CONSOLIDATING AND DISSEMINATING EFFORTS TO COMBAT FORCED LABOUR IN BRAZIL AND PERU

ENDLINE STUDY & END OF THE PROJECT CMEP ANALYSIS PROPOSAL

INTRODUCTION

Endline studies are a common feature in the scope of international technical cooperation in present days. The dissemination of results based management and evidence based management created the environment where measuring results is a strategic activity of great aggregated value that aims to promote transparency and accountability.

More than that, in the scope of adaptive management, measuring results is a knowledge based activity that results in more effective and efficient interventions, therefore generating capacity development, institutional strengthening and real changes in beneficiary population in terms of human and labour rights.

The Project CONSOLIDATING AND DISSEMINATING EFFORTS TO COMBAT FORCED LABOUR IN BRAZIL AND PERU had a baseline study in the form of a territorial integrated analysis that was able to inform future development of project activities, including the targeting of beneficiaries; and parallel to that, data was collected in terms of the socioeconomic and productive profiles of potential targets and treated population.

The endline proposal detailed below aims to produce meaningful information about two strategic topics: 1) quantification and analysis of activities carried out by the Project focusing on the provision of services for direct beneficiaries; and 2) changes in terms of employability, occupational quality, income generation, education, and consumption patterns can be minimally attributed to the Project's effect.

Complementarily, this proposal delineates the end of Project CMEP analysis. In this case two analysis will be carried out: 1) overall analysis of institutional strengthening and capacity development changes induced by the Project, as per the CMEP capacity indicators, and a; 2) overall analysis of the Project's achievement, at the outcome level, *vis-à-vis* the Project's proposed targets as defined by the CMEP. The endline analysis, and the CMEP end of the Project analysis will be carried out directly by the Project. A proposed format for this study is presented on Annex I. A proposed timeframe for completion of this study is presented on Annex II.

SECTION I - END OF THE PROJECT CMEP ANALYSIS

a) INSTITUTIONAL STRENGTHENING AND CAPACITY DEVELOPMENT

This section is aligned with the need to conduct an end-of-the Project analysis based on the CMEP's proposed targets, focusing on all project-level and outcome-level indicators. The Project's capacity development indicators, baseline values and targets are shown in Tableds 1 and 2, below:

INDICATOR	BASELINE	TARGET
PO1. Develop guidelines and strategies for a pilot project for assistance to victims of forced labour and prevention of re-incidence (C1).	Guidelines and strategies for a pilot- project for assistance to victims of forced labour and prevention of re- incidence not developed.	A pilot-strategy for assistance to victims of forced labour and prevention of reincidence tested by the government of Brazil (C1). ¹
PO2. Roadmap for the implementation of the inter agency protocol on forced labour endorsed by the government of Peru (C1).	Peru has no roadmap for implementation of inter-agency protocol.	Roadmap for the implementation of the inter-agency protocol on forced labour endorsed by the government of Peru (C1).

¹ This refers to the Integrated Action Project (IAP), a blueprint initiative to provide first assistance to rescued workers and population vulnerable to slave labour co-optation.

The objective of this analysis is to promote a case study about the role of the Project in supporting the institutional strengthening and capacity development of partner institutions and organizations in respect to the prevention of slave labour exploitation in Brazil, and in respect to the institutionalization of a multidisciplinary and inter-institutional initiative to combat forced labour in Peru.

a.1) METHODOLOGY

Methodologically speaking, the end of the Project CMEP analysis will be structured as a case study, since this is a research design that has the advantage of generating knowledge about the contribution to the achievement of results, and also about how and why results were achieved or not.

A desk review of documents will be made, based mostly on the CMEP and TPRs to create a "case study" of changes promoted by the Project in terms of the C1 indicators suggested by the CMEP, one focusing the development of the Integrated Action Project (IAP) as a blueprint initiative to provide first assistance to slave labourers, and the other focusing the transference of knowledge and experience from the Brazilian policy to combat slave labour to Peru.

Government agencies and civil society institutions will be included in this study as they were the main partners of the Project in achieving PO1 and PO2 results, however, given the fact that the final evaluation of the Project will be carried out soon, this analysis will be based on desk review any not include any kind of interview. The case study design was chosen in this case because of its potential to facilitate the identification of insights into capacity building generated through Project's activities.

Complementarily, a brief survey will be conducted by the Project, with stakeholders from both capacity development and institutional strengthening processes, using Likert Scales, to infer to which degree these stakeholders have the perception that the Project was instrumental in achieving the expected results.

b) ACHIEVEMENT OF TARGETS

The second part of this analysis will focus an overall analysis of the Project's contribution to the achievement of intended results, at the outcome level (OTCS) listed at the Project CMEP's PMP, in the format of a series of targets defined by the CMEP. A comprehensive, systemic, and overall analysis of targets achievements will be carried out, detaching the not only if targets were met but also how and why targets were met or not.

INDICATOR	BASELINE	TARGET		
OTC 1 .1 - Improved indicators on forced labor in Brazil validated by CONATRAE.	CONATRAE has no indicators on forced labor	CONATRAE has indicators on forced labor		
OTC 1.2 - Percentage of target group individuals who perceive an increase in their level of awareness regarding forced labor issues (OTC 2).	Percentage of respondants in the baseline that reported having knowledge about: Debt bondage - 19%; Degrading Working Conditions - 8%; Restricted freedom - 8%, and; Exhausting working hours - 1%.	Target groups individuals with improved awareness on forced labor issues increased by 70%.		
OTC 2.1. Ministry of Social Development and Ministry of Labour and Employment sign the Framework for institutional cooperation on forced labour issues (OTC 3).	Ministry of Labour and Employment and Ministry of Social Development do work together in a coordinated way to share relevant data and information about forced labour.	Social dialogue strengthening resulted in the exchange of data and information to facilitate forced labour rescued workers access to social protection.		

OTC 2.2. Number of forced labour complaints sent from workers' organizations to the Ministry of Labour and Employment (OTC 4).	0	160		
OTC 3.1. Number of companies required to guarantee the National Pact's financial and organizational sustainability that adhered to the National Pact (according to the sustainability plan) (OTC 5).	0	100		
OTC 3.2. Number of employers' organizations and companies that carry out relevant initiatives to combat forced labor (OTC 6).	0	8		
OTC 4 .1 Percentage of project's direct beneficiaries that reported an increase in their income or assets after concluding IAP's livelihood services (OTC 7).	0%	50%		
OTC 5.3.1. Evolution of good practices adapted by Peru developed originally in the Brazilian experience (Adapted OTC 9).	Good practices not adapted from Brazil to Peru.	Good practices adapted from Brazil evolving in Peru are in good standing.		
OTC 5.4. South-South Cooperation Agenda developed between Brazil and South American country (OTC 10 - new indicator).	South-South Cooperation Agenda not developed	South-South Cooperation Agenda developed		

b.1) METHODOLOGY

Methodologically speaking, the end of the Project CMEP analysis will be structured as a comparative study of the baseline and endline values for each and every outcome indicator (OTC) proposed by the Project's CMEP/PMP. A desk review of documents will be made, based mostly on the CMEP and TPRs to allow this comparison, complementarily, and only if necessary, semi-structured interviews will be carry out to validate this analysis with national and local stakeholders.

SECTION II – ENDLINE STUDY

The endline study aims to primarily, crosscheck Project's contribution in terms of promoting changes in levels of human development and decent work for direct beneficiaries of the IAP, focusing on six outcomes of interest: 1) employment status; 2) occupation status; 3) educational level; 4) individual income; 5) household average income, and 6) consumption patterns. A first part of this study will be describing in detail the DBMS developed by the Project. Secondly, input data about the provision of services will be tabulate and analysed (activities monitoring). Third, results in terms of change in the direct beneficiaries vulnerability status will be tabulate and analysed based on the six outcomes of interest.

a) Methodology

This study will take advantage of the IAP's DBMS that already works as a repository of information about input data. Data collection will be carried out only in terms of the monitoring of results. This will be a comparative study using the baseline data vis-à-vis the endline data for treated individuals allowing a pre-post comparison for each outcome of interest. The data collection mechanism is presented at Annex III. The rationale of this study is presented below, including a brief description of the DBMS system and its functionalities.

ACTIVITIES MONITORING

The Integrated Action Project (IAP) is a blueprint initiative, implemented with different degrees of Project support in eight Brazilian states (Mato Grosso², Pará, Maranhão, Piauí, Tocantins, Rio de Janeiro, Bahia and Ceará). The IAP is usually lead by a pool of public, civil society, and private organizations, depending on the local context, that provides first assistance to rescued workers who were in a state of forced labour, and populations vulnerable to slave labour co-optation. Since the Project supported the capacity development and institutional strengthening of the IAP, the development of a Direct Beneficiary Monitoring System (DBMS) was required by the donor. The Project's DBMS evolved to become an integrated managerial system that includes a set of managerial functions able to support, from a knowledge management point of view, the entire managerial structure that is necessary to the IAP to adequately perform its activities and therefore achieve intended results. Thanks to the DBMS, it will be possible in the endline study to quantify and describe all activities carried out under the IAP initiative in Mato Grosso.

RESULTS MONITORING

The Project's DBMS also has a module that allows the comparison over time of treated individuals. A set of five variables (outcomes of interest) is used do address the question whether or not the IAP is able to change the level of vulnerability experienced by slave labourers and vulnerable populations. Educational level, employability, occupational quality, income and consumption patterns are analysed to provide information in respect to changes observed in the beneficiary population over time. There is no control group, although the DBMS does have baseline data about non-treated individuals that were approached by the IAP. In this sense it is possible, in the future, for the IAP to conduct a meaningful formal, and cost-effective impact evaluation. The endline study will carry out an outcome based analysis of observed changes in the direct beneficiary population in a pre-post comparison.

² In Mato Grosso, where the Project has a specific role in supporting the IAP, this initiative is led by the Ministry of Labour representation, jointly with the Federal Labour Prosecutors Service local representation and the Federal University of Mato Grosso.

DYNAMIC INTAKE FORM

The Project's DBMS has a dynamic intake form (please see Annex I), which was organized into five modules:

- 1. Targeting, to identify potentially eligible beneficiaries;
- 2. Socio-productive profile, to collect socioeconomic and productive data about the interviewee and the household;
- 3. Professional Training and Job Positioning, to specifically understand the expectations and needs of the interviewee in terms of acquiring an occupation and a formal job;
- 4. Livelihood, to specifically understand the expectations and needs of the interviewee in terms of acquiring skills in terms of associate work and entrepreneurship, and;
- 5. Beneficiary Profile, based on a set of simple algorithms this module produces a summary of the characteristics of the potential beneficiary being interviewed that aims at helping the field work teams to properly process their needs and wishes associated with the available programs.

The dynamic intake form also has a part inspired by the *Hard To See, Harder To Count* forced labour research methodology developed by the ILO. This was used as a risk analysis to assess the likelihood of the interviewee being exposed to slave work. The dynamic intake form also allows the semi-automatic referral of beneficiaries to specific services based on each register profile.

The DBMS allows users to register institutions that provide services for rescued workers in a given territory. According to answers provided by potential beneficiaries during the baseline survey the system itself suggests to users what kind of referral is necessary for each and every registered beneficiary. Other than that, the DBMS also have a pre-formatted letter, similar to a formulary that allows users to quickly print and sign the referral notice.

ENDLINE DATA COLLECTION RATIONALE

At the time of this proposal, the Project has supported the IAP in providing services to 943 direct beneficiaries, including professional training and livelihood training, in this case supporting the development of skills in terms of cooperative work and entrepreneurship activities.

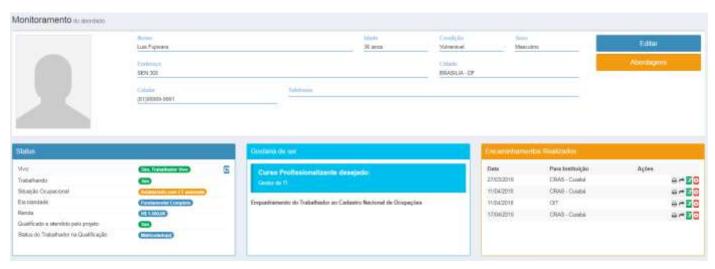
Although the system is able to track all of the treated population, the Project aims to minimally collect data for a sample of 300 treated individuals (31.8% of the total population of treated individuals). The option to work with a sample derives from the fact that rescued workers and vulnerable population are prone to migrate in search of jobs, making it difficult to locate and interview the entire set of treated individuals. Nevertheless, the sample size is highly representative of the population under analysis, even if the selection of individuals to be interviewed in the endline study will not be randomly constructed.³

It is important to mention that the sampling of monitored individuals is not random, simply because these are hard to find individuals, most of them internal migrants, so the selection of monitored individuals is oriented by operational matters. As a way to surpass selection bias issues, the endline study will present a brief study of the monitored individuals *vis-à-vis* the overall profile of treated individuals as a way to assess the comparability of these groups.

First and foremost, the IAP's DBMS allows managers and fieldwork teams to have a comprehensive view of the individual under analysis (please see Figure 1 below), including contact information, the worker's status as a vulnerable or former slave labourer, the services provided by the IAP, the individual's personal aspirations, and the referral of the treated individual for public policies.

³ The Project tried to do a random selection of respondents but the response rate was very low, incurring in a great loss of efficiency and effectiveness. To surpass problems derived from self-selection bias the Project will conduct a comparative study of monitored and treated individuals, as to guarantee that these are comparable even under a not random selection.

Figure 1. DBMS Individuals Monitoring Overview



The IAP's DBMS also has a functionality of allowing the creation of a "diary" of the individual being monitored (please see figure 2, below), where social workers or field work teams can add tailor made information about the individual's development over time, providing qualitative insights of every and each monitored worker, overtime, and follow-up after the treatment.

Figure 2. DBMS Individuals Monitoring Qualitative Diary



The third set of information useful for beneficiary monitoring is the timeline of the individual being monitored in terms of all the needed steps of this process (please see Figure 3, below), from the baseline (Abordagem) and treatment (Qualificações e Atendimentos), to a total of three possible waves of monitoring data collection. Initially, the system was designed to allow the collection of data three months, six months, and twelve months after the treatment. This is being reviewed to allow managers to choose how many waves and when to collect monitoring data.

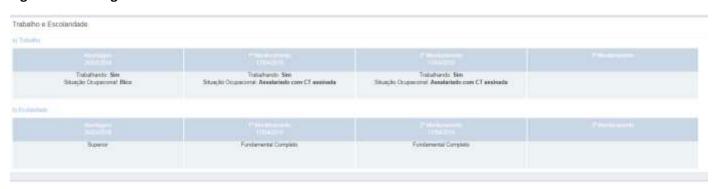
Figure 3. DBMS Individuals Monitoring Data Collection Steps



Outcomes of Interest Measurement

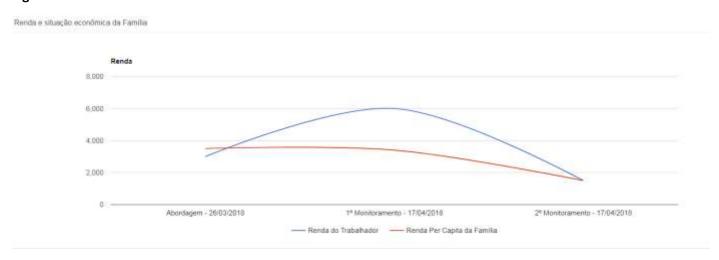
A set of five outcomes of interest comprise the core ingredient of the endline study. Collecting data about this set of variables allows the pre-post comparison, for each and every treated and monitored individual, which can inform potential changes, in terms of these individuals' vulnerability to slave labour co-optation status. The Figure 4, below, shows how the DBMS register changes in terms of working status and educational levels.

Figure 4. Working Status and Educational Level



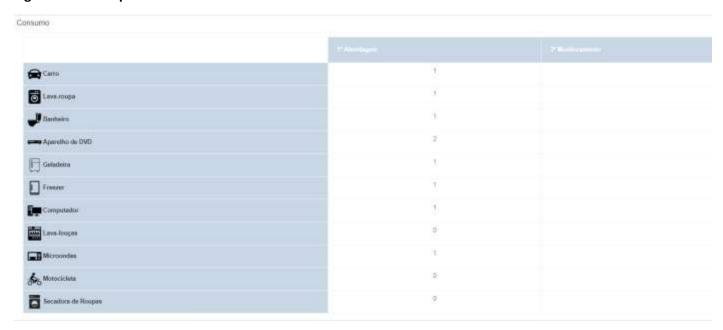
Complementarily, Figure 5 shows how the system register changes in terms of the treated individual income, as well as the household per capita income. This double register allows an analysis of the income evolution of the treated individual and also suggest how the registered increase (or not) affects the household income as a whole.

Figure 5. Individual and Household Income



The final outcome of interest is based on consumption patterns, as to allow the monitoring and measurement of changes in terms of non-monetary gains that can be possibly attributed to the treatment (please see Figure 6, below).

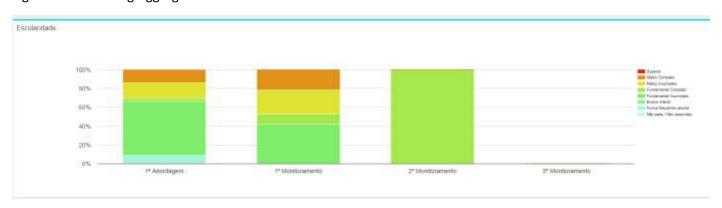
Figure 6. Consumption Patterns



Aggregated Results

The IAP's DBMS also allows an analysis of aggregated results. In this case averages of each outcome of interest are compared overtime. The Project innovatively works with the idea of Logical Counterfactual, meaning that besides the absence of a control group (that can actually be constructed as well through the monitoring of untreated individuals) if changes are positively registered for each and every outcome of interest, it is likely that the IAP is having an effect on the treated population's overall status of vulnerability to slave labour (please see Figure 7, below).

Figure 7. Monitoring Aggregated Results





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8. Annex II – Timeline

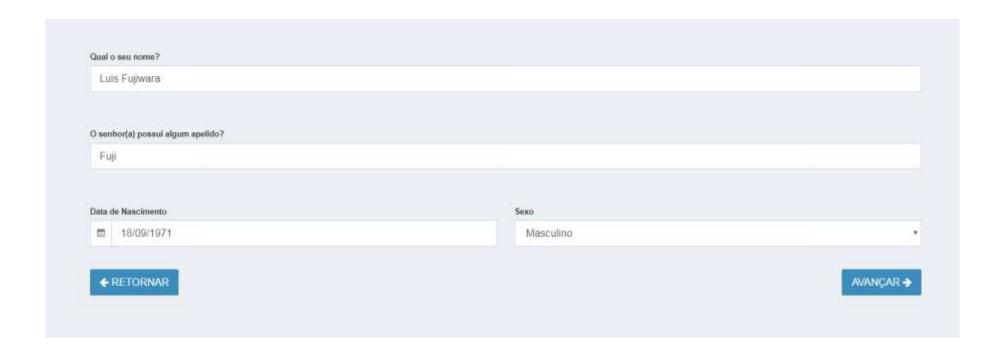
	Weeks beginning in August 2018							
	August 1	August 2	August 3	August 4	Sept. 1	Sept. 2	Sept. 3	Sept. 4
Desk review End of the Project	X	X						
Perception Survey End of the Project			X				x	
Desk Review Endline Study		Х	X	X				
Data Collection Endline Study	X	Х	X	X	X	X		
Analysis			X	X	X	X	X	
Report Development							X	X
Draft Report submission to DOL	September 28 th , 2018							
DOL provides input on the draft report	October 15, 2018							
Final Report submission to DOL	October 31 st , 2018							

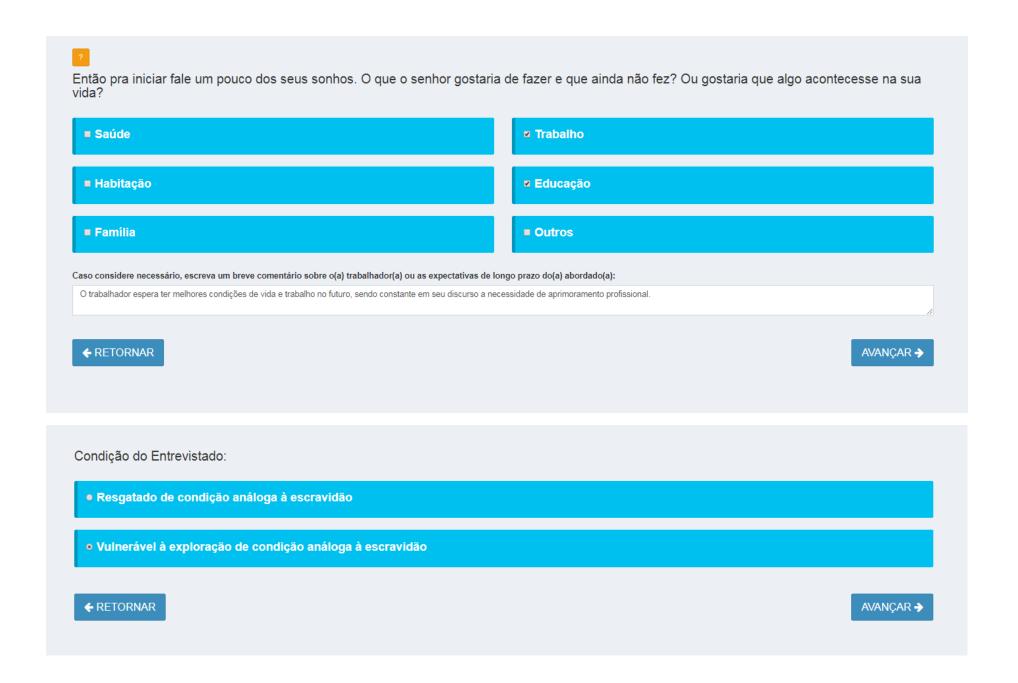
There will be no direct costs involved in the Endline Study and End-of-the Project CMEP Analysis, except the costs involved with the Project's personnel.

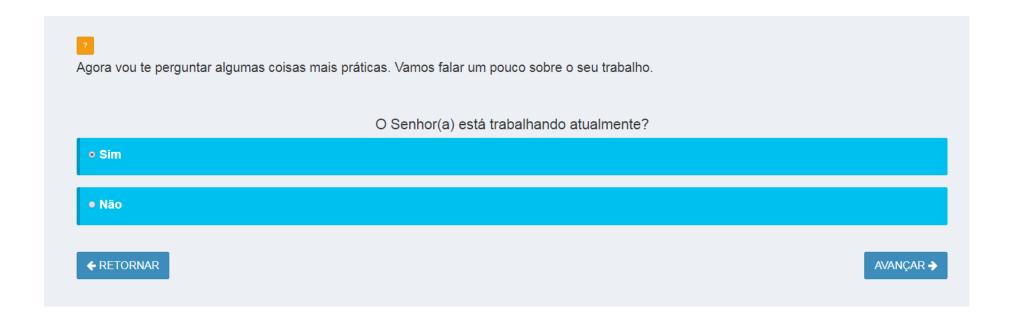
ANEXX III – DYNAMIC INTAKE FORM

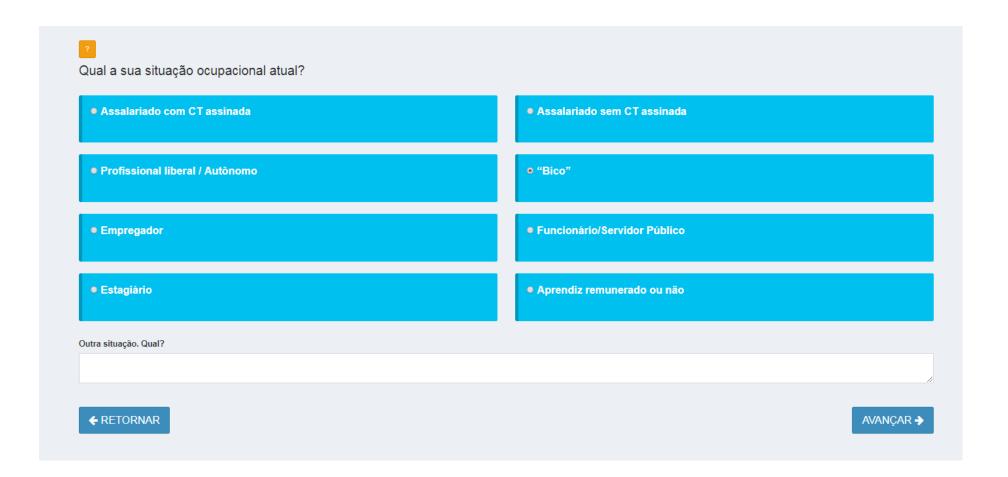
Módulo 1 – Targeting

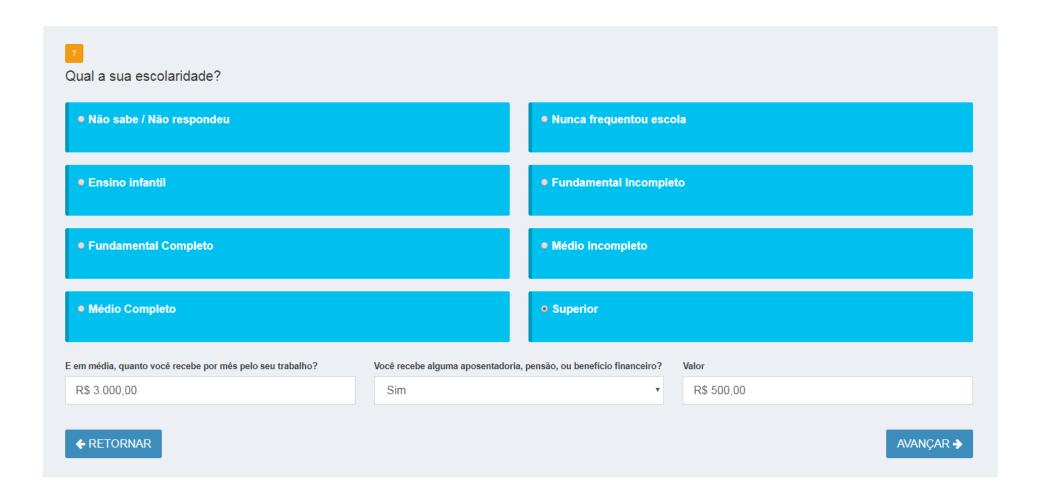




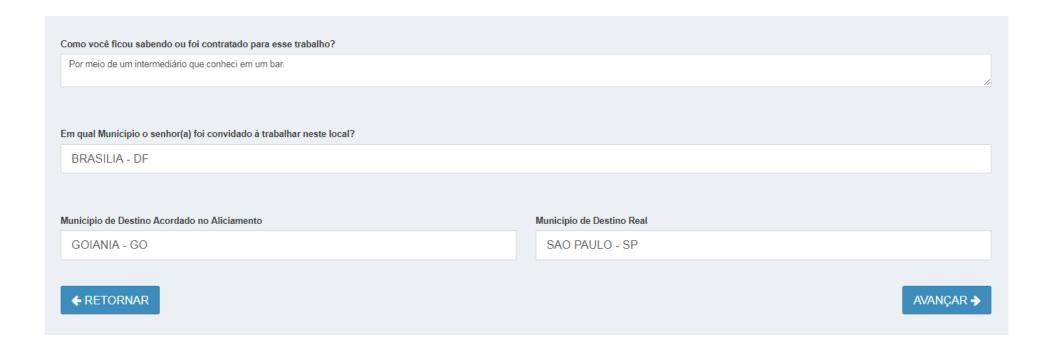


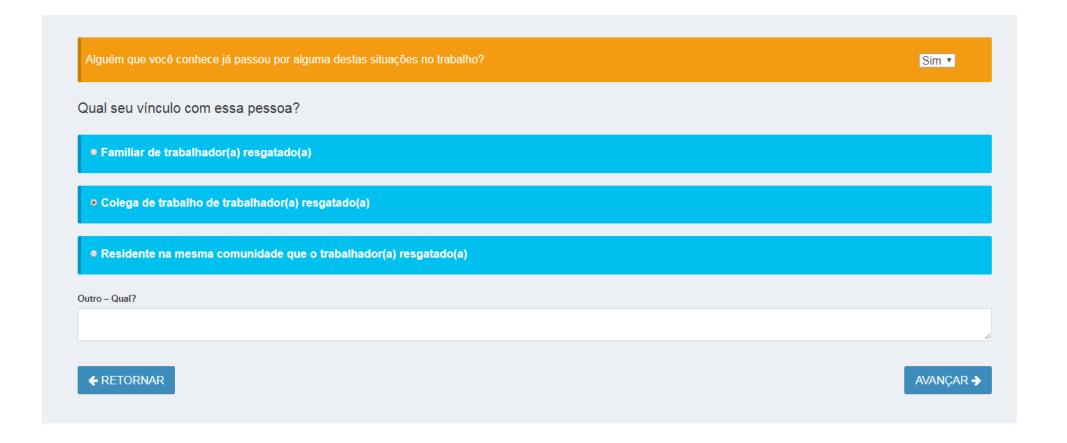


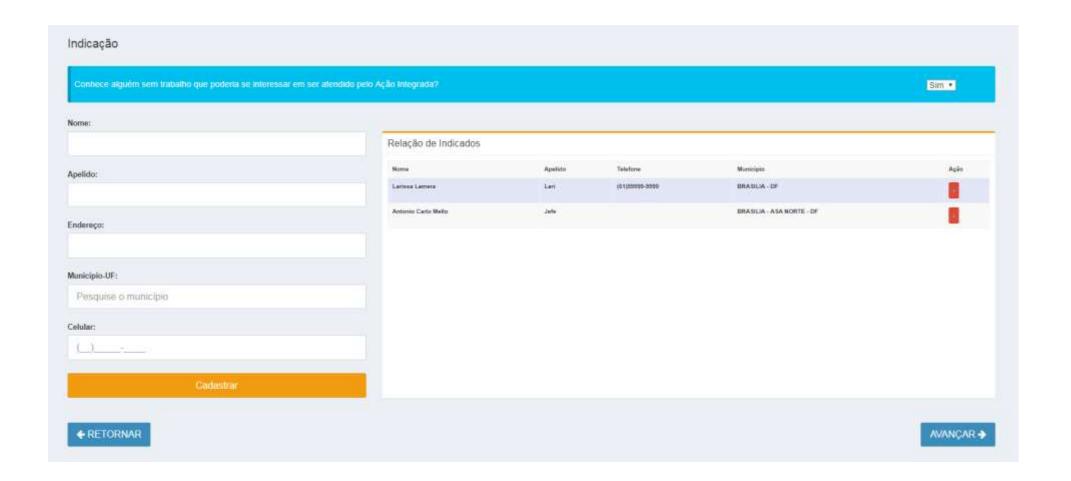




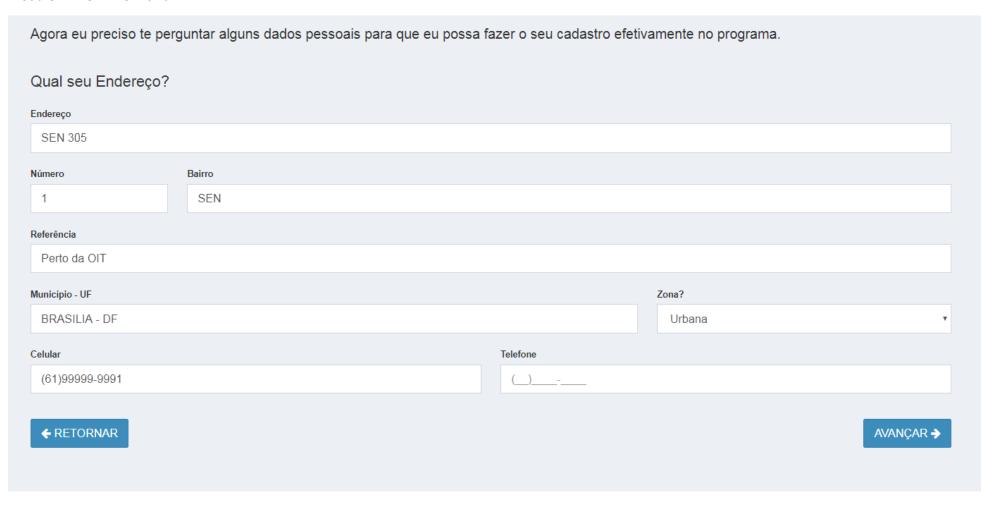
O Bloco de questões a seguir busca saber se o senhor(a) passa ou já passou por algumas das seguintes condições de trabalho: Seu empregador já lhe impediu de deixar o local de trabalho ou alojamento ou falar com a família ou amigos? Sim ▼ Você teve em algum momento documentos presos pelo patrão? Não ▼ Você ou algum membro da sua família sofreu algum tipo de violência física ou ameaça pelo empregador ou foi vigiado por algum jagunço? Sim ▼ Você foi obrigado, pelo empregador, a trabalhar por longo tempo sem descanso ou sofreu algum tipo de punição como ficar sem comer, sem dormir, ou sem água? Não ▼ Você foi obrigado a fazer alguma coisa errada no trabalho ou como parte da sua função? Sim ▼ O empregador lhe cobrou alojamento, comida, ferramentas ou você teve que assumir alguma dívida para ser levado para um trabalho? Sim ▼ **←** RETORNAR AVANÇAR ->



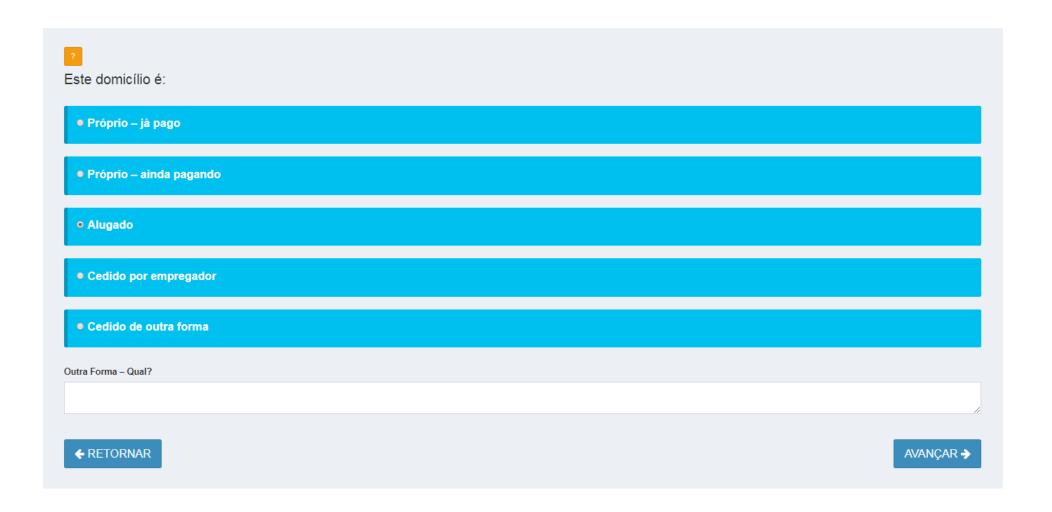


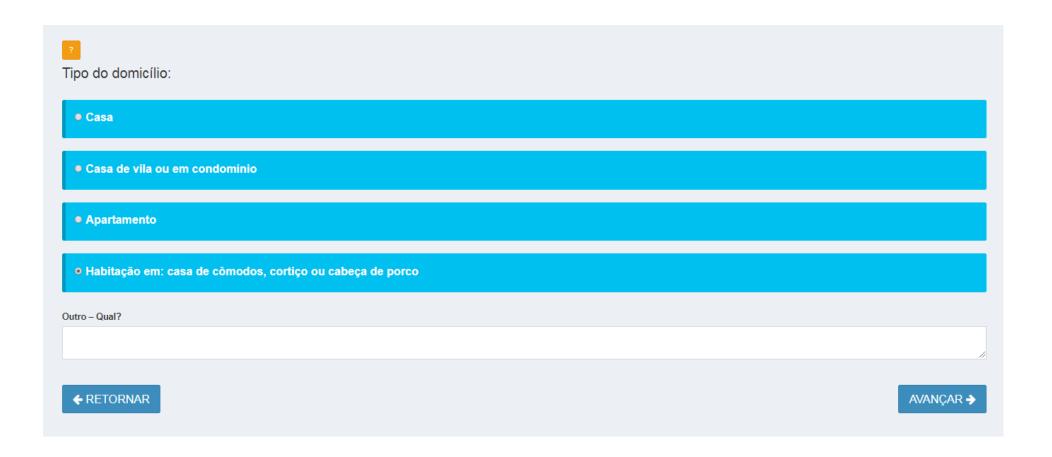


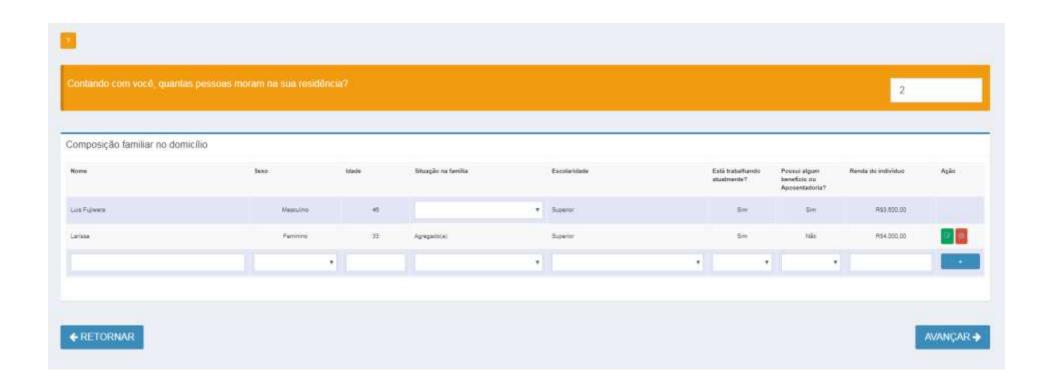
Módulo 2 - Perfil Domiciliar







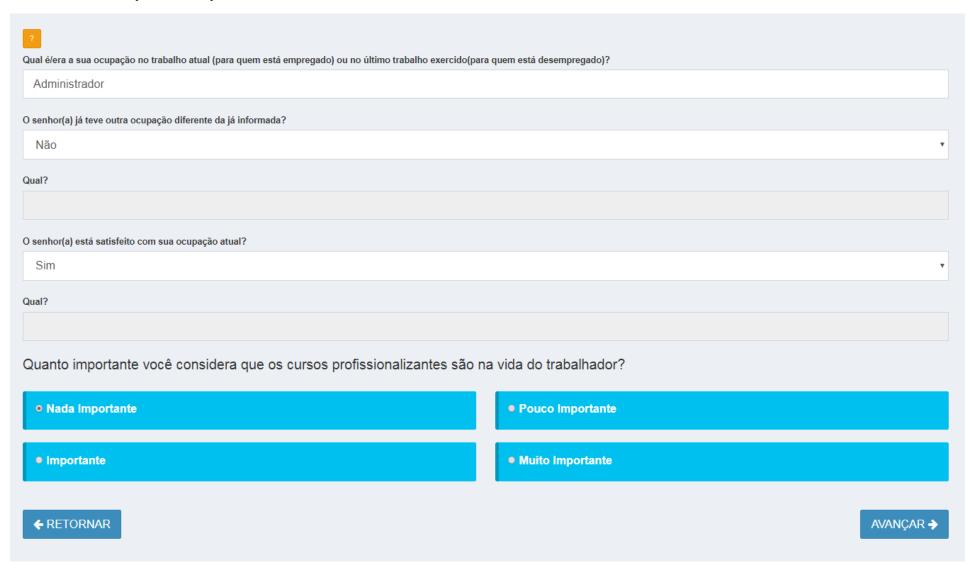






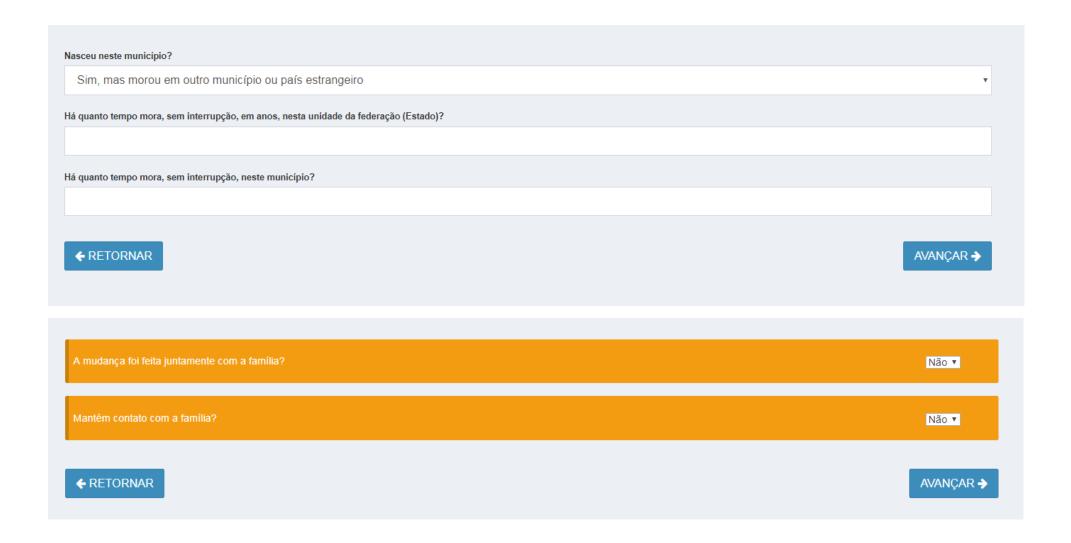


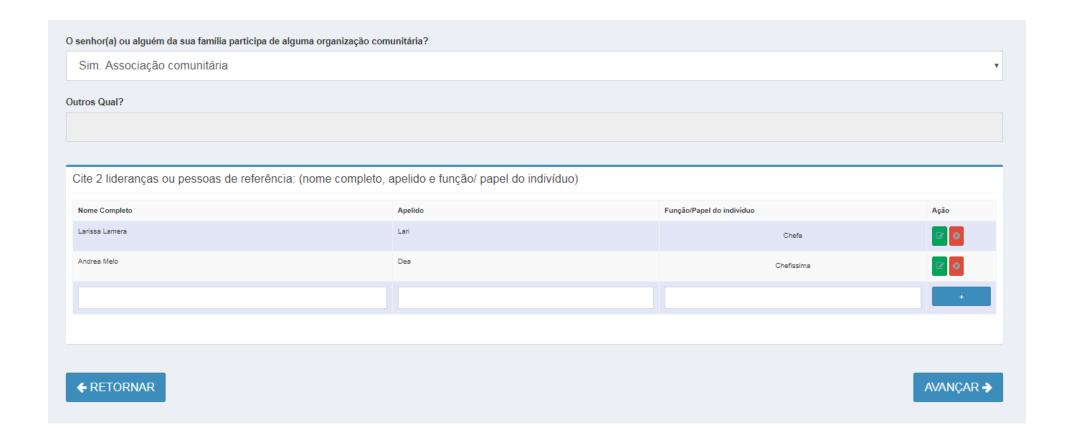
Módulo 3 – Qualificação e Colocação Professional

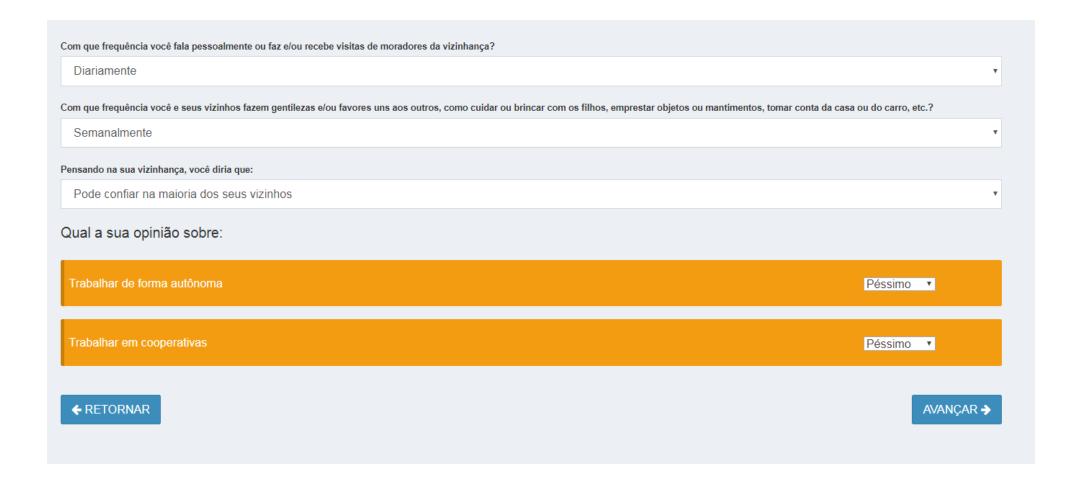












Módulo 5 – Perfil do Trabalhador

