notes	Twice: Q4 2017 and Q4 2018	M&E officer, CTA	To determine the project success in promoting the ratification of ILO Conventions
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,	<u>Unit:</u> document An output is a list of all materials on child labour		Semi-annual from 4Q 2017 to 2Q 2018	Project assistant in Tashkent	To determine the scope of information provided to the

Indicator	Indicator Definition and Unit of Measurement	Data Source	Reporting Frequency	Responsible Person	Data Analysis/Use
Recommendations) on ILS translated to Uzbek language and disseminated to stakeholders	related issues which were produced, translated, adapted or published using projects' funding. Type of materials: - Leaflets - Translation of Conventions and Recommendations - Brochures - Posters			and Moscow	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: - Written assessments - Consultations - Technical advise - Seminars or presentations at the seminars on FoA A tracking table of type of services will be developed and included as part of the TPR	Project records Programmes of events Presentations	Twice: 4Q 2015 and 2Q 2017	M&E Officer, CTA	To determine the success of the project in relation to ratification of Convention No 87.
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 Conventions 144, 81, 129, and application of C	<u>Unit:</u> Report Report reviewing the national legislative framework against requirements of Tripartite Consultation (International Labour Standards) Convention, 1976 (No. 144), the Labour Inspection Convention, 1947 (No. 81), and the Labour Inspection (Agriculture) Convention, 1969 (No. 129), and reinforce the	Review report Project reports	Once over life of project	M&E Officer, CTA	To determine the project input in promotion of harmonization of national legislative framework with ILS.

Indicator	Indicator Definition and Unit of Measurement	Data Source	Reporting Frequency	Responsible Person	Data Analysis/Use
98 available	application of ratified Conventions including C.98 on the Right to Organize and Collective Bargaining. The report has the list of reviewed legislation.				
SO 1.2 Stakeholders' capacity to implement the National Action Plan for the application of Conventions C138 and C182 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 (presented in the narrative of the relevant TPR section) of the progress of the NAP implementation and comparison to the previous year. Specific focus will be given to the activities implemented by ILO tripartite constituents. Organizations: - Ministry of labour - CCIU - FTUU - Ministry of Education - Farmers' Council - Prosecutor's office - Other stakeholders indicated in the plan	NAP implementation report obtained from tripartite constituents	Semi-annually until 2018, then - once in 2Q 2018	M&E officer	To determine if project had success in improving the capacity of the national stakeholders to tackle the CL related issues and implement C138 and C182.
Output 1.2.1. Relevant legislation and policies related to child labour reviewed in order to harmonize them with ILS.					
OTP 4: # of laws and policies reviewed against relevant ILS	<u>Unit:</u> legislative norm A list with titles of amended legislative documents reviewed against ILS by ILO experts	Project reports Review reports Reviewed documents	Once, 4Q2017	M&E officer	To determine the project input to harmonization of national legislation with ILS
Output 1.2.2. Tripartite constituents and civil society representatives trained in national child labour monitoring					
OTP 5: # of representatives of tripartite constituents,	<u>Unit:</u> people Count of trained representatives of national	Attendance lists	Semi-annually	M&E officer, Project	To determine how many relevant officials were trained for CL

Indicator	Indicator Definition and Unit of Measurement	Data Source	Reporting Frequency	Responsible Person	Data Analysis/Use
civil society organizations, labour inspectors and school inspectors trained on child labour monitoring and forced labour identification	stakeholders who participated in the training on CL and FL monitoring (breakdown by organization, gender). Organizations: - MoL (government) - FTUU - CCIU - Farmers' council - NGOs These particular organizations are selected for prior consideration as their representatives comprise the monitoring unit. The rest will fall under category "other".			Assistant (Tashkent)	monitoring and FL identification and monitoring.
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 starting 4Q2016	Project assistant (Tashkent)	To determine the project success in delivering information on child labour to the national constituents and general public.
OTP 7: # of awareness raising events supported by the project	<u>Unit:</u> Event and narrative report Count of events organized or supported by the ILO project including the WDACL events and other awareness raising events on child labour. Count will be accompanied by a narrative report explaining the type of event and participants.	Event records	Annually	Project assistant (Tashkent)	To determine if the project has reached the relevant audience.
SO 1.3 Stakeholders' capacity to address forced labour increased					
OTC 4: Number of institutions/stakeholders that implement FL-related activities covered within the Government Activity Plan for	<u>Unit:</u> Number Count of institutions implementing activities covered under the Plan	Implementation report produced by constituents, information from constituents	Semi-annually	CTA and/or M&E to obtain from tripartite constituents	To assess the involvement of stakeholders into improvement of working conditions in the agriculture sector

Indicator	Indicator Definition and Unit of Measurement	Data Source	Reporting Frequency	Responsible Person	Data Analysis/Use
improving labour conditions, employment and social protection of workers in the agriculture sector 2016-2018.					in general
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					
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	Semi-annually	M&E	To determine the input of 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 on 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 starting 4Q2016	M&E officer, Project assistant in Tashkent	Determine how many labour inspectors have received training on identification of forced labour and reporting on cases of forced labour. Follow up questionnaires on the application of their 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 and disaggregated by type of organization	Attendance lists	Semi-annually starting 4Q2016	Project assistant in Tashkent, M&E officer	To determine the how many representatives of government agencies, social partners and civil society organizations

Indicator	Indicator Definition and Unit of Measurement	Data Source	Reporting Frequency	Responsible Person	Data Analysis/Use
					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 and their staff trained to prevent and combat forced labour	<u>Unit:</u> trainees Count of agriculture sector employers staff who took part in the training. Breakdown by gender, and by organization (CCIU, Farmers' council, agricultural enterprise)	Attendance lists	Once over life of project	Project assistant in Tashkent, M&E officer	To determine how many agriculture sector employees have gained knowledge on combating and preventing forced labour.
SO 1.4 The social dialogue mechanisms to promote FPRW improved					
OTC 5: An official document approving the establishment, functions and operation of a tripartite dialogue mechanism 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. The approval document might be – government decree, ministerial order, etc.	Information from constituents Media reports Meeting notes Copy of an approving document	Once on the final result and semi-annual report on the status of the process	M&E officer obtaining information from CTA or tripartite constituents	To determine if the project is making success in promoting the FPRW at the national level.
Output 1.4.1 Federation of Trade Unions of Uzbekistan (FTUU) supported to improve capacity on education and representation of workers					
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) Non-cumulative	Attendance records	Semi-annually until all training modules are completed. Non-cumulative	M&E	To demonstrate increased knowledge of FTUU representatives on representation of workers' issues and educational programmes for TU members.
OTP 13: % of ToT training participants with correct answers to the post-training assessment	<u>Unit:</u> % of correct answers to the pre-and post-training assessment Counted as an average % of correct answers after each	Pre- and post-training assessments	Semi-annually until all training modules are	M&E, Project Assistant	To assess the knowledge change on TU trainers to providing trainings to

Indicator	Indicator Definition and Unit of Measurement	Data Source	Reporting Frequency	Responsible Person	Data Analysis/Use
	pre- and post-trainings assessment. Count will be done after each training module and each forthcoming result will be compared to the previous one. Trainees should complete 5 modules of training provided by an ILO trainer (contactor). The final assessment to include questions related to all the modules. Score to be over 85% of correct answers. Non-cumulative	Contractor's reports Information from the participants	completed. Non-cumulative		adults.
OTP 14: # of trainees applying the training methodology	<u>Unit:</u> Number Follow-up report form completed by the trainees on their application of the training methodology Non-cumulative	Self-report form from the trainers, M&E officer or Project assistant's calls, field visit(s)	Semi-annually during 2017-2018	ILO Mow ACTRAV Specialist, M&E officer, trainers' reports	To assess the effectiveness of the TOT training
Output 1.4.2 Representatives from employers and workers organizations trained on negotiations skills and collective bargaining techniques					
OTP 15: # of representatives from employers' and workers' organizations trained on negotiation skills and collective bargaining techniques.	<u>Unit:</u> trainees Count of representatives of employers' and workers' organization who took part in the training activities on negotiation skills and collective bargaining. (disaggregated by organization)	Attendance records	Once over life of project	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 16: # of trade union members trained on social dialogue in	<u>Unit:</u> trainees Count of representatives of workers organizations who	Attendance records	twice: 4Q 2017 and 2Q 2018	Project assistant in Tashkent,	To determine how many representatives of trade unions

Indicator	Indicator Definition and Unit of Measurement	Data Source	Reporting Frequency	Responsible Person	Data Analysis/Use
multinational enterprises	took part in the training(s) on social dialogue in multinational enterprises. (gender disaggregated). Non-cumulative			M&E officer	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 strengthened					
OTP 17: CCIU strategic plan available	<u>Unit:</u> Strategic plan – yes/no. Conduct a review, followed by development of strategic plan completed. A review or audit done does not mean that the strategic plan will be developed.	Strategic plan	Once over the life of the project	M&E officer, CTA	Determine the capacity of the CCIU (technical and/or organizational) for service provision to its members.
OTP 18: 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 19: At least one new or improved service developed by the CCIU (including OSH)	<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 over the life of the project	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 20: 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 21: Recommendations for effective social dialogue disseminated to tripartite	<u>Unit:</u> yes/no A set of recommendation developed and provided to tripartite constituents on effective social dialogue	Project reports	Once over the life of the project	M&E officer	To determine project success in ensuring the effectiveness of the social dialogue

Indicator	Indicator Definition and Unit of Measurement	Data Source	Reporting Frequency	Responsible Person	Data Analysis/Use
constituents	(done based on the national social dialogue assessment)				mechanism.
IO 2. Decent employment opportunities promoted: Institutional supports for decent employment opportunities enhanced					
SO 2.1 A knowledge base on the national employment framework with focus on youth employment established					
OTC 6: A national Employment Strategy document available	<u>Unit:</u> Strategy document	Ministry of Labour	Once over the life of the project	ILO Mow employment specialist, M&E officer	To determine the capacity of the country to develop and implement a sustainable employment promotion strategy developed with support of ILO
Output 2.1.1 Policy review to prepare a strategic policy document conducted					
OTP 22: Policy review document disseminated	<u>Unit:</u> yes/no 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.	Policy review report in hard and/or electronic copy	Once over the life of the project	M&E Officer, CTA, ILO Mow Employment specialist	To determine the existing national employment policies and strategies, and to define the national institutional structure in employment area.
OTP 23: Policy review report on existing youth employment incentives available	<u>Unit:</u> Policy review report The output is a document with a policy review or peer review of existing youth incentives in Uzbekistan Peers – representatives of authorized bodies in employment area of the CIS countries-members of the Youth Employment Network	Official document Project records	Once over the life of the project	M&E Officer, CTA, ILO Mow Employment specialist	To determine the scope of existing youth employment incentives in the country
SO 2.2 Capacity of PES and PrEA to deliver services to employers and job seekers strengthened					
OTC 7: # of recommendations from project assessment	<u>Unit:</u> recommendation implemented by the PES and PeEA	PES, PrEA, MoL Project reports	Twice: 2Q and 4Q 2018	M&E officer, ILO Mow	To demonstrate the project contribution to strengthening of the

Indicator	Indicator Definition and Unit of Measurement	Data Source	Reporting Frequency	Responsible Person	Data Analysis/Use
implemented by PES or PrEA	Recommendation from the ILO assessment planned for implementation by the PES or PrEA. A qualitative indicator describing the change planned to be introduced or already introduced following ILO assessment recommendation.	Media		employment specialist, CTA	employment services capacities providers
Output 2.2.1 Tripartite constituents trained on implementation of recommendations of employment services assessment					
OTP 24: Number of staff of tripartite constituents trained on recommendations of employment services assessment	<u>Unit:</u> People Count of representatives of tripartite constituents trained Non-cumulative	Record of training participants	Semi-annually starting 4Q2017	M&E, ILO Mow Employment specialist	
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 (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 C1 indicator.	Tripartite constituents Copy of approving decree Meeting notes Media	Once over life of the project	M&E officer, CTA, ILO Mow OSH specialist	To determine if project was successful in contributing to building the effective national OSH programme.
Output 3.1.1 National OSH Profile updated and disseminated					
OTP 25: 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 over life of the project	CTA, Contractor, ILO Mow OSH specialist	To define the existing national situation on OSH.
Output 3.1.2 Formulation of a draft National OSH Programme and strategy completed and disseminated					
OTP 26: Draft National OSH Programme available and	<u>Unit:</u> yes/no An output is a draft national OSH programme	Documentation of the draft Programme in	Once over life of the project	M&E, ILO Mow OSH specialist	To determine if project was successful in contributing to

Indicator	Indicator Definition and Unit of Measurement	Data Source	Reporting Frequency	Responsible Person	Data Analysis/Use
disseminated to tripartite stakeholders	developed with ILO support and technical advice.	hard and/or electronic copy			building the effective national OSH programme.
Output 3.1.3 Tripartite constituents trained on implementation of the OSH management system					
OTP 27: # of tripartite constituents trained on implementation of the OSH management system	<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 that the training has reached targeted audience.
SO 3.2 Collective bargaining and tripartite consultations applied in wage setting					
OTC 9: 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 were 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.
Output 3.2.1 A tripartite review of the current mechanisms of consultation on wages completed					
OTP 28: Report on review of mechanisms of consultation 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 over life of the project	M&E officer, CTA	To determine available national mechanism(s) on wage negotiations and wage setting.
Output 3.2.2 Introductory training on collective bargaining on wages provided to the tripartite constituents					
OTP 29: # of wage experts from Ministry of Labour, employers' and workers' organizations trained in collective bargaining on wage-related issues	<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.

Indicator	Indicator Definition and Unit of Measurement	Data Source	Reporting Frequency	Responsible Person	Data Analysis/Use
Output 3.2.3 The general knowledge base on wages strengthened through dissemination of ILO materials and publications					
OTP 30: # of organizations representatives participating in ILO-supported awareness raising related to wages	<u>Unit:</u> participants 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.	Attendance records	Once over life of the project	M&E officer, CTA	To determine how many people received new information of wages and wage negotiations relevant issues.
SO 3.3 Stakeholders' awareness of ILO instruments and approach on improving social protection increased					
OTC 10: % of trainees completing the post-training questionnaire with a score over 85%	<u>Unit:</u> % 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	Once over life of the project	M&E officer, Project assistant in Tashkent	To determine if the training participants make progress in learning new on social protection instruments and approaches.
Output 3.3.1 Tripartite constituents' members trained on social protection-related issues and relevant ILO standards					
OTP 31: # of targeted constituents trained on social protection and relevant ILO standards	<u>Unit:</u> 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	Semi-annually starting 4Q2016	M&E	To determine how many representatives of tripartite constituents received appropriate training on social protection floors.
Output 3.3.2 The knowledge base on social protection strengthened through dissemination of ILO materials and publications					
OTP 32: # of organizations receiving ILO materials and publications on social protection	<u>Unit:</u> 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 starting 4Q2016	Project assistant (Tashkent), M&E officer	To determine the number of organization provided with information and awareness raising materials on social protection floors.

ANNEX 6: Data Collection Table

Data Collection Instrument	Technical Description	Related Indicators	Responsible for data/information collection:	Verification Details (who, how, when)	Frequency of Instrument Completion
Surveys and assessments					
Project worksheet with aggregated data	An excel sheet aggregating all the project data in numeric values or “yes/no”: For the materials which were developed with ILO technical support, any Government approval document – the sheet will contain a “yes/no” value. The text of the document will be kept in a separate electronic file containing the indicator number in its file name. A hard copy if available will be stored in project files. A separate file with event reports in electronic format to be kept. Hard copies of materials to be kept separately.	OTC 1: Hazardous child labour list approved at the Prime Minister’s level(C1) OTC 2: Ratification of Conventions No. 87, 144, 183, 129, and/or 81 OTP 1: # and type of materials (Conventions, Protocols, Recommendations) on ILS translated to Uzbek language and disseminated to stakeholders OTP 2: # of and type of advisory services products delivered to stakeholders (C87 related) OTP 3: # of technical assessment reports on laws, policies and practices reviewed to assess readiness for ratification of Cs Nos 144, 81, 129, and application of C 98 available (introduced Apr. 2016 TPR) OTC 3: # of institutions/stakeholders that implement NAP activities according to plan OTP 4: # of laws and policies related to CL reviewed against relevant ILS (by ILO experts) 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 participants in awareness raising events OTC 4: % cases of reported coercive recruitment practices 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	Project M&E Officer files in the excel sheet Project M&E officer stores hard copies of materials in project files The Project Assistant in Tashkent stores the event reports and attendance lists (originals or copies in case the original is not available) in project files in hard copy	Project M&E Officer, Project Assistant in Tashkent	Semi-annual Data on participation in events entered on an after-event basis

Data Collection Instrument	Technical Description	Related Indicators	Responsible for data/information collection:	Verification Details (who, how, when)	Frequency of Instrument Completion
		OTP 10: representatives of government, social partners, civil society organizations trained OTP 11: # of agriculture sector employers staff trained to prevent and combat forced labour OTC 5. An official document approving the establishment, functions and operation of a tripartite dialogue mechanism is available OTP 12: # of FTUU representatives trained as TU Trainers (completed at least 4 modules out of 5) OTP 13: # ToT training participants with correct answers to the post-training assessment OTP 15: # of representatives from employers' and workers' trained on negotiation skills and collective bargaining techniques OTP 16: # of Trade Unions members trained on social dialogue in multinational enterprises OTP 17: CCIU strategic plan available OTP 18: CCIU policy papers on priority areas available OTP 19. At least one new or improved service developed by the CCIU OTP 20: Assessment of the national social dialogue legislation and practices available OTP 21: Recommendations for effective social dialogue disseminated to tripartite constituents OTC 6: A national Employment Strategy OTP 22: Policy review document disseminated OTP 23: Policy review report on existing youth incentives available OTC 7: Number of recommendations from project assessment implemented by PES or PrEA OTP 24: A set of recommendations for employment services providers is developed			

Data Collection Instrument	Technical Description	Related Indicators	Responsible for data/information collection:	Verification Details (who, how, when)	Frequency of Instrument Completion
		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 stakeholders OTP 27: # of tripartite constituents trained on implementation of the OSH management system OTC10 training participants apply their knowledge in collective bargaining and/or tripartite consultations on wage setting (qualitative) OTP 28: Report on review of existing 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 related to wages OTC 10. % of trainees completing the post-training questionnaire with a score over 85% OTP 31: # of targeted constituents trained on social protection and relevant ILO standards OTP 32: # of organizations receiving ILO materials and publications on social protection			
Initial situation analysis and capacity building needs assessment	The purpose of the baseline study will be to provide a situation analysis and assess the needs to capacity building of the constituents Child and forced labour: 1) Knowledge, perception and experience of key stakeholders	OTP 3: # of technical assessment reports on laws, policies and practices reviewed to assess readiness for ratification of Cs Nos 144, 81, 129, and application of C 98 available (introduced Apr. 2016 TPR) OTP 4: # of laws and policies related to CL reviewed against relevant ILS (by ILO experts) OTC 4: % cases of reported coercive recruitment practices	Contractor, M&E officer	M&E officer, CTA	1 year after project starts, 1 time before project ending (no less than 6 months before EOP)

Data Collection Instrument	Technical Description	Related Indicators	Responsible for data/information collection:	Verification Details (who, how, when)	Frequency of Instrument Completion
	in relation to the problems of forced and child labour. 2) Stakeholders' capacity to address the issue 3) Required capacity building initiatives Employment: 4) Brief overview of the framework regulating employment relations, employment promotion initiatives, including incentives for youth employment 5) Work of employment services, including information on the services they provide, latest information on the number of employers and job seekers to whom the services were provided, etc. OSH, Social Protection, Wages: 6) Brief overview of OSH related legislation 7) Brief overview of wage setting mechanisms in the country and applied practices, regulatory framework 8) Brief overview of social protection, related legislative framework and its gaps, capacity building needs assessment.	OTC 5. An official document approving the establishment, functions and operation of a tripartite dialogue mechanism is available OTP 20: Assessment of the national social dialogue legislation and practices available OTP 22: Policy review document disseminated OTP 23: Policy review report on existing youth incentives available OTC 7: Number of recommendations from project assessment implemented by PES or PrEA OTP 24: A set of recommendations for employment services providers is developed OTC 8. A new OSH management system developed OTP 25: Updated OSH profile available and disseminated to tripartite stakeholders OTP 26: Draft National OSH Programme available and disseminated to tripartite stakeholders OTP 28: Report on review of existing mechanisms of consultation of wages available (and disseminated) OTP 31: # of targeted constituents trained on social protection and relevant ILO standards			

Data Collection Instrument	Technical Description	Related Indicators	Responsible for data/information collection:	Verification Details (who, how, when)	Frequency of Instrument Completion
	The document should also contain the latest available statistical data, e.g. demographic data, labour market data, etc. The baseline instrument will cover the following: The contractor will be responsible for defining a set of data collection methods and instruments. At this point it is tentatively envisioned to use the following methods: • Desk study (to collect information over national legislation, strategic frameworks, information on existing studies); • Analysis of statistics already available (to collect data on population, employment in general, unemployment, unemployment by age groups and other), including a data quality review for already available data; • Key informants interviews/semi-structured interviews. The follow-up study to be				

Data Collection Instrument	Technical Description	Related Indicators	Responsible for data/information collection:	Verification Details (who, how, when)	Frequency of Instrument Completion
	conducted during the last year of the project, starting not later than 6 months before the project end date.				
Public employment service assessments	The assessment will serve to provide information on the state of PES in Uzbekistan, services they provide, capacities to provide services to employers and jobseekers, development needs. The methodology will be defined at the later stage. - Public Employment Services capacity assessment (assess the training and development needs of PES) - Social Security)	OTC 7: # of recommendations from project assessment implemented by PES or PrEA OTP 23: Policy/peer review report on existing youth employment incentives available OTP 24: # of staff of tripartite constituents trained on recommendations of employment services assessment	CTA, ILO Moscow employment specialist, Assessment contractor	ILO Moscow employment specialist to validate the draft assessment M&E to make sure the project has an assessment filed	Once the assessment is done
Contextual information					
Documents produced with ILO technical assistance	Programmes, strategies, policy documents and other materials developed by the tripartite constituents with ILO technical support, expertise.	OTP 8: Set of recommendations on recruitment practices submitted to constituents. OTP 17: CCIU strategic plan available OTP 18: CCIU policy papers on priority areas available OTP 20: Assessment of the national social dialogue legislation and practices available OTP 21: Recommendations for effective social dialogue disseminated to tripartite constituents OTP 22: Policy review document disseminated OTP 23: Peer review (or policy review) report on existing youth incentives available OTC 7: Number of recommendations from project assessment implemented by PES or PrEA	M&E obtains the materials from the CTA or other sources.	M&E, CTA	All documents to be copied to the folder as soon as they are available. Available hard copies to be filed as soon as they are available.

Data Collection Instrument	Technical Description	Related Indicators	Responsible for data/information collection:	Verification Details (who, how, when)	Frequency of Instrument Completion
		OTP 24: Number of staff of tripartite constituents trained on recommendations of employment services assessment OTC 8. A new OSH management system developed OTP 25: Updated OSH profile available and disseminated to tripartite stakeholders OTP 26: Draft National OSH Programme available and disseminated to tripartite stakeholders OTP 28: Report on review of existing mechanisms of consultation of wages available (and disseminated) OTP 32: # of organizations receiving ILO materials and publications on social protection			
Forms					
Awareness raising	Lists of materials and events on awareness raising on child and forced labour: WDACL, booklets, etc. All the materials distributed to constituents will be listed, not only limited to OTP 6.	OTP 6: # of awareness raising materials on child labour in Uzbek language produced and disseminated	Project assistant (Tashkent), M&E	M&E, CTA	After each publication, event
Attendance lists	List of attendees for each event conducted within project framework (seminars, trainings, round tables, workshops). The lists contain information on the data of event, name of participants, organizations, position. Each participant should put his/hers signature. Gender of participants is tracked for reporting, but not in the	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 7: # of participants in awareness raising events OTP 9: # of labour inspectors trained for recognizing and addressing FL in cotton growing sector OTP 10: representatives of government, social partners, civil society organizations trained OTP 11: # of agriculture sector employers staff trained to prevent and combat forced labour	Project Assistant (Tashkent)	Project assistant (Tashkent), M&E officer	After each event

Data Collection Instrument	Technical Description	Related Indicators	Responsible for data/information collection:	Verification Details (who, how, when)	Frequency of Instrument Completion
	attendance list. The lists are stored in hard and/or electronic copy.	OTP 12: # of FTUU representatives trained as TU Trainers (completed at least 4 modules out of 5) OTP 13: # ToT training participants with increased knowledge on training of adults OTP 15: # of representatives from employers' and workers' trained on negotiation skills and collective bargaining techniques OTP 16: # of Trade Unions members trained on social dialogue in multinational enterprises OTP 27: # of tripartite constituents trained on implementation of the OSH management system 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 related to wages OTP 31: # of tripartite constituents' representatives trained on social protection and relevant ILO standards			
Dissemination lists	Lists of organizations receiving ILO publications or any other materials, lists of materials distributed at the ILO organized events. Stored in hard and/or electronic formats.	OTP 6: # of awareness raising materials on child labour in Uzbek language produced and disseminated OTP 20: Assessment of the national social dialogue legislation and practices available OTP 22: Policy review document disseminated OTP 32: # of organizations receiving ILO materials and publications on social protection	Project Assistant (Tashkent)	M&E	After each distribution
Feedback and assessment forms	Feedback, pre-, post-training assessments filled by the event participants.	OTP 5: # of representatives of tripartite constituents, civil society organizations, labour inspectors and school inspectors trained on child labour monitoring and	M&E, Project Assistant (Tashkent)	M&E	After each event

Data Collection Instrument	Technical Description	Related Indicators	Responsible for data/information collection:	Verification Details (who, how, when)	Frequency of Instrument Completion
	Each time the necessity and scope of the assessment are discussed with the trainer or responsible official. Hard copies are filed. Data from the hard copies is digitalized for the project data aggregation file.	forced labour identification OTP 7: # of participants in awareness raising events OTP 9: # of labour inspectors trained for recognizing and addressing FL in cotton growing sector OTP 10: representatives of government, social partners, civil society organizations trained OTP 11: # of agriculture sector employers staff trained to prevent and combat forced labour OTP 12: # of FTUU representatives trained as TU Trainers (completed at least 4 modules out of 5) OTP 13: % of ToT training participants with correct answers to the post-training assessment OTP 15: # of representatives from employers' and workers' trained on negotiation skills and collective bargaining techniques OTC 9: training participants apply their knowledge in collective bargaining and/or tripartite consultations on wage setting (qualitative) OTP 16: # of Trade Unions members trained on social dialogue in multinational enterprises OTC 10: % of trainees completing the post-training questionnaire with a score over 85% OTP 27: # of tripartite constituents trained on implementation of the OSH management system 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 related to wages OTP 31: # of targeted constituents trained on social protection and relevant ILO standards			

ANNEX 7: List of ILO Conventions Ratified by Uzbekistan

Convention	Ratification date
Fundamental	
C029 - Forced Labour Convention, 1930 (No. 29)	13 July 1992
C098 - Right to Organize and Collective Bargaining Convention, 1949 (No. 98)	13 July 1992
C100 - Equal Remuneration Convention, 1951 (No. 100)	13 July 1992
C105 - Abolition of Forced Labour Convention, 1957 (No. 105)	15 December 1997
C111 - Discrimination (Employment and Occupation) Convention, 1958 (No. 111)	13 Jul 1992
C138 - Minimum Age Convention, 1973 (No. 138) Minimum age specified: 15 years	06 March 2009
C182 - Worst Forms of Child Labour Convention, 1999 (No. 182)	24 June 2008
Governance (Priority)	
C122 - Employment Policy Convention, 1964 (No. 122)	13 July 1992
Technical	
C047 - Forty-Hour Week Convention, 1935 (No. 47)	13 July 1992
C052 - Holidays with Pay Convention, 1936 (No. 52)	13 July 1992
C103 - Maternity Protection Convention (Revised), 1952 (No. 103)	13 July 1992
C135 - Workers' Representatives Convention, 1971 (No. 135)	15 December 1997
C154 - Collective Bargaining Convention, 1981 (No. 154)	15 December 1997

ANNEX 8: Project Reporting Form

See attached Template in EXCEL, with project targets per semester.

ANNEX 9: Templates of Data Collection Tools

Tools are attached as a separate file.

[2020 Findings on the Worst Forms of Child Labor](#)

2021

[Progress in Implementing Chapter 16 \(Labor\) and Capacity-Building under the Dominican Republic – Central America – United States Free Trade Agreement – Fourth Report](#)

2021

[List of Goods Produced by Child Labor or Forced Labor](#)

2020

[ILAB Synthesis Review](#)

2020

[United States-Mexico-Canada Agreement \(USMCA\) Labor Rights Report](#)

2019

[Report on the U.S. Employment Impact of the United States-Mexico-Canada Agreement](#)

2019

[Work-Related Violence Research Project: Overview and Survey Module and Focus Group Findings \(Central America\)](#)

2017

[List of Products Produced by Forced or Indentured Child Labor](#)

2016

[Public Report of Review of Submission No. 2015-01 \(Peru\)](#)

2016

[Public Report of Review of Submission No. 2015-04 \(Mexico\)](#)

2016

[Independent Impact Evaluation for the Strengthening Protections of Internationally Recognized Labor Rights in Colombia Project](#)

2016

[Progress in Implementing Capacity-Building Provisions under the Labor Chapter of the Dominican Republic - Central America - United States Free Trade Agreement \(Third Biennial\)](#)

2015

[Standing Up for Workers: Promoting Labor Rights Through Trade](#)

2015

[Understanding Children's Work and Youth Employment Outcomes in Laos](#)

2015

[Public Report of Review of Submission No. 2012-01 \(Honduras\)](#)

2015

[Final Report: Survey Research on Child Labor in West African Cocoa Growing Areas](#)

2015

[Improving Labor Inspection Systems: Design Options](#)

2014

[Informe Nacional Sobre el Trabajo Infantil y el Empleo Juvenil](#)

2014

[Human Resource Practices for Labor Inspectorates in Developing Countries](#)

2014

[Report on the National Child Labour Survey 2010 of Lao PDR](#)

2013

[What Policy Guidance Does the Literature Provide on the Relationship between School Quality and Child Labor?](#)

2013

[Informal Worker Organizing as a Strategy for Improving Subcontracted Work in the Textile and Apparel Industries of Brazil, South Africa, India and China](#)

2013

[Comprendre le Travail des Enfants et l'Emploi des Jeunes au Togo](#)

2013

[Survey Research on Child Labor in West African Cocoa Growing Areas: CLCCG Meeting and Stakeholder Briefing, Washington DC, 03/12/2013](#)

2013

[Magnitud y Características del Trabajo Infantil y Adolescente en el Paraguay](#)

2013

[Report on the National Child Labour Survey 2010 of Lao PDR](#)

2013

[International Trade and Household Businesses: Evidence from Vietnam](#)

2013

[Survey To Estimate Commercial Sexual Exploitation of Children \(CSEC\) in Bekasi Region Of West Java, Indonesia in 2012](#)

2013

[Ending Child Labor in Domestic Work and Protecting Young Workers from Abusive Working Conditions](#)

2013

[The National Labor Force and Child Activities Survey 2011/12](#)

2013

[Schooling Incentives Project Evaluation \(SIPE\) Study in Nepal: Report & Dataset](#)

2013

[Entendiendo los Resultados del Trabajo Infantil y el Empleo Juvenil en El Salvador](#)

2013

[Working Children in the Republic of Yemen: the Results of the 2010 National Child Labor Survey](#)

2013

[Assessment of Ethiopia's Labor Inspection System](#)

2013

[Trabajo Infantil En Guatemala, de la Encuesta Nacional de Condiciones de Vida - Encovi 2011](#)

2013

[Sending Areas \(SA\) Study in Nepal: Report & Dataset](#)

2013

[Expanding the Evidence Base and Reinforcing Policy Research for Scaling-up and Accelerating Action against Child Labor](#)

2013

[Child Labor Community Engagement Toolkit: Best Practices and Resource Materials Drawn from the REACH Project](#)

2013

[Forced Labor of Adults and Children in the Agriculture Sector of Nepal](#)

2013

[2013 Annual Report of the Child Labor Cocoa Coordinating Group](#)

2013

[Prevalence and Conditions \(PC\) Study of Child Labor in India: Report & Dataset](#)

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